USAID | GHANA
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May, 23 2014

Funding Opportunity Cover Page

Issuance Date:	**05/23/2014**
RFA Clarification Questions Due:	**06/03/2014**
Closing Date and Time for Application Submission:	**07/07/2014**

Subject: Request for Application (**RFA**) No. **RFA-641-14-000009**

USAID's Ghana's Strengthening Accountability Mechanisms Project

The United States Agency for International Development (USAID)/Ghana is requesting application for Assistance Agreement from your organization for funding a program entitled "**Ghana's Strengthening Accountability Mechanisms Project**."

The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description at Annex A for a complete statement of goals and expected results.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial, management, procurement and property controls and/or include establishing an indirect cost rate.

USAID expects to award one Cooperative Agreement as a result of this RFA. Subject to the availability of funds, USAID intends to provide approximately $9,340,000 in total USAID funding to be allocated over the 5 year period. USAID reserves the right to award or decline any application submitted.

Award will be made to that responsible applicant whose application best meets the requirements of this RFA and the selection criteria contained herein.

This RFA and any future amendments can be downloaded from http://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

Applicants should also note that the documents listed in this RFA under "Useful References" are intended only as sources for background information that may be helpful to applicants, but are not a part of this RFA. All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

This RFA is being issued and consists of this cover letter and the following sections:

I. Funding Opportunity Description
II. Award Information
III. Eligibility Information
IV. Application and Submission Information
V. Application Review Information
VI. Award Administration Information
VII. Agency Contacts
VIII. Other Information including Certifications, Assurances, Other Statements of the Recipient and Standard Provisions

Application must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Late applications will not be accepted.

Any clarification question concerning the contents of this RFA should be submitted **in writing via email** to Nana Derby, A & A Specialist at nderby@usaid.gov with a copy to Matthew Cullinane, Reg. Agreement Officer at mcullinane@usaid.gov on June 3, 2014. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

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 costs incurred in the preparation and submission of an application. Further, the Government reserves the right to award or reject any application received. Applicant is advised, should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Matthew P. Cullinane
Agreement Officer
USAID/Ghana

FUNDING OPPORTUNITY/ RFA

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

I. FUNDING OPPORTUNITY DESCRIPTION/PROGRAM DESCRIPTION

USAID/GHANA'S STRENGTHENING ACCOUNTABILITY MECHANISMS PROJECT

In the context of decentralized government, improved accountability offers opportunity to monitor local officials and service delivery outcomes with an eye toward limiting corruption and demanding public services. Social accountability mechanisms strengthen citizens' capability to gather the requisite information to hold public officials accountable, and demand better services on a day-to-day basis. USAID/Ghana has decided to focus its support for local governance on the fundamental need to strengthen accountability mechanisms for improved development outcomes. Improved accountability is expected to have a significant positive effect on the incentives of politicians and technocrats within local governments to engage in "good governance" as defined by reduced corruption, stronger effort by officials, and improved development spending. This, in turn, is expected to enhance the effectiveness, efficiency and equity of local government capital budgeting and execution while improving citizen perceptions of the quality of governance. Additionally a randomized control trial design for a potential impact evaluation of hierarchical and social accountability mechanisms in local governance and service delivery is critical for determining the cause and effect of project interventions.

USAID/Ghana's Strengthening Accountability Mechanisms Project (GSAM) is therefore a direct response to these identified priorities. The project is characterized by three main components.

IMPORTANT NOTE: THE APPLICANT WILL ONLY CARRY OUT COMPONENT 2.

- Component 1: Improve accountability by enhancing mechanisms of hierarchical oversight of local governments. This component includes programming aimed at improved central oversight of local government capital budgets via performance audits, and increasing the quality and quantity of information available to District Assemblies and local citizens about audit outcomes.
- Component 2: Improve accountability by enhancing mechanisms of bottom-up social accountability in local governance. This component includes programming aimed at increasing in the quality and quantity of information available to citizens about the effectiveness of development projects funded by local government capital budgets via extensive civil society monitoring, the production of scorecards, and public information campaigns that mobilize citizens to use the scorecards to demand improved development planning and execution.
- Component 3: Conduct a rigorous, scientific impact evaluation, which is fully integrated into the project design and implementation. The evaluation represents a randomized field experiment and involves a comprehensive data collection component for indicators related to performance, output, outcome and impact.

See **ANNEX A** for detailed Program Description.

II. AWARD INFORMATION

A. Available Funding and Awards

USAID expects to award one Cooperative Agreement resulting from this RFA. The anticipated total federal funding amount is **$9,340,000**. The period of performance is **5 YEARS** with an anticipated start date of o/a **11/01/2014**. USAID reserves the right to determine the resulting level of funding for the cooperative agreement.

B. Substantial Involvement

Applicant should anticipate a cooperative agreement award involving substantial involvement on the part of USAID in the following ways:

1. USAID will be substantially involved during the implementation of this Cooperative Agreement in the following ways:

   a. Approval of the Recipient's Annual Work Plans:
   If at the time of the execution of award the Program Description does not establish a timeline in sufficient detail for the planned achievement of the Program's milestones or outputs, USAID/Ghana may consider approval of the Recipient's annual work plan at a later date. USAID/Ghana will not require approval of work plans more often than annually.

   b. Approval of Key Personnel:
   USAID/GHANA Agreement Officer's Representative (AOR) must approve "key personnel" for positions designated as "Key" to the successful implementation of the Program.

   c. Agency and Recipient Collaboration or Joint Participation:
   - Since the Recipient's successful achievement of program objectives will benefit from USAID and other USG partners' technical knowledge (through USAID/Ghana, USAID/Washington and participating in-country USAID and U.S. Embassy personnel), collaboration between USAID/USG and the Recipient is required.

   - Approval of the recipient's monitoring and evaluation plans.

   - Also, as the program involves sub-awards and sub-contracts – the concurrence on the substantive provisions of sub-awards is required. 22 CFR 226.25 requires the Recipient to obtain the Agreement Officer (AO)'s prior approval for the sub-award, transfer, or contracting out of any work under an award.

   d. Agency Authority to Immediately Halt Construction Activities.
   Please be aware that construction is not eligible for reimbursement under this award/cooperative agreement.

C. Authority to obligate the Government

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

D. Other Considerations

The Government may reject any or all applications and/or waive informalities and minor irregularities in application received.

The Government may make award on the basis of initial application received, without discussions or negotiations. Therefore, initial application should contain the best terms from a cost/business and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

Cost Sharing or Matching - There is no minimum requirement of cost share for this RFA. However, Cost share is encouraged. The applicant and its development partners are encouraged to identify private, unrestricted resources for basic support costs to complement the program. Such funding may come from many sources including privately generated programming funds from domestic constituencies; commodities or other resources made available by other bilateral donors or private foundations; and international donors. Definite commitments from other sources for specific programs should be specifically mentioned and documented.

III. ELIGIBILITY INFORMATION

Unrestricted.

IV. APPLICATION AND SUBMISSION INFORMATION

A. Request for Clarification

Answers to all questions received by the time specified will be issued as an amendment to the RFA. To allow adequate response time, questions must be received by **06/03/2014**. Oral explanations or instructions given before award will not be binding.

B. Submission Date and Time

Both Hard and Electronic Applications are due to USAID by **07/07/2014**. Late application will not be considered for award unless the Agreement Officer determines it is in the Government's interest.

C. Content and Form of Application Submission

The application shall be submitted **either** in electronic copy (**preferred**) or hard copy format as described below. If both are submitted, Electronic and hard copies are due on the same date and time.

Application shall be submitted in two completely **separate** volumes:

Technical proposal, and
Cost or business application.

The applicant shall sign the application 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.

i. **Electronically - Preferred –** Send Application directly by email compatible with MS WORD and Excel to Nana Derby, A & A Specialist at nderby@usaid.gov and a copy to Matthew Cullinane, Reg. Agreement Officer at mcullinane@usaid.gov and request for acknowledgement.

1. Before sending your documents to USAID as email attachments, convert them into Microsoft Word (for narrative text), unprotected unlocked formula driven Excel (for tables and budgets) version 2010, and additionally may also include a PDF format but not required. Documents requiring signature may be sent as scanned documents. The file size should be limited to **3MB per e-mail**. Because of our system restrictions, please **do not send zipped files (.zip)**.

2. Once sent, check your own emails to confirm that your attachments were indeed sent. If you discover an error in your transmission, re-send the material again and **note in the subject line of the email that it is a "corrected" submission**. Do not send the same email more than one time unless there has been a change, and if so, note that it is a corrected email. Do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Applicant is responsible for its submissions.

3. To avoid confusion, duplication, and congestion problems with our email system, only one authorized person from your organization should send in the email submissions.

4. If you send your application by multiple emails, indicate **in the subject line of the email** whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and sequence of attachments (e.g. Organization X, Cost Proposal, Part 1 of 4, etc.). However, you are requested to consolidate, as much as possible, the various parts of your technical application into one technical application document and the various parts of your cost application into one cost application document.

ii. **Via regular mail (Air Courier or Hand Delivery) –** Should your organization opt to submit a hard copy application, please submit as follows: technical portions of applications in original and two copies, and cost portions of applications in original and two copies including both technical and cost applications on a DVD ROM.

Hard copies, though NOT required, if submitted should be in sealed envelopes or packages with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages accompanied by electronic version in 1 CD/DVD for the technical application and 1 CD/DVD for the cost application to the address specified below.

Attn: Matthew Cullinane/Nana Derby
Regional Agreement Officer
U.S. Agency for International Development/Ghana
Regional Acquisition and Assistance Office
American Embassy, Main Entrance,
No. 24 Fourth Circular Road, Cantonment, Accra.
GHANA
(RFA No. RFA-641-14-000009)

Note: Delivery to the post office or 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 by Embassy/USAID will govern. APPLICANT shall retain for their records one copy of the application and all enclosures that accompany their application.

Sending hard copies via regular mail to US Postal Address or via local or Hand delivery/Int'l Courier Address (including commercial courier) – please note Pouch can take up to two (02) weeks and also all mail is subject to US Embassy electronic imagery scanning methods, physical inspections, and is not date and time stamped prior to receipt by USAID/Ghana Regional Acquisition & Assistance Office. Applicant should factor these lead times when submitting hard copies of application.

D. Application format

USAID will appreciate if applicant follows the format prescribed below.

a) <u>TECHNICAL APPLICATION FORMAT</u>

Technical application should be specific, complete and presented concisely. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical application should take into account requirements of the program and the evaluation criteria found in this RFA.

Application Contents: The technical application should **not exceed 30 pages** (excluding annexes that include curriculum vitae/resumes, past performance references, and letters of commitment from any implementing partners, if any). It shall contain the following sections: (a) cover page; (b) executive summary; (c) technical approach; (d) staffing and key personnel; and (e) summary management plan. The technical application will also include a draft five (5) year Implementation plan, a first year detailed draft annual Work (implementation) plan, and a draft Performance Monitoring and Evaluation plan (PMEP). The technical application should be in New Time Romans 12 pt. Font on A4 size paper and with single line spacing. **All inclusive the technical application shall not exceed 50 pages**.

A Technical Evaluation Panel will evaluate the technical application in accordance with the evaluation criteria in Section V. The format for the technical application is the following:

i. Cover Page

   Include proposed Project title, "**USAID's Ghana's Strengthening Accountability Mechanisms Project,**" name of organization submitting application, authorized individual, telephone and fax numbers, e-mail, and physical address.

ii. Executive Summary (no more than 2 pages):

   This section shall allow technical reviewers to quickly understand the critical elements of the application, highlighting the most salient features of the applicants' technical vision and approach, the key personnel and management plan proposed, and the capabilities of the partners to accomplish the desired results.

iii. Technical Application/Applicant's Program Description (no more than 28 pages)

   The technical application must provide an explanation of the proposed approach to continue to improve and accomplish the minimum results and Targets of the USAID Program Description and address the Evaluation Criteria. This section shall include:

1. PM&E Plan, and Work Plans,

The Program Description will demonstrate a clear understanding of the USAID Program Description and propose approaches to accomplish the results and targets. As noted elsewhere alliances and partnerships with host governments, regional inter-governmental organizations, and/or private sector companies will be essential for carrying out these activities.

In summary, the application should be complete and concise, demonstrating the Applicant's institutional strengths, knowledge, and capability to achieve the stated program goals.

The Applicant is solely responsible for the achievement of the specific objectives and measurable results being sought under this RFA.

The Applicant will submit an Implementation plan through the end of the 5th year and its first year detailed Annual Work Plan with its application. Subsequent annual work plans will be submitted for USAID's review and approval 90 work days prior to start of next year. Work plans should provide details on planned program activities during the time period covered, the responsibilities and contributions of each partner to the achievement of the objective, and the expected results to be achieved. Annual work plans will be reviewed and approved by USAID/Ghana.

The Applicant will also submit a draft Performance Monitoring & Evaluation plan along with application.

Performance Monitoring and Evaluation Plan (PMEP) will discuss how progress towards program objectives will be measured. Identify which indicators will be measured and how data on these indicators will be collected, analyzed and used for program management. Ensure that objectives and indicators are consistent with the monitoring plan and data needs. Present indicators linked to specific project objectives in table format and include source of data and proposed frequency of collection. Indicators should include those related to technical intervention outcomes and process indicators used to track project progress.

The PMEP plan will consist of selected performance indicators that will measure progress towards GSAM's objectives. The indicators selected will measure and reflect the range of outputs, outcomes, and impacts associated with the activities being implemented. In addition to the required indicators, a set of custom indicators will be developed to improve program performance, and/or more appropriately capture program achievements than the standard indicators. The set of custom indicators will be those that various stakeholders are willing to collaborate in setting benchmarks, and spend sufficient resources and time in collecting, analyzing, and reporting on. [See Program Description for more details].

The PMEP will be expected to include:

- The identification of appropriate milestones and targets;
- A framework for monitoring program outputs, outcomes and results within the context of the DRG's Results Framework and appropriate indicators. This should also include indicators that will support the impact evaluation, including:
    - The applicant is to develop a series of indicators that tracks the progress of the CSO intervention at the district level. These indicators should clearly reflect the key elements of MMDA development programming as described above, including: Development Planning, Legislation, Contracting, Construction, and Benefits. The indicators should: a) collected regularly to allow for frequent monitoring of performance/progress; and b) allow the evaluation team to distinguish districts where CSO activities exceeded expectations and where they fell short of expectations.
    - A clear strategy for the conduct of the public information campaigns, particularly for effectively reporting scorecard results to citizens: a) across all of the district's inhabited territory; and b) over a sufficient period of time such that most district citizens will be well informed of the results. To the extent possible the content of the scorecards and the means of delivering them to citizens should be the same for the scorecard information campaigns bearing on the horizontal (CSO-led monitoring) and vertical (GAS audit) accountability programs.
    - The applicant is to develop a series of indicators that describe public meetings in each district, including attendance, diversity of attendees, the extent to which partisan politicization was avoided, the extent to which conflict was avoided, and the extent of citizen participation. This should occur at both meetings in which citizen scorecards are presented and meetings where GAS audit results are presented (under Component 1).

- A description of how client feedback is obtained and used, including the methodology used for performance measurement and how the collection and analysis of relevant and reliable data will be used for more effective management and continuous improvement of the program;
- Measures aimed at ensuring high data quality.
- A mobile data collection plan and a strategy for sharing that data with the Mission and Evaluation team.

Data on performance results reported by the Recipient will be aggregated with data from other sources to meet annual Agency reporting purposes. It is thus essential that data reported by the recipient meet data quality standards as established in USAID's Automated Directives System (ADS 203.3.5). The PMEP should include a methodology that assures the reliability and validity of data reported by the Recipient on all indicators reportable to USAID.

Illustrative project indicators are listed below. Other indicators will also be developed to measure progress toward results. To the extent possible gender reflecting performance indicators will be selected and where applicable all data reported would be disaggregated by sex.

- Number of mechanisms for external oversight of public resource use supported by USG assistance
- Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training
- Number of CSO Advocacy Campaigns Supported by USG

Refer to Annex B for additional information on the project's linkage to USAID/Ghana's Country Development Cooperation Strategy.

2. Personnel & Management Structure

a. Key personnel

There are three key personnel positions required under this project:

1. Chief of Party
2. Public Policy/Advocacy Specialist
3. Monitoring and Evaluation Specialist

All personnel should demonstrate a high work ethic and attention to detail; possess effective organizational and multi-tasking skills; be a positive team player [more details in Program Description].

USAID/Ghana encourages the Applicant to make use of Ghanaian nationals.

The Applicant will present the proposed key personnel positions and named candidates and a description of the location and on the job relationships between each. The proposal must demonstrate qualifications and professional experience of key personnel and their experience in effectively managing programs in a developing country context with emphasis on regional experience as their ability to meet the development and implementation challenges of the proposed implementation approach.

The proposed key personnel are subject to the approval by the Agreement Officer. Applicants must list all the proposed Key Personnel in a Staffing Plan that also includes all other specific titled technical or professional position titles, at a minimum. One of the key inputs to the successful operation and sustainability of this Agreement is the recruitment and retention of Ghanaian professionals in leadership and technical positions.

The evaluation of applications will be based on the mix of personnel proposed, with more weight given to the qualifications of individuals for the key personnel positions proposed by the Applicant. The Applicant must include in the annex a resume/CV, not to exceed three pages, for each proposed candidate for key positions. Each resume shall be accompanied by a signed letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of months after award; and (b) intention to serve for a stated term of the service. The Applicant shall also submit a minimum of three (3) references of professional contacts. Applicant should provide current phone, fax address, and email address for each reference contact. A one-page Position Description for Key and other important personnel must be included.

The **Chief of Party** should have a Master’s degree in project management, public financial management, political science, or a relevant social science discipline with ten or more years of experience in social accountability and public administration, four of which must have been in a managerial or team leader capacity. Regional experience and (or) country knowledge is also required. Experience in managing projects in a developing country is required. A thorough knowledge of USAID and specific understanding of the USAID Democracy, Rights and Governance Strategy and DRG goals under the Ghana Country Development Cooperation Strategy is desirable.

The **Public Policy/Advocacy Specialist** should have a graduate degree in political science, sociology, education or other relevant social science discipline with seven or more years of experience in public policy reform and advocacy. Three of these years of experience must have been in a managerial capacity.

A local team member should be designated as **Monitoring and Evaluation Specialist** to handle the day-to-day tracking, and reporting on activities under the Cooperative Agreement. The M&E Specialist should have at least five or more years of experience in monitoring and evaluating of donor-funded good governance projects. Part of this experience should have been obtained working on the development and implementation of civil society led accountability programs. S/he must have an earned Master’s degree in a relevant discipline or five years of relevant work experience beyond the first degree.

b. Management plan

The Applicant shall explain the potential for the management approach to effectively contribute to achieving project objectives and targets. The Applicant shall describe the proposed role of each core technical staff in the program and specify the proportion of time each person will be in the field.

The Application should specify the proposed location for activity headquarters in Ghana, and describe how issues such as supervision, support, and quality control will be handled.

The Applicant's management and administration plan should be based upon a clear organizational chart representing how the activity will be organized and managed. It should also be specific about how the operations will be supported in terms of finance, administration, leverage (i.e. match, in-kind, cost share, etc.), and logistics.

Include in the narrative a description of the responsibilities of all principal partner organizations and staff involved, reporting relationships, authority and lines of communication within and between each of these organizations. For any proposed sub-partners (specify those that are receiving funding through this program), include a clear plan for managing and oversight as well as sub-partner budgets aligned with project objectives and activities.

Applicant should clearly distinguish between partners with whom they intend to enter into a sub-granting relationship and those with whom they intend to collaborate with, but not transfer funds to. The applicant is strongly encouraged to identify teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their application to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application as annexes.

If applicable, the applicant should also include a sub-grantee management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting. Further, USAID recommends that common space and equipment be utilized to ensure greater synergy and reduce administrative and management operations costs where feasible.

In its proposal, the Applicant should identify such sub-awardees and discuss their capacities and experiences. To the extent that any sub-awardees are Ghanaian institutions, the Applicant is requested to analyze, assess, and document capacity needs of such sub-awardees and to incorporate into its proposal actions to address these needs. Individual sub-awards are not limited in size but must comply with USAID guidelines for awards to non-profit organizations, private associations, and private sector concerns. In budgeting for such, the Applicant is encouraged to include a discussion of any intended sub-award program, including the process proposed for soliciting applications, making selection, awarding, and managing the sub-awards.

3. Organizational Capacity

The Applicant's management and administrative arrangements should clearly present the organization's capacity and approach for the overall implementation of the Cooperative Agreement. This section should summarize organizational capacity to execute the required activities and overall capacity to perform the program's objectives:

- The systems or approaches that will assure adaptation and adjustment of Agreement activities based on experience and project learning, and inputs and feedback from USAID.

- The process for selecting and supporting partners that will assist in implementing USAID funded activities;

- A plan to transfer knowledge to and build capacity of local partners and partner country counterparts as a strategy for sustainability;

- The Applicant shall describe its proposed in-country financial and procurement management systems.

- The Applicant shall include the following items to demonstrate its organizational capacity:

  - A summary of the Applicant's capability to provide managerial and technical backstopping for a project of this size and complexity. Special attention will be given to the organization's proven ability to manage grants and sub-contracts with local organizations and local government entities.

  - An articulation of the Applicant's ability to coordinate sub-grantees and partners and to successfully work with host country counterparts.

  - A discussion of the Applicant's ability to recruit, mobilize, manage, and retain staff in a developing country setting.

To the extent that the Applicant intends to use subgrantees, both a description of their overall capabilities and a summary of the anticipated activities of the subcontract/partners should be included. The organizational chart must clearly define the roles and relationships of any subgrantees, including local partners. The Applicant should describe how the partnership with subgrantees will be organized and managed to use the complementary capabilities of partners most effectively and to minimize duplication of home office and local office management structures with attendant costs to the U.S. government. Exactly how project offices will be configured and situated to maximize proximity to key counterparts should be specified.

4. Gender Approach

The Project should incorporate activities that directly engage women and should be designed to ensure equal gender participation in project activities. USAID/Ghana undertook a comprehensive gender assessment that was completed on December 2, 2011. The gender assessment informed the design of the Project, as discussed below, and USAID has the full gender assessment report available for review.

The Gender Assessment identified women participation and representation in governance processes as the key challenge facing Ghana both at the local and national level. As the Gender Assessment notes, "Greater civil society scrutiny of policies and services will help ensure the government is accountable to Ghanaians." This will directly benefit health, education, and other sectors important for gender equality. Finally, after direct consultation with the gender and governance advisors of other development partners, social accountability interventions proposed should be designed with specific outreach to women through targeted activities.

5. Past Performance

Applicant must submit a list of all contracts, grants, or cooperative agreements involving similar or related relevant programs in size and complexity over the past three years. Reference information for at least five (5) must be provided and shall include the location, current telephone numbers, points of contact, and award/contract numbers if available. A brief description of work performed is also required. USAID reserves the right to solicit relevant information concerning an applicant's past performance and may consider such information in the review process.

Past performance is a pre-cursor of the relative capability to successfully carryout the program. Past performance of significant and critical subgrantees and other types of partnership in application will be considered to the extent warranted by their involvement in the proposed effort.

The Technical Evaluation Committee shall validate the applicant's past performance reference information based on existing evaluations to the maximum extent possible, and verify or corroborate the following evaluation criteria:

- How well an applicant performed,
- The relevancy of the work performed under the program,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant problems, and
- Any indications of excellent or exceptional performance in the most critical areas.

b) <u>COST APPLICATION FORMAT</u>

The Cost or Business Application is to be submitted as separate document/package from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. (See **Annex C** for Sample and guidance).

USAID reserves the right to determine the resulting level of funding for the agreement award; however, the anticipated amount of the award is $9,340,000. All Applicants should use the five year budget of $9,340,000 to prepare their budgets.

<u>Use Annex C to create a required budget summary. Use the exact format provided. Use Microsoft Excel</u>. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement.

i. Applicant's business/cost application, formatted in Excel. This is a critical requirement and, if submitted electronically, should be included in a clear and easy-to-read format.

ii. Present the summary budget by year for proposed activity including uses of USAID funds and any other cost share. Clearly indicate the applicant's commitment to match funds separate from other donor support. The portion of this matching fund which will qualify as cost-share under 22 CFR 226 shall be clearly identified.

In addition, a summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the web site: http://www.grants.gov/agencies/approved_standard_forms.jsp

iii. Include a detailed budget, in US Dollars, with an accompanying budget narrative in MS Word to facilitate USAID's determination that costs are allowable, allocable, and reasonable. Detailed budget notes and supporting justification of all proposed budget line items which provide in detail the total costs for implementation of the program your organization is proposing should be included.

The budget shall include:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
2. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;
3. The costs associated with external short-term consultants, expatriate technical assistance and those associated with local in-country technical assistance;
4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this program;
5. Potential contributions of non-USAID or private commercial donors to this program;
6. A procurement plan for all commodities, equipment, vehicles etc.

iv. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

v. Applicant's subs/partners which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency should propose all costs direct. Without exception, the Agreement Officer will not consider indirect cost rate for local organizations.

vi. Though not required, Applicant may submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a positive determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
3. 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.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

vii. Required certifications, assurances, and other statements for the **sub-recipients**. These forms include:
- Assurance of Compliance with Laws and Regulations Governing
- Nondiscrimination in Federally Assisted Programs
- Certification Regarding Lobbying
- Prohibition on Assistance to Drug Traffickers for Covered Countries
- Certification on Terrorist Financing
- Certification of Recipient
- Key Individual and Participant Certifications Narcotics Offence and Drug Trafficking
- Survey On Ensuring Equal Opportunity For Applicants
- Applicant Information
- Procurement Information

Certifications, Assurances, & Other Statements of Recipient:
http://www.usaid.gov/policy/ads/300/303sad.pdf

Certification Regarding Terrorist Financing Implementing E.O. 13224:
http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_14.pdf

viii. If available, please provide the date of your most recent A-133 or similar audit, including findings and results of such audits.

ix. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual, HR/personnel manual, Procurement and property management manual, and Travel policies.

E. Branding Implementation Strategy and Marking Plan

Applicant is requested to submit a Branding Strategy and Marking Plan per 22 CFR 226.91. (See Sample at **Annex C**)

1. Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by 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.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, 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 sub-awards.

2. Submission.

The Applicant 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 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 in its budget/cost proposal.

3. Submission Requirements. The Marking Plan will include the following:

(a) A description of the public communications, commodities, and program materials that the recipient will produce 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, audiovisual 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.

(b) 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.

(c) 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 based on the available exceptions.

4. **Presumptive Exceptions.**

The Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Applicant **must** identify which Presumptive Exception applies, and state why, in light of the Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application, marking requirements shall not be required. [See AAPD 05-11]

5. **Award Criteria**

The Agreement Officer will review the Branding Strategy and 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.

F. Special Considerations

1. Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

2. Proprietary Information – IF Application includes data that applicant does not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

   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 cooperative agreement 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 agreement. 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 pages ___; 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."

3. Language – Application and all communication with USAID must be in English.

4. Subject to availability of funds and other limitations/funding restrictions, the RFA/resulting award will allow for the reimbursement of pre-award costs.

V. APPLICATION REVIEW INFORMATION

The criteria presented below have been tailored to the requirements and expected results of this particular RFA. The technical and cost application will be evaluated in accordance with the Criteria set forth below. Applicant should note that these criteria serve to: (a) identify the significant matters which Applicant should address in its application and (b) set the standard against which the application will be evaluated. Evaluation Criteria includes the Technical merits of the applications, Cost effectiveness and cost realism of the application, Past performance of the applicant, and negotiated Branding Strategy and Marking Plan. Applicant should organize the narrative sections of its application in the same order as the selection criteria. To facilitate an objective evaluation possible, application must clearly demonstrate how the organization and the application meet these criteria.

If award is not made based on initial application, negotiations will be conducted with applicant to modify or improve an application.

The cost application of those applicants submitting a technically acceptable application will then be opened and costs will be evaluated as stated herein.

A. TECHNICAL EVALUATION CRITERIA

In evaluating the different components of the technical proposals, the USAID will examine the overall merit and feasibility of the proposals, as well as examine specific criteria relevant to each component, as elaborated below. Technical proposals will be evaluated by a technical evaluation committee using the criteria shown in this Section. The criteria below are presented by major category in descending order of importance, so that the applicants know which areas require emphasis in the preparation of the proposals.

1. Project Strategy and Technical Interventions

Applicants will be evaluated on the basis of the extent to which the proposal reflects a thorough understanding of the overall project description and its objectives, components and results. USAID/Ghana is looking for unique approaches that focus on bringing evidence of effective interventions to scale, values innovation and creativity, and also supports adaptation based upon continuous learning.

- Describes sound strategic and technical approach(es) that exhibit a clear understanding of the local governance sector, particularly hierarchical and social accountability, service delivery monitoring methodologies, and public financial management processes. The proposed approach(es) should describe how the Applicant will effectively and efficiently achieve the objectives, requirements, standards and results outlined in the project description.

- Demonstrates a clear understanding of varied civil society advocacy strategies, methods and processes appropriate for public financial management reform, and increased transparency of public sector institutions. Proposes a well-tested, robust and responsive strategy for strengthening social accountability by improving information availability and civil society capacity to demand accountability.
- Presents an implementation approach that is considerate of the various requirements indicated for increased local government responsiveness to the public in the development and implementation of district development plans, reduced corruption in capital project awards, and increased citizen engagement in the establishment of development planning priorities.
- Outlines a realistic plan for ensuring the sustainability of project interventions.
- Demonstrates how the program's performance will contribute to USAID Democracy, Rights and Governance goals under the Ghana Country Development Cooperation Strategy and the Government of Ghana's key objectives and priorities related to improving accountability of public institutions. The proposal must also demonstrate how activities will meet USAID Forward principles and objectives.

2. Draft Monitoring and Evaluation Plan

- Technical activities are clearly linked to ambitious yet feasible and measurable project results.

- Demonstrates innovative approaches towards measuring the quality, effectiveness, and outcomes of the project.

- The Application proposes feasible and cost effective methods and measures (process, output and outcome) to evaluate program implementation, effectiveness, and sustainability.

- Includes a comprehensive set of indicators that are appropriate to effectively monitor and report on activities and results and technically feasible data sources and collection methodologies for each indicator.

The Applicant should note that the impact evaluation team will work with the Applicant to finalize the monitoring and evaluation plan.

3. Personnel & Management Structure

Application demonstrates that key personnel have requisite breadth and depth of technical expertise and experience in management, planning and provision of specialized technical assistance necessary for achievement of program results.

The Chief of Party and other Key personnel meet criteria, have complementary skills, and are well-matched to the program approach.

4. Management Structure and Plan

Demonstrate ability to manage activities carried out under the program description, provide technical support and necessary oversight, and work with USAID/GHANA staff, other USG agencies, donors, implementing partners and key stakeholders.

- Clear organizational structure in place with identified roles and responsibilities of each technical staff and partner organizations.

- Clearly described roles of and contractual arrangement with each sub-Recipient (if any), the approach for managing proposed sub-Recipients.

- Demonstrated and appropriate and realistic plan for rapid startup and exit strategy i.e. the work plan demonstrates an approach and timeline for a reasonable project startup period and close-out.

5. Organizational Capacity

- Demonstrated organizational knowledge and institutional capacity to develop, manage, and implement a similar activity in a developing country context.

- Demonstrated ability to manage multiple complex activities involving collaborative effort, and maintain clear and effective lines of communication between and among implementing partners and sub-partners.

6. Gender Approach

- The extent to which the application demonstrates that all relevant gender and gender issues are identified and how they will be addressed.

- Demonstrated strength of the analysis of gender issues presented in the technical application and extent to which disadvantaged women groups will be integrated and supported in the activities proposed.

B. COST EVALUATION CRITERIA

Proposed costs shall be analyzed for cost realism, reasonableness, completeness, and allowability. In its analysis USAID will assess:

- Are the costs realistic for the effort?
- Do the proposed costs demonstrate that the applicant understands the RFA requirements, and are consistent with the applicant's technical application?
- Staffing matrix – all the necessary skills are available to achieve project goals and results while still being cost effective.

The cost effectiveness of the organization's approach and its ability to affect a wide base of beneficiaries includes:

a. Effectiveness of proposed cost control structure;
b. Reasonableness of proposed labor cost and Expatriate salary;

c. Budget transparency to effectively track expenditures;
d. Subcontracting/making methods are clearly defined;
e. Cost efficiency of proposed Other Direct Costs (ODCs)
f. Applicant's market competitive pricing estimates of tangible items to be used for performance;
g. Competitive pricing estimates and sound purchase methods of international and in-country air travel and surface transportation.

C. PAST PERFORMANCE

- How well an applicant performed,
- The relevancy of the work performed under the program,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant problems, and
- Any indications of excellent or exceptional performance in the most critical areas.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notice

A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the applicant's main point of contact.

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

B. A description of any deviations from standard provisions

There are no deviations to Standard Provisions contemplated under this award.

C. Reporting

The Recipient shall submit Annual Work plans and Quarterly Reports for the Program within format, content and time schedule substantially as described in details in Program Description consistent with requirements of 22CFR226 (see Program Description at Attachment A). Financial or other proprietary information can be provided in an Addendum for USAID and noted in the report.

D. Environmental Compliance and Management

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. The *recipient*'s environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of *cooperative agreement*.

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.

No activity funded under this *CA* 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). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

The RCE has been approved for USAID/Ghana's Development Objective 1: Strengthened Responsive Democratic Governance, which is funding this *RFA.* The RCE covers all activities expected to be implemented under this *cooperative agreement*. This indicates that none of the Development Objective's projects is expected to have any adverse effect on the environment. The *recipient* shall be responsible for implementing all RCE conditions pertaining to activities to be funded under this *RFA.*

As part of its initial Work Plan, and all Annual Work Plans thereafter, the *recipient*, in collaboration with the USAID Agreement Officer's Representative 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.

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.

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.

E. Demobilization and close-out

Six months prior to the completion date, the Recipient shall submit a Demobilization Plan for Agreement Officer's approval. The plan will include, at a minimum, a draft Property Disposition Plan to the Agreement Officer; a plan for the phase-out of in-country operations; a delivery schedule for all reports or other deliverables required under the Cooperative Agreement; and a timetable for completing all required actions in closing-out the award.

F. Applicable Regulations

All provisions of 22 CFR 226 and all Standard Provisions are applicable to the recipient and to sub-recipients which meet the definition of "Recipient" in Part 226.

ADS 312.3.1 USAID Commodity Eligibility Listing (CEL) indicates USAID's current position on the eligibility or ineligibility of commodities for USAID financing. ADS 312.3.3.1 indicate for procurements of certain agricultural commodities and fertilizer, and its related transportation in 312.3.3.7.

For any sub-award made with Non-US Sub-recipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental" and provisions of 22CFR226, as appropriate, shall apply.

For Public International Organizations (PIOs), the USAID policies and procedures in the mandatory and "as applicable" standard provisions described in ADS 308 shall apply.

Standard Provisions for US Non-governmental Recipients are found at http://www.usaid.gov/policy/ads/300/303maa.pdf

Standard Provisions for Non-US Non-governmental Recipients are found at http://www.usaid.gov/policy/ads/300/303mab.pdf

AWARD AND SUBAWARDS SHALL ALSO INCLUDE FOLLOWING PROVISIONS

USAID DISABILITY POLICY (DEC 2004)
(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://www.usaid.gov/about_usaid/disability/.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

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.

FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JAN 2002)

Funds in this [agreement, amendment] 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.

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.

Pursuant to ADS 308.3.10.1.b - A pre-award audit or pre-award survey by USAID or a USAID approved audit agency is required except for grants/CAs to Category 1 PIOs. The audit opinion must include a statement asserting the auditor's opinion as to whether the PIO's internal auditors are sufficiently independent to be relied upon for future audits related to the use of USAID donated funds.

VII. AGENCY CONTACTS

The Agreement Officer of this RFA is

Mr. Matthew Cullinane
Regional Agreement Officer
U.S. Agency for International Development/Ghana
Regional Acquisition and Assistance Office
American Embassy, Main Entrance,
No. 24 Fourth Circular Road, Cantonment, Accra. Ghana
Phone No.: +233 (0) 302 741276
Email: mcullinane@usaid.gov

and the negotiator of this RFA is

Nana Pinkrah Derby
Acquisition & Assistance Specialist

U.S. Agency for International Development/Ghana
Regional Acquisition and Assistance Office
American Embassy, Main Entrance,
No. 24 Fourth Circular Road, Cantonment, Accra. Ghana
Phone No.: +233 (0) 302 741948
Email: nderby@usaid.gov

VIII. REPRESENTATIONS/CERTIFICATIONS

A. Representations/certifications required from US NGOs/PVOs and Non-US NGOs found at http://www.usaid.gov/policy/ads/300/303sad.pdf

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

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 Cooperative Agreement, 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.

The Grantee shall make such reasonable efforts as are necessary to ensure that no funds or other support under this agreement are diverted in support of drug trafficking.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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, safe-houses, 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://untreaty.un.org/English/Terrorism.asp); 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, microenterprise 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. ________________________________

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 - Removed

PART V - 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.)

PART VI - 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 obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at http://www.dbisna.com/dbis/customer/custlist.htm. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

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, Nationality, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or , and/or does not contain at least 50% componentry, which are not at least 50% U.S. source , 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 , to include the probable source and/or 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. Any supplier of a goods/commodity or component thereof whose nationality is a non-Free World country is ineligible for USAID financing. 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. "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.

Under cost-type grants, USAID's source and nationality and restricted commodity policies generally apply to the same extent in PIO grants as in grants to non-U.S. non-governmental organizations. However, a blanket waiver exists to permit PIOs to procure goods and services under Geographic Code 935/937, except for restricted commodities under ADS 312. A waiver must be obtained in accordance with ADS 312 prior to the purchase of restricted commodities.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	GOODS COMPONENTS	PROBABLE SOURCE	GOODS COMPONENTS	PROBABLE

(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. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

A waiver must be obtained in accordance with ADS 312 prior to the purchase of restricted commodities.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	INTENDED USE

(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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SLUPPIER (Non-US Only)	NATIONALITY	RATIONALE 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 propose to donate the property to an eligible host country institution, or otherwise dispose of the property as instructed by USAID Agreement Officer.

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

6. PAST PERFORMANCE REFERENCES

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 local 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.

ANNEXES
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ANNEX **A – PROGRAM DESCRIPTION**

USAID/Ghana Strengthening Accountability Mechanisms Project (GSAM)

Program Description

USAID/Ghana
Democracy, Rights and Governance Office

May 2014

ABBREVIATIONS

ADP	Annual Development Plan
AOR	Agreement Officer's Representative
ARIC	Audit Report Implementation Committee
CDCS	Country Development Cooperation Strategy
CDD	Center for Democratic Development
CSO	Civil Society Organization
DA	District Assembly
DACF	District Assemblies Common Fund
DCE	District Chief Executive
DDF	District Development Fund
DO	Development Objective
DP	Development Partner
DRG	Democracy, Human Rights, and Governance
FOAT	Functional and Organizational Assessment Tool
GAIT	Government Accountability Improves Trust
GAS	Ghana Audit Service
GOG	Government of Ghana
GSAM	USAID/Ghana's Strengthening Accountability Mechanisms Project
GSGDA	GOG's Shared Growth and Development Agenda
IGF	Internally generated fund
ILGS	Institute of Local Government Studies
LOGODEP	Local Government and Decentralization Project
MLGRD	Ministry of Local Government and Rural Development
MMDA	Metropolitan, Municipal, and District Assembly
PAD	Project Approval Document
PFM	Public Financial Management
PMEP	Performance Management and Evaluation Plan
RCC	Regional Coordinating Council
SADA	Savanna Accelerated Development Authority
USG	U.S. Government
USAID	U.S. Agency for International Development

I. Introduction

In Ghana, decentralization reforms have not addressed many of the basic problems associated with poor governance and service provision at the local level. Most importantly, while district governments spend very large shares of their budgets on development projects, including the building of schools, health clinics, irrigation projects, and the like, there are weak systems of government and citizen oversight. Corruption, rent-seeking, and low effort characterize the development planning and implementation of some local governments; in others, the basic lack of capacity impedes good governance of large capital budgets. The results of these factors compound the existing issue of decentralized politics by local elites and interest groups and distort democratic processes and obfuscate lines of accountability. In the absence of accountability, local elected officials and technocrats face weak incentives to address the needs of broad groups of citizens. This state of affairs has significant negative implications for the quality of local public services and district efforts to promote development through the implementation of development projects. A poorly-functioning development infrastructure that does not provide quality public services consistent with citizen preferences impedes the achievement of poverty alleviation goals and undermines the course of economic development and social equity, especially for the poor and other vulnerable or disadvantaged groups such as women. Inefficient water supply systems for example exacerbate health and sanitation challenges, and increase the time and effort rural women particularly have to invest to obtain potable water for their households.

A solid, evidence-based foundation supporting the technical interventions and objectives for this project exists in the peer review literature and has already been fully analyzed and considered in establishing the project strategy. There is extensive evidence that audits can serve to improve the incentives of local officials and the quality of local building projects. Even more research has examined the impact of providing local citizens information on the availability and quality of local services. Andrabi et al. (2009), for instance, reports on a treatment that provides details on school performance in Pakistan, which has measureable effects on both learning and school fees. Duflo et al (2007) and Muralidharan and Sundaraaraman (2007) target service providers directly and show that even a moderate improvement in incentives can induce improvements in teacher performance, although there are many papers showing it can be incredibly difficult to motivate local bureaucracies to change. Bjorkman and Svensson (2009) examined the effects of meetings that introduced a community-based monitoring system involving local health clinics in Uganda, and report impressive effects on service provision, utilization, and health outcomes. This project therefore would implement both hierarchical and bottom up interventions that strengthen accountability mechanisms at the local government level.

NOTE: THIS PROJECT HAS 3 COMPONENTS. THE APPLICANT WILL BE APPLYING FOR COMPONENT 2 ONLY.

II. Background

a. Overview of Ghana's Local Government System

The Republic of Ghana has a four-level government structure, divided into the following levels:
1. National government (including line ministries agencies and departments);
2. Regional Coordinating Councils (RCCs);

3. Metropolitan, Municipal and District Assemblies (MMDAs); and
4. Sub-district structures: urban, zonal and town councils, and unit committees.

In 1988, Ghana launched its comprehensive local government and public administration reform, via six pillars of decentralization: political, administrative, fiscal, planning, market, and spatial. The reform sought to transfer power and competence to a local government system in which Metropolitan, Municipal and District Assemblies (MMDAs) will consist of assembly members who are either elected to office or appointed to office. Local citizens are represented by elected district assembly men and women, while central authorities are represented by a Metropolitan, Municipal or District Chief Executive (MMDCE), who is appointed by the President; and a third of assembly men and women who are appointed by the President. “The MMDAs are nominally non-partisan, as candidates are not sponsored by political parties”, but presidents have appointed members from their own parties (Ayee and Dickovick, 2010). It is common knowledge that political parties covertly provide support to their candidates to facilitate their entry into the district assemblies as elected members. As of April 2012, two hundred and sixteen (216) MMDAs exist in Ghana.

Although Regional Coordinating Councils have important political influence and key responsibilities for coordination and oversight, the MMDAs are the fundamental level of service-delivering government below the national administration, and they are primarily responsible for improving service delivery outcomes through “local-level policy and planning, [which is] based on, and informed by, national policies and programs” (Ayee and Dickovick, 2010). MMDAs are comprised 70 percent of locally-elected officials and 30 percent of appointed officials nominated by the President. Appointed officials include the District Chief Executive, who serves as the political head of the district.

MMDAs rely on several sources of revenue to fund local government policies and activities. The District Assemblies Common Fund (DACF) serves as the most important source of revenue and provides intergovernmental transfers to MMDAs. These funds are distributed using a revenue sharing formula. Internally Generated Funds (IGFs) are derived from taxes and levies imposed by local governments. From MMDAs themselves, as from current USAID project work (Local Governance and Decentralization Program, 2010-2015), it has been noted the challenges MMDAs have faced in collection of these internal funds. Additional sources of revenue include the District Development Fund (DDF) and rents derived from local extractive industries.

MMDAs have limited autonomy over devolved funds. They implement development plans and programs coordinated by the National Development Planning Commission (NDPC), and cooperate with health, education agricultural line ministries, which receive funding and directives from their national and regional offices. The line ministries fund, and have historically implemented key services, such as health, education and agricultural extension. While MMDAs are officially responsible for the work of the line ministries, those services are still in the process of being relocated to districts (Ayee and Dickovick, 2010). In light of the ongoing transition of responsibilities, easily the most important activity of MMDAs is building development projects—including schools, clinics, wells, roads, etc.—out of their capital budgets. Indeed, well over 70 percent of MMDA spending goes to this form of spending.

b. *Development Challenges*

In Ghana, decentralization has been justified as a means to promote participatory governance, improve service delivery and facilitate socio-economic development (NDPC 2003; Ohene-Konadu 2001). Decentralization reforms have been guided by the belief that local governments are closer to their citizens, better able to respond to their needs, and therefore more accountable. The expectation has been that well-managed local governments are an important means to achieve democracy, “good governance”, and the efficient mobilization and allocation of scarce resources to meet citizens’ needs. In particular, decentralization is predicted to yield “good governance” and “representative democracy” through two main pathways. First, decentralization forces political competition among localities, thereby generating incentives for local leaders to provide attractive public service bundles. As a result, it strengthens the link between citizens’ preferences and government outputs. Second, decentralization brings the government closer to the people, thereby reducing the agency cost associated with representation. In particular, the government’s proximity reduces citizens’ costs of monitoring and sanctioning local politicians and service providers, which subsequently increases the risk of electoral punishment. This increased risk is anticipated to incentivize officials to understand and accommodate citizens. Thus, the devolution of power and responsibilities for resource management to local governments is expected to result in more efficient and equitable local service delivery outcomes. This also presents multiple development challenges, many of which will be outside of the capability of this specific project to address – for example issues of democratic or electoral-based accountability of local executives, or in managing the decentralization transition between line ministries and MMDAs. However, within the territory of the manageable interest of USAID Ghana and this project, there are several developmental challenges which rise to the front. Among these are issues of hierarchical accountability such as external audit systems, and public accountability.

The first issue of concern relates to weaknesses in the external oversight over the performance of MMDAs. The Ghana Audit Service, the Local Government Service Secretariat, the MLGRD, the National Development Planning Commission and other state entities exercise various levels of oversight of MMDAs. While the Ghana Audit Service is required by law to provide a financial audit of all MMDA financial accounts for each fiscal year, in reality the system of auditing is rife with shortcomings. The financial audits are focused on identify accounting irregularities in ‘bookkeeping’, rather than on broader performance information looking into the *quality* of roads, irrigation projects, or any other public expenditure. Additionally, in recent years, the audits and audit reports have been subject to substantial delays.

The sanctioning regime for poor audit performance is also very weak. Audit results first go to the District Chief Executive (DCE) and to the Assembly’s Audit Report Implementation Committee (ARIC), which are free to ignore any violations. All MMDA audits are later aggregated in a report that is delivered to the Auditor General and from there to the Parliament’s Public Accounts Committee (PAC). Neither the Ghana Audit Service, the Auditor General, nor the PAC currently have the capacity to formally sanction MMDAs that show evidence of corruption in public financial management. The PAC can rely on public shaming, and the press has taken up the cause, but very few MMDA budget violations ultimately face public scrutiny and punishment. Several development failures emerge from these weaknesses: MMDAs have weak internal public accountability mechanisms; there is a weak link between revenues and expenditures; there is substantial room for corruption in the management of MMDA budgets, and citizens have very tenuous means of discovering failures in MMDA budget management. Since MMDA budgets—and the development programming encompassed in their capital budgets in particular—represent an important tool for development, their chronic mismanagement is a serious problem and represents a failure of accountable governance.

The second major development concern is that local citizens have very limited information on, and understanding of, MMDA budgets and their link to the construction of development projects and quality of local public services. For many of the reasons outlined above, it is very difficult for citizens to gather information from the central government on the size or management of MMDA capital budgets. This basic problem is exacerbated at the district level by the fact that Assembly-level oversight of the budget is weak. Internal auditing procedures are compromised by weak capacity and poor system design. The Assemblies have Audit Report Implementation Committees (ARIC) that have heavy representation of chief executive interests (including the Metropolitan, Municipal or District Chief Executive him/herself) and limited means of public outreach. When all of these factors are put together, local citizens are poorly informed on budget size and management. As such, they have limited means to assess the quality of local development projects in light of the budget; there is no means for them to assess the value-for-money they receive from MMDA-built projects. Moreover, since citizens do not experience the desired quality of schools or health clinics or irrigation projects in other localities or districts, it is difficult to know what constitutes good or bad public services. Citizens face serious coordination problems in gathering and assessing such information.

III. Program Description

Project Objectives and Components

In the context of decentralized government, improved accountability can come from two sources. Either higher level governments monitor local officials and service outcomes with an eye toward limiting corruption and demanding public services, or local citizens are empowered to gather the requisite information, demand better services on a day-to-day basis, and have the capacity to remove incumbent officials through electoral means. In light of the above methods, USAID/Ghana has decided to focus its support for local governance on the fundamental problem of strengthening accountability mechanisms for improved development outcomes. Strong accountability is expected to have a significant positive effect on the incentives of politicians and technocrats within MMDAs to engage in "good governance" as defined by reduced corruption, stronger effort by officials, and improved development spending. This, in turn, is expected to enhance the effectiveness, efficiency and equity of MMDA capital budgeting and execution while improving citizen perceptions of the quality of governance.

IMPORTANT NOTE: The applicant will only be applying for Component 2.

USAID/Ghana's Strengthening Accountability Mechanisms Project (GSAM) is characterized by three main components, which are described in detail in the following section:

- Component 1: Improve accountability by enhancing mechanisms of hierarchical oversight of MMDAs. This component includes programming aimed at improved central oversight of MMDA capital budgets via performance audits, and increasing the quality and quantity of information available to District Assemblies and local citizens about audit outcomes.
- Component 2: Improve accountability by enhancing mechanisms of bottom-up social accountability in MMDAs. This component includes programming aimed at increasing in the quality and quantity of information available to citizens about the effectiveness of development projects funded by MMDA capital budgets via extensive CSO monitoring, the production of

scorecards, and public information campaigns that mobilize citizens to use the scorecards to demand improved development planning and execution.

- Component 3: Conduct a rigorous, scientific impact evaluation, which is fully integrated into the project design and implementation. The evaluation represents a randomized field experiment and involves a comprehensive data collection component for indicators related to performance, output, outcome and impact.

The first and second project components represent the “development programming intervention” of the GSAM Project. The third project component is an impact evaluation, which is fully integrated into the overall project design, and which will assess the effectiveness and development impact of the overall project. A phased roll out of component activities is intended, beginning with baseline data collection followed by the implementation of Components 1 and 2.

Component 1 will be implemented by the Ghana Audit Service (GAS), and the Applicant will support the public dissemination of audit findings in 50 District Assemblies. **The applicant will be responsible for the full implementation of Component 2**; Component 2 will be implemented in a separate set of DAs than Component 1 DAs. **Component 3 (Impact Evaluation) will not be implemented by the Applicant and is not discussed in detail in this document.** The Applicant will not implement any activity under this third component; however, the Applicant will be expected to coordinate its activities and communicate regularly with the impact evaluation team. This coordination will be facilitated by USAID. Note that, in carrying out this project, the implementing partner must be aware of and follow all local laws.

GSAM’s programmatic interventions are consistent with the long-term goals of the Government of Ghana (GOG) and the United States Government. This project closely aligns with USAID/Ghana Mission’s Country Development Coordination Strategy and USAID Forward because it supports the overarching goal of local capacity development in order to support Ghana’s transition to an aid dependency-free era, as well as the overall Mission’s strategy to advance the Government of Ghana’s Shared Growth and Development Agenda (GSGDA). In accordance with the USAID Forward objective to strengthen capacity to deliver results, the project integrates a high quality impact evaluation into the project design to measure impact and project effectiveness.

More specifically, the project will directly contribute to Development Objective One of the Mission’s Country Development Cooperation Strategy – *Strengthened Responsive, Democratic Governance* (USAID/Ghana 2012). Under this overarching objective, the project will contribute directly to two of the three intermediate results of the DRG DO. These intermediate results include: (IR 1) *Improved Local Governance Performance* and (IR 2) *Increased Government Accountability to Better-Informed Citizens* (USAID/Ghana 2012).

Under (IR 1), the project will advance the following sub-intermediate results: Sub IR 1.1.1: *Strengthened administrative management by local authorities* and Sub IR 1.1.2: *Strengthened municipal and district assembly capacity to manage larger budgets*. Under (IR 2), the project will advance the following sub-intermediate results: Sub IR 1.2.1: *Increased Capacity of CSOs to Advocate on Behalf of Citizens for Improved Government Services*; Sub IR 1.2.2: *Strengthened CSO and National Audit Authority Oversight of Government Services*; and Sub IR 1.2.3: *Strengthened government anti-corruption and accountability efforts.*

The objectives of the project are:

1. Improved quality and transparency in the management of MMDA budgets, and their capital budgets in particular;
2. Higher quality and more equitably distributed development projects funded from MMDA budgets; and
3. Increased citizen satisfaction with both specific capital projects and the quality of local governance.

IV. GSAM Component 1: Enhancing Central Oversight & Hierarchical Accountability

In Ghana, the allegiance of some staff (DCEs and de-concentrated line ministries) at the MMDA level to national officials points to a clear need for strong central oversight to improve accountability. Expenditure and procurement activities are carried out by local bureaucrats who answer primarily to the central executive rather than local councilors. Reporting and monitoring is oftentimes vertical to the national offices rather than horizontal among the departments at the assembly level, and the elected Assembly members' capacity to oversee MMDA public financial management (PFM) is weak. This situation reduces the accountability of MMDA officials to the public and limits their incentives to provide high quality services in an efficient manner.

Current auditing practice in Ghana does not promote accountability. As noted above, the Ghana Audit Service (GAS) is required by law to provide a financial audit of all MMDA financial accounts for each fiscal year, but these audits do little to improve accountability. The weak effect of audits results from the fact that they are financial (i.e. focused on MMDA accounts) rather than performance-based (i.e. focused on the value-for-money in MMDA capital spending), are subject to substantial delays such that responsible parties are sometimes no longer in MMDA governance, and result in no clear-cut sanctions. Key decentralized decision makers are free to ignore failed audits, and key national level actors (including the GAS and the PAC) have very limited capacity to formally punish MMDAs that show evidence of corruption.

This component is comprised two main interventions:

The first hierarchical accountability intervention is supporting the Ghana Audit Service to conduct enhanced performance audits of selected District Assemblies. Performance audits are explicitly aimed at evaluating the value-for-money in public budgeting. They go well beyond accounting to cover the planning, budgeting and contracting processes as well as the quality of infrastructure projects. The quality of roads, clinics, schools and such are important for local citizens, and the capital budgets from which they are built represent the largest share of MMDA expenditures. The performance audits to be carried out by the GAS under this component will focus on capital projects in the selected districts. The performance audits will assess MMDAs capacity for implementing capital projects along the following dimensions:

- Project identification and planning (pre-contract activities)
- Budgeting processes
- Tender evaluations
- Procurement
- Project implementation (post contract)
- Project status reporting, accountability and governance in the assemblies

- Impact on beneficiaries

The decision to focus the performance audits on capital projects in the MMDAs is informed by the fact that a substantial amount of MMDA budgeting and effort goes into capital projects. Indeed, capital projects represent more than 70 percent of MMDA budgets. Specific projects, including their locations, sources of funding, and share completed, are identified in District Annual Progress Reports (DAPR), which are reported to the National Development Planning Commission. The overwhelming effort on capital projects—at least in some districts—is building classroom blocks, but it extends to the construction of health clinics, roads, water and sewage projects, irrigation ditches, and electrification projects.

The GAS currently does not conduct performance audits of all MMDAs on a regular basis. In order to change that and ensure timely and thorough performance audits of MMDAs, the project will equip existing GAS staff at the local and regional levels to conduct performance audits focused on MMDA capital projects. After a period of capacity building to be determined in collaboration with the GAS, regional teams of these newly trained staff will be tasked to conduct performance audits of 50 select MMDAs over the course of 11 months.

The second hierarchical accountability intervention is the implementation of a public information campaign regarding performance audit results/outcomes. These campaigns will be conducted to mobilize Assembly members, citizens and CSOs on MMDA audit outcomes; and the applicant will support the organization of these events and the translation of the audit results into local languages for a public audience. As noted above, current GAS practice results in a slow and indirect process of reporting audit outcomes to central officials; the public rarely learns the result of GAS audits of their MMDAs. The public information campaign aims to shorten the link between audits conducted by the GAS and MMDA citizens. Following the completion of the performance audits in the 50 Districts, the results will be broadcast to local citizens through an information campaign. In those MMDAs that receive positive reports, we expect the campaign to improve citizen attitudes about the quality of local governance. In those MMDAs that receive negative reports, we expect citizens to demand improved services and potentially vote out Assembly incumbents.

USAID hypothesizes that these two interventions will improve MMDA capital budgeting and implementation by making district-level accountability more transparent. Tax and expenditure activities are currently carried out behind a veil of secrecy. While some local officials have reason to respond to their electorates, others answer primarily to the central executive and have limited incentives to be responsive to district citizens. While the Annual Development Plans that underpin capital projects are developed in participatory, democratic ways in some districts, they are not in others. This creates a "blame game" among local officials and precludes clear lines of accountability for public financial management and the quality of local development projects. Local elected officials can blame the central government for insufficient or late transfers, and central officials can accuse local administrators of laziness or corruption. This breeds a lack of transparency and undermines citizen engagement with district government. The two interventions described above will provide 50 district assemblies with stronger incentives to perform well in the face of performance audits, and provide national officials and local citizens with timely information on the audit outcomes. With improved information, both national officials and citizens will be empowered to hold district governments accountable for their management of the public purse.

The first project component thus aims to improve local public sector accountability in 50 districts through several means, such as: demonstrating the effect that comprehensive performance auditing has on the quality of MMDA capital projects; and through an improvement in the quality, quantity, and timeliness of information on capital projects and audit performance available to local citizens, assembly members themselves, and central authorities.

Specific interventions include:

a) The provision of financial and technical assistance to enhance the performance auditing capacity of the Ghana Audit Service (GAS);

b) Coordination through GAS to conduct performance audits of 50 selected MMDAs in accord with the Impact Evaluation Design Plan. The performance audits will focus on capital projects; and

c) Development of a mechanism for the timely public delivery of audit performance results to citizens and government officials.

IMPORTANT NOTE: This first component will be implemented by the Ghana Audit Service (GAS). Thus, the applicant awarded this project is not expected to design and implement performance audits; however, the applicant will support this component through the implementation of the citizen information campaign.

Illustrative Activities: Citizen Information Campaign

The applicant should provide a detailed strategy for reporting results to citizens: a) across all of the district's inhabited territory; and b) over a sufficient period of time such that most district citizens will be well informed of the results. The Applicant should indicate how their specific approach has been effective in producing similar results in previous projects. Illustrative activities are listed below.

- Development of a standardized scorecard for the GAS performance audit results and translating these results into the local language for each of the 50 districts where GAS conducted a performance audit as part of Component 1.
- Coordination with GAS to meet the goal of formatting, translating and distributing the performance audits results in a public information and mobilization campaign in the 50 selected District Assemblies.
- Distribution of the scorecards and organizing public platforms for the public delivery of the performance audit results to ensure that the results reach as many citizens as possible, through printing or other means. The applicant may decide to sub-contract the organization and implementation of the public platforms for the dissemination of the audit results or execute it themselves.
- Meeting to distribute information via applicant ideas and/or Town hall meetings and durbars in towns and villages to effectively canvas each of the 50 MMDAs; likewise, and radio broadcasts so as to cover as much of the territory of the 50 districts as possible.

V. GSAM Component 2: Enhancing Bottom-Up Oversight Mechanisms and Social Accountability

Program theory suggests that citizens cannot hold government accountable for it activities when they do not have basic information about what the government has done with its resources. Two information constraints adversely impact public service outcomes: (1) lack of citizen information about the effort and performance of politicians and technocrats, and (2) lack of information in the hands of officials about service delivery in their constituencies, which impedes their ability to impact the quality of those services (Grossman and Michelitch 2012). This has inspired some recent research that specifically targets local service providers. Andrabi et al. (2009), for instance, report on a treatment that provides details on school performance, which has measureable effects on both learning and school fees. Duflo et al (2007) and Muralidharan and Sundaraaraman (2007) target service providers directly and show that even a moderate improvement in incentives can induce improvements in teacher attendance. Bjorkman and Svensson (2009) examined the effects of community-based monitoring on local health clinics in Uganda, and report impressive improvements in service provision, utilization, and health outcomes. All of these interventions are aimed at improving social accountability by providing citizens with the information necessary to make informed demands on government.

In the context of Ghana, two specific information barriers lead to weak development programming by MMDAs and can promote corruption. First, citizens lack information on MMDA budgets, how MMDA development priorities are established, how MMDAs are assessed, why some localities receive development projects and others not, how capital budgets are executed and projects overseen, and the quality of resulting service provision. This hinders their ability to determine responsibility for development failures and to hold the right individuals accountable. These challenges are especially acute right now because responsibilities are being transitioned between levels of government, and the proliferation of district governments has created many new constituencies and placed them in unfamiliar district governments. Second, in most cases, local politicians seem to have limited tools for overseeing how capital projects are being implemented by contractors. In the absence of well-developed internal contracting procedures and internal auditing staff, local politicians do not have current information about the quality of the projects that their capital budgets and projects are providing for their constituencies. District Assembly members have limited travel funds and time for monitoring development projects in their community. In comparison with appointed officials and the administrative arm of the District Assembly, elected Assembly members also have less technical expertise and lower education levels. As a result, elected officials face significant obstacles to effectively representing their constituents' interest as they bear on the planning and execution of Annual Development Plans.

In light of these challenges, academics, development partners, various Ghanaian stakeholders, desk studies and local government capacity assessments have emphasized the need to strengthen public accountability for improved local governance in Ghana (ILGS, GAIT program, CDD, DPs, SADA, USAID Democracy & Governance Assessment). Consequently, the second component of GSAM is designed to strengthen social accountability by improving information and civil society organizations' (CSOs) capacity to demand accountability. This component aims to monitor the quality of MMDA development programming/implementation and disseminate that information to the public via scorecard reporting. USAID's hypothesis is that detailed information on local capital projects will improve the capacity of citizens to hold government accountable. In cases where capital project development and implementation is poor, citizens can use this information to ask uncomfortable questions of local officials and demand improvements.

Outputs, & Outcomes

As described in detail above, the project's second component is designed to strengthen social accountability by improving information availability and CSOs' capacity to demand accountability. The project activities include capacity building and technical assistance for CSOs to conduct an intense and focused monitoring and information campaign regarding the quality of Annual Development Plans, particularly as they bear on the construction of capital projects. Capacity building exercises will focus on two issues: 1) providing and training CSOs in the use of digital cameras to regularly measure the progress and quality of local capital projects; and 2) training them in a methodology for systematically gathering data on these key capital project indicators in order to maximize the reliability of the data. Thus, the main outputs for this intervention set include increased monitoring and data collection on local capital project development at the MMDA level. Additionally, the data will be summarized and condensed into "capital projects" reports/scorecards and disseminated throughout local communities. The precise design of these report cards and the means of their delivery to the public will be finalized in consultation with the CSO partners and the best available evidence from similar programs elsewhere.

The expected outcomes include: improved planning with regards to Annual Development Plans and public financial management practices, increased responsiveness to the public in the development and conduct of Annual Development plans, reduced corruption in capital projects, increased citizen engagement with the establishment of development planning priorities, and improved performance by contractors who build capital projects, service providers, technical staff and internal auditors.

For this second component, USAID/Ghana will provide:

- Financial and technical assistance to a CSO or network of CSOs to conduct day-to-day technology-assisted monitoring of development projects in 50 district assemblies focused on capital goods related projects, including the building of schools, clinics, roads, water pumps, etc. The 50 DAs for this second project component will be selected by USAID/Ghana in collaboration with the Impact Evaluation Team.
- Financial and technical assistance to a CSO or network of CSOs to create development score cards to report on how MMDAs are spending their capital budgets.
- Financial and technical assistance to a CSO or network of CSOs to use these scorecards as part of a public information campaign to educate citizens on the development programming of its MMDA government and demand accountability.

This second component will be implemented by the awardee for this cooperative agreement. These activities will occur in 50 districts selected according to the impact evaluation plan. These 50 districts will be different from the districts where the first component will be implemented.

The second component is comprised two primary interventions. **The first intervention** will work to build the capacity of community based CSOs to engage in detailed community monitoring of Annual Development Plans (ADP). These plans describe the MMDA's development agenda and lays out their expenditures on local capital projects.

Expected Result

- Capacity of community based CSOs to engage in detailed community monitoring of Annual Development Plans (ADP) built.

Illustrative Activities

- Support and train CSOs to deploy camera and cell phone technology to gather frequent, real time information on capital projects in 50 randomly selected District Assemblies. This data will be made available to USAID/Ghana and to the impact evaluation team, preferably using Open Data Kit software. USAID/Ghana and the GSAM impact evaluation team will conduct the randomization and provide the applicant with the list of 50 DAs.
- Monitoring activities will consider collecting information on the following components bearing on capital projects:

  - Planning: Legal procedures require that each of the MMDAs produce their Annual Development Plans via participatory processes. Plans are supposed to emerge from localities and town/area councils, go through District Planning Coordinating Units and on to the relevant District Assembly (DA) sub-committees and the District Chief Executive (DCE). Drafts of plans are to be subject to a public hearing before final approval by the DA and DCE. Planning effectiveness will ascertain if the DA followed standard procedure in planning its capital projects as laid out in the Annual Development Plan.
  - Legislation: District Planning Coordinating Units are supposed to integrate district sectoral plans into a draft development plan, which is to be debated by the DA and the DCE. They are then subject to approval by the DA and DCE. This activity will analyze whether standard legislative procedures were followed and if, for instance, the DCE made unilateral changes to Development Plans after they were approved by the DA.
  - Contracting: Contracting for capital projects is subject to public procurement laws that require specific procedures be followed by District Tender Boards, Comptrollers and DA Internal Auditors. This activity will determine if the contracting process was consistent with the law. It will also consider the possibility of resource leakage and/or corruption in the allocation of contracts.
  - Construction: In addition to determining if planned projects were in fact completed, the CSO monitoring will evaluate the quality of construction and the materials used. Although the technical abilities of CSOs will be limited, they can assess several features of construction: Was the project built where it was supposed to be according to the ADP? Was the construction carried out in a timely manner? Did workers show up regularly? Was the project of the size/scale as laid out in the ADP? Was technical expertise available for the construction? Camera and cell phone technologies will be crucial for regular check-ups on how capital projects are progressing and if workers show up regularly.
  - Benefits generated: Once the project is complete, this activity will attempt to quantify or evaluate the benefits generated from the projects. Even prior to completion, it might be helpful to estimate the expected benefits. Again, camera and cell phone technologies will be helpful in assessing whether, for instance, new clinics and schools are, in fact, being used.
  - Distribution of benefits: this activity will consider how those benefits are distributed, and if the community as a whole benefits. For example, do women, the poorest, and marginalized groups share in the benefit, or are the gains only realized by a small or already privileged group?

While the capital projects will vary by district, the methodology for assessing execution, process, quality, benefits, and distribution should be the same across the 50 districts. It is anticipated that the community monitoring information would be collected through an electronic mobile platform and would be transmitted to the coordinating CSO using cell phone technology. This will allow community based CSOs to gather frequent, real time information. In particular, Open Data Kit tools are recommended for the purposes of this project.[1] Open Data Kit is a free and open source set of tools that can be used to program, operationalize, store and manage a mobile data collection effort. Whether the Applicant utilizes Open Data Kit or not, it should provide a detailed Monitoring and Evaluation plan to ensure that local branches of CSOs are conducting the necessary work on a regular basis.

The second intervention in the "social accountability" project component will consist of a CSO-led Information Campaign that builds upon the results of the Annual Development Plan monitoring program.

Expected Result

- Enhanced social accountability through CSO-led campaigns.

Illustrative Activities

- Development of standardized citizen scorecards based on agreed upon criteria that report the results of the community monitoring of capital projects in the Annual Development Plans and place them in the context of performance in other districts. These data will be condensed into a simple and digestible summary that is translated into local languages.
- Printing of scorecards and organizing public platforms for the public delivery of the monitoring results to ensure that the results reach as many citizens as possible. The scorecards will be diffused to MMDA citizens along with information on which MMDA officials are responsible for building development projects, and CSOs will engage with MMDA citizens to demand accountability for the results.
- Community mobilization public platforms that involve town hall meetings, durbars and radio broadcasts across each of the 50 districts. Specifically, the applicant will be responsible for conducting town hall meetings and durbars in enough towns and villages to effectively canvas each of the 50 selected MMDAs;
- Broadcasting of results over the radio so as to cover as much of the territory of the 50 districts as possible. The applicant will provide a detailed strategy for reporting results to citizens: a) across all of the district's inhabited territory; and b) over a sufficient period of time such that most district citizens will be well informed of the results. To the extent possible the content of the scorecards and the means of delivering them to citizens will reflect the CSO-led information campaign bearing on monitoring results described above.

In summary, to meet the objectives of both the first and second project components, the applicant will be responsible for working in a total of 100 districts. Component 1 will be implemented by GAS, and the Applicant will support the public dissemination of audit findings in 50 District Assemblies. The applicant will be responsible for the full implementation of Component 2; Component 2 will be implemented in a separate set of District Assemblies than Component 1 DAs. USAID/Ghana will provide the applicant with the list of District Assemblies for components 1 and 2. Component 3

[1] Please see http://opendatakit.org/ for more information.

(Impact evaluation) will not be implemented by the Applicant.

Indicators & Data Sources (not to be collected by the applicant):

- Enhanced awareness of, and engagement with, Annual Development planning will be measured through knowledge indicators; the data sources include a citizen survey and local government (LG) survey.
- Increase in citizen demands for accountability/improved development projects will be measured by the following indicators: increase in citizens' demands for involvement in planning processes, participation in district planning, and citizen monitoring of the quality of development projects. The data sources will include data collected from the citizen survey and during the course of the CSO monitoring.
- Increased effort by local elected officials in the development and execution of capital-intensive development projects will be measured by an analysis of citizen satisfaction with their elected officials, election results, % of local elected officials who report more citizen engagement, monitoring, etc. The data sources for this outcome include the citizen survey, election results and LG survey.
- Local officials demand for better performance from technical staff and capital project contractors will be measured by the % of local elected officials who report increased monitoring and engagement; the LG survey provide the data source.
- Improved performance by contractors and technical staff will be measured through the following indicators: increase in citizen satisfaction with the performance of service providers; FOAT assessments of technical staff and increase in number of elected officials who are satisfied with the work of these two groups. The three primary data sources are citizen surveys, FOAT, and LG survey.

Impact:

Mirroring the expected impact from component 1, the expected outcomes include improved planning with regards to Annual Development Plans and public financial management practices, increased responsive to the public in the development and conduct of Annual Development plans, reduced corruption in capital projects, increased citizen engagement with the establishment of development planning priorities, and improved performance by contractors who build capital projects, service providers, technical staff and internal auditors.

VI. Additional Project Considerations

a. Gender

As indicated above the Project should incorporate activities that directly benefit women and also be designed to ensure equal gender participation in project activities. An expectation of the Project is to ensure more accountability in local government service delivery by increasing the participation of women in project efforts. The Gender Assessment identified women participation and representation in governance processes as the key challenge facing Ghana both at the local and national level. The Applicant therefore must present feasible and sustainable interventions that will reduce gender gaps in project implementation and significantly increase women's participation.

Additionally this project has been developed by incorporating recommendations from the 2012 USAID Ghana Gender Assessment. By prioritizing public service outcomes in the social accountability component, the project expects to have a positive effective on critical issues for women. Gender equality will be advanced through building the capacity of community based women's groups to monitor service delivery and demand accountability from local officials. USAID will work with the awardee to ensure women are being included in recruitment and selection for all activities, and are receiving equal opportunities for training in social accountability.

b. Sustainability

USAID expects the awardee to implement a sustainable project approach that effectively addresses or significantly mitigates the potential for project interventions to fizzle out when USAID funding support ends. This Project is designed with sustainability as a key principle. The purpose of government and CSO system strengthening is to build partner country institutional capacity - of both the GOG and local CSOs – to deliver sustainable skills and retain knowledge that will permit activity beyond USAID programming. The sustainability of project interventions are often impacted, or limited, by the transfer, resignation or removal of trained persons responsible for the implementation of certain key project activities. The Applicant’s approach should therefore propose an implementation methodology that is sustainable beyond the lifespan of the Project.

Over the five years of project implementation, the implementer will 1) build on and solidify the technical results that have been achieved through previous USAID projects; 2) promote greater autonomy within CSO entities to carry out technical activities; 3) provide support for activities that by their nature require continued training (e.g. CSO monitoring activities); and 4) work with local CSOs.

The sustainability issues assessed for this project include:

- Local demand and ownership to continue activities;
- Skills and capacity of local stakeholders to maintain gains;
- Institutional ability of local CSOs to effectively analyze, implement and evaluate activities.

Efforts to support sustainability are considered for each aspect of the project. In particular, the Applicant should integrate the following sustainability mechanisms into the project:

- Utilize Ghanaian partners to ensure maximum skill and knowledge transfer. This is also expected to keep down the unit costs of the project, in order to promote its adoption by the Government of Ghana.
- Establish strong project ownership by civil society
- Build the capacity civil society through technical assistance and training
- Develop a tool-kit for scaling up and replicating best practices

c. Geographic Coverage

All activities will be implemented in Ghana. This program requires that the districts receiving no programming, those receiving the vertical accountability programming, and those receiving the horizontal accountability programming remain uninformed of the type of programming taking part in other districts. The Applicant should provide reassurance that they will do their best to ensure that district citizens and public officials remain uninformed of programming and data collection in other districts.

VII. Deliverables

The Recipient should submit the following completed reports to the USAID Agreement Officer's Representative in a timely manner.

a. Semi-Annual Progress Reports
The Recipient shall submit semi-annual progress reports, due on October 30 and April 30 each year. The Semi-annual Progress Reports serve as source documents for Agency statutory and ad hoc reporting. It is thus essential that particular attention be paid to the quality of the data collection, processing, analysis and reporting processes. These processes are subject to quality reviews by USAID. The report shall contain a section that describes data quality assurance processes, including any known data limitations.

The Semi-annual Progress Reports shall:

- Detail progress on activities based on the Recipient's annual work plan;
- Identify key challenges or issues encountered, how they were or will be resolved and if/as required, recommended Mission-level intervention(s) to facilitate their timely resolution;
- Identify key opportunities for program improvement or strengthening;
- Detail progress against indicators and/or impacts achieved to date, related to the PMEP, and supported with qualitative and quantitative evidence, including description of results achieved for each relevant indicator, analysis of the results in relation to targets/milestones, and implications for performance in the ensuing year (narratives on 'success stories' may also be provided);
- Detail contributions of activities to meeting the objectives of the Project;
- Describe activity plans and performance targets for the ensuing period.

Where possible and reasonable, the Recipient is expected to disaggregate reporting data by gender to enable tracking of project impact on females and males. This data will be of use to the GOG and USG in planning and evaluating the impact of programming on different genders.

b. Final Report
The Recipient shall submit a Final Report, including the components listed above, with detailed analysis and discussion, within 90 days of the end date of the CA.

c. Miscellaneous Reporting:
The Recipient shall immediately notify the AOR and the Agreement Officer in writing in the event that circumstances arise that have or may have an adverse impact on timely performance of the agreement or the occurrence of unanticipated costs under the agreement. This provision is applicable to all sub-recipients as well as to the prime recipient. Additionally the AOR may request additional reporting or updates on specific issues of interest to USAID.

VIII. Place of Performance

The place of performance for the USAID/Ghana Strengthening Accountability Mechanisms Project is the territory of the Republic of Ghana. All of the tasks will take place in Ghana.

IX. Period of Performance

The period of performance for this award is the date of the Agreement Officer's signature on the agreement (award date) through the completion date of five (5) years after the award date.

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ANNEX B

PROJECT RELATIONSHIP TO USAID/GHANA CDCS, USAID BILATERAL PROGRAMS AND GOVERNMENT OF GHANA PRIORITIES

The strategy employed in the design of the GSAM Project is informed by and consistent with essential policy and strategy documents including USAID/Ghana's Country Development Cooperation Strategy (CDCS), USAID Forward Policy, and USAID's Evaluation Policy. Furthermore, the design team anticipates that improved accountability outcomes, including citizen and civil society organization (CSO) empowerment will be primary objective under the Open Government Grand Challenge that was launched in the winter of 2012.

Relationship to DRG's Results Framework and USAID/Ghana's CDCS

The programmatic interventions are consistent with the long-term goals of the Government of Ghana (GOG) and the United States Government. This project closely aligns with USAID/Ghana Mission's Country Development Coordination Strategy and USAID Forward because it supports the overarching goal of local capacity development in order to support Ghana's transition to an aid dependency-free era, as well as the overall Mission's strategy to advance the Government of Ghana's Shared Growth and Development Agenda (GSGDA). Specifically with regard to the USAID Ghana CDCS, this project aligns with I.R. 1.1 Improved local government performance and I.R. 1.2 Increased government accountability to better-informed citizens of Development Objective 1: Strengthened Responsive Democratic Governance. In accordance with the USAID Forward objective to strengthen capacity to deliver results, the project integrates a high quality impact evaluation into the project design to measure impact and project effectiveness.

More specifically, the project will directly contribute to Development Objective One of the Mission's Country Development Cooperation Strategy – *Strengthened Responsive, Democratic Governance* (USAID/Ghana 2012). Under this overarching objective, the project will contribute directly to two of the three intermediate results of the DRG DO. These intermediate results include: (IR 1) *Improved Local Governance Performance* and (IR 2) *Increased Government Accountability to Better-Informed Citizens* (USAID/Ghana 2012).

Under (IR 1), the project will advance the following sub-intermediate results: Sub IR 1.1: *Strengthened Administrative Management by Municipal and District Assemblies* and Sub IR 1.3: *Enhanced Government of Ghana Support for Decentralization*. Under (IR 2), the project will advance the following sub-intermediate results: Sub IR 2.1: *Increased Capacity of CSOs to Advocate on Behalf of Citizens for Improved Government Services*; and Sub IR 2.2: *Strengthened CSO and National Audit Authority Oversight of Government Services*.

Relationship to USG Programs

This project will incorporate principles from the USAID Policy Framework 2011-2015. The project will advance sustainable development through several means. A key goal of the local governance project design is to ensure the sustainability of the activities and outcomes beyond the life of the project. Thus, efforts to support sustainability are being considered for each aspect of the project. In particular, the design team plans to integrate the following sustainability mechanisms into the project:

- Utilize Ghanaian partners to ensure maximum skill and knowledge transference. This is also expected to keep down the unit costs of the project, in order to promote its adoption by the Government of Ghana.
- Establish strong project ownership by civil society
- Build the capacity of GAS and civil society through technical assistance and training
- Develop a tool-kit for scaling up and replicating best practices

Furthermore, civic engagement in development planning and financial management processes at the local level is legitimized by the Constitution of the Republic of Ghana and other legislations which include, but are not limited to, the Local Government Act 1993, the National Development Planning Systems Act, the Public Procurement Act, and the Internal Audit Act 2003.

Relationship to USAID Forward

Finally, In accordance with USAID Forward objectives, the project integrates a high quality impact evaluation into the project design to measure the project effect. Additionally, this project will utilize Ghanaian institutions and personnel for a substantial portion of project implementation. Moreover, the project is expected to be carried out in a cost-effective manner that facilitates sustained implementation in a large number of districts.

Relationship to Partner Country, Local Stakeholders, and other Donor Programs

USAID/Ghana's new local governance project - Strengthening Accountability Mechanisms - has been designed to complement the implementation of Ghana's national strategy for decentralization. In particular, the objective of "Transparent and Accountable Governance" is an essential element of the GSGDA as a part of the Joint Country Action Plan (JCAP) between the United States and GOG. To maintain the strong partnership between USAID and the GOG, the design team engaged with the Ministry of Local Government and Rural Development (MLGRD), Government Audit Service (GAS), Internal Audit Agency (IAA), Institute for Local Government Studies (ILGS), the Local Government Service Secretariat and other local government stakeholders in developing the design for the local governance interventions.

Relationship to Government of Ghana Priorities

With the introduction of PNDC Law 208 in 1988, Ghana launched its comprehensive local government and public administration reform, via six pillars of decentralization: political, administrative, fiscal, planning, market, and spatial (King et. al 2011, 2). The reform has sought to transfer power, competence and means to a local government system in which Metropolitan, Municipal and District Assemblies (MMDAs) represent the highest political, administrative, planning, budgeting, and legislative authority. More importantly, Article 35 of the 1992 Constitution of the Republic of Ghana enjoins the state to make democracy a reality by decentralizing the administrative and financial machinery of government to the regions and districts to afford opportunities for citizens to participate in governance. As of April 2012, two hundred and sixteen Metropolitan and Municipal District Assemblies (MMDA) have been created in Ghana.

In recent developments, decentralization has taken on an increasingly critical role in GOG's development agenda. The National Decentralization Action Plan thus operationalizes this mandate by focusing on decentralizing development planning, fiscal decentralization, popular participation and accountability. Accountability in MMDA management and operations has taken on a degree of urgency not seen in previous administrations, mostly owing to the uncovering of rampant and widespread financial malfeasance in these institutions by the media. GOG is thus investing efforts in improving accountability mechanisms at the local government level to stem the rising tide of public sector corruption and ensure that the assemblies are made answerable for their action. The Strengthening Accountability Mechanisms program therefore directly serves to further this GOG objective.

A number of laws to strengthen accountability in public institutions and combat corruption have been passed. Over the past twenty years, the Government of Ghana has enacted laws and established institutions to promote accountability in the public sphere. The institutions include the Economic and Organized Crimes Office (EOCO), the Commission on Human Rights and Administrative Justice (CHRAJ), the Internal Audit Service, the Public Procurement Authority, Central Tender Board, and the Ghana Audit Service. Despite the importance and critical role that these institutions play in strengthening accountability in public administration, GOG acknowledges that they are confronted with a number of challenges, including weak institutional mandate and coordination, lack of capacity, and resource constraints. The Strengthening Accountability Mechanisms program will aim at providing technical and support to MMDA structures such as the Audit Recommendations Implementation Committees and other financial management units to strengthen their institutional effectiveness.

Relationship to Donor Programs and Priorities

Over the past two decades, a host of Development Partners including DANIDA, CIDA, JICA, KOICA, GTZ, AFD, USAID, EU and the World Bank have provided substantial resources and support to promote Ghana's decentralization policy. Donors' initiatives have been especially focused on the areas of infrastructure delivery, sanitation, and capacity building for public financial management (PFM) systems. Development partners have collaborated with the Government of Ghana to design and institute special legislation and institutional structures to strengthen PFM and local government processes in District Assemblies. Additionally, numerous donor assistance initiatives have sought to build the capacity of the Assemblies to collect and manage internally generated revenue through skills training and the provision of equipment.

Development Partners (DPs), including DFID, UNDP, DANIDA, GIZ, EU, and the World Bank all provide support on aspects of good governance and financial management that contribute to strengthening public sector accountability mechanisms. DPs also fund some programs or activities in a pooled approach through STAR-Ghana, a local civil society strengthening program, for which USAID is a contributor.

ANNEX C - BUDGET PREPARATION GUIDANCE

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to Standard Form 424.

ILLUSTRATIVE COOPERATIVE AGREEMENT BUDGET. USE THIS BUDGET TO FORM A SUMMARY IN THE BELOW EXACT FORM. IF YOU DEVIATE FROM THIS FORMAT, THEN PRESENT IT IN ANOTHER SEPARATE PAGE IN ADDITION TO THIS EXACT BUDGET.

Budget Cost Element	Budget Amount US $	Remarks*
Total Direct Labor	$_____	
Salary & Wage	$_____	
Fringe Benefits	$_____	
Allowances	$_____	
Consultants	$_____	
Travel, Transportation & Per Diem	$_____	
Equipment	$_____	
Supplies	$_____	
Sub awards (grants and subcontracts)	$_____	
Construction	$_____	
Other Direct Costs	$_____	
Participant Training	$_____	
CRISIS MODIFIER	$_____	
Indirect Costs	$_____	
Program Costs	$_____	
Total Amount	**$_____**	

a. **Total Direct Labor**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel, Transportation and Per Diem**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable 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. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PIOs may obtain specific information on these regulations on USAID Web Site at http://www.usaid.gov/pubs/ads.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds.

f. **Subawards**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per-diem. This category is not to be used for sub-s, which should be included in other.

g. **Construction**

Applicants should include all labor and material and supplies for construction projects.

h. **Other Direct Costs**

Applicants are to identify all costs associated with training of local counterparts/ host country government staff here.

Applicant planning to use USAID funds to send local counterparts/ host country government staff for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site http://www.usaid.gov/pubs/ads.

The applicant should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

i. **Indirect Charges**

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

Standard Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies must be documented, etc.

j. **Program Costs**

Applicants are to identify all costs associated with the money that will go directly into the programming.

ANNEX D - SAMPLE BRANDING STRATEGY & MARKING PLAN

USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are "co-branded or co-marked." In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing.

Co-branding and co-marking means that the program name represents both USAID and the implementing partner, and the USAID identity and implementer's logo must both be visible with equal size and prominence on program materials produced for program purposes.

This sample/template based on ADS 320.3.3 and 22 CFR 226.91 branding and marking requirements for assistance awards only. The recipient, by responding to the questions in italics, will be able to substantially comply with the ADS and CFR requirements.

THIS PORTION TO BE COMPLETED BY THE RECIPIENT

"USAID BRANDING STRATEGY"
AWARD TITLE
AWARD NUMBER
DATE OF PLAN

1) Positioning

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

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

2) Program Communications and Publicity

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

What communications or program materials will be used to explain or market the program to beneficiaries?

What is the main program message?

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

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

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 co-sponsor?

MARKING PLAN - GENERAL INSTRUCTIONS

Marking requirements, including requests for presumptive exceptions and waivers for assistance awards must be in accordance with 22 CFR 226.91.

With reference to ADS Sections 320.3.3.2 and 22 CFR 226.91 the Recipient shall prepare a Marking Plan containing information substantially similar to the sample provided below:

"USAID MARKING PLAN"
AWARD TITLE
AWARD NUMBER
DATE OF PLAN

1) Requirement: A description of the public communications, commodities, and program materials that the recipient will produce 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, audiovisual productions, public service announcements, websites/Internet activities, and other promotional, informational, media, or communication 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 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) Table of Supplies and Equipment to be used in a visible manner in the fulfillment of the goals of the **________** project and an indication of how and where they will be tagged with the USAID identity.

Supply/Equipment	Type of Marking	Where Marking Placed
Computers?	USAID Identifying vinyl label	On front of monitor
Printers?	USAID Identifying vinyl label	On top of printer
Field Backpacks?	USAID Identifying vinyl label	On outside of backpack
Insert as appropriate ROWs		

3) Table of Deliverables expected to be produced in the conduct of this program: All deliverables will be marked in a visible manner with the USAID identity; below is an indication of what type of marking will be used and where on the deliverable the USAID identity will be placed.

Deliverable	Type of Marking	Where Marking Placed
Reports?	USAID printed identity	Front cover
Publications (brochures)?	USAID printed identity	Front cover

Website?	USAID web identity	Front page
Insert as appropriate ROWs		

4) Sub-recipient: As specified in the standard provisions, the marking requirements will "flow down" to sub-recipients or sub-awards, and will include the USAID-approved marking provision in all USAID funded sub-awards, as follows: "As a condition of receipt of this sub-award, marking with USAID identity of a size and prominence equivalent to or greater that the recipient's, sub-recipient's, other donor's or third party's is required."

5) Any "public communications," as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has been approved by USAID, will 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's name**] and do not necessarily reflect the views of USAID or the United States Government."

6) As specified in the standard provisions, ___________ will provide the Agreement Officer's Representative (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, ____________ will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

ANNEX E - IEE [Attached]

ANNEX F - STANDARD PROVISIONS AS PER ADS 303/308 [ON-LINE]