REQUEST FOR APPLICATION (RFA)

RFA# RFA-386-12-000003
Issuance Date: June 1, 2012
Questions due by: June 18, 2012, 1000 Hrs. New Delhi Time
Closing Date/Time: July 10, 2012 , 1000 Hrs. New Delhi Time

SUBJECT: Request for Applications (RFA) Number RFA-386-12-000003 USAID's South Asia Regional Initiative For Energy Integration (SARI/EI)

The United States Agency for International Development in India (USAID/India) is seeking applications for a Cooperative Agreement from qualified US and non-US organizations to implement USAID's South Asia Regional Initiative For Energy Integration Project in South Asian countries.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended and Cooperative Agreement and Grants Act of 1977. Please note that no profit/fee is allowed under assistance. Forgone profit does not qualify as cost-sharing or leveraging.

Subject to the availability of funds, the Government intends to award one cooperative agreement under this RFA. USAID/India however, reserves the right not to enter into any awards. The award will be made in accordance with evaluation procedures provided in Section V.1. USAID intends to provide $9.17 million in total USAID funding to cover a five year period.

The successful applicant will be responsible for ensuring achievement of the program objectives. Please refer to the Program Description in Section I.1 of this RFA for a complete statement of goals and expected results.
The RFA consists of this cover letter and the following:

1. Section I, Funding Opportunity Description
2. Section II, Award Information
3. Section III, Eligibility Information
4. Section IV, Application and Submission Information;
5. Section V, Application Review Information;
6. Section VI, Award and Administrative Information;
7. Section VII, Agency Contacts,
8. Section VIII, Other Information;
9. Attachment 1, Certifications and Assurances.

To be eligible for an award, the applicant must provide all required information in its application, including the requirements found in all attachments. Applications that are submitted late, incomplete or are non-responsive will not be considered. Award will be made to the responsible applicant whose application best meets the requirements of this RFA and the evaluation criteria contained herein.

The Requests for Application (RFA) will be posted electronically via Grants.gov. This RFA and any future amendments can be downloaded from http://www.grants.gov . It is the responsibility of the prospective applicant to ensure that it has received the RFA and any future amendments from http://www.grants.gov. All interested parties are encouraged to register at http://www.grants.gov to receive automatic notification of amendments to this RFA. If you have difficulty accessing the RFA or its amendments at Grants.gov, please contact Mr. Arun Sehgal at indiarco@usaid.gov.

USAID/India requires that applications be submitted both electronically (e-mailed) AND in hard copy. See Instructions Section IV.7

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for any costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant Cooperative Agreement will not be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. All application preparation and submission costs are at the applicant's own expense.

All questions and requests for clarification related to this RFA must be received by June 18, 2012 no later than 1000 hours (New Delhi time) and should be sent to the following email address: indiarco@usaid.gov with a copy to Arun Sehgal, A & A Specialist at asehgal@usaid.gov. Applicants must not submit questions to any other USAID staff. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

sd/-
Arun Sehgal
Regional Office of Acquisition and Assistance
USAID/India

Attachment: a/s

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LIST OF ACRONYMS

AC	Alternating Current
AO	Agreement Officer
AOR	Agreement Officer's Representative
CA	Cooperative Agreement
CBET	Cross –Border Energy Trade
CO2e	Carbon Dioxide Equivalent
CV	Curriculum Vitae
GDP	Gross Domestic Product
HVDC	High Voltage Direct Current
IEX	India Energy Exchange
MOA	Memorandum of Agreement
MOU	Memorandum of Understanding
PACE-D	U.S.-India Partnership to Advance Clean Energy - Deployment
PXIL	Power Exchange India Ltd.
ROAA	Regional Office of Acquisitions and Assistance
SA	South Asia
SARI/E	South Asia Regional Initiative for Energy
SARI/EI	South Asia Regional Initiative for Energy Integration
TF	Task Force
U.S.	United States
USAID	United States Agency for International Development
USG	United States Government

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

1. PROGRAM DESCRIPTION

A. Background

SARI/E's role over the past decade in advocating energy cooperation in South Asia is beginning to transit to the next phase of advancing regional energy integration. This new phase titled South Asia Regional Initiative for Energy Integration (SARI/EI) is designed to build upon SARI/E's successful initiatives of the past to move South Asian countries towards increased regional energy security.

Over the last two decades South Asia has been one of the fastest growing regions in the world, with an average annual growth rate of 6% as measured by GDP per capita. Yet despite this impressive macroeconomic growth, the energy sector in the region has not been able to keep pace, and continues to experience chronic problems of shortage of supply and poor quality of service. Its nations face a stark energy security dilemma: If they do not expand their energy supply capacities to meet growing demand, they remain static and undeveloped. On the other hand if they accelerate economic development, they exacerbate their energy supply crunch. South Asia's energy security dilemma is one of the signal energy development challenges of the 21st century critical to the economic future of almost 1.5 billion people and the political future of one of the world's most volatile regions. Given this dilemma the only long-term solution is the sustained increase in regional energy cooperation among South Asian nations.

Despite tremendous benefits to be derived out of regional co-operation, the region has had limited energy co-operation in the past. Limited cross-border transmission interconnections and cross-border trading transactions are taking place only between India and Bhutan and to a lesser extent between India and Nepal. Energy trade and regional integration in South Asia lags significantly behind most, if not all regions of the world. To that end, the South Asian nations should capitalize on the complementarities of their resource base and energy needs. Concurrently since climate change has emerged as a key global development challenge of the 21st century, policies and programs facilitating regional energy trade and large-scale adoption and deployment of clean and renewable energy will need to play a central role in South Asia.

South Asia is composed of two very different political sub-regions: Eastern sub-region (comprised of Bangladesh, Bhutan, India, Nepal and Sri Lanka); and Western sub-region (comprised of Afghanistan and Pakistan). The countries of Eastern sub-region are market-focused and poised to develop commercial trading arrangements. By contrast, Western sub-region is characterized by imploding political systems, coupled with growing insecurity, which makes investment risky and development both difficult and expensive. The Western sub-region is, therefore, a high risk/high return environment for the development of cross-border energy trade projects. With India moving towards a unified electricity grid by 2014 would allow for the establishment of a "virtual energy grid" across South Asia beginning perhaps with Eastern sub-region. Such a virtual grid would permit multi-directional interconnection between Eastern sub-region countries using India as a transit country with its emerging power trading and power exchange companies as platforms for cross-border trade.

There are wide variations between energy consumption of the various South Asian countries, and between the rich and poor within these countries, with attendant variations in human development. The international community has been well aware of the close correlation between income levels and access to modern energy: not surprisingly, countries in South Asia with a large proportion living on an income of less than $2 per day tend to have a low electrification rate and a high proportion of their population living on traditional biomass (e.g. Afghanistan, Nepal). As incomes rise, access to electricity increases at a faster rate largely because governments give higher priority to electrification since access to electricity is essential for the provision of clean water, sanitation and healthcare and provides great benefits to development through the provision of reliable lighting, heating, mechanical power, transport and telecommunication services. The role of cross-border energy trade (CBET) in influencing such human development outcomes is thus a matter of significant relevance.

The above regional setting and challenges has major implications for the U.S.'s relationship with countries throughout South Asia. Given the severity and the inevitability of the looming energy supply crunch the only conceivable long-term solution to South Asia's dire energy security predicament is to be found in increased opportunities for energy and electricity trade within the region. Regional sharing and diversifying the use of available energy resources would address many of the growing energy security concerns, advance USG's geopolitical interests and accelerate economic development of the region.

Development of cross-border physical infrastructure ("hardware") complements regulatory, policy, and pricing mechanisms ("software"). Coupled with the natural resource advantages that participating South Asian nations bring to the table, SARI/EI will address both the hardware and software components to advance regional energy integration. The software component will entail harmonizing policies and regulations and reducing tariff barriers. It also requires developing grid-codes, effective governance structures, long-term financing for new generation, as well as transmission infrastructure and legally binding contracts that support the development of a South Asia regional energy market. While SARI/EI will not be financing hardware it will provide the platform for stakeholder engagements to discuss technical specifications that are optimal and cost effective. Thus from the hardware perspective, both the development of cross-border transmission infrastructure and the efficient utilization of that infrastructure will be advanced through a consultative process of engaging regional stakeholders.

Evaluation of Sub-Regional Grids and Role of Energy Markets Report http://www.sari-energy.org/ProjectReports/Evaluation_of_Sub_Regional_Grids_and_Role_of_Energy_markets.pdf provides a background and overview of the issues involved in advancing cross-border energy trade in the region. In addition, the applicants are encouraged to refer to the SARI/E website (www.sari-energy.org) including page on SARI/E CBET conference http://www.sari-energy.org/PageFiles/What_We_Do/activities/Cross_Border_Conference_Feb_2012/Cross_Border_Conference_Feb_2012.asp

B. Program Objective & Overview

Goal: The overall goal of SARI/EI program is to advance regional energy integration and increase cross-border energy trade in eight South Asian Countries (Afghanistan, Bangladesh, Bhutan, India, Pakistan, Nepal, Sri Lanka & Maldives) by focusing on the following three development outcomes:

(a) Harmonize Policy, Legal and Regulatory Issues: In the South Asia regional context, the risks associated with forging an intra-regional, cross-border energy project would be greatly minimized if each participating country adopted complementary national energy policies, with interconnection being an integral element. The USAID program will establish a Task Force on Policy, Legal and Regulatory Issues to support the implementation of this activity. The Task Force shall consist of members from the country energy/power ministries, ministries of external affairs, planning commissions, central regulatory commissions and other policy making bodies. The key result will be to create the enabling systemic conditions for a sustainable market for investment and implementation of cross-border energy trade.

(b) Advance Transmission Systems Interconnection: Transmission interconnection is key to cross-border energy trade in South Asia and is a necessary precondition to regional energy market integration. South Asia is the least energy integrated region in the world. While there are challenges in linking the several South Asia country electricity grids, establishing these connections and harmonizing the systems are well within the state of art technologically; such integration could be accomplished within the next five years in the eastern sub-region of South Asia. The USAID program will establish a Task Force on Generation and Transmission Infrastructure Planning to support the implementation of this activity. This Task Force will consist of members from country utilities, state/national transmission companies and system operators. The key result will be to create the enabling, systemic conditions for a sustainable market for investment and implementation of sub-regional bilateral transmission interconnections in South Asia.

(c) Establishment of South Asia Regional Electricity Markets: A promising development in recent years is the introduction of power trading and advanced power exchanges in India. A modern power exchange provides a “fair, neutral, robust and quick” price discovery process, creating an orderly marketplace for all buyers and sellers in South Asia. Extension of these exchanges through the establishment of a South Asia Regional Electricity Markets Exchange is considered a feasible option to enable cross-border energy trade. The USAID program will support a Task Force on Energy Trading/Exchanges and Markets to support the implementation of this activity. The Task Force will consist of members from utilities, private sector, energy trading companies, and energy exchanges. The key result will be to create the enabling and systemic conditions for a sustainable market for energy trading and exchange in South Asia.

The achievement of program goal will be measured by the percentage growth in energy traded between countries, relative to the total energy generated in the region.

As provided above, the three development outcomes need to be catalyzed by three Task Forces (TFs) supported by SARI/EI in partnership with the Applicant and country governments. The key objective of each Task Force is to create enabling systemic conditions for cross-border energy trade and energy markets in the region. The TFs will showcase examples of the benefits of regional cooperation, leverage counterpart funding and resources, provide unbiased support for regional initiatives, present a platform to discuss cross-border trade, and promote infrastructure interconnections. TFs will also help create markets and mechanisms for transparent trade practices, clean energy access, efficiency, conservation and renewable sources.

The Applicant is expected to set up, support and manage these three Task Forces to help achieve the program goal. The Applicant would act as both, the secretariat and technical input provider for these Task Forces. The Applicant would provide organizational support, logistical/travel arrangements and facilitate the work of each Task Force by organizing conferences, workshops and executive exchanges in the South Asia region, and executive exchanges to the U.S. That work may include preparation for each Task Force meetings and follow-up to provide continuity and a sustained focus on its prescribed activities. The Applicant would ensure that there is continuity in the working of each Task Force and they hold regular meetings. In addition to providing logistical/travel arrangement necessary for conducting the Task Force workshops, conferences and exchange programs, the Applicant is expected to provide technical inputs to ensure achievement of the program goal. The secretariat should draft and circulate an agenda, as far in advance as practicable, for each Task Force event as well as other pertinent documents for review and discussion, and would submit a report to USAID on the outcome of each event. The Applicant will also make it sure that the Task Force discusses important issues with the goal of reaching consensus and the agenda is moved forward in constructive ways. It is envisaged that the support to these Task Forces would be focused, demand driven, and closely tweaked according to the emerging needs of the region.

For each of the three program components, the sections below describe the development challenge, program description and intended result.

Component 1: Harmonization of Policy, Legal and Regulatory Issues

Development Challenge: In a CBET project involving two or more countries, the lack of common policies will be a major stumbling block and thus a key development challenge. The development of harmonized policies to facilitate competitive cross-border trading in electricity is a key “building block” to meeting the larger goal of capturing the efficiencies and synergies associated with neighboring nation’s respective resources and customer demands. By capturing such synergies and the natural resource advantage that each nation can bring to the table, all participating nations can better serve the power needs of their citizens. Furthermore, the way in which CBET advances regional energy markets has serious implications for poor people’s livelihood strategies and human development prospects among the South Asian countries. Of particular importance is the issue of access to modern energy services in fulfilling basic social needs, driving economic growth and fueling human development. This is because modern energy services such as electricity, natural gas, modern cooking fuel and mechanical power are necessary for improved health and education, better access to information and agricultural productivity.

Without the necessary essential policies in place, investment opportunities that could benefit both importing and exporting nations may not even present themselves. In short, the institutions and structures that help provide a platform for effective cross-border trading do not spring up overnight. No single developer or group of developers is going to be willing to fund such efforts or tie up their capital awaiting such developments. As a result, the time to begin the process of harmonization of policy, legal and regulatory issues in South Asia must begin now.

Barriers to a robust energy trade relationship include: inconsistent regulatory framework for regional energy planning, weak legal contract enforcement and payment risks, differences in energy subsidization policies, and incongruent pricing policies and access regulations. In a South Asia regional context, the risks associated with forging an intra-regional, cross-border energy project would be greatly minimized if each participating country adopts complementary national energy policies with interconnection being an integral element. In order to achieve this, SARI/EI proposes to establish a Task Force to develop and promote activities geared towards reducing the barriers to regional energy integration among which are: harmonized policies, rules, procedures, tariff and pricing policies, incentive structures and regulatory frameworks within the region.

Description: The Task Force on Policy, Legal and Regulatory Issues shall comprise of members from the country energy/power ministries, ministry of external affairs, planning commission, central regulatory commissions and other policy making bodies. Some of the illustrative key outcomes of the work of the Task Force may include, but not be limited to: (i) regional meetings to discuss and finalize key policy and regulatory issues such as, grid code and governance structures, coordinated regulatory oversight and timely and fair means of dispute resolution; (ii) study missions and executive peer exchange visits; and (iii) organize regional conferences and workshops. Illustrative indicators to measure, track and verify the progress of the activity may include: (i) the number of MoUs/MoAs and/or other protocols entered into by South Asian country partners for CBET; (ii) the number of laws, policies, strategies, plans, agreements or regulations addressing climate change proposed, adopted or implemented as a result of USG assistance to energy integration in South Asia; and (iii) number of TF meetings, seminars, conferences and workshops held on policy/regulatory/legal issues related to CBET.

Intended Result: The key result of the Harmonization of Policy, Legal and Regulatory Issues component is to create the enabling systemic conditions for a sustainable market for investment and implementation of CBET.

Component 2: Advancement of Transmission Systems Interconnection

<u>Development Challenge</u>: Transmission interconnection is key to CBET in South Asia, and is a necessary precondition to regional energy market integration as well as advancing energy access to populations in South Asia who are underserved or un-served. South Asia is the least energy integrated region in the world. Very limited cross-border transmission inter-connections, and cross-border trading transactions are taking place only between India and Bhutan and to a lesser extent between India and Nepal. The problem of regional grid integration is largely technical although they are influenced by political, economic and social considerations. One of these is the need for uplifting the lives of the poor and marginalized section of the region's population catalyzed by the availability and affordability of energy through intra-regional trade.

Although the need for adequate transmission infrastructure to support CBET seems obvious, there are various requirements needed to ensure its timely development and construction. For the South Asia region, without additional cross-border interconnection, the business case for development of additional hydro resources in the north or wind resources in the south will be much more difficult to make.

While there are development challenges in linking the several South Asia country electricity grids, these connections and harmonizing the systems is well within the state of art technologically, and could be accomplished within the next five years in the Eastern sub-region. In this sub-region, interconnections catalyzed by past SARI/E work between India and Bangladesh (in addition to those with Bhutan and to a lesser degree, Nepal) are underway and will be completed by mid-2013. Each of these and other cross-border energy trade efforts begins with the identification of bilateral objectives and an examination of how individual national planning efforts can utilize cross-border interconnection as one tool to meet un-served load across the broader region. The following two key points must be considered to assess the transmission infrastructure needed to support further cross-border trading in the region.

1. Transmission Infrastructure Investment: An effective generation and transmission infrastructure is critical to support cross-border trading. Generation development is largely driven by power purchase agreements that can support the long-term financing of this capital-intensive investment. In the South Asia region, development of generation has lagged behind transmission due to challenges in obtaining the necessary financing for large generation investments. On the other hand, transmission assets are "enablers" and do not, in and by themselves, generate market revenues for the asset owners nor are they subject to competition. However transmission assets provide the means by which "bottled up" generation can realize its true value and efficiently serve the needs of distant customers. At the time investment decisions are being made for generation, there needs to be a clear implementable plan to assure that the necessary transmission can be constructed to maximize the output of that generation on the grid.

2. Contractual Structures for Transmission Infrastructure: A critical next step is to develop the governance, operational protocols and rate structures to support the

effective use of several cross-border interconnection projects that are going forward in South Asia. Work appears well underway towards the development and financing of additional cross-border interconnections between India and Nepal and India and Bangladesh. Construction is scheduled to commence in the near future on a new 400 kV double circuit AC interconnection between India and Nepal. Contracts have already been awarded for construction of a 500 MW high-voltage direct current (HVDC) back-to-back station at Bhemamara in Bangladesh to enable cross-border exchange of power with India. Ties between India and Sri Lanka as well as ties between Afghanistan and its neighbors and between India and Pakistan are potential prospects.

Description: The Task Force on Generation and Transmission Infrastructure Planning shall comprise of members from country utilities, state/national transmission companies and system operators (e.g. load dispatch centers). Some of the illustrative outputs of this activity may include: (i) TF meetings in the region to discuss and finalize key design, operation and financing decisions; (ii) analysis in support of TF meetings to aid decision-making; and (iii) Study missions and executive peer exchange visits within the South Asia region, North America and elsewhere. Illustrative indicators to measure, track and verify the progress of the component may include: (i) amount of investment leveraged in US dollars, from public and private sources, for climate change as a result of CBET; (ii) Quantity of greenhouse gas emissions, measured in metric tons of CO2 equivalent, reduced as a result of CBET; and (iii) length of transmission lines (circuit kilometers) laid for CBET projects.

Under this component, Task Force activities may focus initially on the Eastern sub-region (India, Bhutan, Bangladesh, Nepal and Sri Lanka) and later will include Western sub-region.

Intended Result: The key result of the Advancement of Transmission Systems Interconnection component is to create the enabling, systemic conditions for a sustainable market for investment and implementation of sub-regional bilateral transmission interconnections beginning with the eastern sub-region of South Asia.

Component 3: Establishment of South Asia Regional Electricity Markets

Development Challenge: The relative absence of a national energy trading market that could be incrementally expanded to cover the South Asia region is a key development challenge to advancing energy integration. Many analyses of cross-border trading in the region recognize the value of developments of power exchanges and other market mechanisms to enhance the bilateral and multilateral arrangements that are at the core of any cross-border trading program. Such market mechanisms can also provide for more efficient exchanges of increments of power to better manage schedule deviations and take advantage of diversity of the hourly load profile of each trading nation. Market arrangement and prices provide a level playing field and a useful benchmark for investors, generators and purchasers. The vast potential for such trading in the region could only be unleashed if exporters and importers of power could both have confidence in a system that is fair, transparent, reliable and represents the state-of-the art technology.

A promising development in recent years is the introduction of power trading and advanced power exchanges in India, such as the Power Trading Corporation of India Limited, the India Energy Exchange (IEX), and Power Exchange India Limited (PXIL). The operation of these exchanges and trading activities between states *within* India has broader lessons for the South Asia region as a whole. The power exchanges accept orders for power, provisionally match bids, account for constraints on the transmission grid which impact the feasibility of delivery and then re-run the market to take into account the constraints on physical delivery detailed by the system operator. The exchanges use features such as a uniform price auction and double sided bidding in clearing the market. Thus, a power exchange provides a *"fair, neutral, robust and quick"* price discovery process, creating an orderly marketplace for all buyers and sellers in South Asia. Extension of these exchanges through the establishment of a South Asia Regional Electricity Markets Exchange is considered a feasible option to enable CBET. This would be greatly facilitated with progress underway in India towards a unified electricity grid by 2014, which would permit multi-directional interconnection between South Asian countries using India as a transit country with its emerging power trading, and power exchange companies as platforms for CBET. The Task Force on Energy Trading/Exchanges and Markets will support the implementation of this component and will comprise of members from utilities, private sector, energy trading companies, energy exchanges, etc.

The concept of a regional electricity market would be a critical component of the program. It is proposed that SARI/EI will promote the transfer and deployment of innovative clean energy systems, technologies and practices from India and within the region when establishing a South Asia regional electricity market. Accelerating clean energy deployment as part of the regional electricity market development will go well beyond its intended result of improving energy security and increasing economic growth. It will also mitigate greenhouse gas emissions and assist the countries in the region to follow a low-carbon growth trajectory. Furthermore as incomes rise, access to electricity increases and is essential for human development through the provision of reliable lighting, heating, mechanical power, transport and telecommunication services. The role of clean energy markets in influencing such human development outcomes is thus a matter of significant relevance.

Description: The Task Force on Energy Trading/Exchanges and Markets shall comprise of members from country utilities, private sector, energy trading companies and energy exchanges. Some of the illustrative outputs of this component may include: (i) TF meetings in the region to discuss and finalize key design, operation and financing decisions; (ii) analysis in support of TF meetings to aid decision-making; and (iii) study missions and executive peer exchange visits within the South Asia region, North America and elsewhere. Illustrative indicators to measure, track and verify the progress of the activity may include: (i) increase in percentage of energy traded across borders, relative to total energy generated; (ii) quantity of greenhouse gas emissions, measured in metric tons of CO2 equivalent reduced as a result of CBET in clean energy; and (iii) number of new initiatives or energy exchange models under development or brought to market.

This component will be implemented in close coordination with the USAID/India’s bilateral Partnership to Advance Clean Energy–Deployment (PACE-D) project with the Government of India.

Intended Results: The key result of this component on Establishment of South Asia Regional Energy Market is to create the enabling and systemic conditions for a sustainable market for energy trading and exchange in the eastern sub-region of South Asia. Another related result of is the transfer of Indian and US clean energy innovation models in technologies, financing and business to the region.

C. Gender Consideration

Gender issues are integrated in SARI/EI with a higher level of women’s participation proposed in its activities. This will be attained through more effective and strategic outreach to women, by encouraging women energy experts and engineers to participate in the SARI/EI sponsored activities. In past, about 10% of the participants under SARI/E activities have been women. The goal of this program is to exceed that percentage. SARI/EI can make a concerted effort to identify and engage women participants, ensure that their voices are included on the Task Forces, and that women’s energy needs and priorities are taken into account during any policy development and harmonization activities.

2. AUTHORIZED LEGISLATION

This is a discretionary Cooperative Agreement opportunity to be competed and awarded pursuant to the authority of the 1961 Foreign Assistance Act, as amended, and the applicable sections of USAID regulation 22 CFR 226.

3. PROGRAM ELIGIBILITY REQUIREMENTS

Type of entities which may apply is described in Section III.

4. AWARD ADMINISTRATION

For US organizations, USAID Regulation 22 CFR 226, OMB Circulars, and USAID Standard Provisions for U.S. Nongovernmental recipients will be applicable. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental recipients and the applicable cost principles (OMB Circular A-122 for non-profit organizations and OMB Circular A-21 for universities) will apply. The OMB circulars are available in the following link: http://www.whitehouse.gov/omb/circulars/index.html. For both U.S. and non U.S. for-profit organizations Federal Acquisition Regulation (FAR) Part 31 will be applicable. Please refer to Section VI of this RFA for more information on the standard provisions. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. Further information including the referenced documents may be obtained via our agency website http://www.usaid.gov directly or via links in USAID Automated Directive System (ADS) Chapter 303: http://www.usaid.gov/policy/ads/300/303.pdf.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, direct and indirect, which are related to the Cooperative Agreement and are in accordance with applicable cost standards may be paid under the Award.

[End of Section I]

SECTION II – AWARD INFORMATION

1. ESTIMATED FUNDS TO BE AVAILABLE

Subject to the availability of funds, USAID intends to provide approximately $9,170,000 in total USAID funding for the life of the activity.

2. START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years. The estimated start date of the award is September 2012.

3. TYPE OF AWARD

USAID plans to negotiate and award a Cooperative Agreement as USAID desires to be substantially involved in the implementation of the selected program that is consistent with USAID policy contained in ADS Chapter 303 concerning non-governmental assistance activities. This substantial involvement will be through the Agreement Officer, except to the extent that the Agreement Officer delegates authority to the Agreement Officer's Representative (AOR) in writing. The intended purpose of the substantial involvement during the award is to assist the recipient in achieving the supported objectives of the agreement.

Substantial involvement

In addition to the requirements in 22 CFR 226 and other applicable regulations or provisions, USAID/India will be substantially involved during the implementation of this Cooperative Agreement in the following ways through the Agreement Officer's Representative (AOR) or the Agreement Officer as per ADS 303.3.11:

A. Approval of recipient's Implementation Plans

- Approval of annual work plans

B. Approval of Key Personnel and any change in key personnel

C. Agency and recipient Collaboration or Joint Participation

- Approval of Subawards and Subcontracts
- Approval of Monitoring and Evaluation Plans
- Agency monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects

[End of Section II]

SECTION III – ELIGIBILITY INFORMATION

1. ELIGIBILITY OF APPLICANTS

Applicants must be legally established non-governmental entities and individuals, otherwise there is no restriction.

2. POTENTIAL NEW IMPLEMENTING PARTNERS

In support of the Agency's interest in fostering a larger partner base and expanding the number and sustainability of development partners, USAID/India encourages applications from potential new implementing partners. However, the Agreement Officer may conduct pre-award surveys for the new implementing partners as per ADS 303.3.9.1.

[End of Section III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINT OF CONTACT

Arun Sehgal Sr Acquisition & Assistance Specialist USAID/India C/o American Embassy, Shantipath, Chanakya Puri, India E-mail: indiarco@usaid.gov

2. REQUIRED FORMS

All applicants must submit the application using the SF-424 series, which includes the:

- SF-424, Application for Federal Assistance;
- SF-424A, Budget Information - Nonconstruction Programs; and
- SF-424B, Assurances - Nonconstruction Programs.

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to non-construction activities should be included on the SF-424A. Copies of these forms may be found in the following website: https://apply07.grants.gov/apply/FormsMenu?source=agency

3. PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENTS

In addition to the certifications that are included in the SF 424, applicants must provide additional certifications, assurances and other statements found in Attachment 1 of this RFA.

4. APPLICATION FORMAT

A. Preparation of Applications:

i. Applicants are expected to review, understand, and comply with all aspects of this RFA.

ii. Each applicant shall furnish the information required by this RFA. The applicant must sign the application form (SF 424) and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

iii. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purpose, must:

a. Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets____". and,

b. Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

iv. Applicants should retain for their records one copy of the application and all enclosures which accompany it.

v. Application shall be split into two separate parts: (1) Technical Application; and (2) Cost Application. The formats for each of these parts of the application are set forth below.

B. Technical Application Format

Technical applications should be specific, complete and presented concisely. Applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications shall take into account the technical evaluation criteria found in Section V.

Applicants are invited to present 1) an innovative technical approach and an effective implementation strategy to achieve the project objectives set forth in Section I; 2) a well thought-out implementation plan with sound rationale for the proposed level of effort and scheduling of work; 3) an illustrative Performance Monitoring and Evaluation Plan (PMEP) that identifies appropriate milestones, gender sensitive indicators and targets (including sex disaggregated targets), as well as plans to gather and utilize baseline data, the illustrative PMEP is expected to reflect concern for results and include proper impact indicators; and 4) an exit strategy and approach to ensure that the program results can be sustained after completion of the project.

Technical Application shall be written in English and shall not **exceed 30 single-spaced typed pages**. Page limitations include the following requirements: single-spaced text printed on one side of the page only, one-inch (1") margins, **11-point (minimum) Arial font**. It shall include an executive summary, not to exceed 2 pages. The executive summary shall provide a clear overview of the results to be achieved, milestone or benchmark measures of progress and a brief summary of applicant's experience implementing similar activities.

Annexes are excluded from the 30 page limit. Past performance references, the illustrative performance monitoring and evaluation plan, the letters of intent, cover page, mobilization plan, table of contents list of acronyms and personnel resumes may be included as annexes to the technical application.

i. Technical Approach

The proposed approach should be feasible, flexible, innovative, gender sensitive, and appropriate to the culture, and the context of South Asian countries [the Project countries]. Describe the technical approaches and program(s) the Applicant will implement, the development challenges that will be addressed, the outcomes and impact it would achieve, constraints the program is attempting to overcome, and how the programs will be sustainable after USAID assistance is concluded.

The Applicant must take into serious consideration efficient use of U S government funding for utilizing sound innovations or creative approaches to achieve the program objectives. Applicants should keep in mind that the program should build the capacity of regional stakeholders to promote and achieve regional energy integration.

The technical approach should include:

- outline of all program elements, with a clear vision of concrete proposed results
- understanding of the issues to be addressed, including recommendations for prioritization
- plan for effective rapid launch of activities
- timeline for implementation
- strategy for the phase-out and sustainability of activities
- creative use of new technology, innovative tools and lessons learned
- substantive attention to gender and other cross-cutting themes under the USAID Mission Strategy

As part of the technical approach, the applicant shall also include an illustrative <u>Performance Monitoring and Evaluation Plan (PMEP) and Mobilization Plan</u> as annexes to the application. The illustrative Performance Monitoring and Evaluation Plan (PMEP) must explain how the applicant proposes to monitor the program and assess program impact. The PMEP must include indicators, targets, data sources and collection methods, baseline information, and benchmarks. The applicant must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. Applicants are encouraged to provide a performance plan that they believe would best monitor program process and which includes indicators and data collection systems that will provide reliable, valid, timely, and precise information in a cost-effective manner. All data collected must be disaggregated by sex, if applicable. It is the applicant's responsibility to ensure that all costs related to the implementation of the PMEP are included in the cost application and consider the required human resources for implementing the PMEP. The mobilization plan must provide a step-bystep outline of how the applicant will get the activity underway and include a clear timeline. The mobilization plan must cover the first six months of project implementation and address how the applicant can launch project activities rapidly.

ii. Key Personnel

Applicants must propose appropriate individuals for the key personnel positions identified. The number of key personnel for the implementation of the program must be limited to the three positions which are listed below. While proposing key personnel, careful consideration should be given to the program requirements, results to be achieved and the experience of working in the region.

The Applicant shall include a brief summary for each of the key personnel, including the extent and nature of their experience in facilitating similar projects. A detailed CV or resume should be provided in an Annex (not to be counted in the page limit). Resumes or CVs are not to exceed four pages in length and work experience shall be in chronological order starting with the most recent experience. Each resume shall be accompanied by a signed letter of commitment from each candidate. Each CV must also include at least three professional references and their current/valid contact information (including name, title, organization, phone number, and e-mail address.)

All key personnel are required to possess strong communication and interpersonal skills. Applicants are encouraged to maximize the use of South Asian nationals for all positions including Project Director. Brief position descriptions of required key personnel are as follows:

1) Project Director

The Project Director will lead the project direct the project's technical team. S/he is responsible for initiating and managing the critical and sensitive relations with the national governments, utilities, regulatory commissions, private players, and other key stakeholders in the region. The Project Director should have intimate knowledge and experience of the region's energy sector, including cross-border energy trade and energy markets issues. The Project Director shall be a dynamic and effective leader and have excellent interpersonal and management skills. S/he must have at least a Master's Degree in an energy related discipline or economics, business management, or pertinent social science. A minimum 15 years of experience in facilitation of similar programs is also required.

2) Technical Specialist: Cross Border Energy Trade & Energy Market Formation

The technical specialist should have proven experience of working on similar regional cross-border energy projects. S/he should have a flair for developing partnerships and alliances and an in-depth understanding of the issues and challenges faced in promoting and implementing cross-border energy trade. Sound practical knowledge about the formation of energy markets, the practice of energy trading and energy exchange would be desirable.
The specialist must have a Master's Degree in an energy related discipline and a minimum of 10 years of experience in facilitating similar programs in the energy sector. The technical specialist should be dedicated full-time to the project and not have any other responsibilities.

3) Program Coordinator

The program coordinate should have proven experience of planning and coordinating similar projects in the energy sector. S/he should have at least a Bachelor's degree in economics, commerce, or social science and a minimum of 10 years of experience in facilitating similar programs. The Program Coordinator should be dedicated full-time to the project and not have any other responsibilities.

ii. Management Plan

The Management Plan must consist of a clear and concise description of how internal management plans, organizational structures, lines of communication and authority, and partnerships are conducive to effective project implementation. The composition and organizational structure of the entire project team must be justified. The roles and estimated Level of Effort (LOE) for each staff member must also be clearly explained. Applicants should also explain how the sum of technical expertise and experiences of all staff members is compatible with the technical and operational strategies of the project and the rationale for key roles and responsibilities of long term non-key technical personnel in support of each task.

iv. Past Experience

Applicants must demonstrate experience in facilitating programs similar to the program proposed in this application. The end date of the cited program (s) should not be more than three years ago.

i. Past Performance

Applicants must provide past performance references and clearly describe examples of successful development and implementation of programs similar to what is required under this RFA. Applicants must include the five (5) most recent and relevant US government and/or other donor or privately funded contracts, grants, cooperative agreements, etc., successfully accomplished by the applicant's organization, involving programs similar to the program being proposed. The end date of the cited program (s) should not be more than three years ago. Include the following for each award:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award number;
- Amount of award;
- Period of Performance (begin and end dates of services/program);
- Name, current telephone number, current fax number, and email address (if one is available) of a responsible technical representative (project officer, activity manager or other contact person) of that organization or agency; and
- Brief description of the program.

Applicants must also include the three (3) most relevant U S Government and/or other donor or private funded contracts, grants, cooperative agreements etc., received by each of the major sub-grantees proposed. A major sub-grantee is one whose proposed cost exceeds 10% of the Applicant's total proposed cost. Include the same information as listed above.

USAID may contact references and use the past performance data, along with other information, to determine the Applicant's suitability. The U S Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the USG.

vi. The suggested outline for the technical application is:

I. Table of Contents, listing all page numbers and attachments

II. Executive Summary

III. Technical Approach

IV. Key Personnel

V. Management Plan

VI. Past Experience

VI. Past Performance

VII. Annexes:
- a. Mobilization Plan
- b. Illustrative Performance Monitoring and Evaluation Plan (PMEP)
- c. Relevant Past Performance Information (Recipient and Key Partner Organizations)
- d. Curriculum Vitae for Key Personnel

C. Cost Application Format

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources. There is no page limitation on the Cost Application.

The following sections describe the documentation that applicants for an assistance award must submit to USAID/India prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

i. A detailed budget with an accompanying budget narrative that provides in detail the rationale for proposed costs. The budget narrative should provide information regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization’s policy, payroll document, vendor quotes, etc.).

In addition to the detailed budget, a summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the following web site:

https://apply07.grants.gov/apply/FormsMenu?source=agency

ii. The cost/business application should contain the following budget categories:

a. Direct Labor – Direct salaries, wages and annual increases for all personnel proposed under the application shall be in accordance with the applicant's established personnel policies. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, is subject to review and approval at a high enough organizational level to assure its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed. Anticipated salary increases during the period of the agreement should be included.

b. Fringe Benefits - If accounted for as a separate item of cost, fringe benefits should be based on the applicant's audited fringe benefit rate, supported by a Negotiated Indirect Cost Rate Agreement (NICRA) or historical cost data. If the latter is used, the budget narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

c. Supplies and Equipment - Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit, unless the applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the program, specifying quantities and unit cost.)

d. Allowances- Allowances must be broken down by specific type and by person and must be in accordance with the applicant's established policies.

e. Travel and Per Diem - The narrative should indicate number of trips, domestic and international, and the estimated unit cost of each travel in accordance with the technical application. Proposed per diem rates must be in accordance with the applicant's established policies and practices that are uniformly applied to federally-financed and other activities of the applicant.

f. Other Direct Costs - This could include any miscellaneous costs such as office rents, communications, transportations, supplies and utilities, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the applicant's normal coverage), etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

g. Proposed Sub-contracts/agreements - Applicants who intend to utilize sub contractors or sub recipients should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the applicant.

Sub-contract/agreement cost applications should follow the same cost format as submitted by the applicant. Indirect costs are not allowed for awards to indigenous organizations (see Implementing Partner Notice IPN 08-006: http://www.usaid.gov/in/working_with_us/ipn.html).

ii. A current Negotiated Indirect Cost Rate Agreement (NICRA) if your organization has such an agreement with an agency or department of the U.S. Government. Applicant must provide a copy of latest NICRA for prime and proposed subawardees.

Indirect cost ceiling rates must be included in cost application.

iii. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) with an agency or department of the U.S. Government shall submit the following information:

a. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;

b. projected budget, cash flow and an organizational chart for the applicant; and

c. a copy of the organization's accounting manual.

iv. Required assurances, certifications and representations as indicated in 424 B entitled Assurances-Non Construction Programs and the certifications identified in subsection 2 and 3 of the section.

v. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the applicant:

a. has adequate financial resources or the ability to obtain such resources as required during the performance of the award;

b. has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;

c. has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.

d. has a satisfactory record of integrity and business ethics; and

e. is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

vii. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal office has a copy.

viii. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA, formerly known as M/OP).

5. SUBMISSION DEADLINES

Applications shall be due at 1000 hours New Delhi Local Time on July 10, 2012. Because making this award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. FUNDING RESTRICTIONS/PRE-AWARD COSTS

There are no funding restrictions applicable to this RFA at this time. USAID in its discretion and at the request of the winning applicant may allow pre-award costs.

7. APPLICATION SUBMISSION PROCEDURES

Both electronic (e-mail) AND hard copy submission are required by USAID/India. Applications through both transmission methodologies must be received by the submission deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. No addition or modifications will be accepted after the submission date.

A. Submission of Hard Copy Applications

Hard copy applications submitted via courier service or mail, shall be submitted in two separate parts and delivered in two separate envelopes: (a) technical and (b) cost or business application. The hard copy technical application shall consist of one (1) original and five (5) copies. The cost or business application shall consist of one (1) original and two (2) copies. Applications shall be submitted with the name and address of the applicant and RFA number (referenced above) inscribed thereon, to:

<u>By Courier Service/Hand Delivery</u>

Braden W. Enroth
Agreement Officer
Office of the Acquisition and Assistance
U.S. Agency for International Development
C/o American Embassy, Shantipath,
Chanakya Puri, New Delhi 110021
India Telephone: (+91)11-24198796

<u>By Mail</u>

Braden W. Enroth
Agreement Officer
Office of the Acquisition and Assistance
U.S. Agency for International Development

C/o American Embassy, Shantipath,
Chanakya Puri, New Delhi 110021
India Telephone: (+91)11-24198796

Hard copies of submissions must arrive by the due date and time specified herein. It is recommended that applicants use courier service instead of international mail for the hard copy submission.

Faxed applications are not acceptable.

Please be advised that in the past, some firms have experienced delays with international air courier services. Applications received after the closing date and time will be processed as late. Also, if you utilize the services of an independent agent in India to deliver your application, please be certain that he/she understands that additional time may be needed to allow for security review of any packages, and the closing date and time are firm.

Note: Delivery to the air courier representative does not constitute meeting the statutory requirement that applications are received on time at the designated office. For purposes of recording the official receipt of applications, the date/time stamp of the Security Office (Gate 1) at American Embassy, New Delhi will govern.

B. Submission of Electronic Applications

Applications shall be submitted with the name and address of the applicant and the RFA number (referenced above) inscribed thereon, to India RCO mailbox and Arun Sehgal, via e-mail to indiarco@usaid.gov and asehgal@usaid.gov respectively.

For electronic submissions, your organization must ensure that the applications are received at USAID/India in its entirety. No addition or modifications will be accepted after the submission date. E-mail attachments should be formatted in Microsoft Word (for narrative text) and Microsoft Excel format (for spread sheets) with **5 MB limit per e-mail**. Please convert your documents to one of these formats before sending them to USAID/India, or provide scanned copies of pages in .pdf format (Adobe PDF) if they include signatures or forms. **USAID/India cannot accept .zip files, as they will be blocked by USAID’s firewall.**

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

i. Applications submitted electronically must be in either Microsoft Word /.pdf for narrative text and MS Excel for spreadsheets/tables (workable version).

ii. After you have sent your applications electronically, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission.

iii. Please do not send the same email more than once unless there has been a change, and if so, please note that it is a “corrected” email.

iv. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2".

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID/India will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

C. Receipt of Applications

Hard and Soft copies of Applications must be received at the place designated and by the date and time specified in the cover letter of the RFA. Applications, which are submitted late or are incomplete run the risk of not being considered in the review process. Late applications may be considered for award if, in the sole discretion of the Agreement Officer, it is determined that it is in the U.S. Government's interest and if the evaluation process has not yet commence.

D. Questions & Answers

Any questions regarding this RFA should be submitted in writing to Mr. Arun Sehgal, A&A Specialist, via e-mail to indiarco@usaid.gov with a copy to asehgal@usaid.gov .

Questions regarding this RFA should be submitted **no later than 1000 New Delhi local time on June 18, 2012** to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Verbal explanations or instructions given before award will not be binding.

[End of Section IV]

SECTION V – APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants are requested to organize the narrative sections of technical applications according to the technical application format (Section IV.4.B) in the Application and Submission Information and the evaluation criteria set forth below.

The specific evaluation criteria are as follows:

A. Technical Evaluation:

	EVALUATION CRITERIA	MAXIMUM SCORE
i.	Technical Approach	40
ii.	Key Personnel	25
iii.	Management Plan	15
iv.	Past Performance	15
v.	Past Experience	05
	TOTAL SCORE	**100**

i. Technical Approach 40 points

A technical approach that is well-conceived, technically sound, result-oriented, feasible, and sustainable, which demonstrates a clear understanding of the key issues identified in the Program Description.

ii. Key Personnel 30 points

Individuals proposed as key personnel will be evaluated based on their sector specific qualifications, professional competence, relevant academic background, demonstrated success in carrying out proposed activities, experience.

iii. Management Plan

The Management Plan will be evaluated based on its ability to support the achievement of results. The Management Plan must consist of a clear and concise description of how internal management plans, organizational structures, lines of communication and authority, and partnerships are conducive to effective project implementation.

iv. Past Experience

Applicant's past experience of similar partnerships, alliances, projects or activities that involved planning, oversight, and facilitation of regional programs.

v. Past Performance

Past performance in implementation of similar programs, partnerships, alliances, projects or activities that involved planning, oversight, and facilitation of regional programs.

B. Cost Evaluation:

Points will not be awarded for cost. Cost will primarily be evaluated for reasonableness, realism, allowability and the applicant's understanding of the work to be performed. Effective cost saving measures to improve cost efficiency of the program will also be considered. Given the nature of this activity, USAID/India will weigh carefully potential benefits from the proposed staffing plans and level of effort.

2. REVIEW AND EVALUATION PROCESS

Application which is deemed to offer the best overall value and meet USAID objectives will be selected for award. The Technical Evaluation Committee (TEC) will evaluate the technical/programmatic merit of each application as measured against the evaluation criteria mentioned above.

Once an "apparent successful applicant" is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer, before the final funding decision is made. The "apparent successful applicant" means the applicant recommended for an award of a component after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. "Apparently successful applicant" status confers no right and constitutes no USAID commitment to an award.

The recommendation or selection of an application for award does not in any way guarantee an award. The USAID Agreement Officer must be fully satisfied that the applicant has the capacity to adequately perform in accordance with standards established by USAID and the Office of Management and Budget (OMB). This issue of organizational capability is generally referred to as a pre-award "responsibility determination." The Agreement Officer must also complete any other necessary pre-award arrangements.
Details on USAID pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303,

section 303.3.9: http://www.usaid.gov/policy/ads/300/303.pdf.

USAID/India intends to make this award without any discussion. To the extent that they are necessary, negotiations will be conducted with the applicant(s) whose application(s), has or have a reasonable chance of being selected for award. The final award decision will be made by the Agreement Officer, with consideration of the Technical Evaluation Committee recommendations.

Other areas of review and discussion will vary according to the circumstances pertaining to the application. The following areas commonly require discussion and agreement prior to award:

A. Branding Strategy and Marking Plan. In accordance with ADS 303.3.6.3.f and 22 CFR 226.91, the apparently successful applicant must submit a Branding Strategy and a Marking Plan for evaluation and approval by the Agreement Officer before an award under this solicitation will be made. “Marking Plan” and “Marking of USAID-funded Assistance Awards” are contained in **AAPD 05-11** and in **22 CFR 226.91**. Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see **22 CFR 226.91(j)**. USAID approved Branding Strategy and Marking Plan is required for award execution.

B. Final program and budget plans.

C. Payment terms.

D. Procedures concerning administrative reporting and logistical requirements for program including training components.

E. Other award terms including audit, special provisions and/or special award conditions.

[End of Section V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO APPLICANTS

The Notice of Award (ADS 303.3.7.1.a) signed by the Agreement Officer is the authorizing document that will be provided to the successful applicant to inform the applicant of its selection to be further considered to negotiate a cooperative agreement. USAID will provide this Notice electronically to the person designated to receive this information in the application.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b.

2. AWARD NOTIFICATION

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the recipient for countersignature to the authorized agent of the successful organization electronically.

Request for debriefings: USAID will follow the procedures included in ADS 303.3.7.2 to receive and accept requests for debriefings from unsuccessful applicants.

3. STANDARD PROVISIONS AND DEVIATIONS

No deviations are anticipated to the standard provisions for the cooperative agreement under by this RFA. All applicable standard provisions shall be incorporated into the resultant award. The standard provisions for U.S., Non-US Nongovernmental and Public International Organizations may be accessed at the following location:

- Standard Provisions for U.S. Nongovernmental recipients can be accessed through following URL: **http://www.usaid.gov/policy/ads/300/303maa.pdf**
- Standard Provisions for Non-U.S., Nongovernmental recipients can be accessed through the following URL: **http://www.usaid.gov/policy/ads/300/303mab.pdf**
- Standard Provisions for PIO recipients can be accessed through the following URL: **http://www.usaid.gov/policy/ads/300/308mab.pdf**

The following Standard Provisions which are indicated below in full text should be specially noted by the prospective applicants.

A. BRANDING STRATEGY - ASSISTANCE (DECEMBER 2005)

(a) **Definitions**

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) **Submission**

The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements**

At a minimum, the Apparently Successful Applicant’s Branding Strategy will address the following:

<u>(1) Positioning</u>

What is the intended name of this program, project, or activity?

<u>Guidelines:</u> USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID’s and the Apparently Successful Applicant’s identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers.
For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents–specifically mothers. What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional cosponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.
Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) **Award Criteria**. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and from technical experts while performing the evaluation.

[END OF PROVISION]

B. MARKING PLAN – ASSISTANCE (DECEMBER 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A ***Presumptive Exception*** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are: Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h) (4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements.

The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and (ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness.

In consultation with the Agreement Officer's Technical Representative Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R.226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

[END OF PROVISION]

C. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (DECEMBER 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the Cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign

Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the Cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Sub-recipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub-award, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to sub-recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture,

forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Sub-recipients. To ensure that the marking requirements "flow down" to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows: *"As a condition of receipt of this sub-award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."*

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(11) The recipient will provide the Agreement Officer's Technical Representative Officer (AOR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;
(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the

time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's Cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the Cognizant Assistant Administrator.

(e) Non-retroactivity.

The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (For example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

D. EXECUTIVE ORDER ON TERRORISM FINANCING (FEB 2002)

The contractor/recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

E. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL

CONFERENCES (JAN 2002)

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" or as approved by the AO.

F. TRAINING RESULTS AND INFORMATION NETWORK (TRAINET)

Exchange Visitors and Training

The Recipient will conform to USAID Automated Directives System (ADS) Chapter 252 – Visa Compliance for Exchange Visitors and ADS 253 – Training for Development, as well as USAID/India-specific requirements for processing of J-1 Exchange Visitors.

The Recipient will enter applicable information into TraiNet for any participant Training, third-country training and in-country training that is funded through this award.

Information and assistance on ADS 253 requirements is currently available from the Mission's contact person Ms. Ritika Sawhney at rsawhney@usaid.gov
Telephone number +91-11-2419-8049.

G. NON-FEDERAL AUDITS

In accordance with 22 C.F.R. Part 226.26, recipients and subrecipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, "Audits of States, Local Governments, and Non-Profit Organizations." Recipients and subrecipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

H. LENDING LIMITATIONS

Without the prior written consent of USAID no assistance will be provided to 1) any government official or employee; 2) nor to any prospective client involved in activities relating to surveillance, abortion, luxury goods, gambling, weather modification, the police or the military.

I. SALARY SUPPLEMENTATION

No payment shall be made to or on behalf of any employee of any government without the advance written approval of the Agreement Officer. Any payments by the recipient to employees at any level of the Government of India shall be subject to the USAID policy on salary supplements (Department of State Cable no. 119780 dated April 15, 1988 or as amended).

J. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently, if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at **www.ccr.gov**).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at **fedgov.dnb.com/webform**).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:
(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM #1 (FEBRUARY 2012)

Effective February 13, 2012, and pursuant to a USAID impracticality determination under 2 CFR 25.110(d)(2)(ii), this provision does not apply to grants and cooperative agreements with a total value of less than $25,000 awarded to foreign entities performing work outside the United States. In addition, subparagraph b. of this provision, requiring DUNS numbers for subawards, does not apply to subawards of less than $25,000 made to foreign subrecipients performing work outside the United States.

K. CEILING ON INDIRECT COST RATES AND FINAL REIMBURSEMENT FOR INDIRECT COSTS

(a) Reimbursement for allowable indirect costs shall be at the lower rate of the final negotiated (or predetermined) rates, or the following ceiling rates:

The Contractor shall not receive indirect costs that exceed rates two percentage points or 10% of the individual indirect cost rates above, whichever are lower. The Contractor shall also negotiate ceiling indirect costs rates with their sub-contractors/sub-awardees that do not exceed two percentage points or 10% of the individual indirect costs rates in NICRA at time of award.

(b) The Government will not be obligated to pay any additional amount should the final indirect cost rates exceed the negotiated ceiling rates. If the final indirect cost rates are less than the negotiated ceiling rates, the negotiated rates will be reduced to conform to the lower rates. Final indirect costs exceeding the rate(s) applied to the base(s) shown above shall be absorbed by the Contractor.

(c) This understanding shall not change any monetary ceiling, obligation, or specific cost allowance or disallowance. Any changes in classifying or allocating indirect costs require the prior written approval of the Contracting Officer.

4. ENVIRONMENT COMPLIANCE

1) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its

development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (http://www.usaid.gov/policy/ads/200/), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. [recipient] environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

2) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID . In case of conflict between host country and USAID regulations, the latter shall govern.

3) No activity funded under this [Cooperative Agreement] will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

4) As part of its initial Work Plan, and all Annual Work Plans thereafter, the [recipient], in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this[Cooperative Agreement] to determine if they are within the scope of the approved Regulation 216 environmental documentation.

5) If the [recipient] plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

6) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5. GENERAL INFORMATION ON REPORTING REQUIREMENTS

Reports and related requirements will be included in the Cooperative Agreement issued as a result of this RFA. Requirements for periodic performance reports are contained below and supplemented by 22 CFR 226.51. Copies of all required financial reports will be submitted to the Agreement Officer's Representative (AOR) and Agreement Officer at USAID/India. Applicants are reminded to budget prudent and adequate resources for completing the required reporting. All reports shall be in the English language, unless otherwise specified by the AOR. Electronic submissions are preferred. The recipient will provide the following reports to the USAID Agreement Officer's Representative (AOR) and the Agreement Officer, as specified below, in accordance with 22 CFR 226.51 and 226.52 and the Substantial Involvement provisions as mentioned in the Section II of this RFA.

A. Financial Reporting

Financial reporting requirements will be in accordance with 22 CFR 226.52.

B. Performance Monitoring and Reporting

The recipient will submit reports to the USAID AOR as described below.

i) Annual Work Plan

The recipient must submit a draft Annual Work Plan (AWP) within forty five (45) calendar days of the effective date of the Cooperative Agreement. The AWP must detail the work to be accomplished during the upcoming year. The scope and format of the AWP will be agreed to between the recipient and the AOR. AOR will review the work plan and provide comments within ten (10) work days of receipt; the recipient must incorporate these comments and provide a final annual work plan within five (5) work days of receiving AOR's comments. The AWP will serve as a guide for program implementation–a demonstration of links between activities and objectives in accordance with the PMP. The AWP shall outline key activities and the expected results to be accomplished for that year and will be negotiated and shared with host government partners for comments as appropriate. The AWP will also serve as a basis for budget estimates for that year of program implementation. A budget with sufficient detail to allow the AOR to judge the efficiency of the implementation plan should be included. The AWP should delineate an overall budget by line item and a budget per objective and activity. The AWP may be revised on an occasional basis in the course of implementation, as needed, to reflect changes on the ground with the concurrence of the AOR. Subsequent AWPs must be submitted in a similar fashion, and the recipient must submit the work plans for successive years forty five (45) calendar days before the beginning of each successive year.

ii) Performance Monitoring and Evaluation Plan

The application must contain an illustrative Performance Monitoring and Evaluation Plan that explains how the applicant proposes to monitor the program and assess program impact. The recipient must submit a comprehensive Performance Monitoring and Evaluation Plan (PMEP) that measures impact and progress toward achieving results over the life of the award within thirty (30) calendar days of the finalization of the Annual Work Plan for the first agreement year. USAID will review the draft PMEP and provide comments/suggestions within twenty (20) calendar days of receipt. The recipient must then submit the final PMEP to the AOR not later than ten (10) calendar days from receipt of USAID's comments/suggestions. The PMEP must cover the entire period of the Agreement. It must include, but not necessarily be limited to, the following:

a) A Performance Monitoring Plan (PMP) which will help to plan/schedule for measuring results
b) Discussion on the approach proposed to conduct annual performance assessments
c) Outline the means of communicating findings and data among partners and to stakeholders including USAID.

The recipient may consult with the AOR and other USAID officials in the development of the PMEP.

The recipient must provide ongoing monitoring of the effectiveness of the implementation of the program and shall develop an information and reporting system tied to the Annual Work Plan to measure progress towards attaining milestones (results) as well as to collect information on agreed-upon indicators. Indicators and targets for each result should illustrate how the project is achieving its targets for each tasks and interventions. Measurement of achievements under the award should directly relate to the technical leadership and support provided under this project, including the identification, development and application of best practices. They should also demonstrate how the project will leverage and synergize results through USAID programs. It is equally important that similar interventions by other donors are cited with particular emphasis on aid effectiveness.

The recipient will finalize the monitoring and evaluation plan in consultation with USAID/India and its counterparts through participatory inception meetings with key implementing partners and other stakeholders. The PMEP must include indicators, targets, data sources and collection methods, baseline information, and benchmarks. The recipient must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated by sex, if applicable.

The recipient will be expected to assign high priority to continuous monitoring and evaluation of all its operations and assistance, not only for the purpose of effective internal self-monitoring and planning, but also to ensure that the recipient can demonstrate results under the objectives of this project and to assist USAID's performance monitoring. The recipient will be expected to participate actively in data gathering for the Mission's Performance Monitoring Plan. The recipient will also be required to report annually on indicators set by the Foreign Assistance Framework under the Global Climate Change and Economic Growth.

The indicators include applicable Foreign Assistance Standard Indicators and custom-designed indicators that are specific to the unique socio-economic context and program environment of India. The PMP must include two types of indicators to measure impact and performance. PMP should also include output indicators as well as outcome indicators. The recipient must use effective and efficient mechanisms to monitor progress, impacts, and successes of their activities and performances at all levels. USAID expects that the recipient will be innovative and creative in their efforts to capture, document, and report all the outcomes of USAID assistance

At the mid-term and the end of the program, USAID shall undertake an independent performance and impact evaluation of the program using primary and/or secondary data through qualitative and/or quantitative methods.

iii) Performance Monitoring Report

a. Quarterly Progress Reports

The recipient must submit a Performance Report on progress toward agreed performance targets every three (3) months, based on a PMP to be finalized after the award. Quarterly Performance Reports shall be submitted 30 calendar days after the end of the quarter pursuant to 22 CFR 226.51(b). The scope and format of the quarterly progress reports will be determined in consultation with the AOR. The quarterly report should seek to be brief yet precise description of the activities, with emphasis on issues that have arisen, impacts made, constraints encountered, and suggestions for additional actions that might be taken. The recipient is not required to follow PMP for the first quarterly performance report of the award. One original and two copies of the report shall be submitted to the AOR.

b. Annual Progress Report

The annual progress report shall be a review of the previous year's accomplishments relative to the Performance Monitoring Plan, including challenges and success stories. Problems or issues encountered and how they were resolved shall be presented in the report. The report shall be submitted 90 calendar days after the end of fourth quarter. It shall be submitted in lieu of the fourth quarterly progress report. The scope and format of the annual progress report will be determined in consultation with the AOR. One original and two copies of the report shall be submitted to the AOR.

The annual report shall include a discussion, supported with quantitative and qualitative evidence, (which evidence shall remain auditable under the terms of the agreement and USAID program implementation procedures), of progress against indicators and/or impacts achieved to date. This shall include clear identification of which impacts achieved were within the manageable interests of the recipient and which were likely catalyzed by recipient-supported initiatives, leading to substantial, sustained achievement of results. This discussion will be instrumental in helping the Mission to complete mandatory reporting to Washington such as the Performance Plan Report (PPR) and the Operational Plan (OP).

iv) Final Report

The recipient must submit the Final Report within 90 calendar days after the expiration of the award. One original and two copies of the report shall be submitted to the AOR. The final performance report should contain the following information:

- Describe accomplishments in accordance with the specific paragraphs of the project description.
- A comparison of actual activities and results with the plane established for the life of the project (presented in narrative and table format).
- Describe reasons why targets were not achieved or surpassed and why activities were delayed or not carried out, if appropriate.
- Success stories, including examples of synergy and collaboration with partners.
- A summary of progress made in achieving indicator targets during the program (based on valid data collection and analysis and credible baseline).

- Other pertinent information, including recommendations with-in depth-analysis and lessons learned, related to the overall program results.

[End of Section VI]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Braden W. Enroth
Regional Agreement Officer
USAID/INDIA
C/o American Embassy, Shantipath,
New Delhi 110021, INDIA

The Acquisition and Assistance Specialist for this Award is:

Arun Sehgal
Acquisition and Assistance Specialist
USAID/INDIA
C/o American Embassy, Shantipath,
New Delhi 110021, INDIA

[End of Section VII]

SECTION VIII – OTHER INFORMATION

1. FUNDING APPLICANTS

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for any costs incurred in the preparation and submission of an application. Further, USAID reserves the right to reject any or all applications received. In addition, final award of any resultant Cooperative Agreement(s) will not be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. All application preparation and submission costs are at the applicant's own expense.

2. AWARD

The Government may award one Cooperative Agreement resulting from this RFA to the responsible applicant whose application best meet the requirements of this RFA (see also Section V of this RFA for evaluation criteria). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application.

3. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual authorized to commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

4. EXTERNAL EVALUATIONS

USAID/India will conduct mid-term and final external evaluations to assess and substantiate performance and overall achievements of the project. The external evaluations may be funded directly by USAID and will not be included in the funding of this Agreement.

5. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under this award is 937.

6. REFERENCE DOCUMENTS

A series of reference documents that provide background information can be found by accessing the following link: www.sari-energy.org. In addition, the applicants are encouraged to search for the previous project-related documents and reports in the USAID Development Experience Clearing House (http://dec.usaid.gov).

[End of Section VIII]

ATTACHMENT 1 – CERTIFICATIONS & ASSURANCES

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement."

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224

Certification

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf , or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://treaties.un.org/Pages/DB.aspx?path=DB/studies/page2 en.xml&menu=MTDSG); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA No. ______________________________________

Application No. ______________________________________

Date of Application ______________________________________

Name of Recipient ______________________________________

Typed Name and Title ______________________________________

Signature ______________________________________

Date ______________________________________

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: ______________________________

Date: ______________________________

Name: ______________________________

Title/Position: ______________________________

Organization: ______________________________

Address: ______________________________

____

Date of Birth: ______________________________

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: ______________________________

Name: ______________________________

Date: ______________________________

Address: ______________________________

____

Date of Birth: ______________________________

NOTICE:

1 You are required to sign this Certification under the provisions of 22 CFR Part 140,Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2 If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Survey on Ensuring Equal Opportunity for Applicants

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)
Survey on Ensuring Equal Opportunity for Applicants can be found at http://www.usaid.gov/forms/surveyeo.doc

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: ________________________________

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.

(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: ____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: ____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

$__________________________

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/DESCRIPTION (Generic) ____________________________

QUANTITY ____________________________

ESTIMATED UNIT COST ____________________________

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED GOODS ______________________________

PROBABLE GOODS ______________________________

PROBABLE (Generic) ______________________________

UNIT COST ______________________________

COMPONENTS ______________________________

SOURCE ______________________________

COMPONENTS ______________________________

ORIGIN ______________________________

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED ______________________________

PROBABLE ______________________________

INTENDED USE (Generic) ______________________________

UNIT COST ______________________________

SOURCE ______________________________

ORIGIN ______________________________

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED ______________________________

PROBABLE SUPPLIER ______________________________

NATIONALITY ______________________________

RATIONALE (Generic) ______________________________

UNIT COST (Non-US Only) ______________________________

FOR NON-US ______________________________

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of $5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share $500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION (Generic) ___________________________
QUANTITY ________________________________
ESTIMATED UNIT COST ________________________________
PROPOSED DISPOSITION ________________________________

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or loc al governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of ______________________________ (country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non- color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

[End of Attachment 1]