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Funding Opportunity Cover Page

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Subject: **Request for Applications (RFA) Number: RFA-267-12-000001**
Iraq's Broadening Participation through Civil Society Project

The United States Agency for International Development (USAID) is seeking applications for Assistance Agreements from U.S. organizations for funding to support a program entitled "**Broadening Participation through Civil Society Project.**" The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient shall be responsible for ensuring achievement of the program objectives as described in the program description in Section I I of the RFA. Please refer to the Program Description for a complete statement of goals and expected results.

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

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

Subject to the availability of funds, USAID intends to provide approximately $75,000,000 in total USAID funding to be allocated over the three year period. USAID reserves the right to fund any or none of the applications submitted.

Award will be made to that responsible applicant whose application offers the best value to the U.S. Government. 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.

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Any questions concerning this RFA should be submitted in writing via email baghdadsolicitations@usaid.gov, baghdadtdy226@usaid.gove and mabianco@usaid.gov by the date listed above. Questions sent to any other email address will not be answered. The e-mail transmitting the questions must reference the RFA number and title on the subject line of the e-mail.

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

The applicant shall submit applications in two separate parts: a) technical, and b) cost or business application, both in electronic format as described in Section IV. Applications must be emailed to only baghdadsolicitations@usaid.gov. Email notifications for submission without attachment shall be sent to bteame@usaid.gov and baghdadtdy226@usaid.gov . Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. 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 USAID from making an award, all preparation and submission costs are at the applicant's expense.

Sincerely,

J.J. Kryschtal
Supervisory Agreement Officer

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SECTION I. FUNDING OPPORTUNITY DESCRIPTION

PROJECT DESCRIPTION
The Broadening Participation through Civil Society (BPCS) Project

I. Executive Summary

The U.S. Agency for International Development in Iraq (USAID/Iraq) is seeking applications for a civil society project that will bolster Iraq's transition to a sustainable, participatory democracy by strengthening the civil society sector. The project will be national in scope, and the name **Broadening Participation through Civil Society (BPCS)** will be shortened to "engagement" in translation for ease of reference. The short name **Musharaka** (mu-SHA-ra-ka) will be used in Arabic-speaking areas, while **Bazhdarikurdin** (bazh-da-RIK-ur-din) will be used in Kurdish-speaking areas. The project is expected to be three years and have a life-of-project funding level of $60 million for civil society, plus an additional $15 million for such special projects as the congressionally-mandated Marla Ruzicka Iraqi War Victims Fund**.** A follow-on award or extension, in accordance with ADS 303.3.6.6(a)(2)(h), will be considered, depending on project success, needs of the sector and availability of funding.

The overall goal of the project is for the Iraqi political system to function through a more sustainable, participatory democratic model by the end of the three-year effort. This element of participation is critical to effective democratic governance because it connects the people to decision-makers and helps citizens play a greater role in their society. The development hypothesis is that ***if*** civil society is strengthened in a way that increases citizen input into Iraq's social and political development, ***then*** Iraq's democratic system will be more participatory. The project will pursue the overarching objective of increasing citizen input into Iraq's development through the following planned results: 1) democratic engagement of citizens increased; 2) institutional capacity of civil society organizations (CSOs) increased; 3) impact of civil society on public policy increased; and 4) enabling environment for civil society improved. These results address problems identified as critical constraints on civil society's ability to fulfill its full potential as a mechanism through which citizens can effectively participate in the Iraqi democratic system.

The scope of work will separate the project's four planned results into distinct, but interrelated components. These activities fall under the Objective of Governing Justly and Democratically in the Foreign Assistance Framework. In addition to these civil society pursuits, a Special Projects component will allow the project to manage special projects, such as the congressionally-mandated Marla Ruzicka Iraqi War Victims Fund with a focus on assistance to war victims. This activity falls under the Objective of Investing in People in the Foreign Assistance Framework. Should other mandates arise in the future, the existence of a Special Projects component will allow the project flexibility to respond. The total of these activities is captured in the following five project components:

- COMPONENT 1. Democratic engagement of citizens increased
- COMPONENT 2. Institutional capacity of CSO/NGOs increased
- COMPONENT 3. Civil society impact on public policy increased
- COMPONENT 4. Enabling environment for civil society improved

- COMPONENT 5. Special Projects – Civilian war victims assisted

The proposed effort is a "next generation" civil society project with a holistic approach to build social capital of the civil society sector. The project must engage local organizations as equal partners in the implementation of all project activities. To this end, Applicants[1] are required to propose one or more Iraqi implementing partners for teaming arrangement(s). While the arrangements may start as mentoring relationships, these should evolve into full partnerships by the end of the project so that Iraqi CSOs have the skills to support their own development in the future. Applications must identify at least one Iraqi partner organization.

It will be critical for the project approach to engage a broad range of pro-democracy groups, professional associations, religious organizations, and informal citizen and community-based organizations. Applicants should clearly describe their approach to reaching these types of groups. In their technical approach, Applicants will be required to describe how sub-grants to local Iraqi CSOs will contribute to project objectives. While sub-grants to existing, legally-registered Iraqi CSOs are envisioned under this project, these sub-grants are a means to pursuing the project's goal and objective rather than an end themselves. In addition, Applicants should be mindful that small grants will not be appropriate for every organization or group that Applicants aim to engage.

Finally, sustainability of interventions should be encouraged from the start of the project. Sustainability should incorporate the transfer of skills so that Iraqis CSOs have the opportunity to apply democratic principles during project implementation. Sustainability in the long term also will require active engagement of all partners and stakeholders throughout the project timeframe.

II. Development Context

A. Background

Since 2003, the U.S. Agency for International Development in Iraq (USAID/Iraq) has provided assistance to Iraq's civil society[2] in the form of local community groups as well as more formal civil society organizations (CSOs) and Iraqi non-governmental organizations (NGOs). This assistance has included sector specific initiatives such as those focused on agriculture, private enterprise, elections, support for vulnerable groups and war victims, and conflict mitigation projects. Under the Democracy and Governance Office (DGO), USAID/Iraq's flagship support project to civil society in the broadest sense has been the Community Action Program (CAP), aimed at building civic awareness and laying the foundation for participatory governance. This long-running project ends in September 2012. While the Broadening Participation through Civil Society (BPCS) Project is not a follow-on to CAP or any other USAID project, it will build on the foundations of previous programming in the sector.

[1] The term Applicant refers to the organization(s) that submit applications in response to this Request for Applications. The term Recipient is also used in this document, but it refers specifically to actions to be taken by the successful Applicant after the award is made.

[2] The World Bank defines civil society as: *"the wide array of non-governmental and not-for-profit organizations that have a presence in public life, expressing the interests and values of their members or others, based on ethical, cultural, political, scientific, religious or philanthropic considerations. Civil Society Organizations (CSOs) therefore refer to a wide of array of organizations: community groups, non-governmental organizations (NGOs), labor unions, indigenous groups, charitable organizations, faith-based organizations, professional associations, and foundations."* While the World Bank refers to NGOs as a sub-set of CSOs, this project description does not make this distinction. This project also considers civil society in the broadest sense to include credible leaders and mobilizers, both individuals and institutions, such as those outlined in the World Bank definition and including universities.

This effort will take place in Iraq's present day development context. Within the last three decades, Iraq has experienced multiple internal and external conflicts, economic sanctions, and high levels of insecurity. Spanning multiple generations, these experiences have had a deep impact on the mindset of Iraqi leaders and the public. Conflict and war have affected all aspects of political and social life, caused backsliding in the country's development indicators, slowed economic growth, increased societal divisions, and deeply traumatized the population. Although the Iraqi economy has been slowly recovering and the country benefits from vast oil wealth, the average Iraqi still feels poor. This paradox, and the resulting cynicism and apathy, has been damaging for the development of civil society and limited the willingness of people to engage in political processes. Due to political and societal divisions, the country lacks unified goals and a vision for the future. Polling suggests that many citizens are concerned primarily with the restoration of order, and prioritize access to electricity, water, and jobs. At the same time, Iraq is emerging from a totalitarian regime in which any initiative outside of government control was discouraged, dissenting views were repressed, information through the media was strictly controlled, advancement was made through personal connections, and basic civic and human rights were systematically abused.

In 2003, the collapse of the Ba'ath regime opened political and social space in which civil society could operate. Since that time, Iraq has made progress in its transition from an authoritarian model of government to a more democratic one. An engaged civil society is critical at this point to ensure checks and balances on power are maintained as Iraq continues its political transition. Over 6,000 independent citizen-based organizations sprung up around Iraq after 2003,[3]but the number of active, Iraqi-based CSOs that remain cohesive and are seeking to register under a new government process is more modest. The NGO Coordination Committee for Iraq conducted a mapping survey of Iraqi NGOs in 2010 that identified 800 NGOs as 'active' in the field of humanitarian and developmental intervention.[4]The more active CSOs have begun to serve as a balancing and complementary force to government, characterized in one assessment "an important and effective force in advancing democracy."[5]In addition to formally-organized NGOs, habits of citizen participation, healthy debate and transparency are developing among the Iraqi citizenry. These habits need to be fostered, bolstered, and sustained.

Civil Society in Iraq

"Civil society in Iraq widely differs from a Western-inspired model, which is defined as independent from traditional social structures and the state. Iraqi civil society relies on traditional ethical values of solidarity, social networking and cohesion. It is also fundamentally shaped by the state's and political parties' attempts to penetrate and control civil society."[6] In broad terms, similar to other Middle Eastern countries, [7] Iraqi civil society comprises four sectors: the Islamic sector; NGO service organizations; membership-based; professional organizations; and pro-democracy associations.

- The Islamic sector consists of a wide array of groups, associations, and movements whose common objective is upholding and propagating the faith of

[3] The QED Group, LLC, Iraq Civil Society Assessment for USAID, December 2011.

[4] NGO Coordination Committee for Iraq, Iraq's Civil Society in Perspective, April 2011, p17.

[5] Safa, Oussama, Against All Odds: An Assessment of the National Endowment for Democracy's Support to Iraqi Civil Society Organizations, 2003-2009, June 2011, p. 1.

[6] NGO Coordination Committee for Iraq, Iraq's Civil Society in Perspective, April 2011, p26.

[7] Hawthorne, Amy, Middle Eastern Democracy: Is Civil Society the Answer?, Carnegie Papers: Number 44, March 2004.

Islam. This is the most active form of associative life in Iraq today. Islamic organizations provide such charitable and social services as medical care, education, employment assistance, and tutoring, as well as religious instruction and spiritual guidance.

- NGO service organizations (service NGOs) provide the services and socioeconomic development necessary to maintain social stability.
- Membership-based professional organizations, including labor unions and such associations as those of doctors and engineers, have an established lineage, but are often government-controlled.
- Pro-democracy associations have carried out democracy-education activities, often targeted at politically-marginalized groups, such as women and youth. They also have mobilized citizens to vote and observe elections, as well as monitor the human right practices of the Government of Iraq (GOI) and press for women's rights. These are the organizations that successfully lobbied for the 2010 NGO Law and several other key pieces of legislation. Several of these organizations also observe committees in Iraq's parliament, the Council of Representatives (COR), including committees that nominate the Human Rights Commission Board of Commissioners and the Independent High Electoral Commission Board. They also perform more sophisticated tasks and roles similar to CSOs in other countries.

To broaden the civil society sector, the project will be open to the full spectrum of organizations listed above, as long as the groups demonstrate an interest in peacefully engaging society. The Applicant should demonstrate an understanding that each organization type has its own needs and may require different strategies for its development. For example, the approach to funding diversification for a service-based CSO would be different from that of a pro-democracy group.

Tradition, social trust and social acceptance of public participation and inclusion are important elements for development of a robust and active civil society that plays a constructive role in a participatory democracy. Citizen involvement in Iraq's political processes and critical decision-making in the country has been weak not only because government is not accustomed to listening, but because many citizens are not accustomed to reaching out to their representatives. It is difficult to determine to what extent this is the result of the non-inclusive and oppressive nature of the previous regime or whether it reflects political and cultural characteristics of Iraqi society. Overall, capacity for and habits of inclusion and participation are limited across the political system, including all levels of administrative institutions as well as in individual communities. This is particularly true for groups that are marginalized from public life, including women, youth, the poor, the illiterate, internally displaced persons (IDPs), minorities and people with disabilities.

Youth

Eight million Iraqis — a quarter of the population — have been born since 2003, and nearly half the country is under the age of 19. This generation came of age under years of sanctions and during Saddam Hussein's most repressive years and its youngest members were born into the uncertainties of war and sectarian violence post-2003. These events isolated Iraq, and its youth. Unlike their peers in other countries around the world and closer to home in the Middle East and North Africa, Iraq's current young adults have only recently begun to have access to new social, cultural, economic and political concepts. Many young Iraqis still remember being raised in an environment

where speaking out, criticizing or even noting any negative or unsatisfying action by the government, army, or Ba'ath party members could cause serious problems for the entire family. Engaging, on any level, with other political parties or affiliations was extremely dangerous. Parents and families were careful not to speak negatively about the government in front of their children. Thus, Iraqi young people have grown up without an appreciation for the value of critical thinking, and often are reluctant to be politically active. Over the years, this has generated apathy, rather than creating a generation with incentives to develop visions of their future or ambitions for themselves or their nation.

Today, Iraqi youth suffer from a lack of educational opportunities, a poor healthcare system, limited employment prospects, and a security environment that still does not foster public socialization or association. Many youth in Iraq exhibit symptoms of acute stress. According to the figures provided on the United Nations Country Team Iraq website, 24% of those aged 10-30 suffer from nervousness, 17% have permanent headaches and 32% cry easily.[8]Attendance rates have begun to steeply decline after primary school, with slightly more than 300,000 Iraqi youth aged 10-18 never having attended school. Girls' attendance in schools falls five to ten percent below that of boys. Furthermore, 70% of youth in Iraq report that they have no interest in cultural and art activities, 87% do not attend youth clubs, 68% do not practice sports and 37% do not have any hobbies, all of which are indications of a devastatingly disengaged youth population in a country with a significant youth bulge.

B. Statement of Need

The Arab spring in early 2011 demonstrated that governments which do not adequately represent their citizens risk resentment and ultimately challenges to their power. Civil society is a mechanism through which citizens can constructively communicate their needs and aspirations to the government before circumstances reach a breaking point. With these events and their aftermath still unfolding throughout the Middle East, a stronger civil society sector is critical to empower Iraqi citizens to work with their government in pursuit of tangible improvements for the country. To understand how to best strengthen the sector, USAID/Iraq sponsored a formal civil society assessment in late 2011. The assessment analyzed seven interrelated dimensions of sector sustainability and found the greatest challenges were related to citizen engagement, limited CSO organizational capacity and financial viability, a weak understanding of advocacy, and an inadequate enabling environment due to nascent legal, regulatory and policy frameworks that are neither fully implemented nor institutionalized. These are the development challenges to be addressed through the project.

In general, Iraqi society exhibits a low level of participation that limits the effectiveness of civil society and undermines the country's participatory democracy. While Iraq has high levels of participation during election cycles, this periodic participation is only part of the democratic equation and does not occur as readily in other aspects of the political process. This is a key area in which a stronger civil society sector can be important. CSOs serve to inform the public about the issues of the day, stimulate citizen engagement on those issues, and help the people to communicate their interests to decision-makers in government. At this point, this is not happening widely. Iraqis, particularly Iraqi youth, are not active participants in their democracy. In addition, vulnerable groups, women, IDPs and minorities are often disenfranchised. The wider

[8] United Nations Country Team Iraq, Iraq Fact and Figures, referenced last on February 8, 2012, http://iq.one.un.org/Facts-and-Figures

public, as well as society's more marginalized groups, must be motivated and engaged in the political process.

Regarding CSO capacity, Iraqi organizations have a lot of room to grow. Limited management capacity and a lack of transparency result in poor project management and weak accomplishment and articulation of results. This fuels a negative perception of CSOs, which limits their ability to raise funds and recruit volunteers from the community. Internal governance also has been a problem for many NGOs. Many organizations do not have clear governance structures. Where these structures do exist, it is difficult to distinguish boards from management. An underlying factor is that some NGOs are primarily organized by individuals; thus, management and organizational accountability tend to be centered on those individuals. Staffing also is a problem for most Iraqi NGOs. A significant number of skilled professionals from across all sectors left the country during years of conflict and have not returned. The country faces a limited trained workforce, which is especially true in the pro-democracy and non-profit realm. CSO staff recruitment is usually based on the demands of a current or upcoming project and most organizations have difficulty retaining qualified staff after project completion.

In financial terms, the main challenge for CSOs operating in Iraq is the need to diversify sources of funding. Many national-level CSOs take an approach driven by donor funding in addressing issues and give little regard to grassroots constituency-building. Connections, real or perceived, to political parties and/or foreign governments degrade trust between citizens and CSOs, as well as between CSOs and the Iraqi government. With more diverse sources of funding, CSOs would be able to develop greater autonomy from the GOI and/or foreign donors, which would strengthen their credibility in society at large. In addition, the relationship between CSOs with the GOI as subcontractors is a major issue for sustainability of CSOs. There is little transparency in the dissemination of funds/contracting to NGOs.

As for advocacy, while mechanisms and platforms for such efforts do exist, the capacity to influence policy is weak. The difficulty CSOs face in this regard results from many factors, including political uncertainty in the country; unclear authorities at the local, provincial, regional and national levels; a lack of domestic constituencies among Iraqi civic groups; and government wariness of politically-sensitive issues. Out of all the types of CSOs, the pro-democracy groups tend to have the clearest policy agendas, but also have very limited influence. The groups that have been the most effective in lobbying government for policy change have done so using personal connections, not by mobilizing popular support for their cause. Without a grassroots constituency, these groups lack the legitimacy of a broader support base. CSOs must face these challenges and address the concerns of citizens in cooperation with government decision-makers within the political process.

The inadequate enabling environment is another area that must be addressed to strengthen civil society. In 2010, Iraq passed a federal NGO law with international assistance and strong input from Iraq's NGO community. The following year, a regional law was passed to regulate NGOs operating in the Iraqi Kurdistan Region (IKR). Both laws require NGOs to register, but there is limited coordination between federal and regional authorities such that groups with a national focus currently need to register twice. This offers but one example of how the CSO environment varies between the IKR and the rest of the country, highlighting the need for different approaches to civil society development in each area. Also, as the new registration processes are being put into

place, many NGOs have faced delays. The legal framework also includes the broader body of fundamental laws and regulations that are necessary to ensure the right of association, promote volunteerism, stimulate charitable contributions from individuals and businesses, provide for public access to information, and protect media and information networks from undue government interference. This last piece regarding the role of media, as both an element of civil society and an independent stakeholder, is integral to the overall operating environment for civil society. Currently, media coverage does not promote a clear understanding about CSOs or their role in society.

III. Development Hypothesis and Results Framework

The highest level goal of the three-year, $60 million civil society focus of the project is **that the Iraqi political system functions through a more sustainable, participatory democratic model by increasing citizen input into Iraq's development.** The development hypothesis is that **if** civil society is strengthened in a way that increases citizen input into Iraq's social and political development, **then** Iraq's democratic system will be more participatory. The hypothesis is based on best practices and development about participatory democracy, a term coined by Arnold Kauffman in the 1960s and commonly used within USAID and other development circles. Kaufman suggested that political participation would bring people "out of isolation and into community," and would encourage "independence, a respect for others, a sense of dignity and a willingness to accept social responsibility." These principles would benefit not only Iraq's civil society, but the country as a whole. According to Carole Pateman's *Participation and Democratic Theory* (1972), "confidence in one's ability to participate responsibly and effectively, and to control one's life and environment," is actually "required" for democratic governance. Pateman further states that, "subsidiary hypotheses about participation are that it has an integrative effect and that it aids the acceptance of collective decisions."

With this understanding of the importance of participatory democracy and the critical role of civil society in such a system, USAID is seeking applications that take a comprehensive, holistic and integrated approach to strengthening the sector in support of Iraq's transition to sustainable participatory democracy. The USAID/Iraq Broadening Participation through Civil Society (BPCS) Project will use the following theoretical model as its foundation:

Figure 1. USAID/Iraq Broadening Participation through Civil Society (BPCS) Theoretical Model

Three elements critical for civil society strengthening are: democratic engagement of citizens, CSO strengthening and policy influence. These three components also correspond to the three stages of civil society development,[9] which are the transformational, developmental and instrumental phases respectively. According to the model pictured above, civil society development moves from democratic engagement of citizens (transformational) to civil society strengthening (developmental) to policy influence (instrumental) in a dynamic fashion. Each component reinforces the other through backward and forward linkages, thus creating a virtuous circle. The project's logical and results frameworks, as well as the illustrative activities, are tied to this model and correspond to the current state of Iraqi civil society development. Ultimately, in order for the virtuous circle to "spin" and expand in a sustainable manner, a fourth component is necessary that would ensure there is a strong enabling environment for the civil society sector to thrive. The basic elements of such an environment are beneficial legal, regulatory and policy frameworks, as well as favorable political, institutional, economic and socio-cultural factors.

In addition to the project's four main areas, a Special Projects component of $15 million is set aside to support specials projects, such as the congressionally-mandated assistance activities under the Marla Ruzicka Iraqi War Victims Fund. Since 2010, USAID implementers under the Community Action Program (CAP) have worked with selected Iraqi NGOs for joint management of the fund. The BPCS Project, therefore, may wish to consider picking up where CAP ends and engage some of the same, or

[9]Fox, Leslie M. and Priya Helweg, Advocacy Strategies for Civil Society: A Conceptual Framework & Practitioners Guide, Prepared for USAID, August 31, 1997, page 8.

equally-capable, Iraqi NGO partners to support civilian war victims through the Marla Fund.

Key Actors

With these potential benefits of participation in mind, the BPCS Project specifically aims to bolster an Iraqi civil society that is capable of playing a constructive role in strengthening the participatory nature of Iraq's democracy. Understanding that no single set of actors can build or maintain a participatory democracy on its own, the project will engage a range of actors and stakeholders within and outside civil society. The following list represents many of the key actors with regard to civil society, although other groups may be considered. The Applicant should, whenever possible, identify how these key actors will be engaged through their project approach and how their engagement contributes to project level goals and activities.

- Average citizens, including youth, women, internally displaced persons (IDPs), people with disabilities, and minorities and vulnerable groups
- Citizen leaders, specifically exceptional citizens already empowered but in need of support to effectively use their voices and/or inspire others
- Civil society organizations
- Tribes
- Religious leaders
- Government of Iraq at the national, provincial, and local levels
- Kurdistan Regional Government at the regional, provincial, and local levels
- Legislators at all levels of government
- Media outlets, including new media (Facebook, Twitter, YouTube, SMS text messaging)
- Arts and music organizations, as well as individual artists and musicians
- Universities and academics
- Private businesses, including engagement for corporate social responsibility endeavors, public-private partnerships and other philanthropy efforts

These efforts should help various stakeholders to understand and exercise their roles and responsibilities in a participatory democracy. Iraq's new and fragile democratic governance systems must deliver tangible improvements to its citizens. The BPCS Project aims to inspire and empower Iraqi citizens to work with government towards this end. It would also equip citizens and government with the necessary skills and enabling environment to successfully pursue tangible improvements in the country. Through its approach, the Applicant must demonstrate how activities will increase citizen impact on Iraq's democratic and community development.

In Attachment A, the project-level Results Framework/Logical Framework presents the highest level goal or development objective (DO), the project purpose or Intermediate Result (IR), four sub-purposes or sub-IR results as well as corresponding illustrative

project outputs and inputs. The framework also includes illustrative indicators at all levels, although the Applicant may propose other appropriate indicators. The sub-IR, IR and DO level indicators represent the top line indicators for this project.

IV. Project Description

This three-year project includes tasks and activities set forth below, organized by the following planned results which reflect the components of the theoretical model outlined above. The Applicant's technical approach must highlight linkages between proposed activities under the following four planned results, henceforth referred to as components:

- COMPONENT 1. Democratic engagement of citizens increased
- COMPONENT2. Institutional capacity of CSO/NGOs increased
- COMPONENT3. Civil society impact on public policy increased
- COMPONENT 4. Enabling environment for civil society improved

The implementation of activities under each component should be agreed upon by the key beneficiaries, the Recipient and USAID. In the Foreign Assistance Framework, these activities fall under the Objective of Governing Justly and Democratically and respond to the Program Area of Civil Society and the Program Element of Civil Participation. The Applicant will provide data and analysis to link components to achievement of the project's planned results, objective and overall goal as provided in the project-level Results Framework. The suggested highest level indicator for this project is "Percent of citizens participating in political process."[10]

This project will be national in scope. The Applicant must display an understanding of the political and cultural differences across Iraq's 18 provinces and present a technical approach that is sensitive to these differences. Iraq is a large and diverse country. The Applicant must focus on encouraging inclusive participation across a wide spectrum of Iraqi civil society. The Applicant also should describe what approach it will take to reach each province during the course of the project, with special attention to the fact that the legal framework and civil sector context in the Iraqi Kurdistan Region is distinct.

Special Projects

In addition to the project's four main areas, a Special Projects component is necessary to house assistance activities that are appropriately administered by the project, but do not fit within the conceptual framework of the results framework and are too inefficient to administer as a standalone project. The Marla Ruzicka Iraqi War Victims Fund is a congressionally-mandated activity that fits these criteria and will be managed under a special projects component:

- COMPONENT 5. Special Projects – Civilian war victims assisted

Since 2003, USAID/Iraq has provided assistance to civilian victims of Coalition military operations. In 2005, when Marla Ruzicka was killed in Baghdad while helping Iraqi war victims, Congress renamed these efforts in her honor. USAID/Iraq envisions Marla Fund activities as a distinct component within the project to provide assistance to families and

[10]Other elements of this indicator may include percent who discuss civic and political affairs (and how frequently); percent who contact political representatives (i.e. local councilors, legislators, government officials); and percent with experience as civic activists (i.e. members of CSOs, attend CSO meetings, speak at meetings, or organize CSO activities).

communities of Iraqi civilians who have suffered losses as a result of Coalition military operations.

Implemented in the past by USAID/Iraq's Community Action Program (CAP), assistance under the Marla Fund has included medical services to war victims, replacement of damaged property, replacement of lost livelihoods for families of war victims, replacement of damaged community infrastructure, and the promotion of industries and trades which assist war victims.

Since 2010, CAP partners have worked with selected Iraqi NGOs for joint management of the fund. The BPCS Project will be well-placed with the proper administrative staff and experts to pick up where CAP ends and engage the same, or equally-capable, Iraqi NGO partners to support civilian war victims through the Marla Fund.

Under the Foreign Assistance Framework, this activity to assist war victims falls under the Objective of Investing in People and responds to the Program Area of Social Services and Protection for Vulnerable Populations and the Program Element of Social Services.

A. Project Components and Illustrative Activities

Component 1: Democratic engagement of citizens increased
The Applicant should propose a technical approach to engage and empower citizens by stimulating their interest and improving their ability to actively participate in their democracy at the community, local and/or national level. Through Component 1, the project should support hands-on activities that demonstrate concrete examples of the constructive role citizens and civil society can play in a democracy. Activities should raise awareness of importance of citizens participating in civil society activities and civic life more broadly. The consolidation of democracy depends on the acceptance by citizens, ordinary citizens and political elites alike, of a shared system of democratic norms and values. This component should also include activities that foster key democratic values among Iraqi citizens, such as tolerance, non-violence, willingness to compromise, volunteerism, mutual respect, listening skills, empathy, and acceptance of responsibility. These traits are particularly important to inspire and impart in Iraq's young people.

Promoting democratic orientations and sharing information regarding roles and responsibilities of actors in new democracies like Iraq is commonly done through civic education activities. Civic education seeks to specifically impart knowledge about democratic practices and institutions, in still core democratic beliefs and values, and encourage more active and informed political participation.[11] According to USAID's *Approaches to Civic Education: Lessons Learned*, "civic education appears to have the greatest positive impact on rates of political participation, particularly at the local level. Civic education activities were also linked to greater participants' knowledge about democratic structures and institutions, and their sense of political efficacy." Civic education principles should be woven into all suggested project components – not just Component 1– reinforcing activities with methods for application of democratic practices, concrete examples of core democratic beliefs and values brought to life in Iraq, and proven examples of informed political participation making a difference in Iraqi citizens'

[11] USAID, DCHA/DG, Approaches to Civic Education: Lessons Learned, June 2002.

lives. Citizens, in particular those from targeted groups (youth, women, IDPs, minorities and other vulnerable groups) should be provided with the tools and skills necessary to function as part of their emerging democracy rather than remaining exclusively dependent on the State to present and implement solutions to problems. The aim is increasing activity, activism, and ownership rather than perpetuating passivity, isolation and vulnerability.

In an increasingly digital world of television, DVDs, computer and video games, and electronic social media networks like Facebook and Twitter, face-to-face interaction has been in decline. As mentioned in the Development Context, born from years of fear, oppression and conflict, Iraq's young people suffer from a sense of apathy regarding collective community or national level action, and are, understandably, primarily concerned with the pursuit of their own individual or familial well-being and advancement. This is not entirely unique to Iraq, given that although "most students identify themselves as citizens, their grasp of what it means to act as citizens is rudimentary and dominated by a focus on rights, thus creating a privately oriented, passive understanding."[12] It is however, exacerbated by Iraq's development challenges. As a result, experiential education and activist civic education is needed in Iraq to build the next generation of democratic leaders. Service-learning[13] puts people in communities, turning civic education into action and drawing isolated members of society into the collective community realm. Service-learning and other methods for participatory civic education work specifically towards bringing Iraqi youth, a key demographic group for this project, out of a passive understanding of citizenship and encourage more civic-orientation. As part of Component 1 activities, Applicants should include service-learning as part of experiential civic education, broadening the concept to include various kinds of volunteerism and community work.

At a very basic level, Iraqi citizens lack trust in CSOs and in their own capacity to influence the future of the nation. Results of the USAID 2011 Civil Society Assessment are very similar to preliminary results of the Middle East NGO Sustainability Index which scored "Public Image" of CSOs at 5.4 on a scale from 1-7 (with 7 indicating a low or poor level of development and 1 indicating a very advanced civil society sector). This is due, at least in part, to the lack of information available to the public about the role of citizens in a democracy, specifically the role of CSOs or NGOs, as well as a dearth of concrete information about CSO or citizen-led activities. Iraqi civil society and Iraqi media do not have a well-developed relationship, a clear understanding of one another's roles or proven experience working together for increased free flow of information. Consequently, the media have not been an effective channel for educating the public on the role of civil society, or sharing the positive results of civic participation and civil society advocacy with the general public. As articulated through the non-linear theoretical model upon which this project is built, Component 1 can also serve as a "reach back" to Component 3. Accordingly, Component 1 activities present an opportunity to share existing successes of civil society activism, thereby generating broader citizen engagement.

Illustrative activities under Component 1:

[12] Conover, P.J. and Searing, D. D., 2000. "A Political Socialization Perspective." In McDonnell, Lorraine M., Timpane, P. Michael, and Benjamin, Roger (Eds.), *Rediscovering the Democratic Purposes of Education*. Lawrence, KS: University Press of Kansas, 91-124.

[13] Service-Learning is a teaching and learning strategy that integrates meaningful community service with instruction and reflection to enrich the learning experience, teach civic responsibility, and strengthen communities.

Component 1 – Democratic engagement of citizens increased
• Small grants to existing Iraqi CSOs interested in increasing citizen engagement. • Practical application of civic education principles through participatory civic education or service-learning activities, particularly, though not exclusively, targeting youth, women, and marginalized groups. • Youth leadership activities to harness energy of motivated, civic-minded individuals and/or groups – emerging youth leaders might be given chance to participate with government officials, media or other 'opinion leaders,' in joint workshops on civic empowerment or other issues. • Women leadership activities using a similar model as the youth leadership model – to harness the energy of existing women leaders and emerging leaders to inspire their peers and other Iraqis towards increased participation in their communities, their country and democracy. • Media campaigns aimed at raising citizen awareness about civil society's roles and responsibilities through sharing civil society success stories. • Media campaigns to educate citizens more generally about civic rights, roles and responsibilities. (Focus on radio, television, and new/social media based campaigns). Particular attention should be paid to inclusion of local media. Specific campaigns to target populations of interest (women, youth, IDPs, minorities, vulnerable groups). • Engage with musicians and other artists to develop opportunities to use the arts for positive civic participation and pro-democracy messaging and other programming. • Civic education principles to support Component 1 must be integrated into activities under Components 2 and 3 serving as linkages across the components of the theoretical model. • Public opinion polling to gather data (on citizen participation, trust in CSOs, charitable giving, volunteerism) over time and to track changes.[14]

Illustrative outcomes under Component 1:

Component 1 –Democratic engagement of citizens increased
1.1: Civic education bolsters citizens' understanding of their roles and responsibilities
1.2: Service learning strengthens volunteerism and community work

The Applicant should propose indicators to track performance. The suggested top line indicator is "Percentage of people participating in a collective community action within the last year." Collective community actions may include participation in a community-organized event, a collective effort to solve a community problem, a community meeting, or a CSO-led event. Other indicators may consider the percentage of citizens with civic

[14] There are a number of local Iraqi survey firms and research organizations that could serve as sub-contractors for public opinion polling. Every effort should be made to use these organizations and bolster local capacity rather than rely on internationally-based firms.

knowledge or those reporting volunteer work during the previous year (tracked over time through an annual survey). At the input level, the project also may have grant recipients track the number of volunteers, or amount of volunteer hours logged, as part of their activities. Such data can be disaggregated by sex, age, or various demographic groups to demonstrate how well the project is engaging the whole of society.

Component 2: Institutional capacity of CSO/NGOs increased

The Applicant should propose strategic approaches to building the institutional capacity of Iraqi CSO/NGOs. Strong and well-managed local CSOs offer constructive avenues for Iraqi citizens to organize themselves collectively in pursuit of common goals. This collective organization as CSOs, within the bounds of the law, is a productive means with which Iraqi citizens can begin to alter existing relations of power as part of the ongoing transition to, and consolidation of, participatory democracy. In order for these collective organizations to thrive and become sustainable means for citizen expression, they must have institutional capacity to identify, articulate and act on their concerns, interests and aspirations. In addition, they must have administrative and financial capacity to sustain themselves as well as display that they embody the democratic ideals of accountability and transparency.

The BPCS Project should facilitate the adaptation of capacity building opportunities to suit the needs of the Iraqi context. Institutional capacity includes identification and articulation of organizational vision and purpose, establishment or strengthening of sound, transparent, administrative and financial management processes, effective external relations and improved fund-raising techniques. As with all project components, Component 2 should reinforce other project components. The Applicant should clearly state the linkages between suggested activities in Component 2 and their intended impacts on the other project components.

Prioritizing direct grants to host country organizations is part of USAID's procurement reform agenda under USAID Forward.[15]Later this year, USAID/Iraq expects to issue an Annual Program Statement (APS) to solicit applications directly from Iraqi NGOs. This initiative will be separate from the small grant component called for in this project. In order to meet USAID financial management standards, these Iraqi NGOs will most likely need specific and targeted capacity-building and training. The Recipient will be required to provide this capacity building technical assistance and training to USAID/Iraq's direct Iraqi NGO grantees. If necessary to ensure financial systems meet USAID requirements, the Applicant must work with USAID/Iraq's Financial Management Office (FMO) to develop the necessary systems to manage USG and other donor funds, specifically in the areas of financial management, procurement and internal controls. USAID/Iraq's direct Iraqi NGO grantees should also be included in other capacity building and training activities to the extent it is necessary for their institutional development, expansion of NGO networks, etc.

To build credibility and strengthen overall capacity, CSOs must incorporate reliable systems for the efficient management of their work. This effort includes an ongoing and participatory strategic planning process; the establishment of monitoring and evaluation systems with appropriate data-collection techniques that do not exceed the ability of the

[15] USAID Forward website: http://forward.usaid.gov/ ; specific information on the implementation and procurement reforms: http://forward.usaid.gov/node/317

CSOs but “tell the story” and help them manage for results; and improved personnel management systems to combat the human resources challenges endemic in Iraq.

Management of finances and reporting to members, donors, and other interested parties on fiscal status must be done in a transparent manner. Accurate accounting records and positive audit reports can become key tools for achieving organizational recognition and influence thus building the trust and faith of constituents, GOI, KRG , media, donors and other actors.

Many Iraqi CSOs suffer from a lack of a consolidated constituency. Establishing or consolidating a constituency is improved by effectively addressing the needs of a community or a group of individuals that share a common problem or goal. Iraqi CSOs could benefit from methodologies for assessing client needs and developing plans to address those needs. The Applicant should identify how its activities in Component 2 will help CSOs improve their outreach to constituencies in order to better understand, articulate and address citizens’ priorities. CSOs also need to report their activities and accomplishments to constituencies and the broader range of actors in Iraq. Managing external relations is a specific skill set. The Applicant should suggest activities to build or deepen this skill set within selected Iraqi CSOs.

In order to achieve sustainability, CSOs must develop comprehensive fundraising plans. The Applicant should identify realistic Iraqi CSO fundraising sources in the short and long term. Again, this is an area for reinforcing other project components. Component 4 focuses on the Iraqi enabling environment, which includes promoting increased philanthropy and charitable giving from individuals and private businesses. This represents an opportunity that Iraqi CSOs need to be prepared for in the longer term but upon which they cannot exclusively rely in the short-term. The Applicant should identify possible and realistic short and long term sources of funding (fee-for-services, sliding scale fees for services, CSO-run income generating activities) and correspondingly assist Iraqi NGOs in building capacity to harness that funding.

Selection criteria of participant CSOs for capacity-building activities must be described in the application, as should post training follow-up mechanisms. Applicants must connect the specific needs of Iraqi CSOs and the Applicant’s training activities. USAID/Iraq suggests that the Recipient employ an organizational assessment tool to evaluate each CSO partner and identify unique needs and specific competencies/areas for strengthening. Likewise, Applicants should propose methods of capacity-building implementation to include activities other than traditional training courses. This could include mentoring, twinning with more experienced NGOs (local or otherwise), on-the-job training, and development of truly usable toolkits and training manuals specific to the Iraqi context. The more participatory methods the Applicant can employ, even in the development of toolkits and manuals, the better. Through stakeholder and other donor engagement, USAID/Iraq has confirmed that Iraqi CSOs are most receptive to and thus most likely to absorb, capacity building *and* civic education principles when these are tied to the CSOs’ particular interest or agenda. It is not enough to simply provide training courses. The Applicant must connect training to implementation and more importantly, make the next leap with Iraqi CSOs to elucidate how implementing these best practices ultimately bring the Iraqi CSO and thus the Iraqi citizenry, closer to its goals and objectives in the long-term.

Illustrative activities under Component 2:

Component 2 –Institutional capacity of CSO/NGOs increased
• Small grants to CSO/NGOs that are pursuing agendas in line with the other three project components. Small grants all come with capacity development strings attached, such that any CSO/NGO receiving a small grant must participate in the capacity development activities outlined below. • Capacity development activities for basic, mid- and advanced-levels should include, but are not limited to the following components: o identification and articulation of organizational vision and purpose o establishment or strengthening of sound, transparent, administrative and financial management processes o effective external relations o improved fundraising techniques • Internships for staff of smaller Iraqi NGOs at larger, more established Iraqi NGOs or, if possible, international NGOs. • Explore work with universities to establish centers for civil society study, training and/or resource provisions. Connect Iraqi universities to U.S. or other international centers for civil society, study programs for non-profit management etc. • Support to existing Iraqi organizations with interest in serving as intermediary support organizations (ISOs) in the future, to build in sustainability of CSO/NGO capacity building, perhaps in the form of small grant or other arrangement to be described by the Applicant. • Specific support to CSOs led by or engaging youth, women, IDPs, people with disabilities, minorities or vulnerable groups.

Illustrative outcomes under Component 2:

Component 2 –Institutional Capacity of CSO/NGOs increased
2.1: CSOs better plan and execute issue-based missions to meet constituent needs
2.2: CSOs have strengthened administrative and financial capacity

The Applicant should propose indicators to track performance. The suggested top line indicator is "Number of CSOs making progress against the organizational assessment tool." The project is expected to design or apply a standard organizational assessment tool at the start of work with any grantee. This will enable the project to evaluate the needs of each grantee, and it establishes a baseline for comparison to inform assistance and track progress. Other indicators may include the number of CSOs carrying out constituent outreach activities; the number of targeted CSOs with increased revenues from indigenous sources, including self-generated income; a measurement of the extent to which CSOs practice internal democracy; and/or the number of target CSOs that initiate media reports on their activities/accomplishments.

Component 3: Civil society impact on public policy increased

Component 3 aims to increase Iraqi civil society's impact on public policy. In order for CSOs to contribute effectively to the formulation of policies and reforms, they must gain or strengthen advocacy skills in such areas as issues research, recruitment of staff with

the appropriate expertise, budgeting, media relations, and the nuts and bolts of conducting advocacy campaigns. Another key skill for effectively influencing policy issues is coalition and network-building, which enables groups to broaden their support base and constituencies. As important as it is to contribute to new legislation and policies, policy influence must also include ensuring that laws and policy decisions are implemented. Therefore, the project also will work with advocacy-focused CSOs to develop tools for monitoring implementation once a policy decision has been made. A clear "reach back" to Component 4 presents itself in Component 3, in that CSOs could be engaged to advocate for and/or monitor implementation of policies specifically relevant to the Iraqi enabling environment for CSOs.

In addition to improving the capacity of CSOs to influence policy, in order for civil society to have impact on policy issues, public institutions must be open to CSO involvement in all phases of the policy process, including formulation, implementation, and oversight. Accordingly, mechanisms must exist for the exchange of information and views on the issues upon which advocacy is focused. Such mechanisms might include consultative committees, public hearings, and/or the appointment of CSO representatives to official decision-making bodies within legislatures or Ministries. The Applicant should describe how project activities will work with public institutions to open the doors for increased advocacy and civil society impact on policy issues, citing past success of the Applicant and/or the Applicant's Iraqi Teaming Arrangement partner if applicable.

In Iraq, the number of advocacy-focused CSOs is fairly small compared to the number of service-providing organizations. Advocacy is a recent development in the history of Iraqis NGOs. In addition to their small number, the majority of existing advocacy-focused NGOs have limited experience and lack important technical capacities for conducting successful advocacy campaign. The Applicant should also consider efforts to build networks or coalitions among CSOs with common interests. Technical assistance and mentoring can be applied in such a way to build a core of committed, skilled advocacy organizations across cities, provinces, and regions. The Applicant should provide targeted and appropriately advanced technical assistance to help groups conduct effective advocacy campaigns or connect less-experienced groups with leading advocacy CSOs on issues of common interest. Small grants are available as mechanisms to accomplish this component.

Through this component, USAID/Iraq will support civil society initiatives to engage and influence the political process on key reform issues as well as quality of life issues related to service delivery. During the course of the project, the government will be a key partner with the Applicant and sub-grantees. In its approach, the Applicant must describe how it will help both government and CSOs to build and recognize this partnership. Recognizing the risks inherent with advocacy for political reform, the project must strike a balance and retain flexibility to respond to conditions and political sensitivities that may emerge during programming. The project should address a wide range of advocacy issues –political and apolitical – building constructive relationships with the government around less controversial issues and easing into the tougher issues once government and CSO confidence is mutually built. The Applicant should articulate a strategy for achieving this balance in its application.

The implementer should deliver on-site technical assistance to CSOs that competitively apply to receive hands-on mentoring and training in targeted fields that contribute to real policy impact. The Applicant should describe their plan for selecting beneficiary

organizations to receive technical assistance, including specific selection criteria that will be used. The overall strategy under this Component is to support the development of strong CSOs by providing direct technical assistance to enhance their advocacy capacities and by making small grants available to CSOs that propose advocacy activities.

Illustrative activities under Component 3:

Component 3 – Civil society impact on public policy increased
• Small grants to CSO/NGOs with interest in the policy impact mission of Component 3. • Consider activities that support reform agendas of other donors or other USG-funded projects to maximize development impact, which may include campaigns supporting better delivery of services and forming partnerships with government and/or the business community on advocacy initiatives. • Targeted assistance in developing civil society policy and reform agendas and campaigns. • Targeted assistance to improve civil society-government and civil society-media relations specifically with regard to advocacy issues. May be done by encouraging the formation of networks or coalitions. • Advocacy activities can serve as a forum for leading/experienced CSOs to support smaller CSOs to enhance their capacities. • Support to specific advocacy initiatives on: the environment, youth-specific issues, gender issues (such as, but not limited to, combating gender-based violence, promoting gender equality and enfranchisement of women and girls), minority rights, human rights, issues related to vulnerable persons, people with disabilities, and IDPs. • Support elections observation activities to protect the integrity of the political process.

Illustrative outcomes under Component 3:

Component 3 –Civil society impact on public policy increased
3.1: CSOs improve understanding of policy advocacy
3.2: CSOs form coalitions for policy advocacy
3.3: CSOs carry out public policy campaigns

The Applicant should propose indicators to track performance. The suggested top line indicator is "Public policies changed consistent with CSO advocacy." One indicator under this component may look at the number of watchdog/advocacy groups supported, which has a Foreign Assistance Framework equivalent: "Number of USG-Assisted Civil Society Organizations that Engage in Advocacy and Watchdog Functions." Other indicators may include the perception among CSOs about the willingness of government institutions to engage in dialogue with them, the level of GOI resources devoted to CSO-supported advocacy efforts tracked over time, and/or the number of CSOs showing improvement on an Advocacy Index."[16]

[16]The Recipient may develop a multi-component Advocacy Index that is specific to Iraq's development context, for approval by USAID/Iraq. The index would allow the project to assign a score based on advocacy efforts of partner CSOs. Please refer to the publicly-available USAID/DCHA Handbook of Democracy and Governance Program Indicators, dated August 1998.

Component 4: Enabling environment for civil society improved
Component 4 aims to work with civil society, the GOI, the Kurdistan Regional Government (KRG), private businesses, and a range of other relevant stakeholders to bolster a sustainable and favorable environment for civil society. This component could benefit from other USAID/Iraq projects that work with the above stakeholders, such as the Administrative Reform Project known as Tarabot. Two key elements of the enabling environment are access to information and the Iraqi legal framework as it pertains to civil society.

For citizens to participate effectively in matters that affect them, it is important that they have access to a wide variety of diverse, independent information sources, including both electronic and print media (i.e., television and newspapers), as well as newsletters and/or bulletins published relevant to CSOs (Components 1 and 2 linkages). While this project is not an independent media strengthening project in and of itself, the Applicant should include activities that improve the free flow of information to citizens, in support of the project's objective and overall goal.

Activities in support of Component 4 also should work towards a favorable legal and regulatory environment, a requirement for the continued growth of civil society. Specifically, this project should assist the development of a body of fundamental laws and regulations that permit and even foster the right of association. The legal and regulatory environment should encourage citizens to join together, promote volunteerism, stimulate charitable contributions, and protect media and information networks from undue government interference.

Illustrative activities under Component 4:

Component 4 – Enabling environment for civil society improved
• Small grants to CSO/NGOs with interest in building a more favorable enabling environment. • Joint workshops with civil society, GOI, KRG, and/or legislative bodies to focus on specific pieces of legislation or raise awareness of gaps in the legal framework and develop joint action plans to address those gaps. o Example: tax laws and related legislation pertaining to corporate and individual income taxes, deductions for charitable giving, revenue-generation by non-profits, legislation supporting volunteerism • Support in the form of technical assistance or training (no direct grants) to GOI, KRG or legislative bodies to support new mechanisms for funding, information sharing and democratic participation. May include assistance for project finance to NGOs from ministries to deliver public services, public hearings, working groups, ability to receive comments through new media (Facebook, Twitter, institution websites, SMS text messaging) • Workshops and trainings for Iraqi media outlets focused on improved the flow of information in support of this project component. • Support local CSOs/network of CSOs to establish or improve systems for collecting and disseminating information. May include web-based as well as print methods, independently or in partnership with existing initiatives. Technical innovations may involve improving Iraqi CSO list serves or creating peer-to-peer philanthropy websites. Relevant

Component 4 – Enabling environment for civil society improved
information topics may include the following: o information about local NGOs and interest areas/project ideas o information about the work of international NGOs, international and GOI donors, corporate donors, funding interests, calls for proposals and deadlines o contacts of capacity-building providers and schedules for upcoming training opportunities, noting the need to be sensitive to security considerations o resources, research, manuals and toolkits available, especially resources in Arabic or ones adapted to suit the Iraqi context

Illustrative outcomes under Component 4:

Component 4 – Enabling environment for civil society improved
4.1: Government establishes forums with CSOs to discuss laws/regulations that impact civil society **4.2:** Increased availability of information on CSOs, donors, funding opportunities and other relevant information

The Applicant should propose indicators to track performance. The suggested top line indicator is "Iraq's legal framework includes laws that support civil society." Other indicators may include the number of institutions adopting policies to interact with CSOs, such as public hearings, integrating CSO participation in working groups, etc.; the number of public information sources supported; and/or the average time required to register as an NGO.

Component 5: Special Projects – Civilian war victims assisted

This Special Projects component is necessary to house assistance activities that are appropriately administered by the project, but do not fit within the conceptual framework of the results framework and are too inefficient to administer as a standalone project. The Marla Ruzicka Iraqi War Victims Fund is a congressionally-mandated activity that fits these criteria and is currently the only activity envisioned under this component. Through the Marla Fund, USAID will continue its assistance to families and communities of Iraqi civilians who have suffered losses as a result of Coalition military operations.

Implemented in the past by USAID/Iraq's Community Action Program (CAP), CAP partners have worked with selected Iraqi NGOs since 2010 for joint implementation of the fund. To the extent possible and viable, the BPCS Project applicants may wish to consider picking up where CAP ends and engage some of the same, or equally-capable, Iraqi NGO partners to support civilian war victims through the Marla Fund.

Illustrative activities under Component 5:

Component 5 – Civilian war victims assisted
- Provide medical services to victims for injuries suffered as a result of Coalition military operations. - Replace/repair damaged property for families or communities that lost property due to Coalition military operations. - Restore livelihoods for victims or their families, generally through kick-start grants and small

Component 5 – Civilian war victims assisted
business training activities.

Illustrative outcomes under Component 5:

Component 5 – Civilian war victims assisted
5.1: Marla Fund projects assist families and communities of Iraqi civilians who have suffered losses as a result of Coalition military operations, with results to include the following: • Improved health and functionality of victims due to medical services provided • Damaged property rehabilitated or replaced • Sustainable income generated for victims or their families

The Applicant should propose indicators to track performance. The suggested top line indicator is "Number of Marla Ruzicka Iraqi War Victims Fund recipients with new opportunities for sustainable income generation." Other indicators may include the number of Marla Fund beneficiaries, which should be disaggregated by direct recipients and benefitting family or community members. The project should also track the degree to which this support to war victims reaches beneficiaries considered as part of other marginalized groups. For example, a woman who receives assistance to start a business after her husband was killed is both a war victim and a female-head of household. A civilian man who has suffered a debilitating injury as a result of Coalition operations is both a war victim and a person with a disability, and the Marla Fund may provide prosthetics that empower him to work again and provide for his family.

B. Mandatory Approaches and Technical Guidance

The Iraq operating environment is complex, dynamic and often dangerous. As a consequence, a technical approach that may have been very successful in another country cannot be imported wholesale. The Applicant must be prepared to try ideas from any source, test new approaches, constantly evaluate results, and try something entirely different if necessary. Proposals will be evaluated on the anticipated effectiveness of the proposed intervention strategy in the Iraqi context. The following approaches and methods are most likely to be successful in achieving the goals of this procurement, and must be integrated in the Applicant's technical approach.

Teaming Arrangements

Applicants are required to propose one or more Iraqi implementing partners for teaming arrangement(s). Partnering with local Iraqi organization(s) from the outset of the project will contribute to cultural sensitivity and add local knowledge, experience, and ground-truthing from day one. The Applicant should outline a staff development strategy under each component to show how it will create a core group of knowledgeable local staff to work with CSOs and informal organizations in Iraq. Iraqi staff members are knowledgeable about local conditions, can deliver assistance, and provide feedback to help implementers understand what is needed, what is effective, and how project outreach materials (fact sheets, websites, etc.) should be designed. While there is a pool of experienced Iraqis who have worked on USAID-funded projects, staff development is an ongoing effort. Expeditious project rollout is expected, but the

implementer should also take the time necessary to build proper skills along the way for project effectiveness and long-term sustainability.

Working closely with local partner organization(s) from the project development phase contributes to important capacity building, partnership and skills transfer. This approach strengthens the capacity of local CSOs from the outset, which is critical to Component 2, and adds a clear measure of sustainability to the project. Teaming arrangements should increasingly empower Iraqi CSOs to deliver this kind of assistance on their own during the course of the project. Applications will be strengthened by proposing an arrangement between Applicants and local Iraqi organization(s) that clearly show how the skills, experience and capacity of each organization complement one another. Geographic coverage should also be considered, given the national scope of the project. Local Iraqi teaming partners must be legally registered entities in Iraq and proof of this legal registration will be required. Teaming arrangement partners also must have proven financial and organizational capacity. The Applicant will likely provide additional capacity building to the Teaming partner to strengthen existing, and build additional competencies. Given the current security situation, it is likely that Iraqis will be critical in visiting CSOs, conducting trainings, and engaging the community in mobilization initiatives. The project should place a heavy emphasis on professional development for the teaming partner staff. A very important legacy of the project will be the increased capacity of local Iraqi staff to run a project, take initiative, and show creativity in solving problems. This interest in local capacity should also extend to the Recipient direct Iraqi national staff.

Grants under Agreement

USAID/Iraq intends for this project to provide small grants, also known as sub-grants, to existing local Iraqi CSOs. These grants are not an end in and of themselves, but rather should be approached as tools to achieve the project's results, objective, and overall goal. Grants should be reinforced by technical assistance and training provided directly by the Applicant and its sub-contracted Iraqi teaming partners. Applicants must explicitly indicate how they plan to employ grants to existing local Iraqi CSOs and NGOs as mechanisms to accomplish each project component and fulfill activities under those components.

Grants must comply in all material respects with USAID's assistance regulations, policies and practices as prescribed in the Automated Directives System (ADS) Part 303 on awarding and administering grants, as well as in 22 CFR 226 to the extent that it may be relevant to such grants. All sub-grantees must be legally registered entities in Iraq. The Recipient should include a provision in all grants permitting it to suspend or terminate the grant if USAID suspends or terminates the entire award or that portion of the Recipient's award, which includes the grant. Total grants awarded under the award should not exceed the grant budget line. All grants must be closed-out by the Recipient prior to the estimated completion date of this project. The Recipient should comply with Contract Information Bulletin (CIB) 90-12 regarding grant close-out.

Once the cooperative agreement is awarded, the Recipient should develop and submit a Grants Management Manual to USAID's Office of Acquisition and Assistance (OAA) that clearly outlines the types of grants being offered, eligibility requirements, proposal requirements, management requirements, accounting and financial imperatives, reporting, close-out, etc. The Recipient must properly vet all proposed sub-grantees, which includes checking the organizations against U.S. Treasury's Specially Designated

Nationals list. The USAID AOR must approve the criteria for and the selection of all grantees. Criteria should consider whether staff members are known and respected in community; track record of implementation; level of volunteer involvement; support from multiple donors; focus on constituent needs; openness to work with government officials; political independence; clear connection between mission and activities; and demonstrated buy-in from beneficiaries. OAA should also approve any Request for Applications (RFA) that the Recipient releases to call for grant applications. No grants (in-kind or cash) will be given to government organizations, though there is the possibility of partnerships with public universities. If interest in this type of partnership arises, the Recipient must request a waiver.

The Recipient is expected to hold pre-application information sessions with potential sub-grant applicants. The Recipient should use other USG-funded projects, donor projects and networks to identify potential applicant pools. During these information sessions, the Recipient will socialize the project with potential applicants, explain the project approach, clearly explain how sub-grants contribute to the overall project goal and describe the application process, expectations, and requirements for qualification. Only those organizations who have participated in the information session are eligible to apply for sub-grants. Sub-grants should be competitively awarded. Any exceptions must be submitted to the AOR for consideration. While sub-grants will likely be for discrete projects within the $50,000 to $100,000 range, the Recipient should anticipate occasional larger scale activities, such as support during election period for election monitoring groups. However, the driving force behind the sub-grants mechanism is that sub-grant proposals are demand driven. Sub-grant awards should not exceed $100,000/year/organization without proper justification and proof of the CSO's capacity to manage that amount.

Although grants should focus on registered NGOs, the project broadly defines civil society to include credible leaders and mobilizers, both individuals and institutions. Therefore assistance and technical support may be used to bolster effective Community Action Groups or other non-registered groups that have strong community constituencies, experience working in partnership with government, and are volunteer-based.

The Marla Ruzicka Iraqi War Victims Fund also will be implemented through sub-grants or sub-contracts, directly to recipients or contractors for medical supplies, small-scale construction/rehabilitation to property, or livelihood generation. The projects generally are expected to total less than $50,000. The Applicant should propose how it will reach out to potential victims. Once the cooperative agreement is awarded, the Recipient should propose and seek approval for criteria to identify victims who qualify for Marla Fund assistance.

Sustainability of Attitudes

The proliferation of donor-driven CSOs that change agenda according to the availability of donor funding (whose main skill is writing grant proposals) has distorted the development of Iraq's civil society sector. What USAID is trying to foster through this project is a change in attitude of government and citizens toward CSOs. As many Iraqis have made very clear, Iraqis have little time or interest for abstract campaigns or "good causes," such as general human rights or good government. People will take time away from family only to advance causes that directly matter to their family and community. USAID specifically does not want a top-down model implemented nationwide. The

challenge for the implementer is to take, as a starting point, particular issues of interest and use those issues as a vehicle for pursuing larger matters. Programming should be local and respond to needs and opportunities in regions, provinces, and localities. The Applicant's approach must consider CSO development as a long-term investment with phased levels of support, mentoring, networking and sustainability-planning. The Applicant also should work with civil society, broadly defined to include credible leaders and mobilizers, both individuals and institutions. Applicants should go beyond previous organizational partners, and describe how they will reach non-English speaking civic actors. Criteria for selecting CSO partners also should include whether staff members are known and respected in community; track record of implementation; level of volunteer involvement; support from multiple donors; focus on constituent needs; openness to work with government officials; clear connection between mission and activities; and demonstrated buy-in from beneficiaries.

Existing CSOs and community groups are often well-aware of what they do not know, and some have asked USAID for specific assistance. The implementer and/or the teaming partner should be prepared to provide core skills necessary for CSO sustainability, including basic accounting, human resources management, membership tracking. At the same time, it is important to be responsive to requests for new training or assistance and remain demand driven. The Applicant should program to the demand structures of Iraqi constituencies, fostering the functional development of organizations to fulfill their self-defined, associational objectives. Such objectives, for example, may emerge from a particular group with a focus on a specific issue, such as personal health and hygiene education at a local school. If the project is successful and hygiene improves among children at school, then the CSO has completed its mission and may fade. This is acceptable since the intent of that activity was to support community members to gain experience identifying needs, aggregating interests, and mobilizing resources to satisfy their needs. In this example, the activity contributed toward a Component 1 purpose rather than a Component 2 purpose, which would be measured by the continued existence of the CSO.

The participation of the citizenry through these projects should be captured by project monitoring and reporting and contribute to measuring the project's impact and progress towards the overall goal of a more participatory democratic model.

Conflict Sensitivity

Conflict dynamics penetrate nearly every aspect of daily life in Iraq. Many of these conflicts have characterized Iraqi society for generations, especially those arising from sectarian and ethnic divides. Some have emerged in more recent times during the Saddam era, including the beginning of the government's service delivery failures resulting from the punishing sanctions regime. And others are a direct result of the U.S.-led war, leading to an estimated 1.5 million refugees still living outside the country and approximately 2 million internally-displaced persons.[17] As democracy in Iraq is consolidated and the government struggles to understand and meet the needs of its people, there are a number of pressing issues that require a conflict lens in project design and implementation, including the following:

- Political rivalries have deepened ethnic-sectarian divides and continue to turn violent as parties continue to compete for access to state resources and control.

[17] Human Rights Watch, At a Crossroads: Eight Years after the U.S.-led Invasion,2010, p. 68.

- Weak government institutions and a lack of rule of law with equitable enforcement undermine the legitimacy of the formal Iraqi government and lead to alternative non-state sources of security and sustenance.

- Widespread corruption in the form of patronage, nepotism and theft cripple the Iraqi economy and drain the state, as well as legitimate businesses, of both public and private resources. Corruption is a key factor that prevents improved public service provision.

- Massive population displacements—both refugees fleeing to neighboring countries as well as internally displaced escaping targeted sectarian violence in their home neighborhoods—have impacted millions of Iraqis, creating a desperate and angry pool of potential recruits for armed actors.

While the project cannot address each and every aspect of the challenges noted above, the Applicant must be mindful of the root causes and drivers of conflict in Iraq throughout the project and work to ensure that the project is ethical and embodies the principle of "do no harm." The project is designed to be highly demand-driven and will support Iraqi civil society groups seeking to promote tolerance, non-violence, democratic principles and processes, as well as those reaching out to engage and serve women, youth and marginalized groups in a productive and constructive manner. Activities that are funded under the grants mechanism will be required to address issues that are broader than divides of religion, sect, politics, or geography. The Recipient must adopt conflict sensitive policies, ensuring inclusion rather than exclusion of groups in its programming and the AOR will monitor the project with this in mind.

Gender

Applicants should identify and outline any potential gender issues that might be encountered during the implementation of the proposed technical approach and how these issues will be addressed. Specifically, Applicants should respond to the following question: **"How will the different roles and status of women and men within the community, political sphere, workplace, and/or household (for example, roles in decision-making and different access to and control over resources and services) affect the work to be undertaken?"** The project should include indicators that reflect not only efforts with women's groups, but the Applicant must explain how it will measure the effectiveness of CSO partners in integrating women into their activities. The Applicant also should propose how it would reach the most vulnerable women, including female-headed households.

USAID requires that gender be incorporated into new activity designs. Specifically, gender integration entails the identification and subsequent treatment of gender differences and inequalities during project design, implementation, monitoring, and evaluation. USAID policy and procedures related to gender integration are found in the following ADS sections:

- **201.3.8**Project Design

- **201.3.9.3(a)**Gender Analysis

- **203.3.4.3** Reflecting Gender Issues in Performance Indicators
- **302.3.5.15** Incorporating Gender Issues into Solicitations
- **303.3.6.3** Evaluation Criteria

As part of the design of any proposed activity, the Applicant should assess and identify gender issues that impact the participation of men and women equally in the participation of this project. The Applicant is expected to examine cultural perceptions, political and economic barriers, and other factors which impact women and men in terms of their participation in electoral and political processes. Further, the Applicant should ensure that gender issues are suitably integrated into various project activities and must undertake specific efforts to ensure that activities do not discriminate against or disproportionally benefit either gender. To the extent possible, the Applicant should seek to encourage the equal participation of men and women in all aspects of the project.

Youth

Engaging and inspiring youth will be critical to the success of Iraq's participatory democracy. This does not necessarily mean merely funding groups led by youth or that address "youth" issues, but it also includes encouraging and tracking youth participation as volunteers or including youth in CSO messaging. In this way, youth are seen as an important cross-cutting element of the project. The project should integrate many of the broader lessons from youth programming in other contexts. For example, in November 2011, USAID/Middle East hosted a conference in Morocco on the role of youth in development. Some of the key recommendations that emerged from the conference were the need to include youth in decision-making at multiple levels, requiring youth to take *responsibility* to strengthen the role of civil society, and networking among youth to share their expertise.[18] The project should engage stakeholders at all levels and engage government decision-makers and other opinion leaders on issues that are important to youth to prevent their frustration and sense of exclusion. Applicants should provide a "youth engagement" strategy under each of the four civil society project Components. *See Attachment B, USAID Youth Development Lessons Learned for Iraq.*

Marginalized Groups

The end goal of participatory democracy requires that the project engage society writ large, with special attention to include groups that are marginalized or have difficulties participating in the political process. While these categories may evolve, USAID/Iraq expects the project to engage vulnerable religious and ethnic minorities, internally displaced people (IDPs), people with disabilities, and other groups as appropriate. The Applicant must identify marginalized groups and propose how the project will include and monitor its impact on them. Methods may include targeting activities in areas with large vulnerable populations or engaging in cross-cutting activities that bring different groups together around common interests.

[18] USAID, Preliminary Recommendations and Top Line Messages from Working Groups, Regional Youth Conference, November 14-17, 2011.

New Media

In line with the United States Government (USG) *Civil Society 2.0* initiative announced by Secretary of State Hillary Clinton in her 2009 speech in Morocco, CSOs can greatly increase the reach and impact of their work through the use of new digital tools and technologies. Internet-based media "generates an entirely new ecology of conversations that allows for not only vertical, but also horizontal dialogue…Instead of looking up for guidance, people can look side-to-side — to one another — for solutions…It encourages us to think locally, productively — even individually — from the bottom up. If we do not recognize this essential shift, we will remain powerless to understand, much less influence, the events occurring in our new, digitally inspired civil society**.**"[19] Assistance to Iraqi grassroots organizations should enhance their use of internet communication and social media to tell their stories, build their memberships and support bases, and connect to their community of peers around the world. The Applicant should be mindful to incorporate this into project activities, as appropriate.

Environmental Considerations

Pursuant to USAID environmental procedures including ADS 204.3.4, USAID and the Recipient are required to ensure that activities are environmentally sound. The Initial Environmental Examination recommended that the project components 1-4 qualify for a Categorical Exclusion based on the nature of activities focuses on technical assistance and grant-making. Component 5, however, envisions assistance to war victims that may include small-scale public infrastructure, construction and rehabilitation activities, medical services, and agricultural services, resulting in a recommendation for a Negative Determination with Conditions per 22 CFR 216.3 (a)(2)(iii). These activities must undergo an environmental screening process, in which the implementer will identify potential adverse environmental impacts and incorporate mitigation and monitoring measures into project implementation to ensure that activities are environmentally sound. The Recipient is required to prepare an Environmental Mitigation and Monitoring Plan (EMMP) before activities under this component can begin.

The USAID Agreement Officer's Representative or Activity Manager and the implementing partner are required to actively monitor the proposed activities to ensure that they remain within the bounds of the above-stated Categorical Exclusions and Negative Determination with Conditions. This requires undertaking periodical field checks in the activity implementation areas to verify whether any activities are being implemented that could result in unforeseen adverse environmental impacts that could be occurring, and to ensure that the activities remain within the bounds of the Initial Environmental Examination.

USAID Project Integration and Donor Coordination

This project will complement the transition of USAID's assistance strategy from one primarily rooted in a reconstruction, stabilization and counterinsurgency to sustainable development through a long-term strategic partnership with the citizens and the government. To maximize the project's impact, the Applicant should propose how it plans to integrate and coordinate with projects funded by USAID/Iraq and other donors. The USAID Agreement Officer's Representative (AOR) will assume responsibility for sector-level donor coordination. However, the Recipient will be responsible for practical day-to-day interaction at the project level. While the project description already reflects

[19] Rushkoff, Douglas. *Global Village to Grass Roots: Digital Media's Civic Potential*. October, 5, 2011. http://iipdigital.usembassy.gov/st/english/publication/2011/09/20110913140031yelhsa0.1436426.html#axzz1lb7HwPXb

de-confliction, this design document and other donor project documents are intentionally broad and flexible in order to respond to the dynamic civil society assistance environment. The Applicant should consider that there might be cases of overlap which need to be dealt with on a practical level. The Applicant should describe approaches and strategies it plans to use to accomplish de-confliction, identify synergies, and avoid redundancy, particularly with other USG-funded implementing partners. This is especially important in the areas involving support to youth, women, religious minorities and other vulnerable groups, which are priorities for all USG-funded civil society activities in Iraq.

The Applicant's technical approach should detail mechanisms to coordinate activities with the following USAID projects to ensure a coherent and complementary development approach, especially among common project counterparts.

1. Access to Justice Project: Iraq's vulnerable and disadvantaged populations represent an alarmingly large part of the country's population, and include women, widows, orphans, the displaced, detainees, the poor, and those who remain at risk because of their ethnicity or religion. The project strengthens these groups' access to justice and services while also supporting the modernization of government and civil society as Iraq's financial and security environments improve. "Access to justice" describes an end state in which individuals are able to access rights and entitlements equitably through individual action or with the assistance of civil society or the government.

2. Administrative Reform Project - Tarabot: This project works to reform public administration on the federal and provincial level with a focus on legal and institutional structures. The project includes a component focused on improving GOI planning for capital budget projects as well as provision of public services.

3. Elections Support Project: The objective of this three-year project is to enshrine independent electoral management as a long-term political process reform strategy by strengthening the effectiveness, sustainability and independence of electoral management. Project includes support to Iraqi civil society organizations working in the area of elections, primarily to support voter education activities.
4. Governance Strengthening Project: This project supports the GOI's efforts to decentralize authority from national ministries to directly elected provincial authorities. This project includes skills building for provincial councils with regard to participation of constituents and information sharing on provincial council decisions and operations.

5. Primary Health Care Project: This project aims to increase the use of evidence-based primary health care services through strengthening the management of the health care system, improving compliance with clinical service guidelines, and strengthening community participation in service delivery. Specific activities with civil society are focused in component three of the project, which aims to develop and disseminate a National Statement of Patients' Rights in Primary Health Care and develop a Handbook for Quality Standards and Operational Guidance for Community Partnerships in Primary Health Care.

Several of these USAID/Iraq projects have capacity-building 'lessons learned' that would be useful for this project, particularly in the areas of working with Iraqi CSOs, developing and implementing advocacy campaigns in Iraq, and finding common ground between civil society and the GOI.

The Recipient also is expected to collaborate with other donors to maximize the benefits to CSO partners. This may include forming/participating in donor working groups on civil society, exploring training activities in which the Recipient has a comparative advantage or observes unmet needs, and referring project grantees to others if there are specific areas of expertise in which those implementers have a comparative advantage. Synergies among implementers are the best way to support the widespread and diverse needs of civil society in Iraq.

The U.S. State Department's Bureau for Democracy, Rights and Labor (DRL) is an important donor in civil society programming. DRL grants have sought to consolidate democratic gains throughout Iraq since 2003. The U.S. State Department's Bureau of Population, Refugees and Migration also works with international and Iraqi NGOs to support IDPs throughout the country. A number of organizations have been historically funded by the State Department in Iraq, although many also have other sources of funding. The following list is not meant to be exhaustive, but rather it demonstrates the range of activities and implementers with which to coordinate on issues of civil society:

- American University (AU): The Center for Global Peace at American University has implemented projects in Iraq that align with its vision to develop and expand peace education, civic engagement, nonviolent conflict resolution and sustainable development research and practices in diverse areas. Together with the media production and services firm, FADAK-Iraq, AU has provided civic and elections education, media training, and capacity building to local NGOs. The Center also conducted a Tribalism Initiative that explored the tribal unit as an indigenous civil society organization.
- Institute of War and Peace Reporting (IWPR): IWPR provides election training, networking, and public outreach to all 18 provinces as well as capacity building and assistance to the Independent High Electoral Commission (IHEC), the Communication and Media Commission (CMC), and local media.
- International Republican Institute (IRI): Since the summer of 2003, IRI has conducted a multifaceted program in the country, working with political parties and candidates, indigenous civil society groups and sitting government officials to promote democratic governance. IRI programs in Iraq have ranged from election training for candidates running for public office to civil society advocacy campaign and voter awareness television shows produced by IRI.
- International Research and Exchanges Board (IREX): IREX supports media development and capacity building in Iraq by implementing training and technical assistance initiatives that develop professionalism, sustainability, and editorial independence of Iraqi media.
- National Democratic Institute (NDI): In Iraq, NDI implements projects related to electoral assistance, political party development, governance, women's political participation and civil society strengthening. Under this last component, NDI works to foster political awareness and enhance citizen participation by assisting civil society groups to develop organizational structures and strategic plans for

playing an intermediary role between citizens and public officials, influencing the political process, and promoting government accountability. The Institute has developed long-term, working partnerships with more than 150 Iraqi civil society organizations and has distributed approximately 190 grants since 2003 to civic groups that conduct voter education projects and advocacy on community issues, election reform, and other topics.

- National Endowment for Democracy (NED): The NED currently manages 48 small grants to CSOs in Iraq, which focus on a variety of issues including human rights, rule of law, and civic education.
- United States Institute of Peace (USIP): Since 2003, USIP has worked in Iraq with the mission of strengthening local capacities to prevent, manage and resolve conflicts peacefully. Its portfolio spans a diverse range of activities and partners, including the U.S. government in Baghdad and Washington, local universities, the Iraqi parliament, Iraqi ministries, provincial governments, women leaders, youth groups, internally displaced persons, media organizations, and civil society. USIP works to build the capacity of Iraqi civil society organizations to address contentious issues within their communities. For example, under SILM, the Peace Net: Peace for a Unified Iraq project, USIP provides micro-grants to 18 participating organizations to implement projects and technical support to establish Iraq's first knowledge-sharing network on conflict resolution approaches.

The other major donor counterparts for civil society programming in Iraq are the European Union (EU) and the United Nations (UN), specifically the UN Development Program (UNDP) and the UN Office for Project Services (UNOPS). The EU intends to pursue a project focused on increasing the level of cooperation between Iraqi CSOs and Public Authorities. Its project has two main components, a grants component and a technical assistance component. The grants component will provide grants to consortia of international and Iraqi NGOs and will be primarily focused on service delivery organizations. The technical assistance portion of the project will be implemented by UNOPS and will focus on continuing and deepening its work with the Council of Representatives (COR) Committee on Civil Society, the corresponding Council of Minister Secretariat (COMSEC) Committee and the NGO Directorate.

Monitoring and Evaluation Strategy

Project development and subsequent implementation must be driven by results. The Iraqi security and political context is dynamic. If results are unexpectedly worse—or better—than anticipated, the project must be prepared to change course swiftly and accordingly. This places a heavy requirement on monitoring and evaluation—not merely on tracking outputs, but on recognizing when the project is and is not achieving impact. USAID/Iraq invites creative approaches to assessing impact throughout the life of the project. This could involve gathering survey data, incorporating geographic information system (GIS) data or analysis, conducting focus groups, and/or tracking information, such as the number of governmental units that regularly hold open meetings. The Applicant should understand that it is virtually impossible for expatriate staff to move freely to do these assessments. It will be necessary to use Iraqi evaluators and subcontract to local Iraqi survey firms.

The Applicant must submit a draft Monitoring and Evaluation (M&E) Strategy including an illustrative Performance Management Plan (PMP) that measures impact and

progress toward achieving results over the life of the award. The monitoring and evaluation strategy should also indicate when internal project evaluations are planned. In addition to the Recipient's efforts, USAID will sponsor external evaluations In accordance with USAID's January 2011 Evaluation Policy. A mid-term evaluation would look at whether critical assumptions still hold and consider the appropriateness of the implementation approach. The final evaluation would examine long-term impacts and address questions of sustainability.

From the implementer side, a full-time M&E Specialist should design, manage, and provide quarterly information as part of the project's Performance Management Plan (PMP), which will monitor progress against the project's indicators. The M&E Specialist is responsible for ensuring integrity and sound design for the collection of data feeding into the PMP. The Specialist also should schedule and manage internal evaluations with the purpose of gauging project impact. The Specialist should ensure staff at all levels of project implementation are trained and prepared to fulfill their roles in reporting. While this position may initially be filled by an expatriate member, this role should transition into an Iraqi-staffed position.

The PMP must include the project-level Results Framework, notional custom indicators for Intermediate Results (IRs) and Sub-IRs, anticipated targets for these indicators, a strategy for monitoring indicators during implementation, data sources and collection methods, baseline information, benchmarks and periodic evaluations, as well as data quality assessment reports. Since the PMP must monitor the agreed upon indicators on an ongoing basis, the Recipient will be responsible for selecting indicators that relate to the outputs and outcomes described in the model that it proposes. All targets will be subject to revision and expansion based on the first Project Implementation Plan and quarterly narrative reports. Such reports should explain any variation between the indicator targets and actual results, and demonstrate how activities conducted under this award contributed to these outcomes. In case of slow development and poor performance in certain areas, the implementer will have to provide justification for not meeting targets and propose additional actions to improve project impact.

The project's indicators should be disaggregated by sex, geographic area, and other relevant characteristics, such as status in a marginalized group. Disaggregation is critical for the project to report on its impact among different groups in society. The Applicant should articulate how it will be able to provide monitor and report evidence-based data about the impact and resources devoted to specific groups of interest. Suggested indicators are outlined in Attachment A, which includes indicators at key levels of the project.

Respondents to the Request for Applications should include at least one illustrative Foreign Assistance Framework "F" indicator to measure the proposed activities. Below are examples of Intermediate Results and associated F indicators from the Results Framework:

- **Intermediate Result 3.1:** CSOs improve understanding of policy advocacy
- **F Indicator:** Number of USG-Assisted Civil Society Organizations that Engage in Advocacy and Watchdog Functions.
- **Intermediate Result 5.1:**Number of Marla Ruzicka Iraqi War Victims Fund beneficiaries

- **F Indicator:** Number of people benefitting from USG-supported social services.

In order to report upon several of these indicators, the Applicant will be expected to budget for data collection in the form of public surveys. There are a number of Iraqi survey firms that can be sub-contracted for this purpose and several USAID-funded projects that have experience with these firms. USAID/Iraq prefers an approach to using local Iraqi firms as often as is practicable to build the capacity of Iraqi organizations as well as for cost-effectiveness and security considerations.

The baseline data for the project's analysis should be made available by the Recipient, within the first project quarter (or in the case of data collected by public surveys, by the end of the sixth month after the project start date). Data will be updated on a quarterly basis for all project indicators and targets. If appropriate, the Applicant may propose additional indicators and targets to measure the progress of project interventions at the activity and sub-IR levels.

Gender and Performance Indicators: **ADS 203.3.4.3, Reflecting Gender Issues in Performance Indicators** sets forth the Agency's requirements for performance indicators in projects/activities regarding gender: In order to ensure that USAID assistance makes the optimal contribution to gender equality, performance management systems and evaluations at the activity levels must include gender-sensitive indicators and sex-disaggregated data, where relevant.

C. Staffing/Management Plan

The Recipient will have ultimate responsibility for day-to-day project management and for achieving the performance results in the activity areas. The application should outline how the project would efficiently and effectively use the human, technical, and organizational resources at hand. The Applicant must submit a draft Project Implementation Plan (PIP) that includes a mobilization plan outlining how the project will get underway. It is expected that the Recipient will mobilize in-country within 45 days of award, and that the COP and DCOP will arrive in-country within the first 30 days. The mobilization plan should reflect a feasible yet rapid mobilization and start-up, as well as a clear timeline of activities. The Applicant should describe how it will mobilize in terms of personnel, logistical set-up, and establishment of management and financial control systems.

The application must indicate a team structure appropriate for implementing each activity. It should include detailed descriptions of each long-term position and the corresponding proposed candidate, with a comprehensive explanation of each proposed team member's qualifications. USAID will entertain expatriate staffing under this program, but a transition during the project to promote Iraqi staff for most key positions is expected. The Applicant must specifically outline a strategy for reducing reliance on expatriate staff and moving progressively toward greater Iraqi management of the project over time. The Applicant should articulate its approach to staff development of its Iraqi personnel and staff members of its Iraqi teaming partner(s) to facilitate this transition. The staffing pattern should specifically identify leadership positions that will be filled by Iraqis, either from the outset of the project or over time as Iraqi capacity is built. The staffing plan should clearly explain the relationship between the Recipient and the Iraqi Teaming Partner organization staff, bearing in mind that one of the most important functions of the teaming arrangement is skills transfer. The staffing plan must

also indicate monitoring and evaluation personnel, commensurate with the Applicant's suggested project monitoring and evaluation strategy.

The Applicant should describe where the head offices and field offices are envisioned, both for the Applicant and its teaming partner(s). USAID encourages the establishment of field offices and expects the Applicant or teaming partner to have a field presence in a minimum of Baghdad, Erbil, and Basrah. In fulfilling the national scope of the project, teaming partner offices may allow greater geographic coverage without requiring an expatriate-staffed office.

Key Personnel
The Applicant should describe technical qualifications and experience and position descriptions for key personnel and other staff proposed. The Mission would view favorably applications that reflect diversity in staffing, drawing upon highly competent professionals operating or having previously operated in the field of civil society project management, planning, and monitoring. The Applicant should propose the staffing pattern most appropriate for its proposed interventions for which individuals, working under the project, are expected to possess adequate expertise for a successful implementation.

Key Personnel should include a Chief of Party (COP), Deputy Chief of Party (DCOP), Monitoring and Evaluation (M&E) Specialist, Senior Grants Manager, and a Component Team Leader for at least one of the project's technical components to complement skills, if any, not already met by the proposed COP and DCOP candidates. Applicants that present more than one technical specialist will be considered favorably and are preferred. Ideally, applications will present a team that demonstrates experience across all components. Applicants may propose and justify different titles for the proposed key personnel for USAID's consideration. This must include the necessary qualifications and intended job responsibilities of key personnel proposed, if the position is different from those listed above. For any expatriate staff members, knowledge of local languages is preferred.

The Implementer must include as part of its proposal a statement signed by each person proposed as key personnel confirming their present intention to serve in the stated position immediately upon award and their present availability to serve for the term of the proposed agreement. Please note that documentation that reflects an "exclusive" relationship between an individual and an Applicant is **not requested and should not be submitted.**

Chief of Party (COP)
The COP should serve as the primary point of contact with USAID/Iraq with regard to day-to-day implementation and management matters relating to the agreement. The COP should reside in Iraq for the life of the project. He/she should have overall responsibility for ensuring quality control, the appropriateness and overall responsiveness of all assistance provided under the agreement, whether by short- or long-term advisors, teaming partners or others. This position also entails: monitoring, evaluating and documenting civil society support projects toward meeting project objectives; evaluating activities through consultative meetings, site visits and reporting requirements; implementing solutions to keep activities on track; and providing overall guidance and direction focusing the activity team on achieving agreed targets and long-term strategic objectives. Ten years of progressively responsible training experience in

the field of civil society-focused programming and large development project management skills; a demonstrated track record in civil society strengthening and/or political participation projects and managerial experience implementing complex donor-funded projects with multiple activities required. References for the last three (3) years of work experience are required and will be verified. English proficiency is required, and Arabic and/or Kurdish language skills are preferred.

Deputy Chief of Party (DCOP)
The skills of the DCOP should complement and not duplicate the skills of the proposed COP, based on a similar general set of qualifications as above, but increasing and diversifying management capacity. The Deputy Chief of Party should reside in Iraq for the duration of the project. USAID recommends that an individual with strong managerial, administrative and writing skills and with extensive M&E experience be considered. References for the last three (3) years of work experience are required and will be verified. English proficiency is required, and Arabic and/or Kurdish language skills are preferred.

Monitoring and Evaluation Specialist (M&E Specialist)
A full-time M&E Specialist should design, manage, and provide quarterly information as part of the project's Performance Management Plan (PMP), which will monitor progress against the project's indicators. The M&E Specialist should be responsible for ensuring integrity and sound design for the collection of data feeding into the PMP. The Specialist should also schedule and manage internal evaluations with the purpose of gauging project impact. The Specialist should ensure staff at all levels of project implementation are trained and prepared to fulfill their roles in reporting. While this position may initially be filled by an expatriate member, it is hoped that this role would transition into an Iraqi-staffed position. References for the last three (3) years of work experience are required and will be verified. English proficiency is required, and Arabic and/or Kurdish language skills are preferred.

Senior Grants Manager
The Senior Grants and Compliance Manager will be responsible for the management and oversight of the all grants under the different components of the project. A university degree in international development, social science, finance, business administration, or related field is required. The Grants Manager should have at least 6 years of experience in administering small grants in an international development program, including experience in grants design, negotiation, and administration of civil society related grants. This candidate for this position should have thorough knowledge of and experience with grants administration, contracting, and procurement regulations. References for the last three (3) years of work experience are required and will be verified. English proficiency is required, and Arabic and/or Kurdish language skills are preferred.

Component Team Leader
The Component Team Leader will be responsible for providing technical expertise toward at least one of the project components to complement skills, if any, not already met by the proposed COP and DCOP candidates. The candidate should have a minimum of 6 years of demonstrated experience and expertise in civil society strengthening initiatives, such as capacity development; advocacy campaigns; community mobilization; or civil society-related training and facilitation. Preference will be given to capacity development and/or working with grassroots communities.

Previous work experience in the Middle East, especially Iraq, is preferred. Candidates must also have a high level of interpersonal and communication skills. References for the last three (3) years of work experience are required and will be verified. English proficiency is required, and Arabic and/or Kurdish language skills are preferred.

D. Implementation Risks

The Recipient will be responsible for its own security and should employ a security profile that is linguistically and culturally appropriate as well as cost-effective. Baghdad is currently insecure, even in the International Zone, and the withdrawal of American troops from Iraq has affected the level of support services available to USG-funded implementing partners. The Recipient should ensure that its staff members fully understand the security risks prior to accepting employment. Information about security and life support services in Iraq is provided by the Overseas Security Advisory Council: www.osac.gov. Employment of armed private security contractors by the Recipient or any sub-recipient under the award should be in accordance with the most current U.S. Embassy/Baghdad's policy directives for armed private security contractors in Iraq in effect at the time and in accordance with the laws of the host country.

Applicants should demonstrate an understanding of the political interests at play within Iraq, and clear articulate how the implementation plan will be designed in close cooperation with Iraqi stakeholders, USAID, and other donors. Other critical variables for success or failure include 1) the high level of coordination required by the Recipient with USG, donor, civil society, and GOI entities; and 2) changes in government leadership that could adversely affect the operations of the Recipient. Therefore, building a broad and active Iraqi constituency is critical to providing meaningful support to Iraqi civil society.

E. Geographic Focus

This project will be national in scope. The Applicant must display an understanding of the political and cultural differences across Iraq's 18 provinces and present a technical approach that is sensitive to these differences. Iraq is a large and diverse country. The Applicant must focus on encouraging inclusive participation across a wide spectrum of Iraqi civil society. The Applicant also should describe what approach it will take to reach each province over the course of the project, with special attention to the fact that the legal framework and civil sector context in the Iraqi Kurdistan Region is distinct.

[End of Project Description]

AUTHORIZING LEGISLATION

The authority for this RFA is found in the Foreign Assistance Act of 1961 and the resulting award(s) will be administered in accordance with OMB Circulars, 22 CFR 226, and USAID's Automated Directives Systems (ADS) Chapter 303, "Grants and Cooperative Agreements with Non-Governmental Organizations" as applicable. These policies and regulations can be viewed or downloaded from USAID's Web Site http://www.usaid.gov/business/regulations/.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to this program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 forprofit organizations), may be paid under the cooperative agreement. **USAID reserves the right to fund any or none of the applications submitted.**

APPLICABLE REGULATIONS AND REFERENCES

- ADS Series 300 Acquisition and Assistance: **http://www.usaid.gov/pubs/ads/**
- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
  http://www.usaid.gov/pubs/ads/300/303maa.pdf
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf
- 22 CFR 226: **http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html**
- OMB Circular A-122: **http://www.whitehouse.gov/omb/circulars/a122/a122.html**
- OMB Circular A-110: **http://www.whitehouse.gov/omb/circulars/a110/a110.html**

Attachment A

Results Framework/Logical Framework

USAID/Iraq Project: Broadening Participation through Civil Society (BPCS)

Development Hypothesis: **If** civil society is strengthened in a way that increases citizen input into Iraq's social and political development, **then** Iraq's democratic system will be more participatory

Project Goal/DO: Iraq's Transition to Participatory Democracy Strengthened
Indicator: % of Citizens participating in political processes.

Project Purpose/IR: Civil society is strengthened in a way that increases citizen input into Iraq's social and political development.

Indicators:
- Percent of Iraqi citizens citing CSOs as effective in presenting/promoting their issues/interests.
- Citizens' perception of the willingness of government to engage in dialogue.

Key assumptions:
- CSOs continue to be committed to working with project and USG-funded implementers.
- Government recognizes value added by civil society and will work with partners and project.
- Civil society will be permitted to operate more/less freely
- CSOs develop grassroots constituencies, based on non-donor driven purposes.

Sub-Purpose 1/Sub-IR 1: Democratic engagement of citizens increased.	Sub-Purpose 2/Sub-IR 2: Institutional capacity of CSO/NGOs increased	Sub-Purpose 3/Sub-IR 3: Impact of civil society on public policy increased	Sub-Purpose 4/Sub-IR 4: Enabling environment for CSOs improved
Indicator: Percentage of people participating in a collective community action within the last year **Assumption:** Citizens will feel safe enough to participate in collective activities.	**Indicator:** # CSOs making progress on organizational assessment tool **Assumption:** CSOs will be allowed to take non-Iraqi governmental funding	**Indicator:** Public policies changed consistent with CSO advocacy **Assumption:** CSOs will feel safe enough to engage in public policy advocacy	**Indicator:** Iraq's legal framework includes Laws that support civil society **Assumption:** There are functioning legislative (COR, Provincial Councils) and GOI bodies
Outputs **1.1:** Civic education bolsters citizens' understanding of their roles and responsibilities **1.2:** Service learning strengthens volunteerism and community work **Output Indicators:** 1.1. % of citizens with civic knowledge 1.2. # volunteer hours	**Outputs** **2.1:** CSOs better plan and execute issue-based mission to meet constituent needs **2.2:** CSOs have strengthened administrative and financial capacity **Output Indicator:** 2.1. # of CSOs carrying out constituent outreach activities 2.2. # of target CSOs with increased %/amount of revenues from indigenous sources, including self-generated income	**Outputs** **3.1:** CSOs improve understanding of policy advocacy **3.2:** CSOs form coalitions for policy advocacy **3.3:** CSOs carry out public policy campaigns **Output Indicators:** 3.1. # of watchdog/advocacy groups supported 3.2. # coalitions supported 3.3. # of policy campaigns undertaken	**Outputs** **4.1:** GOI establishes forums with CSOs to discuss laws and regulations that impact civil society **4.2:** Increased availability of information on CSOs, donors, funding opportunities and other relevant information **Output Indicators:** 4.1. # institutions adopting policies/practices to interact with CSOs (i.e. public hearings, working groups) 4.2. # of public information sources supported
Inputs - Skills transfer through mentoring, on-the-job training, workshops, etc. - Relationship building events - Small grants to CSOs for project implementation - Service learning projects - Media campaigns **Input Indicators:** - # CSOs trained - # citizens mentored - #grants to CSOs - # of media campaigns	**Inputs** - Skills transfer through mentoring, on-the-job training, workshops, etc. - Relationship building events - Small grants to CSOs for project implementation - Media campaigns **Input Indicators:** - # CSOs trained - # citizens mentored - #grants to CSOs - # of media campaigns	**Inputs** - Skills transfer through mentoring, on-the-job training, workshops, etc. - Relationship building events - Small grants to CSOs for project implementation - Media campaigns **Input Indicators:** - # CSOs trained - # citizens mentored - #grants to CSOs - # of media campaigns	**Inputs** - Skills transfer through mentoring, on-the-job training, workshops, etc. - Relationship building events - Small grants to CSOs for project implementation - Media campaigns **Input Indicators:** - # CSOs trained - # citizens mentored - #grants to CSOs - # of media campaigns

"Special Projects" Results Framework/Logical Framework

USAID/Iraq Project: Broadening Participation through Civil Society (BPCS)

Development Hypothesis:
Special Projects, like the Marla Ruzicka Iraqi War Victims Fund, do not have an overarching developmental goal, and indicators will be based on programmatic outputs.

Project Goal/DO: Not Applicable – Congressionally-Mandated Earmark. Program Impact Confined to Project Level Outputs
Indicator: Not Applicable

Project Purpose/IR: To fulfill earmarked assistance activities directed by the U.S. Congress
Indicators:
- Program outputs align with and advance congressionally mandated assistance line items.

Key assumptions:
- There are war victims who remain unassisted.
- Congress will continue to mandate this fund in its current form.
- The Marla Fund will be implemented through Iraqi CSOs, and thus reflect other project components.
- Congress may mandate other assistance activities that are appropriately administered by the BPCS implementer.

Sub-Purpose 5/Sub-IR 5:
Civilian War Victims assisted

Indicator: # of MRIWVF recipients with new opportunities for sustainable income generation
Assumption: Marla recipients can build enduring businesses based on initial kick-start grants and skills training.

Outputs
5.1: Marla Fund projects assist families and communities of Iraqi civilians who have suffered losses as a result of Coalition military operations

Output Indicators:
5.1. # of MRIWVF beneficiaries

Inputs
- Medical services provided.
- Damaged property replaced.
- Livelihoods restored.

Input Indicators:
- # victims provided medical services
- # victims homes or community infrastructures repaired
- #grants to promoting livelihoods for victims/families

Attachment B

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Youth Development Lessons Learned for Iraq

Below are 10 guiding principles for youth development in Iraq, based on more general best practices and modified to reflect the results of the youth assessment as well as the strategic objectives of USAID/Iraq. The guiding principles are intended to reflect USAID's approach to youth programming and guide future program design.

1. Effective youth development is positive and participatory, viewing youth as Iraq's future leaders

Youth in this survey consistently stated that they have knowledge, skills, values and experience that can contribute to their own development and the development of Iraq. Effective programming views youth as assets for their communities rather than as problems to be solved. USAID should support active participatory approaches, as well as authentic and continuous involvement of youth in the design, implementation, monitoring and evaluation of programs that target them.

2. Youth can contribute significantly to Iraq's stability if their needs are better addressed

The lack of quality education, jobs, and youth programming, combined with the threat of violence and kidnapping, have caused youth to resent the government and feel increasingly isolated. Youth programming should be a priority in the interest of Iraq's security and the stability of the region.

3. Youth programming should meet local community needs flexibly and rapidly

Implementation of youth programs should support and coordinate with other local government and civil society development projects in strategic cities. Youth should map/identify their own local assets and needs as a part of ongoing program development, as USAID is doing in Haiti and Azerbaijan. Though youth programming will need to begin rapidly and remain flexible, it is important that continuity be insured as much as possible, avoiding "one shot programs", and ideally working with youth over several years.

4. Youth programming should be holistic, inclusive and community-based

Youth programming should create opportunities for young people to develop as leaders and stewards of their communities, and expose them to peers from diverse groups. Programs that support multiple aspects of youth development (including health, sports and recreation activities for example) have proven better at preparing youth for employment and positive civic engagement. Youth need structured arenas for competition, social bonding, and connection with adult leaders. A holistic approach allows temporary work programs to become more valuable leadership development and employment skills programs. Programs should also partner with the families of youth whenever possible.

5. Youth activities should be compatible with youths' religious identities

Activities should promote leadership and character development, building on Islamic values such as generosity, honesty and service to community. Iraqi youth are religious and concerned with Iraq's moral values in light of increasingly corrupt institutions and exposure to media that is not sensitive to cultural norms. Youth programming that is compatible with Iraq's religious tradition will more effectively engage youth and discourage alienation and religious extremism.

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6. Youth programming should involve technology and the production of local and national independent youth media

Surveyed youth expressed great interest in computers, science and technology – tools that can support youth literacy, employment, and life skills development. Newspapers, television programming, and film are relatively inexpensive ways for large numbers of youth to communicate ideas and gain experience with the practice of democracy. Media encourages literacy and rhetorical skills useful for employment, allows youth to address issues of trauma and conflict, and can promote national unity.

7. Youth programming should engage women and girls and provide space for single sex activities

Special attention should be made to ensure the participation and leadership of women in youth activities, and program evaluations should disaggregate for gender. Consideration should also be given to the timing of youth activities: youth of both genders have a variety of responsibilities at varying times of the day and may only be able to participate a few hours each week.

8. Activities should build confidence in local government, being implemented when possible through Provincial Councils and local representatives of the Ministry of Youth and Sports

Programs should expressly promote and model transparency, while discouraging cronyism and corruption. Strengthening youth-serving civil society (non-governmental) organizations and building community support for youth development is also important. Activities should expressly avoid affiliation with political parties. Expectations should also be managed: promises should not be made to young people that are unrealistic.

9. Youth programming should leverage the resources of creative partnerships, including those with schools, mosques, government ministries, other donors, the private sector, and the Iraqi Diaspora

Meeting the needs of youth in Iraq will require the creative alliance and resources of many youth-serving institutions. The private sector can help ensure that training programs match potential livelihoods with skill sets, and are demand-based wherever possible. Community mentors and allied organizations can help buttress and shepherd youth as they make the complex and challenging transition to successful adult roles in political, economic and social spheres.

10. Youth programming should be supported by a National Youth Strategy aligned with Iraq's National Development Strategy

The World Bank has established with quantitative evidence that investing in youth is economically sound government policy; not investing has profound costs for society at large[1]. Many Iraqi youth today feel that their government does not serve them. The Iraqi government has a chance to respond to this claim by making a sustained commitment to youth at the national level, and calling for young people to be leaders and stewards of their local communities. Given limited resources, youth activities should be strategically aligned with Iraq's general development objectives. Activities should have clear indicators and goals, and be evaluated frequently to ensure they are effective and sustainable.

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[1] *Caribbean Youth Development: Issues and Policy Directions* (2003), World Bank country study

[End of Section I]

SECTION II. AWARD INFORMATION

1. USAID expects to make one award cooperative agreement based on this RFA. Subject to availability of funding, the anticipated total federal funding amount is $75,000,000, of which $60 million for the civil society focus and $15 million under the special projects component, currently envisioned to implement the Marla Ruzicka Iraqi War Victims Fund. The Special Projects budget should not exceed $5 million/year.

   Funding for accepted application shall be provided on an incremental basis subject to the availability of funds and successful performance. USAID reserves the right to change the funding amounts, cycle, and terms of the grant agreement as a result of availability of funding and US Government requirements. Should such changes occur, recipients will be appropriately notified.

2. The period of performance is three (3) years with an anticipated start date of 01 October 2012 through 30 September 2015.

3. **Substantial Involvement:** USAID/Iraq anticipates a close working partnership with the Recipient. USAID's substantial involvement in this project will extend to those items identified below. The Agreement Officer herein delegates the following approvals list to the Agreement Officer's Representative (AOR) in accordance with the ADS Chapter 303.3.11.

   The intended purpose of the AOR involvement during the award is to assist the Recipient in achieving the supported objectives of the agreement.

   a) Approval of the Project Implementation Plan
   A draft Project Implementation Plan (PIP) must be submitted with application. An updated PIP is due for approval 30 days after the Cooperative Agreement is awarded. The PIP should include a description of the activities and expected results for the 3-year project timeframe, with detailed emphasis on year 1 implementation. Thereafter, an annual PIP should be submitted 30 days prior to the start of each subsequent year detailing activities for the following 12 months.

   b) Approval of the Monitoring and Evaluation Strategy and the Performance Management Plan
   A monitoring and evaluation (M&E) strategy must be submitted with the application. The M&E Strategy should outline how the Applicant intends to measure project impact and use data collected throughout the project to guide programmatic decisions. This strategy should describe the schedule and plans to manage internal evaluations. The M&E Strategy also should include a draft Performance Management Plan (PMP). Within sixty (60) days of the Cooperative Agreement being awarded, the Recipient should submit an updated M&E Strategy with revised PMP to the AOR for approval. Thereafter, updated monitoring and evaluation strategy documents, including the PMP, will be submitted to the AOR for approval annually, and should be submitted no less than thirty (30) days before the start of each fiscal year. Data collected against the PMP must accompany the quarterly narrative reports.

   c) Approval of key personnel and any changes

USAID may designate as key personnel only those positions that are essential to the successful implementation of an award. USAID's policy limits this 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.

d) Agency and Recipient collaboration or joint participation in the following areas

Participation as needed on selection committees for the review and selection of sub-grants. The AOR will help prepare the solicitation documents, including project descriptions, match requirements, selection criteria and funding levels for applications. He/she will also participate in technical review panels for sub-grants and selection of the final list of applications accepted for funding.

USAID will provide concurrence on the substantive provisions of sub-grants and subcontracts. USAID's approval of sub-grant recipients is required in accordance with 22 CFR 226.25 and such approval is not part of substantial involvement.

USAID will also monitor activities to permit specified kinds of direction or redirection because of interrelationships with other USAID or USG-funded projects.

4. The place of performance is Iraq.

5. AUTHORIZED GEOGRAPHIC CODE: The Authorized Geographic Code is **935** for the procurement of goods and services (Reference ADS 310).

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

SECTION III. ELIGIBILITY INFORMATION

1) USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this RFA, any U.S. or non-U.S. organization, non-profit, or for-profit entity is eligible to apply.

2) USAID encourages applications from potential new partners.

3) There are no additional minimum qualifications other than those described herein.

[END OF SECTION III]

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

1. Content and Form of Application Submission

ELECTRIONIC SUBMISSION OF APPLICATIONS via EMAILS IS REQUIRED

Applications shall be submitted in two separate parts: (a) technical proposal or management plan, and (b) cost or business application. Applications are to be submitted via email. Please submit your applications to the email address below by the date specified in the cover page. Washington RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE AID/Washington INTERNET SERVER. **Only electronic submission of applications is accepted**.

- Package in email(s) **with attachments** shall be sent only to the following: baghdadsolicitations@usaid.gov. Email notification for submission **without attachment** shall be sent to bteame@usaid.gov, baghdadtdy226@usaid.gov and mabianco@usaid.gov.. The attachments shall be in software compatible with MS Word (for narrative text), MS Excel(for tables or budgets) and Portable Document Format (PDF) for all files except budgets). Please convert your documents to one of these software programs before sending them to USAID. Zipped files cannot be accepted due to firewall restrictions. Applicants are responsible for confirming that their complete applications were received electronically by USAID.

  Please note that Excel worksheet shall allow calculations to be displayed on formula bar. Do not send right protected or locked excel worksheets that doesn‘t allow formula on formula bar. If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. “no. 1 of 4”, etc.). For example, if your organization's name is ABXY Consulting, and your cost proposal is divided and being sent in as two emails, the first email should have a subject line which says: “**USAID/Iraq-RFA-267-12-000001**: ABXY, Cost Proposal, Part 1 of 2”. If you do not do this clearly, we may not be sure of the correct order of the separate parts of your applications. Our preference would be that each technical and each cost proposal be submitted as a single email attachment, e.g. that you consolidate the various parts of a technical proposal into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence.

  What is obvious to you as the preparer of the document may not be obvious to us. Your application may not get optimal treatment if we are confused regarding the order and composition of your application.

2. Address to Request Application Package or questions:

This application is found on the internet at www.grants.gov . Potential applicants that cannot download application materials electronically may request an electronic copy of the RFA by contacting the following persons:

Belay Teame (Mr.) *Sr. Acquisition & Assistance Specialist* *USAID/Iraq* *Tel: +1-202 216 6276* *Email: bteame@usaid.gov*	*Marilynn Bianco (Ms.)* *Agreement Office* *USAID/ Iraq* *Tel: Tel: +1-202 216 6276* *Email: baghdadtey226@usaid.gov*

3. Applicants must submit budget applications 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 may be downloaded from the following website:
   http://www.grants.gov/agencies/aforms_repository_information.jsp

4. Applicants must submit all the required certifications described in ADS 303.3.8 (http://www.usaid.gov/policy/ads/300/303sad.pdf), and reproduced here below. These documents are also found in Annex B to this RFA.

   a. A signed copy of Certifications and Assurances, which includes:

      1. **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs** (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
      2. **Restrictions on Lobbying** (**22 CFR 227**);
      3. **Prohibition on Assistance to Drug Traffickers** (**ADS 206**); and,
      4. **Certification Regarding Terrorist Funding** (**AAPD 04-14**).

   b. Other certifications and statements found in **Certifications, Assurances, and Other Statements of the Recipient**:

      1. The **Survey on Ensuring Equal Opportunity for Applicants**;
      2. A Data Universal Numbering System (DUNS) number (See **Use of a Universal Identifier by Grant Applicants** for background information.)**;**
      3. A signed copy of **Key Individual Certification Narcotics Offenses and Drug Trafficking,** (**ADS 206.3.10**) when applicable;
      4. A signed copy of **Participant Certification Narcotics Offenses and Drug Trafficking** (**ADS 206.3.10**) when applicable; and

(5) **Required Format for Applications**:

To facilitate the competitive review of the applications, applications should conform to the format prescribed below. Applications shall be submitted by e-mail in two separate parts: (a) technical, and (b) cost or business application as described in the cover letter of this RFA.

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant‘s risk. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications.

Proprietary Information – Applications which 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, a grant is awarded to this applicant as a result of - or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government‘s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages___.”; and

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

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

TECHNICAL APPLICATION FORMAT

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

The technical application may not exceed 30 pages exclusive of the annexes (curriculum vitae/resumes, past performance references, and letters of commitment from any implementing partners, if any). **PAGES EXCEEDING THESE PAGE LIMITS WILL NOT BE EVALUATED.** The application shall be typed on standard 8 ½" x 11" or A4 sized paper with each page numbered consecutively. The technical application must follow the following format:

A. Cover Page (*not included in page limit*)
The cover page must include at a minimum the following information:
RFA Number
Project Title
Name of the organization(s) submitting the application

Name and title of contact person or position within the organization
E-Mail Address
Telephone and fax numbers
Postal and physical addresses
Applicants should also state clearly whether the identified contact person has the authority to negotiate on behalf of the applicant, or, if not, the contact information for the appropriate person with the authority to negotiate.

B. Table of Contents *(optional, not included in page limit*)

C. Acronym List *(optional, not included in page limit*)

D. Executive Summary (*included in the 30 page limit***)**

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

E. Technical Understanding and Proposed Approaches (*maximum 30 pages)*

Technical applications must be specific, complete and presented concisely. The applications must demonstrate the applicant's capabilities and expertise with respect to achieving the goals for this program. The application must take into account the technical selection criteria and evaluation procedures found in Section V.

1. TECHNICAL APPROACH

Applicants must be sensitive to the situation and opportunities in Iraq related to the civil society sector and balance the need to consider international best practices with a country-specific approach. The technical approach must describe:

a) Problem Statement, Goal, Objective, and Results

The technical approach must describe clearly the context in which the program will be implemented. It should demonstrate an understanding of the challenges, needs, and opportunities envisaged during implementation of the project, including an awareness of the regional differences between civil society development in the Iraqi Kurdistan Region and the rest of the country. The technical approach should demonstrate a clear plan for the integration of gender, youth, and marginalized groups. The technical approach must articulate how the project will build on other USAID projects – current and previous.

b) Proposed Interventions

The Applicant must describe specific methodologies and technical activities proposed under each component to achieve the desired results specified in the Project Description. The proposed interventions must clearly show how they will lead to the project sustainability.

c) Monitoring and Evaluation (M&E) Strategy and Performance Management Plan (PMP)

The Applicant must submit an M&E Strategy and PMP that outline how project results will be monitored and evaluation. The PMP should include notional indicators that relate to the five components under the Project Description with anticipated targets for these indicators and a strategy for monitoring these indicators during implementation. The Plan should be built around a sustainability vision for all components. Since the PMP must monitor its set of indicators on an ongoing basis, the Applicant should select indicators that relate to the outputs and outcomes described in the activities that it proposes. This preliminary PMP should integrate the project-level Results Framework.

2. KEY PERSONNEL

Key Personnel are those individuals whose performance is considered critical to the success of the agreement and must be employees of the prime.

Key Personnel should include a Chief of Party (COP), Deputy Chief of Party (DCOP), Monitoring and Evaluation (M&E) Specialist, Senior Grants Manager, and a Component Team Leader for at least one of the project's technical components to complement skills, if any, not already met by the proposed COP and DCOP candidates. Applicants that present more than one technical specialist will be considered favorably and are preferred. Ideally, applications will present a team that demonstrates experience across all components. Applicants may propose and justify different titles for the proposed key personnel for USAID's consideration. This must include the necessary qualifications and intended job responsibilities of key personnel proposed, if the position is different from those listed above. For any expatriate staff members, knowledge of local languages is preferred.

The proposed key personnel must be well qualified and have the requisite experience in the technical, managerial areas, and supervisory roles for which they are proposed. The Applicant must demonstrate how the qualifications and experiences of the proposed key personnel will contribute to the successful implementation of the USAID/BPCS Project.

The Applicant must submit current resumes for all the proposed Key Personnel (Include in Annex to the technical application). The Applicant should also submit three (3) references, with contact information (including a day time phone number and email address), for each of the proposed key personnel.

For each proposed Key Personnel the Applicant must include as part of its proposal a signed letter of commitment (Include in Annex to the technical proposal) confirming his/her present intention to serve in the position he/she is proposed for immediately upon award and his/her availability to serve for the term of the prospective agreement.

3. MANAGEMENT PLAN

The Applicant shall submit a Management Plan that demonstrates their capacity to mobilize resources immediately and implement activities in accordance with a strict timeline. The Management Plan should include the following sections:

a. Staffing plan: In the staffing plan the Applicant must describe the roles and responsibilities of the personnel, both for the Applicant and any Iraqi teaming partner(s) with clearly defined lines of management (organizational chart), supervisory authority, and technical responsibility. The plan shall integrate gender practices. The Applicant should make every effort to field qualified Iraqi local professionals, Iraqis in the diaspora, and Arabic-speaking technical experts.

b. Teaming arrangements: The technical proposal must clearly show the experience, roles and responsibilities, and delineated lines of management, oversight and quality control. The proposal must clearly and specifically explain what portion of the Project Description each proposed technical assistance sub-agreement holder is to implement under the project and what expertise does each proposed sub-agreement holder bring to the team.

c. Project Implementation Plan (including a Mobilization Plan): The technical proposal must include a draft Project Implementation Plan that outlines activities for the 3-year project timeframe, with detailed emphasis on year 1 mobilization and implementation.

4. INSTITUTIONAL CAPACITY AND PAST PERFORMANCE

Regarding institutional capacity, the Applicant must describe its ability to manage a comprehensive civil society sector project that includes all the components outlined in the Project Description in a conflict/post-conflict environment. The Applicant must describe how it will manage any teaming arrangements that it proposes.

The Applicant must describe the institutional capacity of each of its proposed Iraqi teaming partners relevant to and commensurate with the proposed designated work.

The Applicant should describe its capacity and expertise necessary to deal with stakeholders and key actors outlined in the Project Description, citing specific examples of situations where the Applicant's institutional capacity has played an important role during past and/or current projects. The Applicant should do the same for each Iraqi teaming partner proposed.

Regarding past performance, the Applicant (including all partners) must provide past performance information for itself and each Iraqi teaming partner.

USAID recommends that you alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed agreements if and when USAID requests it.

J. Annex *(35 page limit)*

Annexes should include the following:

i. Draft Project Implementation Plan (PIP): The draft PIP should outline activities for the 3-year project timeframe, with detailed emphasis on year 1 implementation. The draft PIP must include includes a mobilization plan outlining how the Applicant will get the project underway. The mobilization plan should reflect a feasible yet rapid mobilization and start-up, as well as a clear timeline of activities.

ii. Monitoring and Evaluation (M&E) Strategy and Illustrative Performance Management Plan (PMP): The M&E strategy and illustrative PMP should outline how project results will be monitored and evaluation. The PMP should identify appropriate milestones, gender-sensitive indicators and targets (including sex- disaggregated targets), as well as plans to gather and utilize baseline data. In addition, the PMP is expected to reflect concern for results and include proper impact indicators.

iii. Relevant Past Performance Information (Recipient and Key Partner Organizations) Applicants must provide evidence of their technical and managerial resources and expertise (or their ability to obtain such) in project management and their experience in addressing similar relevant projects and issues in the past.

The focus is on demonstrated technical capabilities and relevant past performance. Applicants should be demonstrated leaders in civil society development projects in developing countries. Applicants are expected to describe the blend of technical expertise that might be needed to achieve the objective of this project, and then provide specific examples of successful relevant activities that the Applicant has successfully implemented over the past three years.

Applicants must provide a list of all its contracts, grants, or cooperative agreements that the Applicant has implemented involving similar and/or related projects over the past three years with governmental and/or other organizations (i.e. commercial, governmental, and/or philanthropic).

If an organization is proposing to use partners (sub-grantees), it should provide the same information for partnering organizations that will be directly involved in project implementation. Special attention should be made to establish the relevance of past experience to this project and the basis for reliance upon that experience as an indicator of success for this project.

As Annex IV, please provide relevant past performance references which describe any contracts, grants, cooperative agreements which the applicant organization has implemented involving similar or related programs over the past **three years**. Please provide these references in the annex and include the following information: current telephone number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments/results achieved to date.

USAID will contact the named references and use the past performance data along with other information, to evaluate the applicants' quality of performance and responsibility. USAID/Iraq reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the U.S. Government.

iv. Resumes for Key Personnel: This section should include resumes for all key personnel candidates and any other personnel proposed for significant positions. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Each resume should be accompanied by a signed Letter of Commitment from each candidate indicating his/her: (a) availability to serve in

the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which corresponds to the levels set forth in the cost application.

Resumes for key personnel should include three references for each proposed key position, including up-to-date telephone numbers and email contact information.

Please note that documentation that reflects an "exclusive" relationship between an individual and an Applicant is **not requested and should not be submitted.**

v. Sustainability Plan: A sustainability plan and approach should be outlined to ensure that the project results can be independently sustained after completion of the Broadening Participation through Civil Society (BPCS) Project.

vi) An **organizational chart.**

vii) **Other information** such as letters of support, maps, charts, graphs, etc. may be provided in the Annex to support the application, not to exceed the 35 page limit for Annexes.

COST APPLICATION FORMAT

The Cost or Business Application shall be submitted via email separately 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. The following sections describe the documentation that applicants for Assistance award 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 detail to address the following:

A Cost Application consists of:

- The **SF-424**, Application for Federal Assistance; **SF-424A**, Budget Information – Non-Construction Program; and **SF-424B**, Assurances – Non-Construction Programs.
- a summary budget;
- a detailed/itemized budget;
- a budget notes/narrative explaining costs to be incurred and supporting justification of all proposed budget line items; and
- other administrative documentation as required.

The budget shall include but not limited to:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

2. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;

3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

4. A procurement plan for commodities.

Detailed/itemized budgets must be submitted in Excel format, must be unlocked and shall show ALL formulas used to derive calculations. The budget narrative must provide sufficient detail to allow USAID to understand the basis upon which costs were estimated and what specific costs comprise each element of the budget.

NOTE: The award will not provide for the reimbursement of pre-award costs.

Also include in the cost application:

a) Details of sub-award arrangements to the extent they are known at the time of application development. In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact.

   NOTE: If sub-awards are anticipated and not explained in the original application, the agreement officer‘s approval (after award) may be required before the subagreement may be executed.

b) A copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.

c) A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government, if applicable.

   Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

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

   2. Projected budget, cash flow and organizational chart; and

   3. A copy of the organization's accounting manual.

d) Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

   1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

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

   3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless

there is clear evidence of subsequent satisfactory performance.

4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

e. Required certifications, assurances, and other statements. These forms include:

-Assurance of Compliance with Laws and Regulations Governing – Nondiscrimination in Federally Assisted Programs
-Certification Regarding Lobbying
-Prohibition on Assistance to Drug Traffickers for Covered Countries
-Certification on Terrorist Financing
-Certification of Recipient
-Key Individual and Participant Certifications Narcotics Offence and Drug Trafficking
- Survey On Ensuring Equal Opportunity For Applicants
-Applicant Information
-Procurement Information

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

3. Submission Dates and Times

Applications must be electronically received by no later than the date and time specified on the cover letter of this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award if, in the sole discretion of the Agreement Officer, it is determined that it is in the U.S. Government's interest and if the evaluation process has not yet commenced.

4. Other Submission Requirements

A. 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 art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

B. Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing NLT the date specified in the RFA cover page to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

Unsuccessful Applications: Unsuccessful applications will not be returned to the Applicant.

C. Telegraphic or faxed applications will not be considered.

D. Language – All applications must be in English.

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

The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

[END OF SECTION IV]

SECTION V. APPLICATION REVIEW INFORMATION

1. Evaluation Criteria

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in the application and (b) set the standard against which the application will be evaluated. To facilitate the review of the application, the applicant should organize the narrative sections of their application in the same order as the selection criteria set forth below, as indicated in Section IV of this RFA.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, costs will be evaluated for general reasonableness and allowability. Award will be made to the responsible applicant(s) whose application(s) offers the best value, when technical and cost factors are considered as determined by the responsible Agreement Officer.

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

A. TECHNICAL EVALUATION CRITERIA

Technical applications for the USAID/Broadening Participation through Civil Society (BPCS) Project will be evaluated according to the criteria below. The number of assigned points indicates the relative importance of each criterion. A total of 100 points is possible. Applicants should note that these criteria serve to: (a) identify the significant subjects which Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

The following criteria are by major category presented in a descending order of importance, so that Applicants will know which areas require emphasis in the preparation of proposals:

A. Technical Approach (35)
B. Key Personnel (25)
C. Management Plan (25)
D. Institutional Capacity and Past Performance (15)

Total = 100 points

A TECHNICAL APPROACH (Maximum points = 35)

Sub-criteria below are in descending order of importance:

1. Extent to which the Applicant’s approach is well-conceived, demonstrates an understanding of requirements of the Project Description, demonstrates an

understanding of existing problems in the civil society sector in Iraq, incorporates sustainability efforts, and how well it incorporates lessons learned from implementation of similar programs in developing and Middle Eastern countries.

2. How well the technical approach integrates issues related to gender, youth, and marginalized groups.
3. Extent of clarity, appropriateness, feasibility and ambitiousness of the proposed Monitoring and Evaluation (M&E) Strategy and Performance Management Plan (PMP) in identifying expected intermediate and final results of the project, including a sustainability plan and a plan for performance data and suggested indicators of program impact and success.

B KEY PERSONNEL (Maximum points = 25)

Sub-criteria below are in descending order of importance:

1. Extent to which the key personnel are qualified for the positions for which they are proposed. Individuals proposed as key personnel will be evaluated based on their specific qualifications, professional competence, relevant academic background per the requirements as specified in section I.
2. Demonstrated success in carrying out proposed activities, and past performance/experience. Reference checks regarding key personnel's suitability for the positions for which they are proposed. The U.S. Government reserves the right to obtain and evaluate information on key personnel by using its own resources.

C MANAGEMENT PLAN (Maximum points = 25)

Sub-criteria below are of equal importance:

1. Extent to which the staffing plan clearly supports effective implementation of the proposed technical approach to achieve agreement objectives.
2. Extent to which the Applicant clearly identifies the work to be performed by proposed Iraqi teaming partner(s).
3. The extent to which the year Project Implementation Plan clearly and logically spells out the activities and the schedule of implementation during the project.
4. Extent to which the mobilization plan demonstrates a comprehensive and realistic plan for timely and effective launch of the project.
5. Extent to which the mobilization plan demonstrates a feasible approach to ensuring national coverage of the project.

D INSTITUTIONAL CAPACITY AND PAST PERFORMANCE (Maximum points = 15)

Institutional Capacity will be evaluated in accordance with the elements below:

1. The extent to which the Applicant demonstrates that it possesses the institutional capacity to successfully manage the USAID/BPCS Project.

2. The extent to which any teaming arrangements are clearly explained and the Applicant demonstrates that the proposed teaming partners possess the institutional capacity necessary to successfully carry out their responsibilities within the teaming arrangement.

3. The extent to which the Applicant demonstrates its capacity and expertise to deal with stakeholders and key actors outlined in the Project Description.

Past performance information determined to be relevant will be evaluated in accordance with the elements below:

1. Quality of work: The extent to which the previous performance conformed to the terms of any agreements.

2. Cost control: The extent to which accurate forecasting of costs as well as accurate financial reporting was done.

3. Timeliness of performance: The extent to which schedules were adhered to and the extent to which the home and field offices promptly and effectively made management decisions.

4. Business relations: The extent to which the Applicant demonstrated professional behavior and overall business-like concern in dealing with its customers; how efficient the Applicant coordinated its partners and how well it related with cooperating country partners, including government officials.

5. Effectiveness of key personnel: The extent to which the Applicant provided effective key personnel, and how prompt and satisfactory changes in key personnel, if there were any, were made.

Note: In cases where (i) an Applicant lacks relevant past performance history, (ii) information on past performance is not available then the Applicant will not be evaluated favorably or unfavorably on past performance.

RATING METHODOLOGY

Applications for the activity will be evaluated based on numerical ranking for the overall application and each section of the application, respectively. The following ratings will be used in assessing the criteria:

91-100 points: The application fully meets the RFA's requirements and the expectations of USAID. The Applicant has convincingly demonstrated that the requirements have been analyzed, evaluated, and should result in an outstanding, effective, efficient, and economical performance.

81-90 points**:** The application demonstrates a level of effort that substantially meets the RFA's requirements and the expectations of USAID. The Applicant specified performance or capability requirements necessary for acceptable performance and could produce results that should be substantially beneficial.

71-80 points**:** The application does not meet some specified performance or capability requirements necessary for acceptable performance, but inadequacies can be corrected. The application demonstrates a good understanding and ability to fulfill the requirements, and weaknesses should not seriously affect the Applicant's performance if measures are taken to correct them.

0-70 points**:** The application fails to meet the specified minimum performance and capability requirements and contains major deficiencies. It is incomplete and vague and deficiencies are uncorrectable without a major revision of the application. Applications scoring within this range will not be considered for award.

The technical evaluation criteria are outlined below:

1. Technical Approach	35 points
2. Key Personnel	25 points
3. Management Plan	25 points
4. Institutional Capacity and Past Performance	15 points
Total Technical Evaluation	**100 points**

B. COST CRITERIA

Cost has not been assigned a score but will be reviewed for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA.

(2) Branding Strategy and Marking Plan

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently Recipient will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. See Annex A –Standard Provisions for the full text of the Branding and Marking provisions under Assistance Instruments. **Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.**

3. Review and Selection Process

Applications will be reviewed by a Technical Evaluation Committee. The award decision will be made by the Agreement Officer.

4. Anticipated Announcement and Award Dates is September 2012.

[END SECTION V]

SECTION VI. AWARD ADMINSTRATION INFORMATION

1. USAID reserves the right to make awards without discussions. Successful applicants can expect to receive a notice of award signed by the Agreement Office which serves as the authorizing document. Unsuccessful applicants will be notified by letter sent electronically from the Agreement Officer. Notification will be sent electronically to the person indicated on the cover page of the application. Debriefings will be considered if requested in writing within 10 days of notification from the Agreement Officer.

2. USAID does not anticipate any deviations from the Standard Provisions described in Annex A herein.

3. Approval of a Grants Manual to be submitted within 90 days from the award date.

4. Reporting: Reporting requirements are summarized below:

Type of Report	**Due Date** *(Days refer to calendar days and quarter refers to the fiscal quarter, unless stated otherwise)*
Project Implementation Plan (PIP)	Draft plan required with application. Updated PIP due for approval 30days after award.
Performance Management Plan (PMP)	Illustrative plan required with application. Updated PMP due for approval 60 days after award. Submitted annually with the PIP. Quarterly reporting against the PMP due with the Quarterly Narrative Reports, 30 days after the end of each quarter.
Environmental Mitigation and Monitoring Plan (EMMP)	Submitted within 30 days of award.
Quarterly Narrative Report	Quarterly -Submitted 30 days after the end of each quarter.
Financial Report	Quarterly -Submitted 30 working days after the end of the quarter; Accrual information requested 15 days before the end of the quarter. The July-September Quarterly Financial Report will constitute the Annual Financial Progress Report.
Security Provider Data (Template and instructions provided by USAID)	Quarterly -Submitted 30 days after the end of each quarter
Employee nationality Data (Template and instructions provided by USAID)	Quarterly -Submitted 30 days after the end of each quarter
Sub-activity Data (Training provided by USAID)	Quarterly - Submitted 30 days after the end of each quarter
Inventory/Equipment Report	Annually - Submitted 30 days after the end of the fiscal year
Special Reports	As requested
Reporting on Foreign Taxes	Annually: submit a report by April 16 of the for the last financial year ending March 31
Final Report	90 days after completion of award
Closeout Plan (to include grants closeout)	120 days before the end of the award

a. Project Implementation Plan (PIP)

The Recipient will develop a draft PIP with the application. The plan will be reviewed and approved by the Agreement Officer's Representative (AOR). Updated PIP due for approval 30days after award. Plan should outline activities for the 3-year project timeframe, with detailed emphasis on year 1 mobilization and implementation. Thereafter, an annual PIP should be submitted 30 days prior to the start of each subsequent year detailing activities for the following 12 months.

b. Performance Management Plan (PMP)

The Recipient will submit an Illustrative PMP required with application and updated PMP due for approval 60 days after award. Quarterly reporting against the PMP due with the Quarterly Narrative Reports, 30 days after the end of each quarter. Annual PMP shall be submitted to the AOR for review and approval.

c. Environmental mitigation and monitoring plan (EMMP)

The new mechanism should address potential hazards to the environment pertaining to the treatment of acute malnutrition. As mentioned above, a proper environmental mitigation and monitoring plan to address environmental concerns will include a plan for proper disposal of treatment-related equipment.

This is required to be completed and approved by the AOR and mission environmental officers (MEO) before any activities begin that are listed in the Initial Environmental Examination as negative with conditions.

d. Quarterly Performance Reports

The Recipient will submit quarterly reports that give insight into the progress of planned activities. The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the quarter. In addition, the narrative report will indicate key implementation challenges encountered and how they were or are planned to be resolved. To the extent that the PMP includes quarterly targets, this should be reflected in the narrative report. Reporting periods will coincide with USAID fiscal year quarters, with reports due no later than thirty (30) days after the end of each quarter. The report should also include budgeted versus actual expenditures (along with a brief analysis of any variance) and estimated accruals for the quarter.

e. Financial Reporting

The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the U.S. Department of Health and Human Services: http://www.dpm.psc.gov. At the same time, the Recipient must submit a copy of the FFR to the Agreement Officer and the Agreement Officer's Technical Representative (AOR).A copy of the new FFR can be downloaded from: http://www.whitehouse.gov/omb/grants/standard_forms/ffr.pdf

The Recipient must submit the original and two copies of all final financial reports to USAID/Washington, M/CFO/CMP LOC Unit, the Agreement Officer, and the AOR. The

Recipient must submit an electronic version of the final Federal Financial Form (SF-425) to U.S. Department of Health and Human Services in accordance with paragraph (1) above.

f. Iraq Reporting Requirements

- **Security Provider Data**: Data on security providers should be submitted to USAID within 30days following the end of each fiscal quarter.
- **Employee Nationality Data**: Data on implementing partner employee nationality should be submitted to USAID within 30 days following the end of each fiscal quarter.
- **Sub-Activity Data**: Data on sub-activities should be submitted to USAID within 30 days following the end of each fiscal quarter.

g. Special Reporting

Depending on the final scope of activities and results indicators agreed by USAID and the recipient, USAID may require additional annual reporting to fulfill Agency or, congressional requests for beneficiaries and money spent in specific groups. The Recipient will be notified of these requirements in advance.

h. Closeout Plan

Four months prior to the completion date of the agreement, the Recipient will submit a demobilization plan for AOR approval. The demobilization plan shall include a) draft property disposition plan, b) plan for the phase-out of in-country operations, c) delivery schedule for all reports or other deliverables required under the agreement, and d) timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the Agreement Officer

As part of the Property Disposition Plan, the Recipient will provide a separate and final inventory of sensitive property. Sensitive property is property potentially dangerous to the public safety or security if stolen, lost, or misplaced, or that shall be subject to exceptional physical security, protection, control, and accountability. The Recipient shall provide a final report to the AOR and Agreement Officer on the final disposition of all sensitive property in the Recipient's custody.

i. Final Report

The final performance report is a detailed report which summarizes the accomplishments and impact in relation to the expected results, in accordance with the approved PMP. It should contain a three-page executive summary, an index of all reports and information products produced under the agreement, and should discuss the elements listed in 22 CFR 226.51(d).The report shall be submitted no later than 90 days after the end-date of the agreement to the Agreement Officer, and the AOR. In addition, an electronic copy must be submitted either:

(a) Via E-mail: docsubmit@dec.cdie.org;
(b) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210 Silver Spring, MD 20910, USA; or
(c) Online: http://www.dec.org/index.cfm?fuseaction=docSubmit.home.

[END SECTION VI]

SECTION VII. AGENCY CONTACTS

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[END SECTION VII]

SECTION VIII. OTHER INFORMATION

I. USAID Office of Security
Critical and Emerging Threat Support Group

Guidance on the minimum items to be considered when developing a Security Plan by those operating in areas deemed to be Critical or High-Threat.

March 30, 2011
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INTRODUCTION

The items contained herein are to be considered a baseline in the development of a Security Plan. As this guidance was developed for use across the Agency, it cannot take into account all “on-the-ground” situations. Thus, developers should consider the augmentation of their security plans to meet specific environmental threats.

Each USAID partner will look at their security posture differently. The Plan should include an opening statement with a brief description that summarizes the corporate, company, and or organizational philosophy regarding security in general (high profile, low profile etc.) and specifically towards this program.

SECURITY COUNTERMEASURES

The following is a not an all-inclusive list, but it represents the minimum elements the developer should incorporate to protect life and property from attack, theft, or environmental loss.

The following items should be addressed in the plan. If nothing will be done in regards to the recommendation, a short statement outlining why the point is not relevant to the plan should be included.

Physical Security for the Office and/or Residential Compound

- Perimeter
  - Barriers (bollards/vehicle control/personnel access control/ditch)
  - Perimeter wall (anit-climb/construction)
  - Visitor and package/mail screening
  - CCTV coverage and data storage
  - Lighting

- ‘Hardline’ protection
  - Doors and Locks
  - Windows and shatter resistant window film (SRWF)
  - Access control procedures
  - Eliminating climbable platforms if applicable

- Interior
  - SRWF
  - CCTV (storage)
  - Imminent Danger Notification System type alarm
  - Safe room - procedures
  - Room locks
  - Emergency procedures posted, drilled and documented

Guard Force Considerations for the Office and/or Residential Compound

- Guard Force
  - Post orders
  - Staffing per shift

  - Equipment that will be issued (armed/unarmed etc.)
  - Shift hours (avoid 12 hour shifts)
  - Pre-hire screening
  - Documented training (rules of engagement, firearms, first aid etc.)

Infrastructure

- Power
  - Generator (back-up power) size
  - Fuel delivery and storage

- Other Considerations
  - Potable water source and emergency supply
  - Environmental factors (flood/seismic)
  - Proximity to emergency response
  - Fire safety, smoke and carbon-monoxide alarms
  - Emergency food stores

SAFETY and SECURITY POLICIES and PLANS

Corporate, company, and or organizational policies and plans that are specific to the program or project should be discussed and/or addressed.

Policies

- Serious incident reporting
- Weapons on the compound
- Compound access
- Pre-hire staff vetting
- Branding (USAID and other)
- ID issuance and display
- Medical treatment
- Movement on foot and vehicular
- Vehicle accident
- Night letters and other threats to staff
- Visitors access procedures
- Safeguarding sensitive information

Plans

- Communications plan
- Fire in/on the compound
- Bomb threat
- Emergency Evacuation compound
- Emergency Evacuation area/country
- Personal Recovery/Kidnapping recovery plan
- Emergency Action Plan

STAFF TRAINING

Training should be addressed at the outset of the program or project with scheduled refresher training included. Additionally, all training should be documented and recorded. Drills to establish the level of comprehension should also be considered.

- Operational Security
    - Cell phone
    - Travel
    - Handling of sensitive information
    - Public

- Environmental Awareness/Cultural Sensitivity
- First Aid – what supplies and capabilities will be on site
- Driving/Passenger
- Counter Intelligence

BUDGET

How much will the plan cost to implement initially, broken out by line item and how much will it cost to run the plan yearly, each year for the life of the award.

II. Iraq Civil Society Assessment report:

USAID/Iraq commissioned a Civil Society Assessment in advance of the development of this project. The assessment analyzed seven interrelated dimensions of sustainability of the civil society sector in Iraq: legal environment, organizational capacity, financial viability, advocacy, service provision, infrastructure, and public image. Accomplishments were identified in each of the seven categories, as well as many remaining challenges. Applicants might find this assessment useful when considering their technical approach and responding to this RFA. The Assessment was finalized in early 2012 and can be found at Grants.Gov.

[End of Section VIII]

ANNEX A. STANDARD AND SPECIAL PROVISIONS

I. STANDARD PROVISIONS

1. All applicable standard provisions shall be incorporated into the resultant award. The standard provisions for U.S. Nongovernmental and Non-U.S. Nongovernmental may be accessed at the following location:

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
  http://www.usaid.gov/pubs/ads/300/303maa.pdf

- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf

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

- Branding Strategy – Assistance (December 2005)
- Marking Plan – Assistance (December 2005)
- Marking Under USAID-Funded Assistance Instruments (December 2005)
- Executive Order on Terrorist Financing (March 2002)
- USAID Disability Policy - Assistance (December 2004)
- Data Universal Numbering System (DUNS) Number
- Central Contractor Registration and Universal Identifier (October 2010)
- Reporting Subawards And Executive Compensation (October 2010)

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 subawards.

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

(c) Submission Requirements
At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(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: schoolgirls age 8-12, Secondary audience: teachers and parents–specifically mothers.*

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

[END OF PROVISION]

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 subawards.

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

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

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

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

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

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

Presumptive Exception (vi). USAID marking requirements may not apply if they would 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 produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

2) A table specifying:

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

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

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

3) A table specifying:
(i) What program deliverables will not be marked with the USAID Identity, and

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

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

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

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.
(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.
(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.
(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.
(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.
(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.
(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove

the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

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

[END OF PROVISION]

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 subagreement.

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.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, 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 subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient‘s, other donor‘s, or any other third party‘s identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

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

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster

relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

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

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

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

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

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

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

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

(11) The recipient will provide the Agreement Officer‘s 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 45 days after the effective date of this provision. The plan will include:

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

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

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

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

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

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government —ownership‖ of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as —by‖ or —from‖ a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

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

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

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

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer‘s Technical Representative. 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 subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

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

[END OF PROVISION]

IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)

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

[END OF PROVISION]

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: **http://pdf.dec.org/pdf_docs/PDABQ631.pdf**

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

[END OF PROVISION]

CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

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

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. **Definitions.** For purposes of this award term:

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

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

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) Governmental organization, which is a State, local government, or Indian tribe;
(ii) A foreign public entity;
(iii) A domestic or foreign nonprofit organization;
(iv) A domestic or foreign for-profit organization; and

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

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, —Audits of States, Local Governments, and Non-Profit Organizations).
(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and
(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates $25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.
(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) the total Federal funding authorized to date under this award is $25,000 or more;
(ii) in the preceding fiscal year, you received—

A. 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
B. $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm .)

(3) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov.
(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c. (1) of this award term:

(ii) To the recipient.
(iii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:
(1) subawards, and
(2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;
(ii) A foreign public entity;
(iii) A domestic or foreign nonprofit organization;
(iv) A domestic or foreign for-profit organization;
(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) (2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

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

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

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

(4) Subrecipient means an entity that:

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

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

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.
(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
(v) Above-market earnings on deferred compensation which is not tax-qualified.
(vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

[END OF PROVISION]

II. SPECIAL PROVISIONS

A. SYNCHRONIZED PRE-DEPLOYMENT AND OPERATIONAL TRACKER (SPOT)-LOA REQUIREMENT

All contractors/recipients and their sub-awardees at any tier operating in Iraq are required to adhere to the core standards, policies, and procedures for the accountability, oversight, and discipline of their personnel, and the PSC sub-awardees, as governed by Public Law (PL)-110-81 under the FY08 National Defense Authorization Act (NDAA). Under this legislation, (§ 861, to be specific) USAID and the Departments of Defense (DOD) and State (DOS) have coordinated efforts to provide a more systematic way of answering data calls from the Congress, as formalized in an MOU signed in July of 2008.

The decision was taken at the highest levels for USAID and DOS to begin using SPOT. Contractor personnel deploying to Iraq are required to register their personnel through the Department of Defense Synchronized Pre-deployment and Operational Tracker (SPOT) system.

Procedures for using SPOT are available at http://www.dod.mil/bta/products/spot.html. Further guidance may be obtained from your AOR and your Agreement Officer.

[END OF ANNEX A]

ANNEX B. STATUTORY AND REGULATORY CERTIFICATIONS

Applicants are advised that, pursuant to ADS 303.5.8, an executed set of Certifications and Representations must be provided prior to award of an Agreement.

CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF APPLICANTS

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 NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees

that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

3. For purposes of this Certification

a.—Material support and resources|| means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, 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 shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, microenterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

6. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the` Federal Government, may take action authorized under the Drug- Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/recipient's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the Cooperative Agreement, the employee will—

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. From an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted—

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency; (G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific Cooperative Agreement:
Place of Performance (Street address, city, county, state, zip code)

_____
_____
_____
_____

Alternate II

The recipient certifies that, as a condition of the Cooperative Agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the Cooperative Agreement.

7. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this application is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this application is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
7. The prospective primary participant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters—Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification; (D) Have not within a three-year period preceding this application/application had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

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 (ADS 206)

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

_____

Date of Birth: _____

NOTICE:

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

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

PART IV: SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All 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.)

PART V - OTHER STATEMENTS OF RECIPIENT

1. Authorized Individuals

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

Name Title Telephone No. Facsimile No.

_____

_____

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

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

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at One through Eight00-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

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

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

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

DUNS: _____

4. Letter Of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

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

TYPE/DESCRIPTION (Generic) _____
QUANTITY _____
ESTIMATED UNIT COST _____

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID

financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity result, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

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

TYPE/DESCRIPTION _____
QUANTITY _____
ESTIMATED _____
PROBABLE SUPPLIER _____
NATIONALITY _____
RATIONALE (Generic) _____

UNIT COST (Non-US Only) _____
FOR NON-US _____

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

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

6. Past Performance References

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

7. Type of Organization

The recipient, by checking the applicable box, represents that -
(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or 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.

[END OF ANNEX B]

ANNEX C. PAST PERFORMANCE INFORMATION

PAST PERFORMANCE INFORMATION

CONTRACTOR PERFORMANCE REPORT - SHORT FORM	
PART I: Contractor Information (to be completed by Prime)	
1.	Name of Contracting Entity:
2.	Contract Number:
3.	Contract Type:
4	Contract Value (TEC): (if subcontract, subcontract value)
5.	Problems: (if problems encountered on this contract, explain corrective action taken)
6.	Contacts: (Name, Telephone Number and E-mail address)
6a.	Contracting officer:
6b.	Technical Officer (COR/AOR):
6c.	Other:
7.	Contractor:
8.	Information Provided in Response to RFP No. :
PART II: Performance Assessment (to be completed by Agency)	
1.	Quality of product or service, including consistency in meeting goals and targets, and cooperation and electiveness of the Prime in fixing problems. Comment:
2.	Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3.	Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4.	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5.	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job: and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:

[Note: the actual dollar amount of subcontracts, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

[END OF ANNEX C]