



USAID | AFGHANISTAN

FROM THE AMERICAN PEOPLE

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Question Cutoff Date: February 10, 2013 - 1630 (4:30 P.M.) Kabul Time

To: All Interested Applicants

Subject: Request for Application RFA No. SOL-306-13-000019, Strengthening Political Entities and Civil Society (SPECS)

Dear Applicants:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission, Afghanistan, is seeking application from qualified interested applicants for the program called Strengthening Political Entities and Civil Society (SPECS), subject to the availability of funds as described in the following Request for Applications (RFA).

USAID intends to provide approximately \$18,000,000.00 in total USAID funding to be allocated over a three year period of the resultant Cooperative Agreement. USAID reserves the right to fund any or none of the applications submitted.

This RFA consists of this cover letter and the following:

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

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U.S. Embassy Cafe Compound
Great Masood Road
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<http://afghanistan.usaid.gov/>

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter via email submission. All Applicants shall submit electronic applications to kabulaidoamailbox@usaid.gov with a cc to Sajia Tokhi at Stokhi@usaid.gov.

To make sure that your applications are delivered to us, please ensure that your email attachments are not more than 10 MB in size. If they are more than 10 MB in size you may submit your technical/cost applications and any attachments in separate emails.

Any questions concerning this RFA must be submitted in writing to kabulaidoamailbox@usaid.gov, with a cc to Sajia Tokhi at Stokhi@usaid.gov, no later than 1630, Kabul Local Time, February 10, 2013.

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. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Sincerely,

A handwritten signature in black ink, appearing to read 'Ralph Koehring', is written over the printed name.

Ralph Koehring
Agreement Officer/ Deputy Director for Operations
Office of Acquisition and Assistance

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SECTION I – Funding Opportunity Description

A. Program Description

1. Executive Summary

Over the past decade a variety of political entities, including political parties, have emerged to compete in the post-Taliban political environment; some political entities have emerged out of previously warring factions while others formed from civil society organizations. The Afghan public has exhibited suspicion toward political entities, especially those aligned with former mujahedeen commanders. Political entities active since the overthrow of the Taliban have often failed to develop clear, issue-based platforms or take broad constituent concerns into consideration in forming policy.

Despite external challenges and internal capacity limitations, many political entities have progressed over the past few years, and some analysts have noted gradual but increasing sophistication in organizational structure, membership and campaign approaches. However, political entities still face considerable challenges that hinder their development as participants in the political process. Political entities are still widely seen as appealing to limited constituencies and lacking in organizational capacity. Political entities have difficulty crafting policies relevant to citizen concerns, and some are reluctant to involve women and youth in decision-making positions.

At the same time, youth and gender-driven civil society organizations have emerged as important voices for Afghanistan's future, raising questions whether they could offer an alternative to political entities. A generation of twenty and thirty year-olds have come of age in the post-Taliban era, experienced a free media, have access to the internet, and had opportunities for education abroad. Nonetheless, Afghan civil society organizations have no shared agreement of how the political transition should proceed. Civil-society organizations¹ lack linkages, and they are far from being able to form viable political entities, or even viable agenda-based coalitions. It will be important to engage with the wide variety of political entities, issue-based civil society organizations, coalitions, and political movements that will also play an important role in the 2014 political transition and beyond.

In preparation for upcoming elections, USAID will assist political entities to become more responsive to citizen needs and develop improved campaign platforms, mobilize constituencies, and increase their likelihood of success at the ballot box. If elected, individuals associated with these efforts would place a higher priority on implementing policies that are responsive to the broad public constituencies that supported their election. This would increase the public's confidence in the Afghan government.

USAID will also support increased Civil Society Organization (CSO) and political entity monitoring of the electoral processes. This will decrease the likelihood that fraud will occur and increases the likelihood of discovering and rectifying procedural errors or fraud if it does occur. Greater citizen oversight of electoral processes can contribute to greater public confidence in electoral outcomes.

¹ USAID activities will be carried out in accordance with Afghan law which forbids NGOs from participating in political activities. CSOs will be supported to carry out advocacy and watchdog activities but not to serve the interests of any one political entity.

2. Relationship to Mission Strategic and Results Framework and Support to Regional Priorities and Requirements

The project supports USAID's Assistance Objective 1 (AO 1): Improved Performance and Accountability of Governance. Activities will support the following Intermediate Results under this Assistance Objective:

- Strengthened competitive, inclusive and credible election and political processes (IR 1.2)
- Citizen Awareness of Electoral Process Increased (sub IR 1.2.2)
- Democratic political party system enhanced (sub IR 1.2.3)

This project complements USAID's other elections and political processes programs. Other projects include the following:

USAID/Afghanistan is funding the \$58.5 million UNDP ELECT II program that provides technical assistance and commodity support to the Independent Election Commission.

USAID/Afghanistan is funding the \$29 million AERCA program that supports Afghan civil society in promoting electoral reform.

A proper legal framework and sufficient government technical capacity are essential for credible, democratic elections. The UNDP ELECT II and AERCA programs address those challenges. Although government capacity and a proper legal framework are necessary, they are not sufficient conditions for elections that are responsive to citizen demands. In addition, mature democracies employ political entities that aggregate citizen demands and identify and support candidates that reflect the views of their members. Political entities also organize their members within legislative bodies to advance specific legislative agendas. This program addresses the need for effective and responsive political entities. In the case of Afghanistan, these entities could either be formal political parties, CSOs, or political coalitions that are politically active. It also supports the engagement of CSOs and other political entities in monitoring the electoral process.

3. Relationship to GIRoA and Other Donor Programs

The project supports the Tokyo Mutual Accountability Framework's goal of *"Conduct[ing] credible, inclusive and transparent Presidential and Parliamentary elections in 2014 and 2015 according to the Afghan Constitution, in which eligible Afghan citizens, men and women, have the opportunity to participate freely without internal or external interference in accordance with the law."* It also supports GIRoA's National Transparency and Accountability Program under the National Priority Program's Governance Cluster (NPP 2). Specifically, this project's efforts to strengthen the capacity of political entities to address the needs of citizens, and its support for civil society organizations to engage in advocacy and domestic monitoring activities will contribute to anticipated results under *subcomponent*

.5: Oversight mechanisms for elections are strengthened and the quality of electoral processes are improved.²

One role of political entities, coalitions, and civic organizations is to hold government accountable. However, it must be noted that because these bodies are independent citizen-led institutions that seek to influence government decision-making, it is not expected that government would prioritize specific programs to foster their development. These institutions are inherently non-governmental.

Other donor engagement with political entities has not been extensive. The Recipient will be expected to coordinate efforts with other donors who are active in this area. Overall, however, USAID has been the primary supporter during the past decade of capacity-building support for political entities.

4. Project Description

a) Development Problem

Political entities are still struggling to achieve a strong foothold in Afghanistan's politics. Some of these entities emerged from military factions with extensive management, organizational and communication structures – allowing them to command resources and public recognition. Given this history, the Afghan public has exhibited suspicion toward parties, especially those aligned with former mujahedeen commanders. Parties have often failed to develop clear, issue-based platforms or take broad constituent concerns into consideration in forming policy.

In recent years, political entities have made strides in an environment wary of such political groupings and where the electoral system favors independent candidates. Since 2009, entities have demonstrated improvements in electoral performance and found ways to engage in the country's political processes. Parties mobilized candidates for the 2010 parliamentary polls and at least twenty-one parties have representatives in the current Wolesi Jirga (lower house of the National Assembly) and provincial councils. Women and young people, who comprise a minority of the membership of parties, continue to strive for opportunities to participate meaningfully in political life.

Political entities continue to face considerable challenges that hinder their development as participants in the political process. They are still widely seen as appealing to limited constituencies and lacking in organizational capacity. Political entities have difficulty crafting policies relevant to citizen concerns, and some are reluctant to involve women and youth in decision-making positions.

Political parties face a high degree of mistrust and negative public perceptions in the current Afghan political context. Findings from The Asia Foundation's (TAF) 2011 Survey of the Afghan People reveal that a twenty-five percent of respondents say political parties serve the interest of the country as a whole, and nineteen percent say they represent broad layers of society. Eighteen percent say political parties serve regional interest, fourteen percent say group/personal interests, thirteen percent say ethnic interests, five percent say corporate interests (like those of farmers, workers, businessmen, etc.) and four percent say political parties serve local interests.

² Some anticipated results for subcomponent 3.5 are: 1. Public confidence in the IEC and the electoral process is increased; 2. Increased understanding of and cooperation around electoral processes among Government, political parties and civil society.

Compounding this is Afghanistan's use of the Single Non-Transferable Vote (SNTV) electoral system which hinders political parties from assuming a prominent role by empowering individual candidates over political party-associated candidates within the competitive electoral process. This has impeded political party development in Afghanistan and continues to present a challenge to the formation and growth of credible political entities. However, with growing Afghan stakeholder recognition of the need for electoral reform, the role of political entities may change and become more prominent within the electoral process.

Despite external challenges and internal capacity limitations, many political parties have developed a more sophisticated organizational structure and enhanced their membership and campaign approaches. More than one hundred political parties and thirty candidates registered to compete in the 2009 election. While only five managed to re-register under a new political party law in time for the 2010 election, twenty-one out of the forty-one parties registered-to-date nonetheless claim representatives in the Wolesi Jirga. Participation in the 2010 election showed an increased use of party agents and attempts to strategize their candidate fielding and campaigning for greater effectiveness. A few parties have developed formal national and provincial level structures, and parties have initiated congresses to clarify internal regulations and formalize constitutions. Coalitions have also emerged, with two seeking technical assistance in developing policy platforms and widening their support bases.

NDI's 2011 review of the state of Afghan political parties after the 2009 and 2010 elections noted several contextual factors that are limiting parties' abilities to gain footing within Afghanistan's current political framework. These include a lack of formal mechanisms through which parties may cooperate, an electoral system that favors independent candidates and marginalizes smaller parties, and few opportunities for meaningful participation between election periods. Findings from this review also indicate rudimentary party constitutions, a limited number of women playing official roles, little party focus on non-electoral activities, few parliamentary linkages, capacity weaknesses within parties for policy research, and the need for parties to develop internal regulations and clear membership guidelines.

It will also be important to engage with other issue-based civil society organizations, coalitions, and political movements that will play an important role in the 2014 political transition and beyond. Within Parliament, several coalitions and groups have emerged in the past few years, the most recent being the Rule of Law group that mobilized up to 180 MPs to protest against the finding of the Special Court. There is also the pro-government Sabah coalition, a new reformist group, the Peace Caravan coalition, and the Voice of Justice coalition among others. It is unclear exactly how many members belong to each coalition. They may not have staying power or be able to keep a dependable membership list. MPs are not required to report their membership in a coalition, caucus, or any other grouping. Some MPs are members of multiple coalitions/parties and float between them at their convenience. For the most part, these coalitions seem to emerge more as groupings that MPs join once elected and do not seem to be used as vehicles to support one's election campaign.

At the same time, youth and gender-driven civil society have emerged as important voices for Afghanistan's future, raising questions whether they could offer an alternative to political parties. A new generation has come of age in the post-Taliban era. They have experience with a free media, access to the internet, had opportunities for education abroad. They see things differently than prior

generations. Nonetheless, Afghan civil society organizations have no shared agreement of how the political transition should proceed. Civil-society organizations lack linkages, and they are far from being able to form viable political parties, or even viable agenda-based coalitions.

For Afghanistan's democratic process to consolidate, the role and functions of political entities and other political actors must also evolve. Increased citizen participation in elections through parties, coalitions, and civil society organizations would represent a positive step towards consolidation of democratic gains by increasing the opportunity to better represent and articulate the interests of the average Afghan.

b) Project Goal and Purpose

The goal of the project is to achieve Mission Assistance Objective (AO) 1: Improved Performance and Accountability of Governance. The purpose of the project is to directly support Intermediate Result (IR 1.2) Strengthened competitive, inclusive and credible election and political processes, (sub-IR 1.2.2) Citizen Awareness of Electoral Process Increased, and (sub-IR 1.2.3) Democratic political party system enhanced.

c) Development Hypothesis

The development hypothesis is as follows: Through USG capacity building, political entities will become more responsive to citizen needs and will be able to develop improved campaign platforms, mobilize constituencies, and increase their likelihood of success at the ballot box. If elected, individuals associated with these political entities will place a higher priority on implementing policies that are responsive to the broad public constituencies that supported their election. This will increase the public's confidence in the Afghan government. Likewise, increasing CSO and political entity monitoring of electoral processes decreases the likelihood of fraud and error, and contributes to greater public confidence in electoral outcomes.

d) Geographic Focus

This program will have a national geographic focus. Although many activities will focus on the role that political entities play in policy development in Kabul, the 2012 USAID political party assessment noted that political parties need to increase their support at the provincial level. Therefore, the program envisions a main head quarters in Kabul and three regional offices. USAID recommends using Herat and Mazar-e Sharif as well as, as security permits, a third office in either Kandahar or Jalalabad.

e) Illustrative Indicators, Outputs and Inputs

Note: The below listed indicators, outputs and inputs are for illustrative purposes only. Applicants are encouraged to suggest their own which they feel will best lead to accomplishing the goals of the project.

Purpose #1: Strengthened competitive, inclusive and credible election and political processes

Illustrative Indicators

- % increase in meetings between USAID-supported CSOs, including women-focused CSOs, political entities, coalitions, and elected representatives
- # of policy or direct solutions addressed or implemented by elected/appointed officials that have been influenced by CSOs.
- # of CSO advocacy campaigns supported by USG

- % of youth and/or women in leadership positions for advocacy efforts within their organizations
- # domestic election observers deployed by USG-funded organizations
- # of election reports produced by USG-funded international observers that are considered well-informed and credible by USG election experts

Illustrative Outputs:

- Civil society groups, including women-run CSOs, engage political entities, parliamentary coalitions, and elected representatives to build dialogue and promote issues critical for constituents
- NGOs and citizens effectively advocate for electoral and political reforms
- CSOs, including women-run CSOs, hold elected representatives accountable through monitoring and watchdog activities
- Youth groups conduct advocacy efforts at the national and sub-national level
- Domestic observers conduct election observation according to international norms
- Civil society groups engage women in advocacy activities

Illustrative Inputs

- Mentoring and technical assistance provided to targeted civil society groups, including women focused CSOs, to encourage civil society to engage political entities, parliamentary coalitions and elected representatives to build dialogue and promote issues critical for constituents
- Technical assistance and support provided to civil society organizations, including women focused CSOs at the national and sub-national levels to support efforts to monitor government and conduct watchdog activities
- Training, mentoring, and technical assistance aimed at developing youth leadership and advocacy capacity, targeting women in particular, at the national and sub-national levels

Purpose #2: Democratic political party system enhanced

Illustrative Indicators and Targets

- # of public outreach activities conducted by participating political parties/entities
- # of party/entity forums that address leadership selection and agenda formation in a transparent manner
- % increase in party/entity membership of women, youth, and vulnerable populations
- # of parties/entities that improve internal communication amongst members
- # of parties/entities that develop platforms that are issue-based and communicate those platforms to members
- # of party caucus meetings that occur
- # of party agents deployed to polling stations and tabulation centers
- # of individual and political entity candidates that attempt to include issue-based campaigning into their election efforts

Illustrative Outputs for participating political parties/entities:

- Respond to defined constituent needs, including the needs of normally disenfranchised groups, such as women, youth, and vulnerable populations

- Conduct public outreach efforts and develop mechanisms for regular communication with constituents
- Hold public forums where leadership selection, candidate selection, and agenda formation are performed transparently
- Expand membership, including among women, youth, and vulnerable populations
- Develop issue-based platforms
- Engage in election oversight
- Coordinate with other entities and/or coalition movements

Illustrative Inputs

- Political party/entity training and mentoring targeting sub-national leaders – including women leaders – carried out at the subnational level, focusing on membership development, communication skills, platform development, and representation.
- Train political entity members in provincial councils and parliament to identify and respond to defined constituent needs and conduct public outreach efforts targeting women, youth and vulnerable populations
- Mentor political entities at the national and sub-national level on how to improve internal party democracy through regularly scheduled party forums / congresses and enhance interaction, communication, and representation of constituent interests
- Support youth leadership capacity and youth engagement through exposure to political party activities and/or processes at the national and sub-national levels
- Provide technical assistance to political parties/entities at the national and sub-national level in the design and articulation of issue-based platforms and how to communicate these platforms effectively between party headquarters, party members, and the Afghan citizens

5. Implementation Plan

USAID intends to award a Cooperative Agreement based upon full and open competition.

USAID envisions a project operating on a hub and spoke model with Kabul as the main headquarters and three regional offices spread throughout the country. The regional hubs will be based on several factors including proximity to political centers, access to target populations including previously disenfranchised groups, geographical coverage, and security considerations.

As the transition takes place it may, depending upon the security situation, become harder for the implementing partners to move about. The implementation plan envisions a system whereby participants are brought in from the districts to participate in trainings, consultations, or other events in either Kabul or the regional hubs. Whenever possible the implementing partner will be encouraged to utilize training-of-trainers, both to empower local party or CSO activists as well as a method for expanding the reach of the project despite potential restrictions on movement in some areas.

a) Direct Grants and Sub-Grants

In keeping with USAID Forward's push to work more directly with local organizations, the project includes a budget for direct grants to support the work of capable local CSOs to carry out advocacy or monitoring activities. The direct grants would be issued either through a request for applications or an annual program statement, or both, and would run concurrently with the prime award. The project will

award no more than five separate grants. If the CSO requires technical guidance after receiving the grant, then it will receive that guidance from the prime award recipient. A provision for capacity building will be included in the prime award, with the stipulation that specific capacity building activities will depend on the needs of the direct grant recipients. Direct grants will go to organizations that: are active in civic advocacy and/or domestic monitoring; have either directly or indirectly received USG assistance and; are seen as legitimate advocates for enhancing political processes nation-wide.

The total amount estimated for direct grants is \$1,000,000.

The project will also have a sub-grant component, which the prime recipient will manage. The sub-grants will reach out to organizations at the national, provincial and district levels and also focus on advocacy on electoral issues or domestic monitoring of elections. The recipients will not necessarily have received prior USG assistance, whether directly or indirectly. The prime recipient will issue an APS or RFA and USAID will have some involvement with selecting the sub-grantees.

b) Estimated Program Duration (July 2013-Jun 2016)

Year	Month(s)	Activities
2013	Jan-Mar	• RFA released and applications submitted
	April-Jun	• Awardee chosen
	Jul	• Program begins, Awardee sets up Kabul and regional offices
	Jul-Dec	• Subgrants and grants awarded to advocacy CSOs and domestic election observation CSO(s). APS/RFA in July with award implemented by October. • Campaign training for political party/entity trainers who will conduct follow-on trainings for activists who will be involved in 2014 presidential and provincial council campaigns • Provincial council candidate training • Training for domestic election observers • Mentoring and technical assistance provided to targeted civil society groups to promote issues critical to constituents • Support provided to political entities on developing issue-based platforms in preparation for 2014 and 2015 elections
2014	Jan-Mar	• Campaign training for political party/entity trainers who will conduct follow-on trainings for activists who will be involved in 2014 presidential and provincial council campaigns • Provincial council candidate training • Training for domestic election observers • Long term domestic observers deploy • Mentoring and technical assistance provided to targeted civil society groups to promote issues critical to constituents • Support provided to political entities on developing issue-based platforms in preparation for 2014 and 2015 elections

	April - May	• Short term domestic and international (optional) observers deploy • Presidential and Provincial Council elections occur
	May-Dec	• Training provided to new provincial council representatives on identifying and responding to constituent needs • Campaign training for political party/entity trainers who will conduct follow-on trainings for activists who will be involved in 2015 Wolesi Jirga campaigns • Wolesi Jirga candidate training • Mentoring provided to political entities on developing a campaign strategy for Wolesi Jirga elections • Mentoring and technical assistance provided to targeted civil society groups to promote issues critical to constituents • Support provided to political entities on developing issue-based platforms in preparation for 2015 elections
2015	Jan-May	• Campaign training for political party/entity trainers who will conduct follow-on trainings for activists who will be involved in 2015 Wolesi Jirga campaigns • Wolesi Jirga candidate training • Refresher training for domestic observers • Long Term domestic observers deploy
	June	• Short term international and domestic observers deploy • Wolesi Jirga election occurs
	July-Dec	• Political entity training on membership development, communication skills, and representation • Political party training on improving internal party democracy and communication • Mentoring and technical assistance provided to targeted civil society groups to promote issues critical to constituents
2016	Jan-Jun	• Political entity training on membership development, communication skills, and representation • Political entity training on improving internal party democracy and communication • Mentoring and technical assistance provided to targeted civil society groups to promote issues critical to constituents

c) Rules and Regulations

The project will be implemented in accordance with *USAID's Political Party Assistance Policy*. This policy provides, inter alia:

USAID programs support representative, multiparty systems; and USAID programs do not seek to determine election outcomes.

In order to avoid directly or indirectly influencing the outcome of elections, political party assistance activities should be executed in an inclusive fashion and in an equitable manner and should not include

direct financial or in-kind support to individual political entities. Finally, the timing of political party assistance activities may raise concerns of undue influence on the electoral process. In order to avoid such conflicts, party development programs should be concluded roughly one month prior to an election. The only exception to this limitation is distinctly non-campaign training such as party poll watcher training, which may continue up to Election Day. It is important to begin political party development programs well outside the context of an election and to develop an exit strategy during the initial planning stages of such programming.

USAID programs must make a good faith effort to assist all democratic parties with equitable levels of assistance. Assistance to non-democratic parties is prohibited. Where there are too many democratic political parties to assist all effectively, USAID will assist all significant democratic parties. The relevant U.S. Government Mission will determine which parties are significant.

Commodity support valued at \$50,000 or less may be provided annually to each political party that qualifies for assistance.

Prohibited activities linked to influencing election outcomes that would require a waiver include:

- Offering assistance to only one political candidate, party, or electoral coalition;
- Providing commodity support valued over \$50,000 to any individual party;
- Providing cash grants to any political party;
- Paying salaries, wages, fees, or honoraria to any candidate, political party leader, or campaign official during a campaign period;
- Paying for private polls for only one party or candidate;
- Organizing public meetings that endorse or feature only one candidate or political party;
- Paying for a media message that specifically endorses or supports one candidate or political party; and
- Making payments to individuals with the intention of influencing votes.

6. Partnerships

In order to encourage coordination of activities applicant organizations are encouraged to form partnerships together. Such partnerships can best leverage the possible assets that each organization can bring to bear. In the case of any partnership there will need to be one organization who will assume the role of the prime implementer with other organizations as sub-partners. The primary organization will be represented by a Chief of Party who will be responsible for all reporting and organizational management within the partnership.

7. Monitoring & Evaluation

The Recipient will be responsible for putting in place processes to continuously evaluate the implementation of activities under this program. Periodic adjustments in terms of activity focus and implementation methodologies are to be expected given the dynamic operating environment in Afghanistan. The recipient will need to monitor ongoing activities with a sufficient degree of scrutiny to

allow for evaluation of program successes and failures. The Recipient will also need to exercise enough flexibility to introduce changes that address findings from the evaluations.

A Mid-term evaluation will be conducted after the 2014 Elections and the Recipient will incorporate recommendations from the evaluation, as well as, lessons learned from the Recipient's ongoing M&E to refocus activities for the 2015 Parliamentary elections.

8. Reporting

a) Quarterly Reports

The Recipient shall submit to USAID/SPECS a detailed quarterly report within 30 days of the end of every fiscal year quarter. The reports shall describe major accomplishments from the previous quarter, including actual versus planned results via the annual targets presented in the work plan and monitoring and evaluation plan and explain any significant deviations from expected results. The reports should also consolidate data from previous quarters in order to present annual totals for numerical targets. The second quarter reports shall assess the program outcomes for the quarter and emphasize combined program outcomes for the one to two fiscal year quarters. The fourth quarter reports shall assess the program outcomes for the quarter and emphasize program outcomes for the fiscal year. The quarterly reports should also describe any obstacles faced and how they were (or will be) overcome and project the activities to be carried out in the next quarter. Quarterly reports must include USAID-approved success stories in the approved USAID format. Quarterly reports may be used for briefings at the U.S. Embassy and Washington.

All programmatic and financial reports shall be disaggregated by sex and province.

The quarterly reports will contribute to semi-annual performance reviews (also called portfolio reviews). USAID's internal performance reviews not only offer an opportunity to review progress on program implementation, but also the results of the program to ensure annual targets have been met or are on track for being met. Performance reviews typically take place in the first and third quarter of the fiscal year.

b) Financial Report

Quarterly financial reports, which include expenditures, shall be submitted to USAID/SPECS following the fiscal year quarterly reporting schedule.

c) Final Report

The Recipient shall submit a detailed final performance and financial report within 90 calendar days after completion of the Agreement, which will include but not be limited to the following items:

- Basic identifying information, such as program name, award number, approval date, and country assisted;
- The total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- The principal implementing partner;

- A summary of activities/projects used to implement SPECS and major outputs;
- Qualitative and quantitative evaluations of the impact and effectiveness of SPECS;
- Prospects for long-term sustainability of SPECS's impact and principal threats to its sustainability;
- Lessons learned from the program so that they can be applied to other USAID programs, including any potential follow-on program in Afghanistan and similar programs in conflict affected environments;
- Significant changes in the Results Framework during the life of the program, if any;
- A summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- Charts and graphs that visually support evaluation of the program;
- A list and annexes of evaluations and special studies, training modules and courses, including materials, and public outreach tool kit materials conducted during the life of the program, including Performance Reports; and
- Names and contact point of individuals who were directly involved in various phases of the program (planning, achieving, assessing and learning) and who would be good sources of additional information;
- A list and attachments of evaluations and special studies, training and course materials, and media tool kit materials conducted during the life of the program, including performance reports;

9. Information Sharing

Discussions in Washington regarding appropriations to support Afghanistan's programs and the presence of USAID's Office of the Inspector General (OIG) and the Special Investigator General for Afghanistan Reconstruction (SIGAR) in Afghanistan as well as the General and Accountability Office's keen interest in U.S. government programs in Afghanistan, necessitates the maintenance of appropriate, adequate and accurate documentation to communicate performance and financial results, procedures and processes.

Information regularly shared, in addition to the quarterly reports, may include:

- Weekly Highlights and Updates: Updates that reflect the highlights and lowlights of events and program progresses for that week as well as provide a "forward looking" view of important milestones or events coming up within the program.
- Readouts and assessments from key activities: Providing timely information regarding events and activities that create interest and greater understanding of the program's results.
- Public Outreach Stories and Highlights: Human interest stories that reflect successes and will elevate the awareness of SPECS as a visible USG supported effort.

B. Authorizing Legislation

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

C. Program Eligibility Requirements

To be eligible for assistance under the Private Voluntary Organization grant program and other programs listed in 22 CFR 203.1, both U.S. Private Voluntary Organizations and International Private Voluntary Organizations must be registered with USAID, as required by 22 CFR 203. The registration requirement does not apply to local Private Voluntary Organizations.

D. Award Administration

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S. Non-governmental Recipients will be applicable for U.S. Non-governmental Organizations. For non-U.S. organizations, the Standard Provisions for Non-U.S., Non-governmental Recipients will apply. While 22 CFR 226 does not directly apply to Non-U.S. Applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. These documents may be accessed through the world-wide-web at:
<http://www.usaid.gov/business/regulations/>

E. Applicability of 22 CFR Part 226 (May 2005)

The provisions of 22 CFR Part 226 and the Standard Provisions that will be attached to the Agreement upon award are applicable to the recipient and to sub-recipients that meet the definition of "Recipient" in Part 226, unless a section specifically excludes a sub-recipient from coverage. The Recipient shall assure that sub-recipients have copies of all the attached standard provisions.

For any awards or sub-awards made to Non-U.S. Organizations, the "Standard Provisions for Non-U.S. Non-Governmental Grantees" shall apply. All Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

.....End of Section I.....

SECTION II – Award Information

A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide a maximum of \$18 million in total USAID funding for the life of the three-year program.

B. Number of Awards Contemplated

USAID intends to award one Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

The period of performance of the agreement anticipated herein is three years. The estimated start date is on or about May 30, 2013.

D. Type of Award

USAID plans to award an assistance instrument known as a Cooperative Agreement (CA). A CA implies a level of “substantial involvement” by USAID through the AOR. The intended purpose of the AOR’s involvement during the award is to assist the Recipient in achieving the supported objectives of the CA.

E. Substantial Involvement

Due to the sensitivity and importance of the SPECS program USAID/Afghanistan plans to exercise substantial involvement in the following ways:

a) Key Personnel

Written approval of any proposed changes to key personnel is required by the Agreement Officer (AO). Prior to replacing any of the specified individuals, the Recipient must notify both the USAID Agreement Officer and the Agreement Officer’s Representative (AOR) reasonably in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. No replacement will be made without written consent. For SPECS USAID defines the following as Key Personnel:

- Chief of Party
- Political Party Director
- Civil Society Coordinator
- Gender and M&E Expert

b) Work Plan

Approval by the USAID AOR of a detailed annual work plan, including annual indicator targets, technical approach, budget, and Gantt chart describing all the activities to be funded under the Agreement. The Recipient must submit the first work plan within 30 days

from the signing of the Agreement. The following annual work plans shall be submitted in accordance with the dates specified in the Agreement. In addition, the work plan shall describe the Recipient's planned activities by component for the year, including a timeline with relevant milestones indicated, and include expected results, tied to the Recipient's Performance Management Plan. The work plan should be prepared in collaboration with USAID, and any other partners. Significant changes by the Recipient to the approved annual work plan will require prior AOR approval.

c) Performance Management Plan (PMP)

Approval by the AOR of a complete PMP, to be submitted within 45 days of the signing of the Agreement. The USAID AOR shall provide approval of and any changes to the Recipient's approved Performance Management Plan. The Performance Management Plan elements are to include, but are not limited to:

- Graphic representation of the Results Framework and corresponding indicators, with targets for each fiscal year;
- Performance Indicator Reference Sheets (PIRS);
- Performance Management Task Schedule of all performance management tasks by component to be undertaken;

d) Selection of Sub-Awards

USAID requires technical concurrence by the AOR on the selection of sub-award recipients not mentioned by name in the original program description and approved budget.

e) Monitoring

USAID reserves the right to participate in monitoring for specific kinds of direction or redirection because of interrelationships with other projects.

.....End of Section II.....

SECTION III – Eligibility Information

A. Applicants

This is a full and open competition and all interested and qualified U.S Non-Governmental Organizations and Non-U.S Non-Governmental Organizations are encouraged to apply.

B. Cost Share

Cost sharing is an important element of the USAID-Recipient relationship. In addition to USAID funds, the Applicant is encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGOs, local counterpart organizations, or other donors (not other U.S. Government funding sources). This may be from program generated funds such as client savings, interest and fees in accordance with USAID standard provisions on cost sharing.

.....**End of Section III**.....

SECTION IV – Application and Submission Information

A. Point of Contact

Sajia Tokhi

Acquisition Assistant

USAID/Afghanistan

US Embassy CAFÉ Compound

Great Massoud Road

Kabul, Afghanistan

Email: Stokhi@state.gov

Any questions concerning this RFA must be submitted in writing to Sajia Tokhi at Stokhi@state.gov, with a cc to Ragheda Rabie, Agreement Officer at Rrabie@state.gov, no later than Close of Business, Local Kabul Time, February 10, 2013.

B. Required Forms

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

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

These forms are available through the following link: <http://www.grants.gov>

C. Pre-Award Certifications, Assurances and Other Statements of the Recipient

In addition to the certifications that are included in the SF 424, both U.S. and non-U.S. organizations (except as specified below) the Applicant must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;
- A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);

- A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking;”
- Survey on Ensuring Equal Opportunity for Applicants; and
- All Applicants must provide a Data Universal Numbering System (DUNS) Number.

D. Application Preparation and Submission Guidelines

USAID will accept applications from the qualified entities listed in Section [III. A](#) of this RFA. Applications may be submitted by institutions individually or in group. In the case of a group, the application must include only one prime Applicant, which shall enter into sub-agreements or contracts with partnering institutions. In this case, the Prime Applicant will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term “Applicant” is used to refer to the prime only.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the applications. Applications which are incomplete are not directly responsive to the terms, conditions; specifications and provisions of this RFA may be categorized as non-responsive and eliminated from further consideration.

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. All Applicants shall submit electronic applications to Sajia Tokhi at Stokhi@state.gov with Rrabie@state.gov in the ‘cc’ line. The RFA number must be quoted in the subject line.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA. Applications shall be prepared in English. Applications in any other language and application not submitted in accordance with the structural format of the RFA shall be treated as non-responsive and eliminated from further consideration.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

Applications that are submitted late, incomplete or are considered to be non-responsive to this RFA may be eliminated from further consideration.

Page limitations are specified below for each section; applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger in Times New Roman, and have at least one inch margins on the top, bottom and both sides. Responses are to strictly follow the technical application format and outline of the evaluation criteria in the RFA. Applications that

do not respond following the technical application format and evaluation criteria outline may be eliminated from further consideration.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation 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, an 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 grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets _____;" and

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

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

E. Technical Application Format

The Technical Application shall contain the following sections:

- Cover Page
- Application Executive Summary
- Program Narrative
 1. Technical Approach
 2. Management Capability and Staffing
- Annexes

1) Cover Page

A single page with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary Applicant clearly; followed by any proposed sub grantees and/or recipients (hereafter referred to as "subs"), including a brief narrative describing the unique capacities and skills being brought to the program by each institution. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

2) Application Executive Summary

A one page brief description of proposed activities, goals, and anticipated results (both quantitative and qualitative). Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID for the proposed program.

3) Program Narrative

In 20 pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding annexes. The Applicant will describe the program and methodology for achieving SPECS objectives in each of the focal areas described in Section I. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria listed in Section V:

a) Technical Approach

- i. Context – A brief section that shows how the program has been designed to be implemented within the unique operating environment in Afghanistan.
- ii. Theory of Change.
- iii. Political Party.
- iv. Civil Society Strengthening.
- v. Cross Cutting Issues.
- vi. Sub-Awards.
- vii. Coordination Plan with Key Stakeholders.

b) Management Capacity and Staffing

- i. Personnel – The Applicant will present a draft, comprehensive staffing plan with a level of effort chart that includes key personnel, other long-term staff, short-term staff, professional staff, and administrative staff. In keeping with Mission goals for Afghan-owned processes applicants are encouraged to show how Afghan expertise will be incorporated into the program. Applicants will also show how they will build capacity among their local staff and partners. Applicants will provide Statements of Qualification (SOQ) for each proposed key personnel. The intent of the SOQs is for the applicant to clearly explain how the particular individual proposed is the best suited individual for the position, the project, and the context. The Statements of Qualification will consist of brief descriptions of key personnel illustrating their relevant experience and other qualifications for holding the position. The Statements of Qualification will not count against the

page limit for the technical application. The following four positions are designated by USAID as key personnel:

1. Chief of Party: The applicant should recommend a Chief of Party with extensive experience in governance with specific focus political party strengthening and working with civil society organizations. Experience managing programs in conflict-affected countries will earn positive marks. A demonstrated understanding of the special requirements necessary to manage programs in highly politically sensitive environments, with often competing and mistrustful stakeholder interests is required.
2. Political Party Director: The applicant should recommend a Political Party Director with a demonstrated track record for improving the performance of political parties/entities in conflict and/or post-conflict countries. The Director should have experience working with developing the capacity of relatively new political parties to organize, recruit, develop and communicate a party message, and to successfully compete in elections. Experience with coalition building programs and supporting independent candidates are expected. The proposed director should have record that indicates how they have increased the engagement of youth and women in the political process.
3. Civil Society Coordinator: The recommended Civil Society Coordinator should have a demonstrated record for increasing the capacity of local civil society organizations to organize and advocate. Specific experience in working with local domestic election monitoring organizations is strongly recommended. A demonstrated track record for improving the performance of political parties/entities in conflict and/or post-conflict countries.
4. Gender and M&E Expert: The Gender and M&E Expert should have experience working to develop and implement programming that empowers women to participate in the political process in conflict-affected countries. The Expert should have the requisite training and experience, including developing baselines, structuring monitoring of remote programs and designing evaluations and a record of conducting evidence-based monitoring and evaluation work that looks at programs at the outcome and impact level.

According to ADS 303.3.11.b, USAID's policy limits key personnel to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater. The key personnel are expected to fulfill the following illustrative primary responsibilities to ensure quality programming in a fluid, complex operating environment.

USAID does not have any preference as to whether the key personnel are U.S., regional or Afghan staff. Given the size, scope, geographic reach, and complexity of this program, USAID expects these key personnel to have the appropriate qualifications and experience to work as a team to manage a complex U.S. Government Program. The cost application will take into consideration the effectiveness of and transition from expatriate and third country national staff, which is consistent with the Afghan First effort toward Afghan ownership and capacity and program sustainability.

The key personnel specified in the award are considered to be essential to the work being performed hereunder. Prior to replacing any of the specified individuals, the Applicant must notify both the USAID Agreement Officer reasonably in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the application. No replacement will be made by the Applicant without the written consent of the Agreement Officer.

- ii. Implementation Plan – The Applicant will present a draft implementation timeline that clearly describes how they will undertake activities and sub-activities. This implementation timeline should be clearly linked with the approaches to the theory of change, ensuring sustainability, and addressing cross-cutting issues. The draft Implementation Plan will not count against the page limit for the technical application.
- iii. Organization Plan – The Applicant will demonstrate how it will make strategic decisions, monitor, deal with security issues and maintain the ability to quickly evolve and respond to changes on the ground. The graphic organizational chart will illustrate the relationships in Kabul and with the field offices.

4) Required Annexes to be Submitted by Applicant

Required annexes will not count against the page limitation for the Technical Application.

- a) Annex A – Draft work plan
- b) Annex B – Performance Management Plan and Strategic Framework
- c) Annex C – Organizational Chart
- d) Annex D – Letters of Commitment from Key Personnel
- e) Annex E – Mobilization Plan
- f) Annex F – Security Plan
- g) Annex G – Past Performance References Contact Information
- h) Draft Implementation Plan
- i) Staffing Plan
- j) Statement of Qualification for the Key Personnel
- k) Branding Strategy and Marking Plan

F. Cost/Business Application Format

The Cost/Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID's policy not to burden Applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that Applicants for assistance awards must submit to USAID prior to award. While there is no page limit for this portion, Applicants are

encouraged to be as concise as possible, but still provide the necessary details. The budget shall be submitted in an unprotected excel sheet.

1. The Cost/Business Application must be completely separate from the Applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The Cost/Business Application should be for a period of up to 36 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under the Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result. A matrix format will probably be most suitable.
4. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
5. In the case of a group application, the Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the Applicant and its partners, including identification of the Applicant with which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
6. Include a description of contracts, grants, and cooperative agreements that the Applicant has implemented involving similar or related programs over the past three years. Special attention should be paid to activities which took place in Afghanistan or involve other emerging democracies in conflict-prone regions. This section should not exceed five pages.
7. The required certifications should be included with the cost application (Annex 1).
8. The proposed budget should provide cost estimates for the management of the program (including program monitoring and communications and information sharing). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities, particularly to Afghan civilian beneficiaries. Accordingly, those applications with minimal administrative costs may be deemed to offer a "greater value" than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may be deemed to offer a "greater value."

Include a plan containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost. This

information would be added onto the Preliminary Annual Work plan requested under the Technical Application, but also including cost.

9. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
10. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on line items.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies.

Fringe Benefits - If the Applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - the application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the Applicant's normal travel policies

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Indirect Costs – The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Local institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government. Therefore no indirect costs should be included in the cost/business application submitted by local NGOs. Local institutions submitting applications should treat all indirect costs as direct costs.

Seminars and Conferences - The Applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

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

Source and Nationality Requirements - Code 937 (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source) is the authorized Geographic Code for procurement of goods and services:

11. Please include information on the organization's financial status and management, including:
 - a. Audited financial statements for the past three years,
 - b. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - c. If the Applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the Applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
 - d. If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.
12. The application should include information that substantiates that the Applicant:
 - a. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
 - b. Has the ability to comply with the Agreement conditions, taking into account all existing and currently prospective commitments of the Applicant, non-governmental and governmental.
 - c. Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the Applicant, Applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of Applicants using information from sources provided in accordance with "Past Performance" requirements referenced on page 33.
 - d. Has a satisfactory record of integrity and business ethics.
 - e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

- 13. Unnecessarily elaborate applications:** 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 artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

.....**End of Section IV**.....

SECTION V – Application Review Information

Technical applications will be evaluated in accordance with the Technical Evaluation criteria set forth below. Applicants shall organize the narrative sections of their technical applications in the same order as the selection criteria. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

If an award is not made on the initial applications, USAID may request clarification and supplemental materials from Applicants whose applications have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the Applicants with whom discussions are being held.

A. Technical Approach

The sections on Political Entities and Civil Society Strengthening are weighted more heavily than the other sections.

- i. Context – Applicants will be evaluated as to how appropriate their approach is given the constraints in Afghanistan.
- ii. Theory of Change – The Applicant will be evaluated as to how well they have offered a theory of change that illustrates how their activities will lead to strengthened political parties and a civil society that is more active and effective at playing a watchdog role.
- iii. Political Entities Strengthening - The applicant will be evaluated on their proposed strategy paying special attention to the specific activities designed to help improve the ability of political parties to organize, recruit and campaign for elections. Evaluators will assess the support suggested to assist political parties, coalitions, and independent candidates to develop and run on issue based platforms that meet the needs and concerns of Afghan voters. Applications will be evaluated for the sustainability of suggested activities as described in Section I.
- iv. Civil Society Strengthening – The evaluators will assess the Applicant’s proposed program to support the ability of civil society organizations to effectively advocate for and help citizens hold government officials accountable. Applications will be evaluated for the sustainability of suggested activities as described in Section I.
- v. Cross Cutting Issues – The Applicant will be evaluated as to how their approach addresses the four major cross-cutting issues: gender, youth, corruption, and conflict sensitivity. The Applicant will be evaluated on the appropriateness of the proposed activities for improving the ability of women to engage in the political process, whether as members of political entities or CSOs. With regards to youth, the Applicant will be evaluated based on the strategy they present for assisting young Afghans in becoming more involved with political parties and/or civic society watchdog organizations. The

Applicant will also illustrate how these groups can better reach out to youth and take advantage of the skills and energy of young Afghans. The Applicant will be evaluated for how well their approach will reduce corruption in Afghanistan's political processes. Finally, the applicants will be evaluated on how their technical approach has been developed to reduce the potential for politically motivated violence and to mitigate the impact of ongoing violent conflicts on SPECS activities.

- vi. Sub-awards – The Applicant will be evaluated as to how well they have incorporated the sub-award component into their planned activities. The applications will also be evaluated for the proposed approaches that identify and empower local organizations that are active in advocacy and /or monitoring (including elections monitoring) and accountability.
- vii. Coordination Plan with Key Stakeholders - The Applicant will be evaluated as to the effectiveness of the proposed plan for engagement with key stakeholders including identified partner organizations (if any).

B. Management Approach

The Applicant is required to provide a full application package describing in detail the following (all sections are weighted equally):

- iv. Personnel – The TEC will evaluate the comprehensive staffing plan. More emphasis will be given to the level of expertise of the key personnel (Chief of Party, Political Party Director, Civil Society Coordinator, Gender and M&E Expert) and professional staff that are focused on capacity building efforts. In keeping with Mission goals for Afghan-owned processes applicants will be evaluated for how well they incorporate Afghan expertise into the program and build the capacity of local staff and partners..
- v. Implementation Plan – The Applicant will be evaluated on the quality and feasibility of the draft implementation timeline which clearly describes how they will undertake activities and sub-activities. This implementation timeline will be evaluated for how well it clearly links to the theory of change, ensuring sustainability, and addressing cross-cutting issues.
- vi. Organizational plan – The Applicant will be evaluated based on how well the application explains how the program will make strategic decisions, monitor, deal with security issues and maintain the ability to quickly evolve and respond to changes on the ground.

C. Past Performance

- D.** The applicants past performance in conducting similar or related contracts, grants, and cooperative agreements over the past five years will be evaluated. Special attention will be paid to activities which took place in Afghanistan or involve other emerging democracies in conflict-prone regions.

Cost Evaluation Criteria

No points are assigned for cost evaluation; however, each applicant's cost application will be evaluated separately from the technical application. The Applicant should have a structure that will allow it to provide the greatest value (highest results) at the lowest cost; minimizing and/or eliminating overall administrative costs, overhead, subcontract/sub grant pass-through costs, international staff benefits, home office communications and support, and other non-value added costs. Each Applicant's cost application shall be evaluated based on the following criteria in comparison with the cost application of other Applicants:

- 1) Effectiveness of proposed cost control structure including budget transparency to effectively track expenditures
- 2) Reasonableness of proposed labor cost and structure
 - a. Expatriate salary structure and expense considering the Afghan First approach; and
 - b. Local salary structure and expense
- 3) Cost efficiency of proposed Other Direct Costs (ODCs)
 - a. Offers market competitive pricing estimates of tangible items to be used for Performance; and
 - b. Competitiveness of pricing and soundness purchase methods of international and in-country air travel and surface transportation.
- 4) Provides cost-sharing, matching arrangements, and value of in-kind contributions, if any is proposed.
- 5) Reasonableness of overall proposed price.

E. Security Plan

Points will not be assessed for evaluation purposes. Security plans will be reviewed in coordination with USAID's Security Office on the extent to which the plan demonstrates clarity, appropriateness, and feasibility of the proposed approach to ensure security for personnel and facilities. Plans will be assessed a pass or fail rating. If the deficiencies are deemed minor in nature, the Applicant will have an opportunity to address and correct them. The Applicant must have an acceptable plan prior to receiving an award, to be submitted as Annex F

F. Branding Strategy and Marking Plan

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub award, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22 CFR 226.91.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the “Apparent Successful Applicant,” as defined in the regulation. The Apparent Successful Applicant’s proposed Branding and Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the Apparently Successful Applicant, consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 22 CFR 226.91(j).

G. Award

Award will be made to the responsible Applicant whose application offers the best value to the U.S. Government. Best value is defined as the expected outcome of a procurement that, in the Government’s estimation, provides the greatest overall benefit in response to the requirement. The final award decision is made by the Agreement Officer.

The Agreement Officer’s decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer’s decision shall be directed to the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the **only** individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

.....End of Section V.....

SECTION VI – Award and Administrative Information

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

A. Roles and Responsibilities

The Recipient shall be responsible to USAID/Afghanistan for all matters related to the execution of the Agreement. Specifically, the Recipient shall report to the USAID Agreement Officer's Representative (AOR), located within the Office of Democracy and Governance, Kabul.

B. Activity Performance Management Plan and Reporting

- **Performance Monitoring and Evaluation System**

The Recipient will maintain books, records, designs, other documents and evidences to demonstrate that funds are used in accordance with the terms of the Agreement and USAID's regulations. The Applicant to this RFA should also carefully review the USAID/Afghanistan Results Framework.

Within 45 days, the preliminary PMP must be approved with relevant indicators and baseline data before major project implementation actions get underway. The PMP would include the full set of performance indicators disaggregated; baseline values and targeted values; source of the data and method of collection; schedule for data collection; known data limitations, data quality assessment procedures, estimate of costs; possible evaluation studies; and a detailed calendar for the completion of each task.

- **Reporting Requirements**

The Recipient shall prepare and submit three copies of a final performance and financial report to the AOR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final performance and financial report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this Agreement, which will include but not limited to:

- Basic identifying information, such as program name, award number, approval date, and country assisted;
- The total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- The principal implementing partner;
- A summary of activities/projects used to implement SPECS and major outputs;

- o Qualitative and quantitative evaluations of the impact and effectiveness of SPECS;
- o Prospects for long-term sustainability of SPECS's impact and principal threats to its sustainability;
- o Lessons learned from the program, so that they can be applied to other USAID programs, including a follow-on program in Afghanistan and similar programs in conflict affected environments;
- o Significant changes in the Results Framework during the life of the program, if any;
- o A summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- o Charts and graphs that visually support evaluation of the program;
- o A list and annexes of evaluations and special studies, training modules and courses, including materials, and public outreach tool kit materials conducted during the life of the program, including Performance Reports; and
- o Names and contact point of individuals who were directly involved in various phases of the program (planning, achieving, and assessing and learning) and who would be good sources of additional information;
- o A list and attachments of evaluations and special studies, training and course materials, and media tool kit materials conducted during the life of the program, including performance reports; and,
- o Names and contact point of individuals who were directly involved in various phases of the program (planning, achieving, and assessing and learning), and who would be good sources of additional information.

- **Gender Requirements**

Congress has mandated that USAID programs address the needs and protect the rights of Afghan women and girls, including efforts undertaken to prevent discrimination and violence against women and girls; provide economic and leadership opportunities; increase participation of women in the political process at the national, provincial and sub-provincial levels; improve security for women and girls; and any other programs designed to directly benefit women and girls. As required by USAID policies, the Recipient shall integrate assistance to women into all stages of development, planning, programming and implementation as a part of this assistance program, even if such integration requires separate but equitable programming approaches. Such integration shall focus on Afghan-led programs directly aligned with any or all the three pillars of development outlined in the National Action Plan for the Women of Afghanistan (NAPWA): 1) Security; 2) Government, Rule of Law, and Human Rights, including leadership and political participation); and 3) Economic and Social Development. The Recipient shall establish the necessary accounting and management systems to separately track and report to USAID fiscal year expenditures under the Agreement supporting issues of gender equality and women and girls as direct beneficiaries during each fiscal year of the Agreement.

The Recipient shall establish the necessary implementation, management and reporting systems to separately track and report to USAID data on female beneficiaries and

measurable impacts of activities intended to address the needs of women and girls. Project quarterly implementation reports shall specifically include information on the following, to the extent that it is applicable to the Agreement: 1) the total number of women and girls supported through the Agreement on a quarterly basis through Afghan Info; 2) number of interventions resulting in increased participation of women in government and civil society; 3) qualitative outcomes, in addition to quantifiable outputs, for women who have benefited from the Agreement. The Recipient shall refer to USAID/Afghanistan's comprehensive Performance Management Plan (PMP) for list of gender indicators and may add customized indicators as needed. Indicators applicable to the Agreement shall be disaggregated by gender.

- **Database Reporting Requirements**

The demands for performance information are constant and various in a high profile program such as Afghanistan's. The Afghan Info database, enabled to track performance indicators in addition to activity inputs and outputs, will be the basis for contributing to other regular, on-going reporting exercises and to the many ad-hoc requests for performance analysis that are a constant element of the environment of high profile program.

USAID/Afghanistan uses a management information system to track program and project information for all mission-funded activities at the provincial, district, and village levels. The purpose of this database is to track the location of project implementation to the nearest village or geospatial coordinate, document the use of funds at the district level, and monitor the performance of development projects, while maintaining coordination between USAID/Afghanistan, USAID/Washington, Congress, implementing partners, the Government of Afghanistan, and other donors. This reporting process supports the Government of Afghanistan's requirement that USAID provide information to the Ministry of Finance in order to track ongoing and completed donor-sponsored development activities.

The Recipient shall provide at least a quarterly update of information on the activities under the Agreement by entering this information into the USAID/Afghanistan management information system. The Recipient shall enter information via an Internet website or a Microsoft (MS) Access Database; USAID will provide the URL address or Access Database, and a user ID/password. A comprehensive user manual will be provided after that details information on the required information and processes needed for managing the information in USAID\Afghanistan information system.

.....End of Section VI.....

SECTION VII – Agency Contacts

The Agreement Officer for this Award is

Ragheda Rabie

Agreement Officer

USAID/Afghanistan

US Embassy CAFÉ Compound

Great Massoud Road

Kabul, Afghanistan

Email: rrabie@state.gov

The A & A Specialist for this Award is:

Sajia Tokhi

Acquisition Assistant

USAID/Afghanistan

US Embassy CAFÉ Compound

Great Massoud Road

Kabul, Afghanistan

Email: Stokhi@state.gov

.....End of Section VII.....

SECTION VIII – Other

A. Branding Strategy – Assistance (December 2005)

(a) Definitions

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

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

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new 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.

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

(c) Submission Requirements

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

(1) Positioning

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

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

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

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

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

(2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: Afghan civilians victims harmed by military operations, Secondary audience: Afghan communities and local governance structures.*

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

Guidelines: These include primarily word of mouth visits, pamphlets, Public Service Announcements. The program does not envision the development of communication products as significant deliverables.

What is the main program message(s)?

Guidelines: *For example: "Visit your local provincial office for information."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

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

Guidelines: These may include fact sheets, success stories, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

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

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

(3) Acknowledgements

What is the 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?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

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

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

B. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

A *Presumptive Exception* exempts the Applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

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

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

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

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

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

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

(b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the Applicant ineligible for award of a grant or cooperative agreement. The Applicant must include an estimate of all costs associated with

branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

(i) What program deliverables will not be marked with the USAID Identity, and

(ii) The rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

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

C. Marking under USAID-Funded Assistance Instruments (December 2005)

(a) Definitions

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

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand mark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID

provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third parties identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

- (9) Sub recipients. To ensure that the marking requirements “flow down” to sub recipients of sub awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub award, as follows:

“As a condition of receipt of this sub award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, sub recipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub recipient, USAID may, at its discretion, require marking by the sub recipient with the USAID Identity.”

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

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

- (11) The recipient will provide the Agreement Officer 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, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [Agreement Officer fill-in] days after the effective date of this provision. The plan will include:
 - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
 - (ii) the type of marking and what materials the Applicant uses to mark the program deliverables with the USAID Identity,
 - (iii) when in the performance period the Applicant will mark the program deliverables, and where the Applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.
 - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

- (4) Approved waivers “flow down” to recipients of sub awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the cognizant Assistant Administrator.
- e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

D. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)

- (a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
- (b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any sub award, a nongovernmental organization or public international organization awardee/sub awardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
- (b)(2) The following organizations are exempt from (b) (1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.
- (b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.
- (b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, sub recipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any sub award, or procurement contract or subcontract by:
 - (i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;

(ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or

(iii) providing the types of services listed in FAR 37.203(b) (1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

(c) The following definitions apply for purposes of this provision:

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

"Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all sub awards, procurement contracts or subcontracts.

(e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

E. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE – THE GLOBAL FUND TO FIGHT AIDS, TUBERCULOSIS AND MALARIA, THE WORLD HEALTH ORGANIZATION, THE INTERNATIONAL AIDS VACCINE INITIATIVE, AND ANY UNITED NATIONS AGENCY) (APRIL 2010)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b) The following definitions apply for purposes of this provision:

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

“Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

- (c) The recipient shall insert this provision, which is a standard provision, in all sub awards.
- (d) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

F. Ineligible Countries (MAY 1986)

Unless otherwise approved by the USAID Agreement Officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

G. Nondiscrimination USNGO (JUN 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive Order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran's status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the Agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

H. 4-14.001 Information for Non-US contractors, subcontractors, and key individuals

- (a) The awardee must complete and submit the “Information Form” (Annex E), for:
 - (i) Itself, if it is a non-U.S. entity;
 - (ii) Each sub-award or sub-awardee of a sub-awardee, regardless of the tier, that is a non-U.S. entity; or

(iii) Each key individual that is a non-U.S. entity.

(b) For purposes of this clause, the following definitions apply:

“Non-U.S. entity” means (1) any non-US citizen or non-permanent legal resident of the United States; or (2) any entity that is not formed in the United States or for which 50% or more of the equity is owned or controlled by persons who are not U.S. citizens or permanent legal residents of the United States.

“Key individuals” means (i) an individual or entity owning 10% or more equity stake in the organization, whether publically- or privately-held; (ii) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees); (iii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president); (iv) the program manager or chief of party for the USAID-financed program; and (v) any other person with significant responsibilities for administration of USAID financed activities or resources.

“Award” means any contract, grant, guarantee, cooperative agreement, or any other instrument that acts as any of the same awarded by USAID. Unless the context otherwise requires, an Award includes Sub-awards, as defined below.

“Awardee” means any individual or organization that receives an Award. Unless the context otherwise requires, an Awardee includes Sub-awardees, as defined below.

“Sub-award” means any grant, subgrant, guarantee, subcontract, or any other instrument that acts as any of the same awarded by an Awardee pursuant to an Award.

“Sub-awardee” means any individual or organization that receives a Sub-award.

(c) The requirements of paragraph (a) of this clause must be completed at prior to the Government’s acceptance of the contract and following that, at the earlier of:

(i) Once a year; or

(ii) When there is a change or addition to any entity or person identified in paragraph (a).

(d) The requirements of paragraph (a) must be sent via email to Kabul_usaid_vsu@state.gov. The subject line shall include the prime award number the awardee name and the awardee’s Joint Contingency Contracting Registration number.

(e) USAID reserves the right to rescind approval for a sub-award in the event that USAID subsequently becomes aware of information indicating that the sub-award is contrary to U.S. law or policy prohibiting support for terrorism, or facilitating criminal activity. In such cases, USAID's Agreement Officer will provide written instructions to the recipient to terminate the sub-award.

I. SUB-AWARD REQUIREMENTS (MARCH 2012)

(a) Applicability: This section limits the number of tiers of sub-awards to two tiers below the awardee for all Contracts and Cooperative Agreements. The awardee must not allow lower-tier sub-awards without the express written approval of the Contracting/Agreement Officer.

(b) Definitions: The term "award" in this clause refers to either the direct contract between USAID and the prime contractor or a direct Cooperative Agreement between USAID and the recipient. A "first-tier sub-award" is a direct award between the awardee and a sub-awardee (the "first-tier sub-awardee"). A "second tier sub-award" is a direct award between the first-tier sub-awardee and its subawardee (the "second-tier sub-awardee").

(c) USAID's objective is to promote, to the extent practicable, competitive, transparent and appropriate local sub-awards with legitimate and competent subawardees. Awardee will ensure that all sub-awardees at any tier are actively engaged in the performance of sub-awarded work. Awardee will ensure that subawardees do not engage in "brokering" or "flipping" their sub-awards under this award and that all sub-awardees at any tier self perform appropriate portions of the work. "Brokering" or "flipping" is the practice of a sub-awardee receiving a subaward and either selling such sub-award or not performing a significant percentage of the work with the sub-awardee's own organization.

(d) Should exceptional circumstances warrant sub-awards below two tiers, the Awardee will promptly request approval in writing from the Contracting/Agreement Officer, which for contracts may be done in conjunction with a request under FAR 44, provided that the additional information set forth in paragraph (e) below is also provided.

(e) Awardee's written request for approval to allow sub-awardees below the second tier will include the following information:

(i) Sub-award number and title (or a general description of the sub-award work) of the existing sub-award;

(ii) Detailed explanation regarding why the work to be performed by the lower-tier sub-awardee cannot be performed by the prime or the two levels of sub-awardees.

.....**End of Section VIII**.....

ANNEX 1- CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

Part I. Certifications and Assurance.

Part II. Key Individual Certification Narcotics Offenses and Drug Trafficking.

Part III. Participant Certification Narcotics Offenses and Drug Trafficking.

Part IV. Survey on Ensuring Equal Opportunity for Applicants.

Part V. Other statement of Recipient.

ANNEX 2- PARTNER INFORMATION FORM

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

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Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

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 will, 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 must 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.

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 must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned must 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 must 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 will 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 must 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 will 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 must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

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

4. Certification Regarding Terrorist Financing, Implementing 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 is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), 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 Web site:
<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

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

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

3. For purposes of this Certification -

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

b. "Terrorist act" means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://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 must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will 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.

These certifications and assurances are 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 these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or
Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

Part IV – Survey on Ensuring Equal Opportunity for Applicants

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

Survey on Ensuring Equal Opportunity for Applicants

Part V – Other Statements of Recipient

1. Authorized Individuals

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

Name	Title	Telephone No.	Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

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

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

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

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

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, 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 If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory

practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

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

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, 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, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

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

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," 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.

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

6. Past Performance References

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

7. Type of Organization

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

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or 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.

Part VI – Standard Provisions for Solicitations

1. Branding Strategy - Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
- b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

- c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Branding Strategy must include, at a minimum, all of the following:
 - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID prefers to have the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at transition.usaid.gov/branding, included as part of the program or project name.
 - (ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
 - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos.
 - (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target

segments.

- (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
 - (ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
 - (iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."
 - (iv) Provide any additional ideas to increase awareness that the American people support this project or program.
 - (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
 - (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- e. The Agreement Officer will consider the Branding Strategy's adequacy in the award criteria. The Branding Strategy will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
 - f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and landmark,

with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://transition.usaid.gov/branding>.

- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
 - (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
 - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity

cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

- (2) A table on the program deliverables with the following details:
 - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.
- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
 - (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
 - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
 - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or

product.

- (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
 - (v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
 - (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness in the award criteria, and will approve and disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PROVISION)

3. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

APPLICABILITY: This provision must be included in any APS or RFA anticipated to use FY04 – FY13 funds available for HIV/AIDS activities.

CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION (FEBRUARY 2012)

- a. An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

- (1) Must not be required, as a condition of receiving such assistance—
 - (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
 - (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
 - (2) Must not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.
- b. An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Standard Provision “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.
- c. In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror’s proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

ANNEX 2

Part I: Information About Proposed Activities (all parts mandatory)		
1. Name of the proposed awardee of USAID contract or assistance (Firms must include a copy of applicable licenses to do business in Afghanistan)		
2. Type of proposed award or other assistance (check one): ☐ Contract or Subcontract ☐ Grant or Subgrant ☐ Training ☐ Equipment ☐ Other		
3. US\$ amount and estimated start/end date of proposed award or assistance: Dollar amount: \$ Start: End:		
4. Purpose of proposed award or assistance:		
5. Organization proposed to receive award or other assistance:		
a. Name:		
b. Address:		
c. Telephone:	d. Fax:	e. Email:
f. Tribal affiliation or clan		
6. Information on Key Individuals associated with the organization named in 5 above, or, if no organization is listed, information on each individual to receive cash or in-kind assistance (including technical assistance). Use continuation sheets as necessary. ** = mandatory information.		
A. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)
Email:		
Part II: Contractor/Grantee/Recipient Certification:		
Potential Awardee certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor/Grantee/Recipient understands that the U.S. Government may rely on the accuracy of such information in processing this vetting request.		
Name:		Signature:
Title/Organization:		Date:
Part III: Submission details (to be completed by USG vetting official)		
Vetting request number		
Staff member who initiated request		
Project name		
Date submitted for screening		

(Use additional continuation sheets as necessary):

B. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if “key individual”):**
Other names used (may include nicknames, pseudonyms not listed under “Name”):**		Gender:**
Current employer and job title:**		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father’s Name)
Email:		
C. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if “key individual”):**
Other names used (may include nicknames, pseudonyms not listed under “Name”):**		Gender:**
Current employer and job title:**		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father’s Name)
Email:		
D. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if “key individual”):**
Other names used (may include nicknames, pseudonyms not listed under “Name”):**		Gender:**
Current employer and job title:		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father’s Name)
Email:		
E. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if “key individual”):**
Other names used (may include nicknames, pseudonyms not listed under “Name”):**		Gender:**
Current employer and job title:		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father’s Name)
Email:		

INFORMATION FORM INSTRUCTIONS

Please provide information for key individuals of all organizations receiving funds from USAID, including grantees, sub-grantees, contractors, and vendors, who work in Afghanistan. Please do not provide information for United States citizens or permanent legal residents of the United States.

Part I

Question 1 – Self-explanatory

Question 2- Indicate the proposed type of mechanism to be utilized by placing a check mark on the line in front of the appropriate term

Question 3 – Enter the amount of award or assistance in U.S. dollars and indicate the start and end date of the program using a mm/dd/yyyy format

Question 4 – Indicate the purpose of the award or assistance. Use additional sheets and attach to page one of the vetting form if necessary

Question 5 a-g – Self-explanatory.

Attach a copy of the relevant Afghan business license.

Question 6 - “Key Individual” means (i) Any large shareholder: defined as owning 10% or more of an equity stake in the organization, whether publically or privately held; (ii) Principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees); (iii) The principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president); (iv) The program manager or chief of party for the USAID-financed program; and (v) Any other person with significant responsibilities for administration of USAID financed activities or resources (while a comprehensive list is not possible, this would include any person acting in a role substantially similar to those outlined in (i)-(iv). For Private Security Companies, this would include leadership roles down to the level of field commanders). Complete for each of these four categories or indicate “N/A” if a category does not apply. Use additional pages as needed. Attach copies of photo ID for each “key individual”.

Note: If a “Key Individual” is a U.S. Citizen or Permanent Residents no information is required.

Part II

Individual filling out form must read the Certification and print their name where indicated, sign where indicated, print their title and the name of their organization where indicated, and print the date where indicated.

Part III

This section is not for individual's information and will be completed by the USG vetting official.