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COLOMBIA

Issuance Date: January 7, 2011

CONCEPT PAPER Clarification Questions Due: January 20, 2010, 3:00 pm (EST)

Closing Date and Time for Concept Papers February 18, 2011, 5:00 pm (EST)

Closing Date and Time for Full Applications May 9, 2011, 5:00 pm (EST)

Subject: Request for Applications (RFA) Number 514-11-000001

RFA Title: Afro-Colombian and Indigenous Program (ACIP)

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications from Colombian and U.S. Non-Governmental Organizations (NGOs) for an Assistance Agreement for funding a program entitled "Afro-Colombian and Indigenous Program (ACIP)." The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of goals and expected results.

While for-profit firms may participate, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost principles (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 this award.

Per ADS 303.3.6.2.d, this Request for Application is comprised of two steps:

First, Concept Papers are being sought from prospective Applicants and, second, Applicants with the most highly-evaluated Concept Papers will be notified on/or about March 25, 2011 and invited to submit Full Applications.

Concept Papers must be received by the closing date and time specified in this Cover Letter. Instructions for those that make the next stage will be provided in the future. **Facsimile submissions are not authorized nor will they be accepted.**

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 anticipates being able to provide approximately \$61,400,000.00 in total USAID funding to be allocated over the 5 year period. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section I – Funding Opportunity Description;
2. Section II – Award Information;
3. Section III – Eligibility Information;
4. Section IV – General Application and Submission Information;
5. Section V – Concept Paper Application and Evaluation Process;
6. Section VI – Full Application and Evaluation Process;
7. Section VII – Award and Administration Information;
8. Section VIII – Agency Contacts;
9. Section IX – Other Information.

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

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

All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any clarification questions concerning this RFA should be submitted in writing to Nubia Farfán, via email at nfarfan@usaid.gov and Paula Cubillos at pcubillos@usaid.gov by the date listed above. If there are problems in downloading the RFA from the Internet, please contact the www.grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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".

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. **The Concept Paper and Summary Budget shall be submitted via e-mail only** to Nubia Farfán at nfarfan@usaid.gov and Paula Cubillos at pcubillos@usaid.gov. Receipt will be confirmed by either of Ms. Farfán or Ms. Cubillos, which will be based on the timely submission and receipt specified in this RFA. Late applications will generally not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Faxed applications are not authorized for this RFA and will not be accepted.

Applicants who have been invited to submit a full application after review of their concept paper are requested to submit both technical and cost portions of their applications in separate volumes/attachments. Award will be made to the responsible applicant whose application offers the greatest value. The Technical portion of the Concept Paper application has a strict ten (10) page limit. Those applicants with the most highly-evaluated Concept Papers will be **invited** to submit Full Applications. The Technical portion for the Full Application will have a strict forty (40) pages limit because they will be asked to revise and expand the Concept Paper, along with completing the other requirements (budget, etc...) that will be specifically listed in the instructions for that round. Applicants are advised that any pages exceeding this limit will not be evaluated. Applicants are also reminded that the evaluators have to be able to read the application, so presentation and legibility are crucial.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section IV – Application and Submission Information;
- (b) Section I – Funding Opportunity Description;
- (c) This Cover Letter.

Any questions concerning this RFA should be submitted via e-mail to Nubia Farfán at nfarfan@usaid.gov and Paula Cubillos at pcubillos@usaid.gov. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,



Neil G. Price
Agreement Officer

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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

Afro-Colombian and Indigenous Program (ACIP) Activity Description

A. SUMMARY

The purpose of this five-year \$61 million program is to improve the socio-economic status of Afro-Colombians and indigenous persons in target areas of Colombia. Afro-Colombians constitute approximately 10.62 percent of Colombia's population of 45 million, and the Colombian government legally recognizes 82 indigenous communities who constitute 3.4 percent of the population. Both populations are among the most marginalized groups in the country and suffer from exploitation, inequality, poverty, discrimination, racism, exclusion, displacement, violence, massacres, a lack of security, humanitarian crises, feelings of invisibility, and break down in social structures and identity. While the United States Agency for International Development (USAID) in Colombia has been working with ethnic minorities for over a decade through its various sectoral programs, this is the first time that a stand alone program is being developed for the sole purpose of improving the lives of Afro-Colombian and indigenous persons.

By the end of this program USAID - with the commitment of the Government of Colombia - expects to achieve the implementation of existing and supportive policies related to ethnic minorities; increased formal sector employment of ethnic minorities living in Bogota, Medellin, Cali, Quibdó, the San Andres archipelago and a Caribbean Coast cluster composed of Barranquilla, Santa Marta and Cartagena, and; improved governance in indigenous communities in La Guajira and targeted indigenous and Afro-Colombian territories in Cauca and Chocó; and, increased respect for cultural diversity and identity both among ethnic minorities as well as the general public. Measurement for these results will be discussed in the corresponding components in the Program Framework in Section C.

The recipient will be expected to work with a broad range of Colombian non-governmental organizations, private sector organizations, and Colombian governmental entities with relevant technical expertise and geographic reach. These organizations should be proposed as partners under this program or as potential sub-grantees/sub-contractors.

This procurement action includes two steps. Entities interested in applying for the ACIP will be required to first submit a concept paper. Entities with the highest scored concept papers will be requested by USAID to submit a full application. Both the concept paper and application will respond to this same program description.

B. BACKGROUND AND PROBLEM STATEMENT

Over the years, the disenfranchised and marginalized Afro-Colombian and indigenous populations in Colombia have suffered disproportionately for a variety of reasons. Beginning with Spanish colonization, indigenous populations were forcibly displaced from their lands and communities were massacred. As early as the sixteen century, Africans were brought to Colombia to work primarily in gold and silver mines and haciendas and marginally on plantations for fruit and spices. While slavery in Colombia was abolished in 1851, discrimination and abuse continued leading many Afro-Colombians to seek refuge in isolated areas called *palenques*. At times, they coexisted with remaining indigenous communities. According to the Colombian 2005 Census, Afro-Colombians constitute 10.62 percent of the population and indigenous persons constitute 3.4 percent. However, the accuracy of these figures has been questioned by communities and academia; a 2005 World Bank report estimates the number of Afro-Colombians between 20 to 25 percent¹.

Social conditions of both populations are worse than Colombia's national averages. For example, for every 100 Afro-Colombians who are of a productive age (from 15 to 65), there are 63 persons who are dependent on them. The percentage is

¹ Source: The Gap that Matters – Poverty and Well-Being of Afro-Colombians and Indigenous Peoples. July 20, 2005.

greater for indigenous, who have a dependency ratio of 81 for every 100 persons². Thirty percent of Afro-Colombians³ and four percent of indigenous persons have been forcibly displaced as a result of the conflict⁴. According to the 1993 national census, the infant mortality rate (IMR) for indigenous communities was 63.3 for every 1,000. The infant mortality rate for Afro-Colombians is 48.1/1,000⁵, while Colombia's national rate is 19/1,000⁶. While the IMR statistic for indigenous communities is 17 years old, this demonstrates the lack of recent and disaggregated information the Government of Colombia has on ethnic minorities. Only half of indigenous persons between the ages of five and 25 attend any type of school⁷ whereas 89 percent of Afro-Colombians attend primary school and 73 percent attend secondary school⁸. More than a third of indigenous persons and 15 percent of Afro-Colombians are illiterate, while the national average of illiteracy in Colombia is 11 percent⁹.

Colombia's decades-long internal conflict has further compounded the suffering of the two populations. Both groups have been forcibly displaced from their lands. Illegal armed groups and narcotraffickers have occupied their territories or used them as drug trafficking routes, and have forcibly recruited Afro-Colombians and indigenous persons into their groups. Due to the poor conditions in which many Afro-Colombian and indigenous persons live, both populations are at increased risk of recruitment. USAID supports a program through the International Organization for Migration (IOM) that focuses on demobilization and reintegration of adult and child ex-combatants as well as prevention of recruitment. From the start of the Child Soldiers Program in 2004 to the present, there have been 159 Afro-Colombian and 267 indigenous children who have participated in the reintegration program. These numbers include only those children who are now no longer participating in illegal armed groups. As a result of the conflict, economic migration and cultural transformation, 72.5 percent of Afro-Colombians and 20 percent of indigenous persons today live in urban areas. While some would like to go back to their homes once return conditions have been established, others have decided to remain in their place of resettlement.

In 1991, Colombia developed a new constitution which, for the first time, addressed many of the problems facing ethnic minorities. Article 7 of the 1991 Colombian Constitution recognizes and protects the ethnic and cultural diversity of the Colombian nation. Colombia also ratified the International Labor Organization (ILO) Convention 169, which concerns indigenous and tribal peoples. Article 6 of the Convention addresses the importance of consultation through ethnic minority leaders. In addition, Colombia's Constitutional Court has provided several rulings on issues related to ethnic minorities. While there are specific norms, policies and rulings that relate only to indigenous or to Afro-Colombians, the principle of ethnic and cultural diversity and the rights of ethnic minorities are enshrined in the Colombian Constitution. Unfortunately, both populations currently suffer from many of the same problems, one of the main ones being the lack of implementation of laws and policies.

In 2008-09, the Inter-Sectoral Commission for the Advancement of the Afro-Colombian, Palenque and Raizal populations conducted a series of consultations across the country to identify means to increase access and improve economic and social development. The Commission identified nine different barriers that have hindered the advancement of Afro-Colombians: 1) Racism and racial discrimination; 2) Low level of participation and representation of Afro-Colombians in political arenas and decision-making institutions; 3) Weak institutional capacity of Afro-Colombian organizational processes; 4) Limited access to education which hinders access to quality employment and entrepreneurship and enhances poverty cycle; 5) Limited access to the job market and engagement in low qualification and remuneration works; 6) Scarce recognition and social valuing of ethnic and cultural diversity as one of the factors that define national identity; 7) Threats to ownership rights of collective territories;

² Source: 2005 Census

³ Source: Afrodes <http://www.afrodes.org/afrodes/TERRITORIO-ESP.html> (visited on July 15, 2010)

⁴ Source: United Nations – Economic and Social Council: EL RACISMO, LA DISCRIMINACIÓN RACIAL, LA XENOFobia Y TODAS LAS FORMAS DE DISCRIMINACIÓN - Informe del Sr. Doudou Diène, Relator Especial sobre las formas contemporáneas de racismo, discriminación racial, xenofobia y formas conexas de intolerancia, February 23, 2004 Found in <http://www.acnur.org/biblioteca/pdf/3183.pdf> (Visited on July 15, 2010)

⁵ Source: <http://www.vicpresidencia.gov.co/Es/iniciativas/Afrocolombia/Paginas/Indicadores.aspx> visited on July 15, 2010

⁶ Source: Encuesta Nacional de Demografía y Salud 2005. Found on <http://www.profamilia.org.co/encuestas/00resumen/01general.htm#mortalidad> visited on July 15, 2010

⁷ Source: JOST, Stefan (Editor). Situación De Los Pueblos Indígenas De Colombia. Documento KASpapers No.4, Fundación Konrad Adenauer, Bogotá. Septiembre 2009, Pp. 7. Found on http://www.kas.de/wf/doc/kas_17956-544-4-30.pdf visited on July 15, 2010

⁸ Source: El derecho a no ser discriminado: Primer Informe sobre discriminación racial y derechos de la población afrocolombiana (Universidad de los Andes, PCN, 2008)

⁹ Source: 2005 Census

8) Low availability of information on Afro-Colombians; and 9) Limited access to subsidy programs. While each barrier was accompanied by a series of recommendations, there is no legally binding document that implements the recommendations established by this commission. In addition, there are ten executive orders, called CONPES (Political, Economic and Social Council) on Afro-Colombian issues, including one establishing affirmative action policies, but many are not implemented in practice.

For both indigenous and Afro-Colombians, there are similarities in the policy implementation process and the assistance this would entail to many of the same governmental actors. In addition, there are several issues related to governance in Afro-Colombian and indigenous territories that are alike. Based on these, USAID made the decision to design one program for both Afro-Colombian and indigenous populations. However, the recipient is expected to work with a differentiated approach based on ethnic identity and regional location for each group or community unless the recipient can provide rationale from a programmatic perspective as to why the populations should be combined for a specific activity. USAID expects that the applicant will propose a management structure that reflects the distinct needs and aspirations each population has and includes key personnel with technical expertise in indigenous and Afro-Colombian affairs. The recipient will also be expected to be familiar with all laws, policies, rulings and recommendations related to both groups and understand what is unique and similar.

While 20¹⁰ percent of the indigenous and 72.5¹¹ percent of the Afro-Colombian population currently live in urban areas, a large number live in rural areas and govern their own territories. Two thirds of the indigenous population lives on resguardos, which make up 30 million hectares¹². Afro-Colombians hold five million hectares of collective territories¹³. Both groups' land holdings constitute 34 percent of Colombia's total territory.

The first regional indigenous associations were created between 1970 and 1982. As a result of their advocacy, a CONPES was issued to address rights concerning indigenous territories. From 1987 to 1997, indigenous organizations engaged in resistance to reclaim their land, strengthen their organizations, defend their rights, participate in elections, and hold their own national assembly. Article 63 of the 1991 Constitution created the Indigenous Territorial Entities (ETI, in Spanish) which provides indigenous communities the rights to govern their own territories, manage their own financial resources, and deliver their own social services within their territories. According to the Constitution, the national government should transfer resources directly to the communities through the ETI; however, these latter have not been implemented, so instead transfers are being sent to the municipalities who serve as an intermediary. In the case of Afro-Colombian communities, the national government is not required by law to transfer funds to their collective territories.

Law 70 of Colombia, passed in 1993, recognizes the rights of Afro-Colombians to collectively own and occupy their ancestral lands and includes rules on social, economic, political and cultural rights. "Consejos comunitarios" is a term given to Afro-Colombian communities living on a collective territory or in peri-urban areas. The General Assembly of Afro-Colombian collective territories are made of members from the consejo comunitario and have authority over the territory. The General Assembly elects the Board of Directors and legal representative of the Consejo Comunitario and has specific authority over the direction, coordination and internal administration of the community. The Board of Directors must be elected at least every three years but can be more frequently elected upon the direction of the General Assembly.

There are a myriad of development challenges that relate to both populations. According to the United Nations Committee on Elimination of Racial Discrimination in a report released in August 2009, "the problem is not one of discriminatory acts permitted by law or deliberately perpetrated by the State institutions. It is rather, a complex cultural problem with its roots in the history of Colombia and Latin America, which has engendered a scenario in which the indigenous and Afro-Colombian communities have been traditionally subject to marginalization, poverty and vulnerability to violence."¹⁴

¹⁰ Source: 2005 Census

¹¹ Source: Recommendations of the Intersectoral Commission for the Afro-Colombian Population pg. 13

¹² Source: Los Pueblos Indígenas de Colombia en el Umbral del Nuevo Milenio, Departamento Nacional de Planeación, 2001.

¹³ Source: Vice-President's Office. Found on <http://www.vicepresidencia.gov.co/Es/iniciativas/Afrocolombia/Paginas/Titulos.aspx> visited on September 17, 2010

¹⁴ Source: United Nations Committee on the Elimination of Racial Discrimination, Concluding observations of the Committee on the Elimination of Racial Discrimination – Colombia. August 2009. Found on: <http://daccess-dds-ny.un.org/doc/UNDOC/GEN/G09/446/23/PDF/G0944623.pdf?OpenElement>, visited on September 15, 2010

In attempting to get at the root of the problem, from February to April 2010, USAID's design team conducted a series of consultations with Afro-Colombian and indigenous leaders and experts separately in Bogotá, Quibdó, San Andrés, Cali, Villagarzón, Cartagena, Puerto Tejada, Santa Marta and Popayan. An indigenous assessment was also carried out from April to June 2010. An abridged version of the assessment findings is included in the annex of this request for application (RFA) and applicants are advised to review it.

Based on the results from these consultations, USAID grouped the most common findings into three categories: political, social, and economic.

Political problems noted most frequently included:

- Lack of systemization and implementation by the Government of Colombia (GOC) of laws, policies and regulations related to ethnic minorities.
- Lack of integration of territorial ethno-development and life plans into the municipal, regional and departmental development plans of the GOC.
- Lack of training and public administration and governance skills of local and national ethnic minority leaders and organizations.
- Lack of political dialogue and consultations between local level leaders and GOC at all levels.
- Lack of demographic information, which affects service provision and planning. The groups noted the dearth of studies on discrimination and racism.
- Lack of state recognition and respect for judicial autonomy and ancestral practices (judicial autonomy) only refers to indigenous communities whereas ancestral practices refer to both minorities in terms of ancestral justice and use of native language).
- Lack of ratification by the GOC of the United Nations Declaration on the Rights of Indigenous Peoples.
- Humanitarian crises, which have 34 indigenous groups at the brink of becoming extinct. The humanitarian crisis is caused by drug trafficking, military confrontation of armed actors, and megaprojects that take place in indigenous and Afro-Colombian territories.
- Feelings of invisibility due to lack of political representation and participation
- Lack of Afro-Colombian national consciousness/movement, leading to low self-identification rates of Afro-descendants.

Social problems noted most frequently included:

- Lack of access to and inadequate provision of health, educational and other social services.
- Lack of differentiated approach in delivery of social services.
- Lack of information on illnesses specific to each ethnic group.

While statistics related to maternal and child mortality rates, potable water, lack of electricity and school attendance are much lower than the national averages, during the consultations these were not raised as primary concerns among problems the communities are facing. Rather, issues related to governance emerged as among the top concerns. Governance in this request for application (RFA) will refer to public administration skills of leaders as well consistent management, cohesive policies, processes and decision-rights for a given area of responsibility.

Economic problems noted most frequently included:

- Lack of job and training opportunities (mentioned mostly by urban Afro-Colombians).
- Lack of commercialization and identification of value chains.
- Displacement of persons and destruction of environment, sacred places and livelihoods caused by megaprojects and single crop plantations.
- Lack of food security (mentioned by rural populations).
- Land problems related to titling, tenure, and pressure felt from illegal groups to sell indigenous and Afro-Colombian properties.
- Presence of legal and illegal groups and activities in territories as well as in urban areas.
- Racial discrimination in the work place.

The ACIP does not seek to address all of the problems above, but focuses on what USAID sees as its comparative advantage given its prior experience, the opportunity to coordinate with other USAID-supported programs and budget limitations. The

table below reflects the priorities and issues to be addressed by ACIP, as well as the program's hypothesis of how those issues must be addressed:

Issue	ACIP Hypothesis
Lack of systemization and implementation of laws, policies, plans and regulations related to ethnic minorities.	• Increase awareness and capacity within the public sector at the national, regional and local levels. • Strengthen advocacy, organizational skills of indigenous and Afro-Colombian organizations. • Strengthen monitoring and oversight mechanisms.
Inadequate public administration and governance skills of local and national ethnic minority leaders and organizations.	• Strengthen organizational capacity of CSOs. • Strengthen dialogue between traditional and local, regional and national authorities.
Insufficient demographic information.	• Increase GOC capacity to collect, analyze, disseminate and utilize information for public policy design and implementation.
Humanitarian crises of indigenous and Afro-Colombian communities as a result of displacement of persons and destruction of environment, sacred places and livelihoods.	• Strengthen governance capacities within Afro-Colombian and indigenous communities and organizations. • Partner with GOC, civil society organizations and other USAID-supported programs to implement Constitutional Court mandates regarding indigenous and Afro-Colombian vulnerable communities.
Lack of access to and inadequate provision of health, educational and other social services.	• Serve catalytic role to facilitate GOC provision of social services to Afro-Colombian and indigenous communities.
Lack of job and training opportunities.	• Develop, strengthen and promote alliances with the private sector to strengthen diversity and inclusion. • Foster entrepreneurship skills and vocational training to improve job-skills for indigenous and Afro-Colombian population.
Lack of food security.	• Partner with community-based organizations, local, regional and national governments to conduct food security initiatives with strong differentiated approach.
Land problems related to titling, tenure, and pressure by groups to sell their properties.	• Improve information and protection systems of collective territories. • Work in coordination with USAID's public policy program to strengthen legal framework. • Support pilot projects that feed into land policy development.
Racial discrimination.	• Support awareness-raising campaigns amongst ethnic and non-ethnic population. • Partner with national media to improve visibility of ethnic minorities.

In response to the issues stated above, the ACIP Program Framework was designed to reflect the approach USAID expects to carry out throughout this program (see below in Section C: ACIP PROGRAM FRAMEWORK).

C. ACIP PROGRAM FRAMEWORK

This program supports and is being funded by two of USAID/Colombia's Assistance Objectives, both of which assist to achieve the Mission's overall goal to improve economic and social conditions of vulnerable Colombians through effective rights-based institutional presence. As is currently stated Assistance Objective One (AO1) is to expand licit livelihoods in targeted geographic zones and Assistance Objective Two (AO2) which will assist in mitigating the impact of conflict for targeted vulnerable communities. For funds received under AO 1, the recipient will report results on "the number of families benefited by alternative development or alternative livelihood activities in USG-assisted areas". For funds under AO2 the recipient will report results on "number of people benefiting from USG-supported social services and the "number of social protection policy reforms drafted, adopted or implemented with USG support".

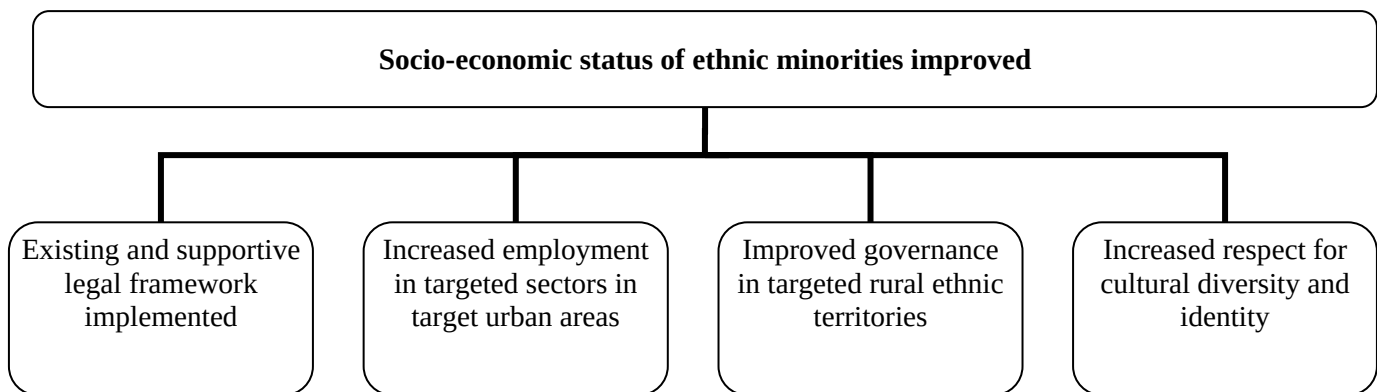
As discussed below, the Afro-Colombian and Indigenous Program is further divided into four components, two of which support activities funded under USAID's AO1 and two of which are funded under AO2. The two which support AO 1 are Component 2 – Increased employment in targeted sectors in target urban areas and Component 4 - Increased respect for cultural diversity and identity. AO 2 covers Component 1 – Existing and supportive legal framework implemented and Component 3 – Improved governance in targeted rural ethnic territories.

Vision Statement: USAID will support Colombian society in its efforts to eliminate all forms of discrimination by enhancing the country's capacity to embrace and protect its culturally diverse nature.

Overall result: Socio-economic status of ethnic minorities in Colombia improved.

Illustrative performance indicators:

- ACIP beneficiaries with increased household assets.
- GOC institutions actively enhancing incentives to increase access to development opportunities.
- Ethnic minorities engaging, influencing and holding accountable the institutions that affect them.



ACIP's four major expected results, which correspond to four program components include:

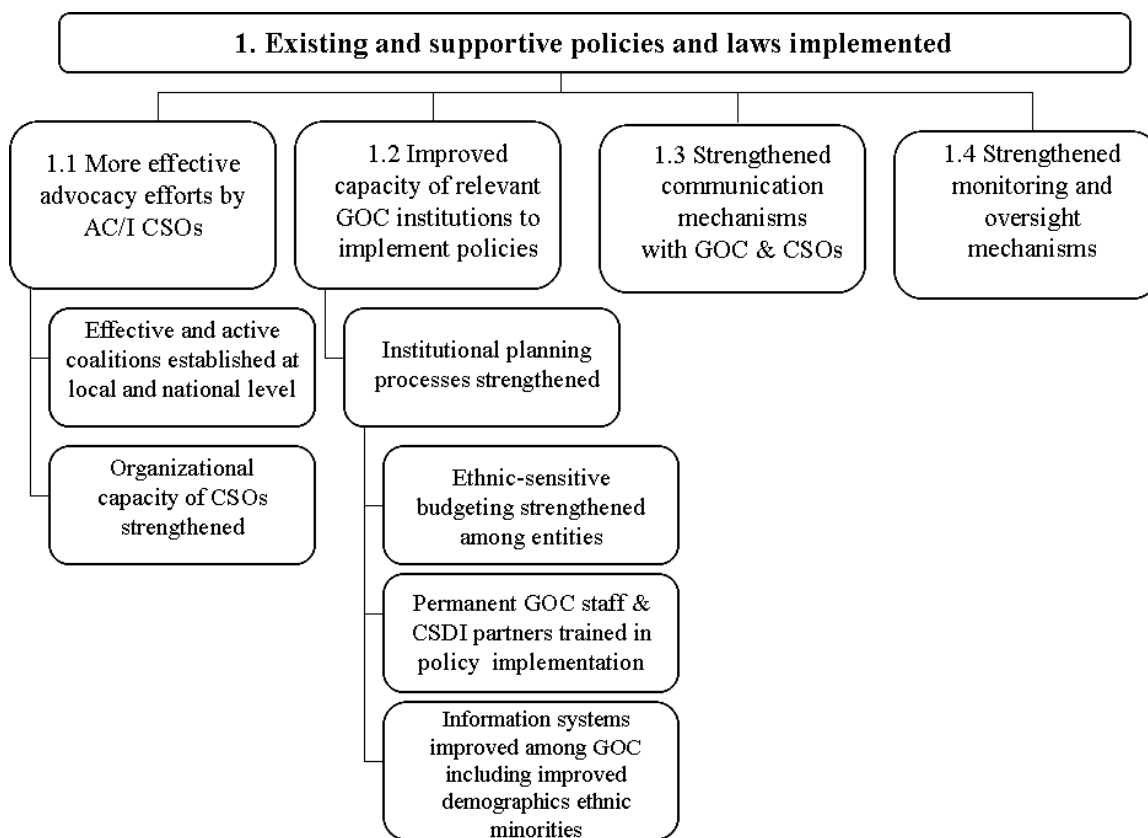
- 1) Existing and supportive laws, policies and recommendations implemented that recognize and respect territorial, cultural, political, economic, environmental and human rights of Afro-Colombian and indigenous populations;
- 2) Increased employment of Afro-Colombians and indigenous persons in targeted economic sectors in select urban areas;
- 3) Improved governance in targeted territories in the rural areas; and
- 4) Increased respect for cultural diversity and identity through the use of media.

Applicants should propose overall indicators to measure a change in the socio-economic status of ethnic minorities.

Below is a detailed description of each component. Under each of the expected results are expected intermediate results. The applicant may propose additional intermediate results (IR) if the additional IR is necessary to achieving the overall result. In addition, under each result and intermediate result, the applicant should propose appropriate and achievable targets with corresponding indicators. The realism and ambitiousness of the proposed targets will be evaluated by USAID and is part of the selection criteria. As mentioned previously, while USAID believes this program will benefit from the synergies created by working on issues related to both Afro-Colombians and indigenous, the approach employed by the recipient must respond to the distinct needs and aspirations of Afro-Colombians and indigenous groups – as well as differences between urban and rural populations.

In addition, USAID expects that applicants will propose several local organizations as partners for this program. Under each program component below, the applicant should discuss the types of proposed partners, specific organizations or firms, and how beneficiaries would be selected. Applicants are encouraged to propose and elaborate on the types of sub-grant/sub-contracts to Colombian organizations/firms they envision under each program component.

EXPECTED RESULT ONE:



Existing and supportive laws, policies and recommendations implemented that recognize and respect territorial, cultural, political, economic, environmental and human rights of Afro-Colombian and indigenous populations.

The Colombian government has existing policies, articles of the Colombian constitution, decrees, Constitutional Court sentences, and GOC recommendations that recognize and demand respect for territorial, cultural, political, economic, environmental, and human rights of Afro-Colombian and indigenous populations. The problem, however, is that many of these well-intentioned policies and rulings are not being implemented. While one can find on the Ministry of the Interior and Justice's responsibilities related to ethnic minorities, the GOC as a whole does not have clearly stated goals for cultural diversity nor a course of action for the implementation of the legal framework. Several governmental entities are responsible for the implementation of these laws, but there is no clear route, protocol or responsible office that consolidates the various policies and provides a corresponding action plan that is included in the Colombian National Development Plan and allocates associated resources. An objective of this program will be to consolidate supporting policies, and assist in developing an

implementation plan in the short, medium and long-term at local, regional and national levels. In order to do this, the recipient will be expected to work both with non-governmental entities and to build the capacity of governmental entities responsible for the implementation of the various laws and policies. The primary governmental entity with responsibility for ethnic minorities is the Ministry of Interior and Justice. In addition, other entities, such as the Acción Social, are responsible for the implementation of policies and rulings related to ethnic minorities. Because of the many governmental entities involved in overseeing implementation of policy, there seems to be room for a central information and monitoring system that includes demographic information on both populations as well as other pertinent data related to progress of policy implementation. This need has also been expressed in consultations with both populations.

USAID sees the ACIP's comparative advantage as being on the implementation - not formulation - side of policy. However, ACIP will be expected to work with several advocacy groups and there may be an opportunity to assist these groups in policy formulation, as appropriate. Because USAID also has a Policy Program that will work on policy formulation and will address issues such as land, the recipient will be expected to work in close coordination with the USAID's Policy implementing partner. The Policy Program can also help ACIP with drafting regulations for existing policies.

The applicant should address how they would consolidate supportive policies and develop an implementation plan, outline key constraints and opportunities, as well as any contradictory policies or sensitive issues. The applicant should propose indicators to measure progress on the implementation of the action plan, its integration into the national development plans, and the allocation of resources dedicated to the action and development plans. An observatory, or monitoring mechanism, should be developed to oversee policy implementation related to both populations.

Illustrative performance indicators:

- Number of government officials trained in policies related to ethnic minorities. *Target: 2,500 government officials trained.*
- Percentage increase of policy implementation related to ethnic minorities in targeted areas in comparison to control group (with baseline information). *Target: 20% increase.*

Expected Intermediate Result 1.1: More effective advocacy efforts by Afro-Colombian and indigenous organizations.

While indigenous groups are well organized and there are strong national organizations with a unified agenda such as the National Indigenous Organization of Colombia (ONIC), their interlocution with the GOC is weak and their ability to advocate for the issues on the agenda is limited. In the case of Afro-Colombians, there are several organizations focusing on various issues related to Afro-Colombians in different regions, but even the directors of these organizations admit that the community is fractured and there is a need for a national movement of consciousness. Therefore, a stronger focus on indigenous and Afro-Colombian advocacy is needed that addresses the thematic interest and regional focus related to each organization. However, the applicant should have a thorough understanding of the different groups, their agendas and weaknesses in order to ensure training and technical assistance are appropriate and responsive.

Illustrative performance indicator:

- Number of forums with participation of GOC and civil society held that resulted in action plans. *Target: 50 forums conducted.*

Expected Intermediate Result 1.2: Improved capacity of relevant GOC institutions to implement policies.

The recipient will be expected to support efforts to strengthen governmental organizations and specifically government officials' understanding of ethnic minority policies as well as their capacity to implement them. The overarching goal is that laws and policies related to indigenous and Afro-Colombian communities will be implemented by the end of five years. Therefore, the applicant should describe what actions would be taken each year and include related benchmarks. Applicants should name the specific governmental agency, the level at which they operate, the role they play in terms of policy implementation, how they would obtain commitment to various policy actions and how they would ensure there is adequate funding from the GOC to implement the actions.

Illustrative activities under this sub intermediate result will include strengthening planning and budgeting processes at all governmental levels. In addition, the recipient will be expected to carryout the two activities below.

Illustrative performance indicator:

- Test scores of government officials before and after ethnic minority policy implementation training. *Target: 80% of government officials approving tests on ethnic minority policy implementation.*

Activity under Sub IR 1.2: Increased information on demographics of Afro-Colombian and indigenous populations and entry into common database for use by relevant GOC entities.

Another repeated concern during USAID's consultations was the need for more information related to ethnic minorities. The applicant will be expected to partner with an appropriate entity to collect demographic information on populations to be stored in a central governmental database, which can be analyzed for a future action plan on the unique social needs of these two populations. The GOC will be conducting a mid-term census in 2011. The recipient will be expected to work with the relevant governmental entities, including the National Administrative Department of Statistics (DANE) to ensure that updated data pertinent to ethnic minorities is included in the census.

Illustrative performance indicators:

- Amount of resources GOC allocates for social services in Afro-Colombian and indigenous areas as result of more accurate information. *Target: 15% increase in social services delivered to target beneficiaries.*

Activity under Sub IR 1.2 Protocols used by USAID implementing partners, especially Consolidation and Enhanced Livelihood Initiative (CELI) partners, on how to work effectively with ethnic minorities with a special emphasis on *consulta previa*.

This activity is central to the success of USAID's other programs in working effectively with Afro-Colombians and indigenous populations, but specifically the CELI programs. The recipient will be expected to develop protocols based on lessons learned and extensive consultations with Afro-Colombian and indigenous communities on how to engage ethnic minorities effectively as well as how to ensure that GOC entities are trained in consultation processes. This will require a communications strategy to sensitize the public, state entities, the private sector, and other actors on the mechanisms of *consulta previa* and its importance. While many groups talk about the importance of consultations, it is often carried out in a perfunctory way. *Consulta previa* with communities is a legal mandate, and the GOC has attempted to consolidate rules of engagement with respect to consultations, but agreement has not been met. Issues related to security are particularly sensitive and will require careful communications and negotiations among actors for interventions in territories to avoid duplication and take advantage of potential synergy and leverage possibilities.

Illustrative performance indicators:

- Understanding and implementation of *consulta previa* by GOC entities with reported satisfaction by ethnic minorities. *Target: 50 consulta previa pilot processes successfully conducted between GOC and ethnic minority communities.*

- Level of funds commitment to training on *consulta previa*. *Target: GOC budget reflects 50% increase in level of funds committed to training on consulta previa.*

Expected Intermediate Result 1.3: Strengthened mechanisms for communication among Government of Colombia entities and civil society organizations (CSOs) representing the concerns of Afro-Colombian and indigenous populations.

Formalized mechanisms for discussion between GOC institutions at all levels and civil society groups will be important. During USAID's consultations with both populations, a common concern expressed was that civil society organizations (CSOs) did not have political space to converse with the GOC on a regular basis. The applicant should describe how often CSOs and GOC entities would meet, what the format would be and how to ensure follow up actions.

Illustrative performance indicator:

- Frequency of formalized meetings at local, departmental and national levels with specified actors that lay out timelines, delegate entities and allocate budgets. *Target: 50 formalized meetings at the national, local and departmental level.*

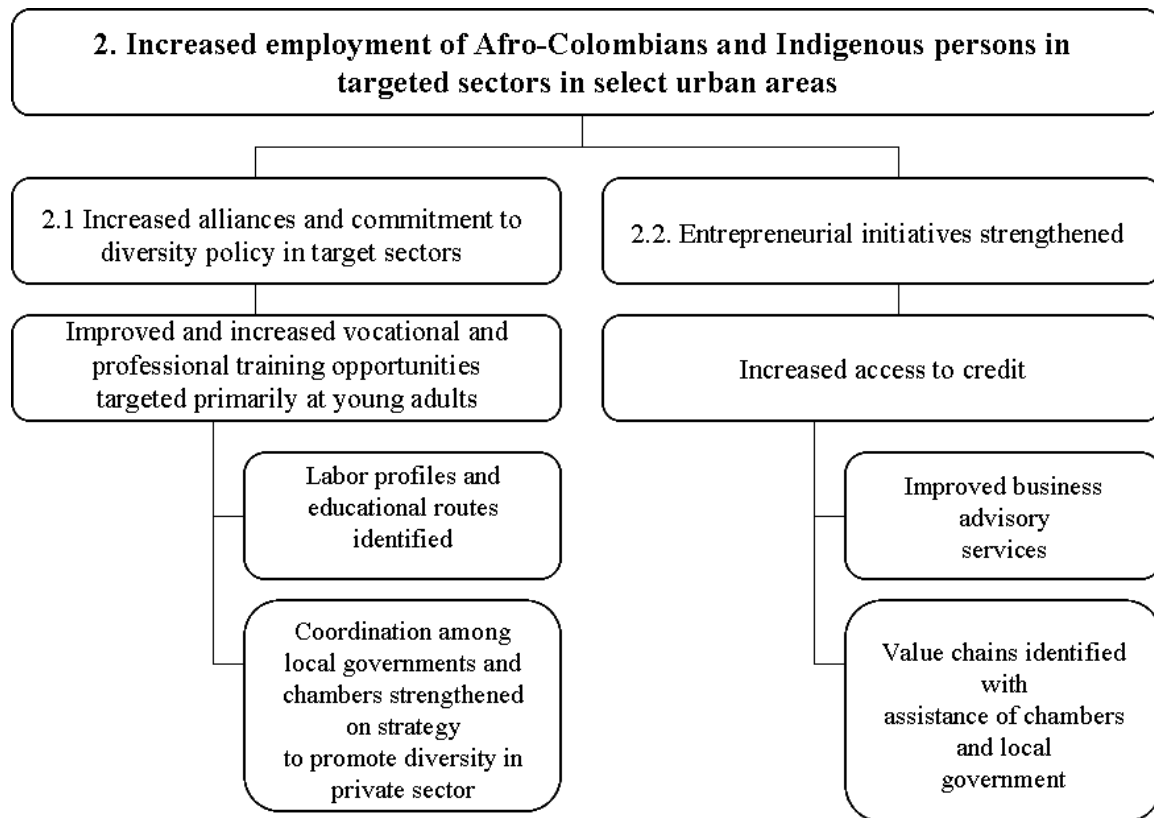
Expected Intermediate Result 1.4: Strengthened oversight and monitoring mechanisms

Strengthening independent formal oversight will be important to this effort. Oversight mechanisms should be permanent and be taken seriously. The applicant should discuss how these would be formed, with whom, how they would work, and sustainability measures.

Illustrative performance indicators:

- Number of oversight committees formed or strengthened to monitor provision of government services. *Target: 64 oversight committees developed or strengthened to monitor provision of government services.*
- Number of instances in which relevant entity corrected action due to claim from oversight committees. *Target: 75% of oversight committees' claims result in corrected actions.*

EXPECTED RESULT TWO: Increased employment of Afro-Colombians and indigenous persons in targeted sectors in select urban areas.



While this component will not be limited to working with Afro-Colombians exclusively, it is expected that Afro-Colombians would be the primary focus. One of the major concerns expressed in USAID's consultations with Afro-Colombians and in the Inter-Sectoral Commission for the Advancement of Afro-Colombian Communities report was the unequal access to economic development opportunities for ethnic minorities. Afro-Colombians in the urban centers of Bogotá, Medellín, Cali, Pereira and Cartagena receive overall lower wages than non-ethnic population; in Medellín, for example, wages for Afro-Colombians are 63.1% of those of non-ethnic population. The difference is even larger for Afro-Colombian women in that city, where their wages are 59.1% of non-Afro-Colombian women¹⁵.

This component will focus on increasing employment of ethnic minorities in targeted urban centers, which include Bogotá, Medellín, Cali, Cartagena, the San Andres archipelago, Quibdó, and a Caribbean Coast cluster composed of Barranquilla, Santa

¹⁵ Source: Mosquera Rosero-Labbé, Claudia – León Díaz, Ruby Esther (Eds.), Acciones Afirmativas y ciudadanía diferenciada étnico-racial negra, afrocolombiana, palenquera y raizal – Entre Bicentenarios de las Independencias y Constitución de 1991. Universidad Nacional de Colombia, Bogotá, 2009. p. 224

Marta and Cartagena. The applicant should not propose to work in cities which are not listed such as Buenaventura as this area will be addressed through USAID's upcoming CELI central instrument.

Given the ample in-country expertise on this field, this component would be implemented by the recipient through an Annual Program Statement (APS). The APS is intended to generate competition for sub-awards to address the issues contained under this component. Potential partners are expected to bring significant new resources, ideas, and/or partners to component activities. Partners would include local organizations such as foundations, non-governmental organizations, and private businesses with ample expertise at the regional level. All funding decisions concerning this APS would require prior Mission approval.

The two intermediate results are 1) to increase alliances between private sector firms and training/educational centers to promote diversity policies and increase the number of ethnic minorities employed in the private sector, and 2) to strengthen existing ethnic minority-owned business and promote new ones. Fostering entrepreneurship, creating tax incentives for private sector companies to develop diversity policies, and creating social responsibility certificates for companies that develop diversity policies are some of the recommendations made by the Inter-Sectoral Commission. While private sector firms are the focus of this component, the applicant might also explore commitments from the public sector such as the SENA or other governmental agencies.

Using the example of Cartagena, over a third of the population is of African descent yet this population has not fully benefitted from the Cartagena's tourism industry and recent economic development in the same way non-Afro-Colombians have. Afro-Colombians in Cartagena are recognized for their rich and vibrant culture, yet access to credit, underlying discrimination, and a lack of entrepreneurial training have hindered their ability to benefit financially in the formal sector. However, it should be noted that there are a growing number of Afro-Colombians who are working as successful professionals.

In addition to the tourism sector, Cartagena is home to several corporations and industries. People often talk of two Cartagenas – one is a tourist destination and home to the rich and famous; the other, including the archipelago, is home to the poor and marginalized. One of the objectives of this program will be to promote access and opportunity for this latter population so that Cartagena can be a city in which all can benefit. Ecopetrol, for example, is Colombia's largest integrated oil company and owns *Refinería de Cartagena S.A* (Reficar). Plans are underway to expand and modernize the Cartagena based refinery through detailed engineering and construction works. The project, which is expected to be completed during the first half of 2013, will transform the Cartagena refinery and allow integration with the petrochemical industry. An illustrative ACIP alliance might include connecting a vocational institute that trains employees in refinery-related skills with a firm such as Ecopetrol.

USAID envisions a two-pronged strategy, which addresses both corporations' need for skilled labor and the desire of ethnic minorities to improve their livelihoods. In other words, the approach would be to demonstrate to corporations the value of increasing diversity in the work place while also strengthening viable skills of Afro-Colombians so that they become more competitive and have sustainable livelihoods in the formal sector. Developing marketable skills requires adequate education, both in terms of vocational and university training. Another objective of the program is to connect ethnic minorities who demonstrate interest and aptitude with appropriate educational institutions. The recipient will be expected to reach out to various private sector firms to obtain information on what type of skilled employees they are seeking and facilitate alliances with relevant vocational/educational institutions.

Illustrative performance indicators:

- Number of program beneficiaries who have obtained long-term employment in the formal sector as a result of program-funded training or technical assistance. *Target: 5,000 beneficiaries with long-term employment in the formal sector.*

Expected Intermediate Result 2.1: Increased public-private partnerships in target sectors that demonstrate commitment to equal opportunity and diversity promotion.

The applicant will be expected to identify potential sectors and specific companies in the major urban centers that would be amenable to promoting diversity and hiring competitive ethnic minorities from specific institutions. Recipients will be expected to facilitate formal agreements between educational/vocational institutions and private sector firms. The applicant

will also be expected to identify vocational training institutes, trade schools, and universities that would be amenable to partnering with private sector firms. The applicant should provide illustrative partnerships, how they would identify ethnic minorities, how they would obtain commitment from the various entities and how they would include local government and chambers of commerce in the development of diversity strategies.

Illustrative performance indicator:

- Number of private firms that have hired ethnic minorities from vocational institutes or universities as a result of ACIP-initiated alliances. *Target: 500 private firms hiring ethnic minorities from vocations institutes or universities.*

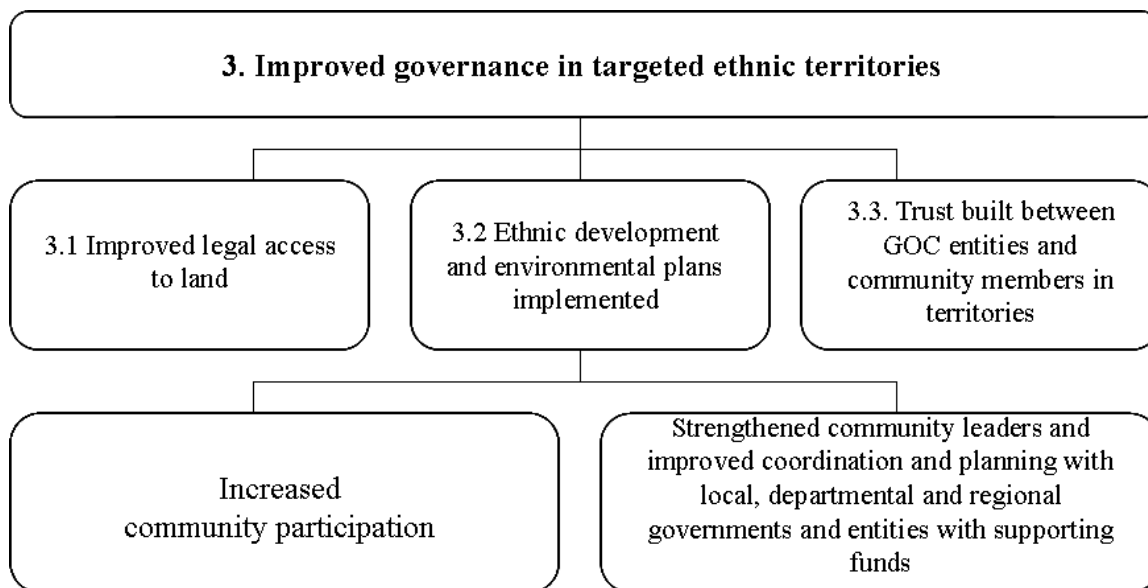
Expected Intermediate Result 2.2: Entrepreneurial initiatives strengthened.

The applicant should demonstrate how they would identify ethnic minorities in select cities who are interested in starting their own business or who already have a business. They should also describe what type of training they would provide to develop entrepreneurial skills in the formal sector, how the program would be implemented, the length of the program, what type of graduation criteria must be met and relevant monitoring, evaluation and follow up. The applicants should propose partners for this activity, targets for each city, and performance indicators.

Illustrative performance indicator:

- Number of enterprises strengthened through business plan development, access to credit or other means who report increased sales as a result of program assistance. The recipient is expected to carry out baseline assessments, which are described in the monitoring and evaluation section. *Target: 200 enterprises strengthened through business plan development, access to credit or other means.*

EXPECTED RESULT THREE: Improved governance in targeted ethnic territories.



As stated above, both Afro-Colombians and indigenous populations have the right to govern their own collective territories. Another major finding of USAID's consultations with ethnic minorities is that leaders would like to develop their governance capacities as well as their ability to interact effectively with municipal and departmental government levels. Since the objective under result three is to improve governance in territories, work in this component will take place in rural areas, and specifically in selected regions in the departments of Chocó, Cauca, and La Guajira. Afro-Colombian community councils' board of directors (*junta directiva de los consejos comunitarios*) is elected for a period of one to three years, determined by the General Assembly, which constitutes all inhabitants within the collective territory. The board of directors is responsible for the creation of ethnic development plans (*planes de etno-desarrollo*) for their territories. Indigenous leaders, organized in *cabildos*, are elected annually and are responsible for creating life plans (*planes de vida*). Often the territorial plans are at odds with the local municipal development plans. One of the objectives of this program component will be to ensure plans are integrated and

that territorial plans are also included in the municipal and departmental development plans and have allocated financial resources. Strengthening development plans requires building the capacity and public administration and leadership skills of the *consejos comunitarios* and the *cabildos*, ensuring that the plans are responsive to community concerns, and creating space for *cabildos* and *consejos comunitarios* to meet with the municipal and department officials and to learn about other *consejos* and *cabildos*' experience in the region.

According to the National Indigenous Organization of Colombia (ONIC), there are 102 different indigenous groups, 87 of which are legally recognized by the Colombian Government. The communities are dispersed among 27 departments of the country and speak 65 languages. There are 1,392,623 indigenous persons in Colombia, and 710 recognized and titled reservations. One of the major issues confronting indigenous populations is obtaining legal title of their land. According to ONIC, 94 percent of the municipalities with indigenous reservations in the process of being titled were affected by forced migration¹⁶. Their lands are not only illegally occupied, but are used to grow illicit crops and are often home to unwelcomed groups such as guerillas and criminal groups.

While the goal will be to encourage government financing of the development plans at the appropriate level and according to law, if appropriate, the recipient may use USAID funds to support prioritized development plan activities such as training and/or technical assistance for income generation projects or social service delivery. Food security is a critical issue facing many of the communities living in the territories, and if prioritized, may also be an important activity under this result. For a description of issues related to food security and agriculture, please see the section under cross-cutting issues as this section will apply most directly to this program component.

Another central issue related to governance is land titling. USAID's Policy Program will focus on land titling; however, the recipient under ACIP may be expected to assist in this area on certain pilots or in the implementation side. For example, the recipient may assist in bringing the appropriate GOC entities together with the *consejos* or *cabildos* to ensure that processes are understood and are moving forward.

Many of the territories are currently being exploited by illegal armed groups. Illegal groups use territories as refuge, to cultivate coca, to engage in armed conflict, to forcibly recruit persons, and as corridors for the trafficking of drugs and arms. Many of the natural resources found in territories such as timber are being cut down. Finally, many of the territories hold oil, gas and mineral reserves and thus are of interest to mining corporations. For these reasons, the security situation within the territories is precarious. To address security, indigenous organizations have engaged in resistance (*resistencias*), which can be characterized as active neutrality as well as indigenous diplomacy, which means national organizations have reached out to the press to publicize their public policy agenda and human rights abuses to the international community. As part of the resistance strategy, communities have indigenous guards (*guardia indigenas*) to serve as interlocutors with the state and other groups. Their role is to supervise the territories, resolve both internal and external issues, and mobilize a collective response.

In addition to the challenges related to illegal armed groups, there is often tension between inhabitants of territories and the state. Indigenous and Afro-Colombian communities, for example, do not always perceive the Colombian armed forces or police as their protectors. Groups have stated that the Colombian armed forces have not conducted consultations (*consulta previa*) with community leaders adequately or in a culturally appropriate manner and that they do not respect their autonomy.

Another objective of this component is to strengthen relations and improve confidence among inhabitants of territories and government authorities. Overcoming many of the negative perceptions and stereotypes various actors have of each other will be challenging, but needs to happen. By the end of the program, mutual confidence between communities and GOC entities must improve as a result of credible, culturally sensitive consultation processes; GOC actions indicating respect for human rights; and, GOC assistance in the implementation of supportive policies for ethnic minorities.

Delivering social services is a function of the GOC. However, if local leaders identify social service delivery as a priority under their life plan or ethno-development plan, the recipient should assist in identifying bottlenecks and resolving issues. If quality services are not being provided, the recipient should work with the various actors to ensure that the appropriate entities have properly budgeted for social services and that there are an adequate number of professionals to deliver the services. The national government has placed embargoes on municipalities whose leaders have mismanaged funds. As a result, certain

¹⁶ ONIC – documentation presented to the Constitutional Court. Cited in Corte Constitucional – Auto 004 de 2009, pg. 10.

municipalities are not receiving as many resources as municipalities that are properly managing funds. There are conflicting accounts with regard to what the law says, but it is understood that embargoes should not be applied to funds for health, sanitation and education. The recipient will be expected to be familiar with related laws and assist the communities to strengthen financial management and governance. For this reason, delivery of social services will be closely linked to the policy implementation component of ACIP, which will be working on this issue at the national level.

An area of particular concern is the availability of integrated maternal and child health services in remote territories. The health statistics of Afro-Colombians and indigenous populations are appalling. Nationally 73 women die of pregnancy-related complications for every 100,000 live births. According to the Office in Colombia of the UN High Commissioner for Human Rights, in departments with a high percentage of indigenous and Afro-Colombians, the figure rises to 386 per 100,000¹⁷. In addition, research shows that indigenous populations in Colombia have one of the highest mortality rates in the world. Twenty five percent of children from the indigenous communities of the Nasa in the department of Cauca, the Awa in the department of Nariño and the Embera in the department of Antioquia and Chocó die before they reach the age of six due to malnutrition, infection diseases and parasites, as well as from a lack of adequate and appropriate medical treatment¹⁸. In addition, many indigenous women die before the age of 40 due to malnutrition and degenerative diseases. Further compounding the problem, sixty percent of indigenous groups do not have access to potable water, eighty percent do not have access to sewage systems, and forty percent do not have electricity.

Working in the area of health, especially with indigenous communities, is sensitive and requires cultural understanding and respect as many indigenous groups rely on their traditional doctors and shamans and the perspective on treatment differs greatly from western medicine. Bringing traditional healers together to see how they can address issues such as malnutrition might be a proposed activity – if prioritized in the life plans. In addition, it is important that adequate resources are making their way to remote and often isolated territories. Traditional authorities maintain census information on the territories; however, sometimes this information is not transmitted to the appropriate health entities such as the Ministry of Social Protection and secretaries of health and health posts, which allocate funds based on the number of persons. The applicant may choose to discuss how they would address health as one of the areas under governance, taking into consideration the important role traditional medicine plays and the responsibility the state has to provide adequate health care.

While ethno-education is not a major focus of this design, the recipient will be expected to coordinate with the Organization of Ibero-American States (OEI), which will be dedicating €10 million in funding to carry out a ten-year program on ethno-education, which will take place in the ACIP areas of Bogota, Medellin, Cali, and Cartagena as well as several municipalities along the Pacific Coast. The applicant may propose activities in the field of education, but such activities should complement what other donors are doing in this area and should be achievable within the timeframe.

Expected Intermediate Result IR 3.1 Improved legal access to land

While land is a central issue, the implementer will be expected to coordinate on this issue with USAID's policy mechanism. The applicant should discuss how implementation of policies and processes related to land titling and tenure will be applied in this program, taking into considerations specific laws and policies related to collective territories. Targets and performance measures should be included.

Expected Intermediate Result IR 3.2 Ethnic development and life plans implemented

Implementation of ethnic development or life plans look different in each community and territory as the plans reflect community priorities. The applicant should budget for items that would be prioritized in the plans such as institutional strengthening, food security, production and commercialization processes, environmental protection programs, forestry management, repairing of sanitation and water systems, and support to health and educational services. These activities are

¹⁷ Naciones Unidas - LA SITUACIÓN DE LOS PUEBLOS INDÍGENAS EN COLOMBIA: SEGUIMIENTO A LAS RECOMENDACIONES HECHAS POR EL RELATOR ESPECIAL ANTERIOR, January 2009. Found on <http://www2.ohchr.org/english/issues/indigenous/rapporteur/docs/A-HRC-15-34.doc> (visited July 28, 2010)

¹⁸ Elizabeth Tabares. Población Indígena en Riesgo de Desaparecer. Universidad del Cauca. Found on <http://fucaicolombia.wordpress.com/2008/07/14/poblacion-indigena-en-riesgo-de-desaparecer/> (visited July 28, 2010)

not listed as expected intermediate results because implementation will be contingent upon the identification of needs by leaders of the collective territories with input from the community. In addition, the recipient should assist in ensuring that plans are integrated into municipal plans so that there is a budget. It will be expected that local institutions and private sector, where appropriate, will also fund development plan interventions. The applicant should discuss how they would strengthen resource management and organizational capacity of community leaders, as well as the steps they would take to strengthen Afro-Colombian *consejos comunitarios* and indigenous *cabildos* to improve their development plans.

In addition to ethnic development and life plans, there are autonomous regional corporations whose responsibility is to ensure that environmental resources are managed properly. Since natural resource management is of particular importance in collective territories, governance efforts might include environment as a theme around which to focus efforts. For more discussion on environmental issues, please see section on cross-cutting issues.

Thirty-four indigenous groups and dozens of Afro-Colombian communities have been declared by the Constitutional Court to be in danger of extinction or in extreme vulnerability to displacement or confinement. The Colombian government is obliged to provide protection for these groups. Assistance to both non-governmental and governmental entities to the design and implementation of *planes de salvaguarda* (security plans) is expected.

Illustrative performance indicator:

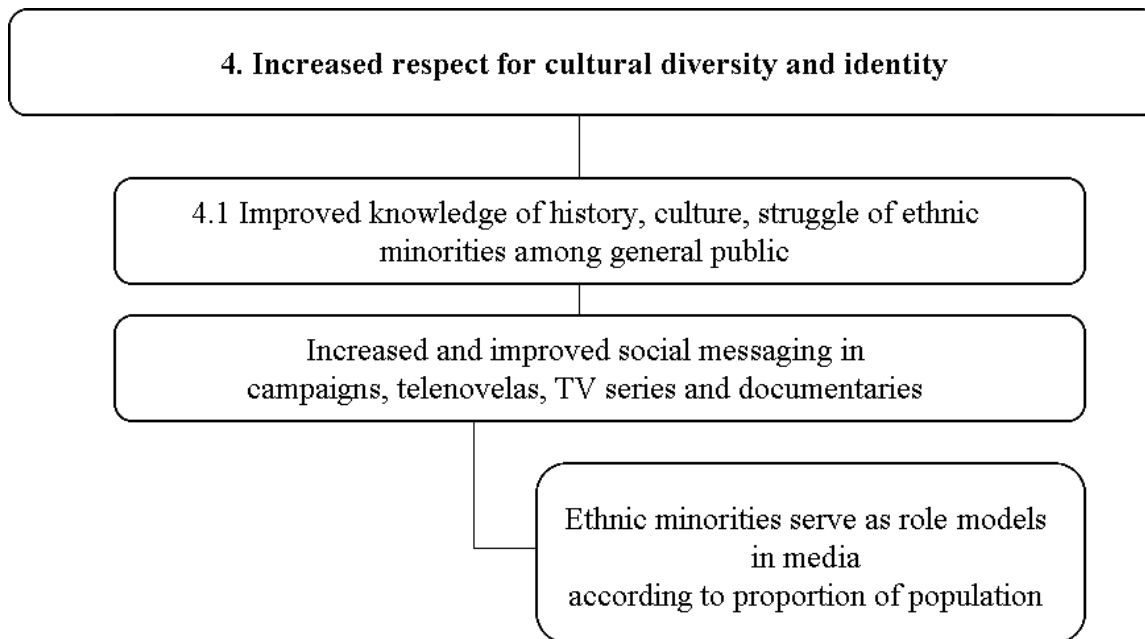
- Perception by community members of leadership/governance improved. *Target: 10% increase in perception by community leaders of leadership/governance improved.*

Expected Intermediate Result IR 3.3 Trust built between GOC entities and community members in ethnic territories.

The applicant should describe sensitivities around this issue and what steps they would take to improve confidence in related GOC institutions.

Illustrative performance indicators:

- Perception of GOC entities by ethnic minorities in territories (measured through public opinion surveys). *Target: 10% increase in positive perception of GOC by ethnic minorities in targeted territories.*
- Frequency of communication between territory leaders and GOC entities. *Target: 50 consulta previa pilots started between GOC and ethnic minorities.*

EXPECTED RESULT FOUR: Increased respect for cultural diversity and identity

The description of this program so far has focused on the communities themselves and not the greater population of Colombia. The rationale behind this component is that unless the general public genuinely respects cultural diversity in Colombia and understands the history and current day struggle ethnic minorities face - discrimination, exploitation, and marginalization of these populations will continue. One only needs to watch Colombian television shows to see that the representation of ethnic minorities is virtually non-existent. The few actors of Afro-Colombian or indigenous descent are often depicted as working in the informal sector or as domestic employees. Until the media steps forward to promote ethnic minorities in major and professional roles, the Colombian population will continue to think that being light skinned contributes to one's success.

The lack of recognition and value of ethnic and cultural diversity was also cited as a major finding by the Inter-Sectoral Commission for the Advancement of Afro-Colombian Communities. One of the recommendations was to develop an ethnic diversity promotion campaign. USAID has supported social messaging in television programs in other countries. The idea behind this component is to reach out to producers, actor guilds, screenwriters and other media stakeholders to advocate for increased inclusion of ethnic minorities in important roles in soap operas (*telenovelas*), TV series, and other popular media as well as to weave important social messages regarding ethnicity and culture in entertaining ways.

Role models play a central role in changing attitudes as well. The recipient will be expected to reach out to famous Afro-Colombians and indigenous personalities to see how they can promote positive messages of social change.

Cultural identity is associated with a sense of belonging to a group and being proud of the group's heritage and traditions. While there are people of indigenous descent who no longer practice their cultural traditions- in general- cultural identity seems to be stronger among indigenous communities than among Afro-Colombians. This is displayed most visibly in the fact that a large percentage of afro-descendants, upward of fourteen percent, do not self-identify as being Afro-Colombian. During USAID's consultations with Afro-Colombian communities, many leaders said that fighting the feeling of invisibility Afro-Colombians face and the lack of national consciousness or movement were some of the greatest challenges. Some might not see this as a problem and say that the broader national identity associated with being Colombian should transcend cultural differences. This type of thinking is in fact discriminatory as it favors the majority and erases the history of the minority rather than embracing it for its difference and uniqueness. It is this same thinking that has led to the near extinction of 34 indigenous groups. It would be an enormous loss to society to lose the culture, language and history that the various ethnic minorities in Colombia bring - but without a concerted effort, cultures will disappear.

Illustrative performance indicator:

- More Afro-Colombians and indigenous self-identify during censuses. *Targeted: 2% increase in self-recognition of ethnic minorities during censuses.*
- Perception by general public of value of diversity and affirmative action increases (baseline and perception surveys). *Target: 2% increase positive perception of Afro-Colombians and indigenous in targeted regions.*

Expected Intermediate Result 4.1: Improved knowledge of history, culture, and struggle of ethnic minorities among general public

There are several activities that the recipient may undertake to achieve this result. Illustrative examples include increasing and improving social messaging in campaigns, *telenovelas*, TV series and documentaries. Another activity might be to reach out to ethnic minorities to serve as role models in the media, as speakers at commencement ceremonies, at sports or cultural events or in other public venues. The applicant is encouraged to think creatively in developing a strategy that will connect with the Colombian public and change cultural attitudes.

The Public Affairs Section (PAS) is also implementing a media component for ethnic minorities. Therefore, the recipient should consult with PAS on this component.

GRANTS TO SUPPORT CROSS-CUTTING ACTIVITIES UNDER ALL EXPECTED RESULTS (ERs):

USAID envisions at least forty percent of the ACIP budget will be devoted to sub-grants to selected Colombian Civil Society organizations, communities and alliances undertaking work to advance ethnic minorities strengthening programs. If the recipient awards grants under this cooperative agreement, the recipient shall comply in all material respects with USAID's Automated Directive System (ADS) Part 303 (including mandatory and supplementary references) in awarding and administering grants, as well as the Code of Federal Regulations 22 CFR 226.

Sub-grants will be directed to activities that support all ERs and may include but are not limited to:

- a. Activities in monitoring, assessment, advocacy, public awareness/public education, policy dialogue, CSO institutional strengthening and development, strategic planning and provision of technical assistance or services contributing to achievement of ethnic minority purposes.
- b. CSO initiatives to conduct their own activities in implementation of public policies, employment, governance, visibility and diversity.
- c. Activities related to awareness and prevention of domestic violence, sexual violence, trafficking in persons.
- d. Activities promoting the rights of the Afro-Colombians and indigenous communities.

Grant Set Asides: The recipient shall administratively manage USAID grant assistance that enables qualified and proven Colombian Civil Society Organizations (includes NGOS, communities, federations, universities, media, private sector, alliances, networks, women's groups) to contribute to the national Afro-Colombian and indigenous agendas. This activity will allow for grants to be issued in order to implement activities that contribute to the achievement of the approved results and indicators set forth in this program description. The recipient shall propose a Program Description to USAID for review and comment, prior to soliciting applications. Upon receipt of comments/concurrence, the recipient shall solicit applications on a competitive basis. The recipient must justify and submit to the Agreements Officer a justification for other than full and open competition any time competition is not employed or limited competition is employed. All grants are subject to AOTR approval.

CROSS-CUTTING THEMES

The recipient will be expected to address cross-cutting issues related to youth, land, gender, a culture of lawfulness, food security and the environment.

Land is a central theme related to conflict. Due to decades of conflict and a culture of illegality, many people do not hold titles to their lands. They have either been forcibly displaced and someone has illegally occupied their land when they fled, titles were destroyed, returnees were pressured to sell their land or chose to sell but received much less than the land's value,

or never held title despite generations of cultivating the land. USAID's policy mechanism will address land issues, but the applicant should discuss how implementation of policies and processes related to land titling and tenure will be applied in this program, taking into considerations specific laws and policies related to collective territories. This will be especially relevant in the ACIP policy implementation component one and governance in territories component three.

Youth is a central theme and the applicant should discuss how youth, especially in the 12-25 age groups will be included under each component. In the indigenous culture, youth are often in important positions of leadership. For example, the youngest congresswoman in Colombia is indigenous. Youth are often more susceptible to offers of money, drugs and luxury items by illegal groups to join their ranks. Without adequate educational and job opportunities, illegal armed groups or emerging criminal bands (BACRIM) may seem like a decent opportunity to escape poverty, domestic violence and sexual abuse. Drug consumption by youth has also been on the rise, especially in narco-trafficking corridors. The applicant should discuss how they would engage youth.

Food Security: Another common theme heard in USAID's consultations, and which is also a best practice from USAID's TEP initiative is the critical importance of food security. If people do not have enough to eat, they will not be able to focus on governance issues. In a middle income country such as Colombia, it is surprising and unacceptable that there are many areas in Chocó and Cauca where people simply do not have enough food. The applicant will be expected to propose activities such as income generation projects focusing on agricultural production and livestock acquisition that aim to improve food consumption levels of affected communities. Food security and production for local markets must be diversified to improve nutrition of beneficiary communities. Crops and yields must be market-driven starting with local commercialization opportunities before aiming at regional or national/international markets. This should be addressed in component three, which is strengthening governance in rural territories.

Gender issues are central to the achievement of strategic plans and Assistance Objectives, and activities under ACIP should help promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural and political development; enjoy socially valued resources and rewards; and realize their human rights. USAID/Colombia most recently carried out a gender assessment in August 2007 that looked at gender in the context of armed conflict. It was recently updated in March 2010. USAID expects that the recipient will incorporate this analysis into their technical approach and program implementation (http://pdf.usaid.gov/pdf_docs/PDACCJ922.pdf). Based on this analysis, the recipient shall work with USAID to ensure that activities and partners support gender equality as well as focus on gender-based violence. The recipient will be expected to provide gender disaggregated data for activities that will contribute to reporting and continued analysis of gender within the program components.

The recipient should be aware of alternative dispute resolution mechanisms in indigenous territories. According to Constitutional Court rulings, the laws enacted by the Colombian Congress cannot limit the ability of an indigenous community to adjudicate justice in their territories as long as the rulings are not in contradiction to fundamental rights established in the Colombian Constitution. Promoting alternative dispute resolutions within the indigenous legal system is therefore constitutional. The recipient, should be aware of the cultural sensitivities, but should also ensure that messages to decrease domestic violence are being promoted. The applicant should describe how gender issues would be addressed in each component.

Culture of illegality: One of the issues that also came up repeatedly in USAID's consultations was the culture of illegality, and the need to promote a culture of legality. The culture of illegality extends from working in the informal sector as a street vendor to engaging in criminal behavior for economic gain. Many times, the perceived lack of opportunities, various barriers to working in the formal sector, and the lure by illegal groups offering economic incentives lead ethnic minorities to seek employment that offer short-term benefits. The applicant should discuss how to promote a culture of legality in conflictive areas as well as in non-conflictive areas where people work in the informal sector. In addition to an economic approach, a communications campaign may be needed. USAID will be starting a Culture of Lawfulness Program shortly that will focus on outreach and the ACIP recipient should coordinate with this program to see how messages might be applied in ACIP target areas.

Agriculture: Small farm agriculture in the Afro-Colombian and indigenous territories has been historically limited to basic non-intensive food production and cattle farming under extensive grazing systems. For the last three decades, many small farmers have cultivated coca as an opportunity to generate income. Both small and large scale farming in Afro-Colombian and indigenous territories have failed to become sustainable and profitable because of phytosanitary reasons, lack of appropriate

technologies, limited access to markets and poor commercialization strategies, among other reasons. While ACIP is not an agricultural program, if agricultural development is prioritized in the ethno-development or life plans, it should be approached with a sustainability perspective aiming at long-term sustained yields through the use of ecologically sound management technologies and practices. USAID's experience with small farming communities in Afro-Colombian and indigenous territories highlights the need to continue developing local agricultural systems which consider conditions and variability of the natural environment. In Afro-Colombian and indigenous territories, it is essential that production be diversified and shall include a variety of sustainable options such as agro-forestry, *silvopastoral*, artesian/small scale fishery, and aquaculture.

Assistance for palm oil activities will not be supported.

Environment: Afro-Colombians and indigenous are disproportionately more vulnerable to climate change and natural resource-based conflict because of their natural resource-rich collective territories and their tendency toward natural resource-based livelihoods. The communities and the conservation of these ecosystems are under threat from drivers of environmental change such as deforestation, habitat conversion, invasive species, climate change, narco-trafficking and armed conflict. USAID assistance uses a 'threats-based approach' to reduce or avoid the negative impacts of these drivers on Colombia's rich biodiversity and its ecosystem services. Strengthening environmental governance for the conservation of protected areas and ethnic territories; preserving, restoring or improving ecosystem services; ensuring the environmental sustainability of natural resource-based livelihoods; mitigating or adapting to the long-term impacts of climate change; and promoting the use of renewable and clean energy are the overall goals of USAID's biodiversity and climate change assistance objective. USAID's Protected Areas Program is specifically devoted to reducing threats to biodiversity and impacts from climate change, natural forest conservation and strengthening environmental governance are themes that the recipient may use in building the capacity of *consejos comunitarios* and *cabildos* to create and implement development plans. It is expected that applicants include in their approaches support to activities seeking payments for environmental services and sustainable use of biodiversity and non timber forest products. This requires coordinated planning and management across landscapes by multiple institutions and actors.

In addition, the Foreign Assistance Act (FAA) of 1961 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. FAA Section 117 mandates that U.S. foreign aid shall not be used in ways that damage the environment, either globally or locally, or that deplete the natural resource base necessary for sustainable development. Section 118 pertains to the sustainable management of tropical forests. Section 119 pertains to the conservation of biodiversity (species, ecosystems etc). (For more details, please read the standard provision in ADS chapter 204).

The recipient is expected to take environmental considerations and significant environmental impacts of proposed activities into account and assure that appropriate environmental safeguards and mitigation measures are adopted for all activities. Environmental considerations are an integral part of the activities, should not be considered as an additional or external component, and should be budgeted for appropriately.

The design team also considered what other donors and USAID's current programs are doing in formulating the design. Key constraints to implementing the program may include inadequate GOC funding dedicated to the implementation of policies as well as a lack of political will at all levels of government. There is an opportunity with the new administration to place ethnic minority issues on the agenda. However, in past years, only one ethnic minority has been appointed at the ministerial level. Another potential constraint is the expansion of the mining industry in Colombia, where new explorations often coincide with indigenous and Afro-Colombian territories. Indigenous communities, especially, allege that many companies are exploiting their territories without proper consultation. It will be important to work with the government to ensure territorial rights are not being violated by private sector interests. Other constraints include resistance to cultural traditions by non-ethnic populations, geographic isolation of many communities, insufficient infrastructure, presence of illegal armed groups in indigenous and Afro-Colombian territories, presence of illegal crops, and a fractured Afro-Colombian movement. While many of these constraints are outside the scope of ACIP, addressing political will and perceptions will be the crux of this program.

Past and Current USAID and United States Government (USG) Programs Addressing Afro-Colombian and Indigenous Populations

Since the inception of Plan Colombia in 2000, the USG through USAID, has worked extensively with Afro-Colombian and indigenous populations through several programs. USAID's Justice Program has worked to broaden access to free and timely legal services for conflict-affected and geographically marginalized Colombians. It is likely that the Justice Program will work in La Guajira with a focus on indigenous justice and with *Wayuús* community judges, or *palabrer*os. *Palabrer*os will receive training on conflict resolution mechanisms. The Justice Program will also work in Cauca with Afro-Colombians living in Santander de Quilichao, where the Revolutionary Armed Forces of Colombia (FARC) destroyed a previous justice house.

The Communities at-Risk component of USAID's Human Rights Program seeks to increase protection of human rights to life, freedom and integrity for communities at high risk of violence, including Afro-Colombian and indigenous communities. USAID's Human Rights Program is also currently supporting the development of a national prevention strategy for human rights. The strategy is expected to be completed in June 2011. The next phase will be the implementation of this national strategy. USAID foresees that some of the information obtained through ACIP could be shared with the Human Rights Program and fed into the strategy. In addition, USAID anticipates space for coordination between ACIP and HR once the implementation begins at the end of 2011. The Human Rights Program works both at the national level as well as in Bogota, Barranquilla, Quibdó, Medellin, Cali, Cartagena, San Andres Islands, Cauca and La Guajira.

USAID's Demobilization and Reintegration (DR) and Child Soldiers (CHS) Programs work with Afro-Colombian and indigenous adult and child ex-combatants to create legitimate socioeconomic opportunities to assist with family and community reintegration as well as to implement prevention strategies against forced recruitment into illegal armed groups. USAID's DR and CHS programs are located in major urban centers as well as in Chocó, La Guajira, and Cauca.

USAID's Internally Displaced Program has assisted many Afro-Colombians and indigenous persons who have been forcibly displaced by Colombia's internal conflict. USAID's Alternative Development program promotes economic and social alternatives to illicit crop production through productive projects, enterprise development, natural resource protection, institutional strengthening, and promoting access to markets.

Starting in 2008 USAID developed a specific initiative for Afro-Colombian and indigenous communities called productive ethnic territories (TEP). The initiative was implemented in Nariño, Cauca, and Buenaventura and included productive, food security and institutional strengthening activities. In order to guarantee transparency, legitimacy, and ownership by the communities as well as sustainability of programs and activities carried out under TEP, USAID conducted a permanent and inclusive consultation process with all relevant stakeholders. The process included Acción Social, the Governors of Nariño and Cauca, and the Mayors of the target regions, as well as regional mayors' associations, community councils, indigenous authorities, and producer associations.

USAID has a conservation landscapes program that works in protected areas as well as in Afro-Colombian communal lands and indigenous reservations.

USAID's Political Party Program promotes political participation of ethnic minorities. This program promotes political participation of young Afro-Colombians, including IDPs living in Sincelejo, Quibdó, Cali, Cartagena, Buenos Aires and Guapi. The program also works with political parties to assist them in consolidating their platforms in the Chocó municipalities of Istmina, Riosucio, Bahía Solano, and Quibdó. The program provides support to regional governments in drafting orders to implement a differentiated policy for Afro-Colombians in Cauca and other departments of the Atlantic Coast.

The US Embassy's CSDI Colombia Strategic Development Initiative (CSDI) defines an integrated and geographically-targeted approach as the most effective way to sustain peace, security, and development gains, reduce illicit crop cultivation and the efficacy of illegally-armed groups, and ensure the delivery of basic state services in strategically targeted conflict regions throughout the country. It prioritizes four geographic zones of the country where significant challenges to peace and security, coca eradication, rule of law, poverty alleviation, displacement prevention/return, and economic development remain. The CSDI corridors are: 1) Montes de Maria; 2) Nariño/Putumayo (Southern Band); 3) a Central Band from *La Macarena* in *Meta* west through southern *Tolima* and *Valle del Cauca* to *Buenaventura*; and 4) a corridor from *Bajo Cauca* to *Catatumbo* (Northern Band).

It is important to note that there are large Afro-Colombian and indigenous populations in many of the CSDI areas. CSDI programs will be expected to include programming related to many of the above issues; however, the ACIP will provide technical assistance to CSDI contractors to ensure that a differentiated approach is employed for Afro-Colombian and

indigenous communities by offering protocols, training sessions and manuals to contractors working in the CSDI zones. CSDI and ACIP will not work in the same municipalities, but both programs will have activities in Chocó, and lessons learned should be shared.

On January 12, 2010, the Colombian and US governments signed an Action Plan on Racial and Ethnic Equality to strengthen cooperation, understanding and exchange of information to eliminate racial and ethnic discrimination, promote capacity building, and encourage equal opportunity. The GOC and USG will work together on issues already framed by other related initiatives, including the recommendations of the Inter-sectoral Commission for the Advancement of Afro-Colombian Populations. Initiatives in Colombia will be based on consultations with civil society, academia, private sector and government entities that focus on the Afro-Colombian population.

The Embassy's Public Affairs Section (PAS) is also supporting several programs for Afro-Colombians and indigenous persons. These include:

- 1) Short-term English language scholarships for high school and university students;
- 2) A speakers program on diversity issues;
- 3) Cultural exchanges, performances and exhibitions to support artists;
- 4) An Afro-Colombian and indigenous Media Visibility Project, which USAID will also support and is discussed in result five; and
- 5) English training for Afro-Colombian teachers in Chocó.

USAID is in the process of signing a memorandum of understanding with PAS for a Martin Luther King English scholarship program and media visibility program. The recipient will be expected to coordinate with PAS on these two issues.

Lessons learned

There are several lessons learned from USAID's experience in working with Afro-Colombian and indigenous communities. These could be summarized in the following:

1. While USAID may provide support throughout the design process of any activity, all activities must stem directly from the communities, their needs, plans and priorities.
2. Consultation with communities and community representatives is a continuous process; it is not exhausted at the design stage of the activity.
3. Trust-building between USAID, the communities and the institutions is key to assure progress and sustainability.
4. The clear understanding and respect for the community's dynamics – its internal leadership structure, its relations with local authorities, its vulnerability to illegal actors, its social structure, its existing alliances – is indispensable to design community-appropriate activities.
5. USAID must utilize a do-no-harm approach to program design and implementation that does not raise the communities' vulnerability to conflict.
6. A differentiated approach is multi-dimensional: USAID must be aware of and respond not only to ethnic differences, but also gender, regional, and age differences.
7. USAID must facilitate a continuous interaction and articulation between traditional authorities and community-based organizations with local, regional and national governments in order to assure adoption, funding and sustainability of community plans into broader development plans.
8. Expectations must be managed carefully: it is not within USAID's capacity to solve the multiple and complex challenges faced by communities.
9. Given the significant differences in time schedules between the communities and USAID, program objectives must be realistic and respondent to community dynamics as well as USAID regulations.

USAID/Colombia Strategic Framework

As was mentioned, USAID has been working with Afro-Colombian and indigenous populations through all of its assistance objectives (AO), which include:

AO1: Licit livelihoods in targeted geographic zones expanded

AO2: Impact of conflict mitigated for targeted vulnerable communities

AO3: Strengthened democratic and economic governance and respect for human rights

AO4: Reduced Threats to Biodiversity and Impacts from Climate Change.

All of USAID's AOs will be relevant to activities under the ACIP and as such, permanent coordination with other Mission programs and activities is required.

GEOGRAPHIC FOCUS

In the design of this program, USAID/Colombia employed certain criteria to select the geographic areas for the ACIP. The Mission analyzed where the largest numbers of Afro-Colombians and indigenous reside, the types of problems they face, what USAID's comparative advantage is in assisting the populations, where other donors are working, current and previous USAID programs that have worked with ethnic minorities, how the ACIP could complement and build upon what USAID is doing through its other programs, security conditions of target areas, and USAID's resource level. Because USAID is working with ethnic minorities through the Consolidated Enhanced Livelihoods (formerly Alternative Development), IDP, Demobilization and Reintegration, Human Rights, Justice, Regional Consolidation, and Political Parties Programs, activities related to these sectors will not be included in this request for application (RFA). However, the applicant will be expected to coordinate closely with these programs and suggest potential synergies.

The geographic focus of ACIP programming will depend on the expected result and corresponding program component. Policy implementation component one will be carried out with national, departmental and local government and non-governmental organizations. For the purposes of this RFA, local level urban areas will refer to Medellín, Bogotá, Cali, Quibdó, the San Andres archipelago and a Caribbean Coast cluster composed of Barranquilla, Santa Marta and Cartagena. Local level rural areas will refer to select municipalities in the departments of Chocó, Cauca and La Guajira. While 20 percent of indigenous persons live in urban areas, Afro-Colombians will be the primary, but not exclusive focus of urban programming. Component two addresses employment in urban areas. The third component addresses governance in ethnic territories. Upon award, the recipient and USAID will work together to select regions in Cauca, Chocó and La Guajira. USAID's Assistance Officer's Technical Representative (AOTR) will provide final approval through the work plan of proposed regions in Cauca, Chocó and La Guajira. The geographic focus of the fourth component on promoting tolerance is at the national level, but may also include actors, directors, producers, screen writers and other media stakeholders from the urban areas listed above. More information will be provided in the program description below by component.

While programming in the rural areas above will be approved upon award, the applicant should address criteria such as minimum parameters for security that would allow for effective implementation, political commitment on behalf of leaders in target areas, and potential for leveraging funds from governmental and non-governmental entities and the private sector.

It is important for the applicant to understand the CSDI approach and how the ACIP will coordinate with and provide assistance to the selected CSDI contractors on lessons learned and best approaches to working with Afro-Colombian and indigenous populations. It will be especially important in southern Chocó as the CSDI central band contract will begin activities near the end of 2010. Close coordination with the contractor and USAID will be essential to ensure working relations in the region with governmental and non-governmental organizations are effective.

Chocó: Much of Chocó suffers from high levels of violence, and associated human rights violations, mass displacement, government corruption and a lack of justice and redress for victims. The predominantly poor, Afro-Colombian inhabitants of the region lack basic services such as health and education, and exhibit among the lowest socioeconomic indicators in the country. Basic humanitarian needs are unmet in many areas. Despite being a resource-rich department with particularly strong forestry, mining and targeted environmental and ethnic-cultural tourism potential, Chocó faces significant economic development challenges, exacerbated by a lack of roads and infrastructure and dependence on a river-based economy. Chocó is vital to U.S. interests both because of its significant role in the trafficking of drugs and arms, as well as coca cultivation. In addition, the continued presence of illegal armed groups throughout the region, who compete to control trafficking routes, has severely compromised security and development in the region.

Governance is also a critical challenge. Poor planning and weak public and financial administration capacity, coupled with a lack of transparency and accountability, have resulted in poor service delivery and mutual distrust between citizens and local authorities. Civil society organizations in turn exhibit similar weaknesses, preventing them from being able to mobilize effectively and demand good governance and hold elected authorities accountable.

USAID currently supports a range of activities in the region and expects that many of these same types of activities will be included in the ACIP. Current activities include food and humanitarian assistance, governance and civil society strengthening, productive projects and income generation activities, programs in support of internally displaced populations, and programs to support victims of the conflict.

Under CSDI's Central Band, USAID will work in Chocó through a contract. However, it is not expected that activities under this contract will begin until the end of 2010. Final selection of ACIP regions will be done in consultation with USAID upon award. However, ACIP will be expected to work in Quibdó under program components one and three.

Cauca: Together, Afro-Colombians and indigenous persons constitute over forty percent of Cauca's population. Cauca is home to the Regional Indigenous Council of Cauca (CRIC), the oldest indigenous association in Colombia. Conflict in Cauca has destroyed relations among communities, traditional practices and what once was a shared sense of culture, identity and solidarity. Youth in Cauca are extremely vulnerable to recruitment efforts and of losing their culture and heritage. Cauca has an agricultural based economy and western Cauca contains the largest forest reserve in Colombia. Over half of the indigenous groups in Cauca do not have access to potable water.

The following municipalities contain 70 percent of the total indigenous population and 51 percent of the total Afro-Colombian population in Cauca. Applicants are encouraged to propose activities in Cauca in one or more of the following 15 municipalities, and include their justification for such: *Buenos Aires, Caldon, Caloto, Corinto, Guapi, Jambaló, López de Micay, Paez, Puracé, Santander de Quilichao, Silvia, Suárez, Timbiquí, Toribío, and Totoró*. The listed municipalities are locations in which more than fifty percent of the population is Afro-Colombian or indigenous, and where over fifty percent of the populations' basic needs are unsatisfied. However, final selection will be agreed upon by USAID upon award.

La Guajira: Over sixty percent of the population in La Guajira is Afro-Colombian or indigenous. More than half of the indigenous population in La Guajira is illiterate whereas 13 percent of the Afro-Colombian population is illiterate. Over 90 percent of indigenous persons do not have access to potable water in La Guajira. La Guajira is one of the departments that make up the *Sierra Nevada of Santa Marta*, a mountainous area by the sea and home to indigenous groups such as the *Arhuaco, Kankuamo, Wina, Kogui, the Wayúu, Chimila* and *Yukpa*. This region has suffered violence at the hands of illegal armed groups and many indigenous leaders were murdered and persons displaced. However, issues related to land titling for collective territories remain.

ACIP Urban Areas: ACIP urban areas will include Cartagena, Bogota, Medellin, Cali, Quibdó, San Andres archipelago and a Caribbean Coast cluster composed of Santa Marta, Barranquilla and Cartagena. Many ethnic minorities are victims of conflict and due to displacement have either relocated temporarily or resettled permanently to these urban areas. Other ethnic minorities have lived in these cities for decades as historically poor communities. Issues related to displacement play a central role in the urban areas; however, because USAID has a separate program to address Internally Displaced Persons (IDP) issues specifically, the ACIP recipient will be required to coordinate with USAID's IDP program and partners – the International Organization for Migration (IOM) and the Pan American Development Foundation (PADF). IDPs should not be excluded from becoming program beneficiaries under ACIP, but it will be important to ensure that there are clear selection criteria in areas where the IDP programs work and that ACIP activities are not duplicative. Component two is the main focus for the urban areas.

D. BENEFICIARIES

The principle beneficiaries of the program shall include, but not be limited to, community members in collective territories; traditional authorities, *consejos* and *cabildos* of territories; ethnic minorities interested in educational opportunities; associations and organizations working on behalf of ethnic minorities; ethnic minorities with interest in entrepreneurial and vocational training; Afro-Colombian and indigenous organizations and associations interested in institutional strengthening; private enterprises, and, government officials working on the implementation of policies and laws related to ethnic minorities. It will

also be important to include governmental entities at the municipal, departmental and national levels to coordinate the integration of development plans, which entails planning and budgeting. Illustrative governmental entities include all national ministries and national institutions such as the National Department of Planning (DNP), the National Administrative Department of Statistics (DANE), the Ministry of Interior and Justice, the Ministry of Education, the Ministry of Culture, the Colombian Institute for Family Welfare (ICBF), the Ministry of Social Protection, the Ombudsman's Office, Mayors and Governors' Offices, the National Service for Learning (SENA). Beneficiaries will also include departmental and municipal governments as well as members of community organizations such as educational and health committees, community-based organizations (CSOs), and any other community leader, organization or governmental institution relevant to improving the socio-economic status of ethnic minorities.

E. GUIDING PRINCIPLES

- The recipient shall appropriately and adequately consult with communities before the start of any activity.
- The recipient shall use differentiated approach, meaning that cultural differences and perspectives, gender, language and other factors must be taken into consideration and respected. In addition, the recipient shall ensure that the needs of children, youth, women and elderly within these groups are addressed in an appropriate manner.
- The recipient shall work closely with the ACIP AOTR to ensure that there is synergy and complementarities with other USAID and USG programs, including CSDI instruments.
- The recipient shall work closely with the AOTR and Mission to determine which regions in Chocó and Cauca have enabling security conditions permitting the commencement of activities. A rolling assessment of the situation and adjustment of activities will be implemented, based on the changing situation and opportunities.
- The recipient shall work closely with appropriate governmental agencies at the national, departmental and local levels to ensure there is GOC commitment to ACIP and that the GOC provides input for targets and indicators.
- A permanent mechanism for coordination, feedback and co-ownership shall be formed in each area to include civil society, local governments and other actors as part of the rolling assessment and activity planning.
- The recipient shall include several Colombians and Colombian organizations as proposed personnel and local partners.
- Implementation must maintain flexibility and the ability to respond quickly to rapidly changing circumstances or developments.
- The recipient shall develop detailed regional expertise across the four program components.
- Any income generation activity shall be demand-driven and have strong market linkages.
- All medium and long-term livelihood activities will account for long-term sustainability both in terms of commercialization and continued technical assistance after agreement period, where appropriate.
- All efforts shall result in the development and/or strengthening of Colombian organizations and governmental entities to ensure they have the technical and administrative capacity to assume implementation responsibility.

F. RESULTS INDICATORS

While it is not within USAID's capabilities to improve the socio-economic conditions of all indigenous and Afro-Colombian communities, it is expected that this program will generate a positive impact on the communities it works with. Applicants should include in their application illustrative performance indicators for the life of the program and by each expected result. Upon award, the implementing partner will work with USAID, the Mission's Monitoring and Evaluation program, and other appropriate stakeholders to identify an appropriate list of indicators and targets, which will be finalized and approved by USAID within first month (60 days) of award as part of the development of the Performance Monitoring Plan (PMP).

G. PARTNERSHIPS

Promoting ownership and sustainability are tenets of USAID programming. GOC counterparts at all levels will be expected to provide in-kind human and material resources. Targeted communities will be encouraged to participate fully in the decision-making process as well as to contribute toward community improvement projects, as appropriate. Exact inputs from the GOC and communities will be contingent upon the exigencies of individual grants and activities. Partnerships with national NGOs and foundations operating in the target areas will be actively sought as well as coordination with other donors, international NGOs, and UN agencies. In development of medium to long-term projects such as livelihood and job creation,

substantial leveraging (no less than two to one) will be required and should be sought from the private sector. A strategy for leveraging additional resources will be determined with USAID early in program implementation.

Other Donors Working on Afro-Colombian Programs

The Organization of Ibero-American States (OEI), will be beginning a ten year program in the area of education, and specifically quality and pertinent education; education for livelihoods; and prevention of school desertion. The geographic focus includes Guapi, Timbiqui, Bogota, Medellín, Turbo, Quibdó, Tumaco, Cali, Buenaventura, Cartagena, and Mahates. For this reason, education is not one of the primary foci of USAID's ACIP. The United Nations Development Program (UNDP) ensures that Afro-Colombian issues are addressed in a cross-cutting manner through three programs: poverty reduction and sustainable development; peace, development and reconciliation – in which there is a focus on strengthening Afro-Colombian community councils in the design and implementation of development plans; and, democratic governance – with a focus on promoting Afro-Colombian leadership and political representation. Their areas of focus include Montes de Maria, Cartagena, Nariño, Cauca and Chocó. The Spanish Cooperation Agency for International Development (AECID) also approaches Afro-Colombian issues in a cross-cutting way through support to the implementation of effective public policies, institutional and organizational strengthening, land tenure and protection, and ethnic education and heritage. AECID focuses its efforts in Canal del Dique in Bolívar, Nariño and Chocó. The German Agency for Technical Cooperation (GTZ) is primarily focusing on the Justice and Peace legal framework, but has provided training to the National General Attorney's Office and civil society organizations in a differentiated approach. They work in Cali, Quibdó and Popayan.

Other Donors Working on Indigenous Programs

The Canadian International Development Agency (CIDA) funds local initiatives with indigenous peoples in the themes of human rights, peaceful conflict resolution, governance and democracy. They also focus on gender equality. The United Nations High Commissioner for Refugees (UNHCR) works with indigenous communities at risk of displacement. The Swiss Aid Foundation works with indigenous in the *resguardo of San Andres de Sotavento*. The European Union strengthens indigenous peoples in the areas of health, education and governance in territories with a focus on environment. The EU also has a peace laboratories program with *Accion Social* on human rights, constructing a culture of peace, participatory governance and sustainable development. AECID, GTZ, Holland, UNDP UNESCO and other international organizations are also working to improve the lives of indigenous.

Because many of the above donors are working in the same areas as the USAID ACIP, the recipient will be expected to coordinate closely to ensure complementarities. USAID with the appropriate GOC entities will organize working groups around common themes.

Coordination with other USAID/Colombia activities

Where there is geographic or beneficiary overlap with other USAID activities, USAID expects the ACIP implementing partner to coordinate with those USAID activities in a respectful, complementary and efficient manner to enhance impact, leverage resources, and increase chances for sustainability.

H. ANALYTICAL REQUIREMENTS

H.1 Environmental Review:

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFP/contract.

1b) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c) No activity funded under this contract will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

2) An Initial Environmental Examination (IEE) No. LAC-IEE-10-102 has been approved for this program. The IEE covers activities expected to be implemented under this program. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

3) An Initial Environmental Examination (IEE) has been approved for the Afro-Colombian and Indigenous Program (ACIP), this RFA/cooperative agreement, and for activities to be undertaken herein [LAC-IEE-10-102]. The IEE contains a Positive Determination for productive activities employing an Integrated Pest Management (including the use of pesticides) program. This indicates that these activities have the potential for significant adverse effects on the environment. Accordingly, the recipient is required to prepare and submit an Environmental Assessment (EA) addressing the environmental concerns raised by these activities. No activity identified under this Positive Determination can proceed until Scoping as described in §216.3(a)(4) and an EA as described in §216.6 are completed and approved by USAID (Note that the completed Scoping Statement is normally submitted by the MEO to the BEO when the project originates in a Mission. The Statement may be circulated outside the Agency by the BEO with a request for written comments within 30 days and approved by the BEO subsequently. Approval of the Scoping Statement must be provided by the BEO before the EA can be initiated.)

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

4b) If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5) When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:

5a) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

5b) Integrate a completed EMMP or M&M Plan into the initial work plan.

5c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

6a) Cost and technical applications must reflect IEE or EA preparation costs and approaches.

6b) The recipient will be expected to comply with all conditions specified in the approved IEE and/or EA.

6c) If an IEE, as developed by the recipient and approved by USAID, includes a Positive Determination for one or more activities, the recipient will be required to develop and submit an EA addressing these activities.

7a) A provision for sub-grants is included under this award; therefore, the recipient will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. Recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented.

7b) The recipient will be responsible for periodic reporting to the USAID Assistance Officer's Technical Representative, as specified in the Schedule/Program Description of this award.

H.2 Pre-Obligation and Activity Planning Requirements:

In accordance with ADS 201.3.12, Pre-Obligation and Activity Planning Requirements, the Mission reviewed the gender and conflict analyses conducted as part of the original July 2000 strategy/program and concluded that because the situation in Colombia has not changed substantially, these analyses are still valid for the extended period of the revised strategy/program. Other analyses, including the economic analysis, social and institutional development analysis, security, and an analysis of the drug climate, were also reviewed and updated.

I. ADDITIONAL DOCUMENTS AND INFORMATION

- USAID/Colombia's Afro-Colombian Strategy http://pdf.usaid.gov/pdf_docs/PDACN232.pdf (please see bibliography of this document for further information related to Afro-Colombians.)
- USAID fact sheets of programs that target ethnic minorities
- *Colombia una nación multicultural su diversidad étnica*
http://www.dane.gov.co/daneweb_V09/index.php?option=com_content&view=article&id=46&Itemid=123
- *Observatorio de discriminación racial* http://odr.uniandes.edu.co/centrodoc/centro_ini.html
- Acciones Afirmativas y ciudadanía diferenciada étnico-racial negra, afrocolombiana, palenquera y raizal (Universidad Nacional, 2009) http://www.humanas.unal.edu.co/img/PDF%20adjuntos/Acciones_Afirmativas.pdf
- Recommendation made by the Inter-sectoral Commission for the Advancement of the Afro-Colombian, Palenque and Raizal populations
- USAID's Gender Assessment 2007
- USAID Acquisition Regulations (AIDAR) <http://www.usaid.gov/policy/ads/300/aidar.pdf>
- Federal Acquisition Regulations (FAR) <http://www.usaid.gov/policy/ads/far.html>
- USAID Automated Directive System (ADS) <http://www.usaid.gov/policy/ads/300/>
- List of USAID-authorized audit firms in Colombia
- Cost Sharing Information in 22 CFR 226.23

[END OF SECTION I]

SECTION II - AWARD INFORMATION

A. ESTIMATE OF FUNDS AVAILABLE

Subject to Availability of funds, USAID expect to award One (1) Cooperative Agreement based on this RFA. The anticipated total federal funding amount is \$61,400,000.00. The period of performance is for five (5) years with an anticipated start date of July 8th, 2011.

USAID will issue one award resulting from this RFA to the responsible applicant whose application conforming to this RFA is the most responsive to the objectives set forth in this RFA. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, and (c) waive informalities and minor irregularities in applications received.

USAID 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.

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

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

B. NUMBER OF AWARDS CONTEMPLATED

USAID expects to award one (1) Cooperative Agreement based on this RFA and reserves the right to fund any application submitted.

C. START DATE AD PERIOD OF PERFORMANCE

The period of performance anticipated for this agreement is for a five (5) year period, from approximately July 8th, 2011 through July 7th, 2016. This agreement is subject to award and continuation based upon availability of funds, approval of the Operational Plan and Congressional Notification.

D. TYPE OF AWARD

USAID plans to negotiate and award a Cooperative Agreement. A Cooperative Agreement implies a level of "Substantial Involvement Understandings on the part of USAID, as administered through the Agreement Officer's Technical Representative (AOTR)".

E. SUBSTANTIAL INVOLVEMENT

According to ADS 303.3.11, USAID substantial involvement under a CA may include the elements listed below which are directly and specifically tied to the Program Description. The intended purpose for USAID's substantial involvement during the administration of the award is to help the Recipient achieve the supported objectives of the CA. In this regard, USAID anticipates the following direct involvement in the carrying out of this Program:

- Approval of the Recipient's Implementation Plans.(to include measures to devolve authority and control to local

- organizations over the life of the strategic plan)
- Changes to Key Personnel.
- Agency and Recipient Collaboration or Joint Participation.
 - Collaboration on targets established. USAID will provide input on appropriateness of targets and revisions thereto, based on knowledge of performance under other USAID programs, to maintain internal consistency of performance indicators. The goal of this collaboration is to assist the recipient in achieving the supported objectives of the agreement. Any revisions to the Program Description must be approved by the Agreement Officer
 - Approval of proposed changes in geographic activity areas.
 - Coordinate public events related to program activities with USAID public information officers, especially as related to information dissemination related to projects.
 - Approval of all sub-contracts or sub-grants as specified in a sub-award manual.
- Approval of monitoring and evaluation plans (i.e. Performance Monitoring Plan – PMP)
- Agency authority to immediately halt a construction activity.

[END OF SECTION II]

SECTION III - ELIGIBILITY INFORMATION

A. APPLICANTS

Eligible entities are organizations invited by USAID to apply to this Request for Application (RFA) based on USAID's evaluation and selection of their submitted concept papers.

For this USAID program all types of entities may apply. There are no restrictions; all potential applicants may apply. USAID encourages applications from potential new partners. There are no other minimum qualification requirements.

B. COST SHARE

Cost sharing will be a condition of the award when it is made part of the approved award budget. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23, and can be audited.

For this RFA, the required amount of cost-share is 25% of the estimated U.S. Government award amount. That is, the successful applicant will provide a minimum 0.25:1 ratio of funding support (either through cash or in-kind contributions) to match the amount of federal (USAID) funding obligated. Cost share must support specific activities listed in an approved work plan, and cost share must represent new funds. Applicants will receive preference for greater cost-shares.

Cost sharing can be in the form of in-kind donations such as office space, use of vehicles or as funds from governmental or non-governmental entities to help implement the project. If appropriate and applicable, implementing partners should also investigate the possibility of cost-share from private entities.

Furthermore, the Mission encourages applicants to leverage additional funds above and beyond the required percent of cost share determined to the maximum extent possible. These leveraged funds are additional and will not result in questioned cost if not attained.

The proposed budget should provide cost estimates for the management of the program (including program monitoring, baseline assessments and assessments for environmental compliance). Applicant should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to offer greater cost effectiveness than those with higher costs for program administration. Likewise, cost share will be evaluated as part of the cost effectiveness evaluation.

[END OF SECTION III]

SECTION IV – GENERAL APPLICATION AND SUBMISSION INFORMATION

A. POINT OF CONTACT:

Mrs. Nubia Farfán
Acquisition and Assistance Specialist
E-mail: nfarfan@usaid.gov

Paula Cubillos
Acquisition and Assistance Specialist
E-mail: pcubillos@usaid.gov

USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4138
Tel: 571/383-4175
Fax: 571/383-2309

B. REQUIRED FORMS

Applications shall be submitted in two separate parts: (a) technical application and (b) cost or business application

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

- SF-424, Application for Federal Assistance
<http://www.grants.gov/techlib/SF424-V2.0.pdf>
- SF-424A, Budget Information - Nonconstruction Programs, and
<http://www.grants.gov/techlib/SF424A-V1.0.pdf>
- SF-424B, Assurances - Nonconstruction Programs
<http://www.grants.gov/techlib/SF424B-V1.1.pdf>

Copies of these forms series may be found in Section VIII – Other Information. Also, the Standard Form 424 series can be downloaded from the following USAID web site, http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/

C. PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

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

- For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.
- A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries, as detailed in ADS 206.3.10;
- A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking”

- When applicable, a signed copy of “Participant Certification Narcotics Offenses and Drug Trafficking” (See ADS 206);
- Survey on Ensuring Equal Opportunity for Applicants; and
- Other Statements of Recipient
- All applicants must provide a Data Universal Numbering System (DUNS) Number.

Complete copies of these Certifications, Assurances, and Other Statements may be found at:

<http://www.usaid.gov/policy/ads/300/303sad.pdf>

D. OVERVIEW OF THE APPLICATION PROCESS

This is a two step application process:

Step 1: Submission of Concept Papers: Applicants are required to submit short (not to exceed 10 pages) Concept Papers for initial technical review and ranking based on evaluation criteria. (See Section V. below for instructions and review process). USAID will instruct applicants with the highest ranked concept papers to proceed with the second step of the Application Process. All applicants will be notified of the results of the concept paper review on/or about March 29, 2011. **ONLY THOSE APPLICANTS INSTRUCTED BY USAID TO CONTINUE THE APPLICATION PROCESS SHOULD PROCEED WITH STEP 2.**

Step 2: Full Application Process: After USAID’s review of the Concept Papers, USAID will invite highly evaluated applicants to submit full applications and will provide technical comments on the Concept Paper to guide submission (see Section VI below for instructions on the full application process).

[End of Section IV]

SECTION V - CONCEPT PAPER APPLICATION AND EVALUATION PROCESS

A. GENERAL INSTRUCTIONS FOR CONCEPT PAPER APPLICATION

All Concept Papers must contain the items below, including the attachments, where requested, and should not exceed 10 pages in total (standard margins, 12pt font).

The concept paper shall include:

1. Cover Page/Introduction:

1. Include the Solicitation Number;
2. Name and address of organization;
3. Type of organization (e.g., for-profit, non-profit, university, etc.);
4. Contact point (lead contact name; relevant telephone, and e-mail information).
5. Names of other organizations with whom you are submitting the application and partnering on specific components; and,
6. Signature of authorized representative of the applicant.

2. Program Description:

The narrative of the Concept Paper must include the following information

1. Goals and Objectives
2. Background/Problem Statement
3. Technical Approach
4. Organizational and Management Structure
5. Sustainability

3. Technical Information:

1. Discussion of the four expected results, the unique approach, proposed targets with anticipated outcomes, target

beneficiaries, proposed partner organizations providing justification, and how the lives of beneficiaries will have changed as a result of the proposed program.

2. Brief discussion of how the key activity will be sustainable without continued USAID funding after the ACIP program ends.

4. Summary Budget:

1. Brief cost breakdown (e.g., salaries, travel, amount for sub-grants and contracts, etc.); This Summary Budget will not be included in the 10 page limit.

All concept papers must be in English and submitted electronically via email.

B. EVALUATION CRITERIA FOR CONCEPT PAPER REVIEW

USAID's review of concept papers will focus on the following:

- a. Does the proposed activity respond to the ACIP program and its four expected results?
- b. Is the technical approach innovative, unique and transformative?
- c. Do the proposed partners demonstrate experience in working with ethnic minorities?
- d. Is there a range of partners with relevant expertise to implement the varying components?
- e. Does the Summary Budget reflect a clear understanding of the ACIP program and is it consistent with the Concept Paper?

Once the Mission determines the concept paper meets these criteria, it may request the submission of a full application. If a full application is requested, the applicant should respond to the directions in SECTION VI below and specific technical evaluation criteria.

[End of Section V]

SECTION VI - FULL APPLICATION AND EVALUATION PROCESS (NOTE: THIS APPLIES ONLY TO APPLICANTS INVITED TO SUBMIT THE FULL APPLICATION)

A. GENERAL INSTRUCTIONS FOR FULL APPLICATION (FOR INVITED APPLICANTS ONLY)

Based upon favorable reviews of concept papers, USAID/Colombia will invite applicants to submit full applications. **Specific instructions will be provided to those applicants who qualify at this stage;** however, below is a description of what USAID will require in the full application packages:

The length of the application must not exceed the following 40 pages:

Budget Information (Standard Form SF-424 and supporting narrative; see <http://www07.grants.gov/techlib/SF424-V2.0.pdf>):
No limit

Executive Summary: 2 pages

Body of Application: 40 pages (expanded version of the concept paper that addresses any comments/questions that are raised by USAID)

All Attachments: no limit

The body of the application must include the following information:

- Table of Contents listing all page numbers and attachments
- Executive Summary
- Program Description

- Goal and Objectives
 - Background/Problem Statement
 - Technical Approach in response to evaluation criteria
 - Organizational and Management Structure
 - Personnel
 - Sustainability
- Detailed sustainability plan clearly demonstrating how activities will continue in the long term without USAID support when the ACIP program ends.
 - Role of USAID (e.g., facilities, equipment, material, or personnel resources)
 - Detailed budget and financial plan with major line items, identification of funding source (i.e., by partner) for each, and a narrative description of how resources will be used.
 - Relevant Past Performance information about recipient and key partner organizations.
 - Proposed Implementation Schedule

In addition to the narrative described above, the application must include as attachments:

- A draft letter of intent from resource partners
- In the event the applicant is proposing third party leveraging, for example in an alliance of public-private partnership, a Memorandum of Understanding, which describes roles, responsibilities and contributions of each partner, including USAID through its contributions to the award.
- Curriculum vitae and commitment letters for key personnel.
- The attachments should also include relevant information about alliance partners. **Please note excessive documentation submitted under the attachments is neither necessary nor wanted. All applications must be in English and submitted electronically via email.**

Note: An invitation to submit a full application does not constitute an award; USAID may choose to not fund applications even after they have been requested.

B. FULL APPLICATION PREPARATION GUIDELINES (FOR INVITED APPLICANTS ONLY)

The application must include only one prime applicant, which shall enter into sub-agreements or contracts with partnering institutions. In this case, the Prime Applicant(s) will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners.

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

Applications shall be submitted via e-mail, **by the date and time specified in the invitation to submit a full application**, to Nubia Farfán at nfarfan@usaid.gov and Paula Cubillos at pcubillos@usaid.gov.

Applications shall be submitted via email to the emails specified above (Technical and Cost/Business Application must be sent in separate files) with up to 5 attachments (2MB limit) per email compatible with MS WORD, and/or Excel in a MS Windows environment. There has been a problem with the receipt of *.zip files due to anti-virus software. Therefore, Applicants are discouraged from sending files in this format as we can not guarantee their acceptance by the internet server. The subject of each email should read as follows: “RFA No.: 514-11-000001 Title: “Afro-Colombian and Indigenous Program – E-mail 1 of

[#]”.

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

Applicants are reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt. For this RFA the initial point of entry to the government infrastructure is USAID’s Washington mail server.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the e-mail addresses indicated on the cover letter accompanying this RFA. The application shall be prepared in English.

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. The applications should take into account the technical evaluation criteria found in Section V.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted.

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

Applicant should retain for their records one copy of the e-mails and application and all enclosures which accompany the application.

C. TECHNICAL APPLICATION FORMAT (FOR INVITED APPLICANTS ONLY)

Technical applications should take into account requirements of the program and evaluation criteria found in this RFA.

The Technical Application for the Full Application shall contain the following sections: (1) a Cover Page; (2) an Application Executive Summary; (3) a Program Narrative; (4) an Implementation Plan; and (5) Institutional Capability and Past Performance. Applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger, and have at least one inch margins on the top, bottom and both sides.

The Technical portion of the Full application has a strict forty (40) page limit; pages OVER 40 WILL NOT BE EVALUATED. The application shall be written in English and typed on standard 8 1/2" x 11" paper (216mm by 279mm paper) or A4 size (210mm by 297 mm), single spaced, font to be “Times New Roman” size 12, and each page numbered consecutively. Items such as graphs and charts are to be included in the 40 page limitation. Cover pages, dividers, table of contents, and attachments (i.e. key personnel resumes, past performance summary table and past performance report forms) are also included in the 40 page limitation.

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

(a) Mark the title page with the following legend:

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

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

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

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

2. **Application Executive Summary:** A two page brief description of the proposed program and summary of how application meets selection criteria. Briefly describe 1) the proposed technical approach addressing the six components; 2) the technical and managerial resources of your organization; 3) the proposed municipalities within those that are listed and justification for selection; 4) the proposed governmental and non-governmental partners and their role in the program; and 5) proposed key personnel.

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

3. **Body of Application:** Application shall be formatted to address the selection criteria in Section V, part C. While the overall page limit is 40 pages, including the executive summary, there is no specific page requirement for the sections within the 40 page technical application. However, the Applicant must address each selection criterion in the following order: 1) Technical Approach; 2) Organizational and Management Structure; 3) Personnel; and 5) Sustainability through local partnerships. More detailed descriptions of the selection criteria can be found under Section V. Part C Selection Criteria.

4. **Key Personnel:** Key personnel and/or other technical staff proposed should have significant experience working successfully with ethnic minorities as well as experience in relevant technical areas such as policy, governance, economic development, community mobilization, or related thematic experience as described in the program description.

Key personnel must also possess strong management skills as well as procurement/grants management, and be able to work comfortably with many types of people, from USAID representatives and senior-level Colombian government officials to NGO representatives and community members in remote areas of the U.S.

The personnel proposed by the applicant as Key Personnel are considered to be essential to the work being performed hereunder. Prior to replacing any of the specified individuals, the implementing partner shall immediately notify both the Agreement Officer and USAID AOTR reasonably in advance and shall submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. No replacement of personnel shall be made by the implementing partner without the written consent of the Agreement Officer.

5. **Program Narrative:** please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria listed in Section V. The following sections should be included:

6. **Approach and Organizational Structure:** Provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.

7. **Institutional Capability and Past Performance:** In three (3) pages or less, include a description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs over the past three years with USAID or with other organizations (both commercial, governmental, and NGO). Include the following:

- a. Name and address of organization for which the work was performed;
- b. Current telephone number of responsible representative of the organization for which the work was performed;
- c. Agreement (or grant/contract) name and number (if any), annual amount received for each of the last four years, and beginning and ending dates; and
- d. Brief description of the project/assistance activity and a summary of results achieved.

8. **Required Supporting Documentation:**

- CVs for Key Personnel are excluded from the page limitation
- Estimated workplan for program implementation;
- Anticipated personnel structure and CVs;

9. **Annexes:** All letters of support from organizations, curriculum vita for proposed personnel, letters of consent by key personnel, etc should be included as an annex. They shall not be included as part of the 40 page limit for the technical application

D. COST/BUSINESS APPLICATION FORMAT (FOR INVITED APPLICANTS ONLY)

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

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 details to address the following:

1. Include a budget **with an accompanying budget narrative** which provides in detail the total costs for implementation of the program your organization is proposing. Detailed budget notes and supporting justification of all proposed budget line items should be included. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A.

The budget shall include:

- a. The cost application should be for a period of up to 60 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
- b. The budget to be presented under Cost/Business Application should relate to results specified in Section I above, and delineate the cost inputs or each result, and a disaggregation between the USAID (Federal Share) and cost-share (Non-federal share) of the total program cost.
- c. In the case of a group (consortia) application, the Cost/Business application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will treat for purposes of Agreement administration, identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
- d. The proposed budget should provide cost estimates for the management of the program (including program

monitoring, baseline assessments and assessments for environmental compliance). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities. Accordingly, those applications with minimal administrative costs may be deemed to be more cost effective than those with higher costs for program administration. Additionally, those applications with a greater proportion of cost share may also be deemed to be more cost effective.

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

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

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

h. The breakdown of the financial and cost share, if any, of all organizations involved in implementing this Cooperative Agreement;

i. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;

j. A procurement plan for commodities.

k. The required Certifications under Section IV – C, should be included with the cost proposal

l. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on the inputs for the program line items for the Federal Share requested, and should correspond to the table below.

Input Line Item		Year 1	Year 2	Year 3	Year 4	Year 5
		Total	Total	Total	Total	Total
I.	Personnel Salaries and Wages					
II.	Fringe Benefits					
III.	Travel and Transportation					
IV.	Other Direct Costs					
V.	Indirect Costs/Overhead (see v. below)					
VI.	Sub-awards					
VII.	Total Estimated Cost – Federal Share (USAID Contribution)					
VIII.	Cost Share (of at least 25%)					
TOTAL PROGRAM COST						

m. Budget Notes: an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.

- i. **Personnel Salaries and Wages:** Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- ii. **Fringe Benefits:** If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
- iii. **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- iv. **Other Direct Costs:** This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.
- v. **Indirect Costs:** The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

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

- vi. **Source and Origin Requirements:** Goods and services provided by the Recipients under this USAID-financed award shall have their source and origin in the United States (000) and the cooperating country - Colombia (514) in accordance with the policies in ADS Chapter 311 and 22 CFR Part 228. The blanket waiver approved of November 24, 2010 by the USAID Administrator will apply to this award.
- vii. **Cost Sharing:**
Please see section III – Eligibility Information, Part B for more information on cost sharing. Cost sharing will be a condition of the award when it is made part of the approved award budget. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23, and can be audited. If the recipient does not meet its cost sharing requirement, it can result in questioned costs. For this RFA, the total required amount of cost share is 25 percent of the estimated award amount.

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOTR [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

- n. Please include information on the organization's financial status and management, including:

- i. Audited financial statements for the past three years,
- ii. Organization chart, by laws, constitution, and articles of incorporation, if applicable,
- iii. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are

compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

- iv. If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

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

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

- 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;
- Projected budget, cash flow and organizational chart; and
- A copy of the organization's accounting manual.

4. 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:

- a. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- d. Has a satisfactory record of integrity and business ethics; and
- e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

E. OTHER SUBMISSION REQUIREMENTS (FOR INVITED APPLICANTS ONLY)

1. 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.

2. 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.

3. Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions should preferably be sent within two weeks of issuance of the RFA 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.

4. Language – All applications must be in English.

F. FULL APPLICATION REVIEW INFORMATION (FOR INVITED APPLICANTS ONLY)

EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA and are presented by major category, so that applicants will know which areas require emphasis in the preparation of applications. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost/business applications of all applicants will be evaluated for general reasonableness, allowability, allocability, effectiveness, and realism. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

1. Technical Approach - 40%

1. Application demonstrates an effective, creative and realistic approach to achieving the four programmatic results outlined in the Program Description in the given timeframe.
 - 1.1. Under each expected result/program component, there is a clear description of the applicant's approach, their selection criteria for identifying beneficiary populations and the role various governmental and non-governmental institutions play at local, departmental and national levels.
 - 1.2. Under each expected result/program component, applicant provides ambitious but realistic targets and corresponding illustrative indicators. Applicant discusses means of measurement, has budgeted appropriately for monitoring and evaluation, and includes baseline surveys, perception surveys and other means of verification.
 - 1.3. Under each expected result/program component, application provides justification and analysis for the proposed municipalities by addressing criteria such as minimum parameters for security that would allow for effective implementation, political commitment on behalf of leaders in target areas, and potential for leveraging funds from governmental and non-governmental entities and the private sector.
 - 1.4. The proposed target area and population size correspond to the five-year time frame and available resources.
 - 1.5. Application describes characteristics that are unique to the specific areas and/or particular ethnic groups and includes a differentiated approach to working with proposed target beneficiaries, and articulates how their proposed approach would differ by geographic area, ethnicity, culture, gender, rural vs. urban, age, etc.
 - 1.6. Application includes discussion of alliances and lists private sector firms, universities, vocational institutes, and other partners and provides rationale for proposed partnerships.
 - 1.7. Application demonstrates potential linkages with other relevant USAID implementing partners.
 - 1.8. Application demonstrates promotion of gender equity and prevention of and response to gender-based violence.
 - 1.9. Application demonstrates knowledge of other programs related to ethnic minorities and explains how the proposed approach would complement or add synergies to what is already being done in this field.
 - 1.10. Applicant demonstrates knowledge of *cero ilícito* policy and sensitivities related to security in the territories.
 - 1.11. Application provides discussion of environmental mitigation measures and has budgeted accordingly.
 - 1.12. Application includes a section on assumptions and constraints and discusses how constraints would be addressed per program component.

2. Organizational and Management Structure – 30%

2. Application demonstrates a strong and effective management structure that ensures synergies and complementarities among the four program components and is able to successfully administer the many sub-grants/sub-contracts.
 - 2.1. Application demonstrates rapid program start-up and the ability to quickly adapt to changing circumstances and/or work in new geographic areas through a ‘windows of opportunity’ clause under which pilot projects could be implemented.
 - 2.2. Application proposes management and staffing structure that addresses four program components, separate Afro-Colombian and indigenous populations, urban vs. rural areas and provides justification for location of office(s) that is cost effective.
 - 2.3. Application includes proposed local partners by program component that demonstrate value added in achieving the expected results. Applications that propose at least 40 percent of funds for sub-grants/sub-contracts will receive preference. Applicant provides information on sub-grants/sub-contracts would be managed.
 - 2.4. Application includes organogram and describes lines of reporting and decision making among the prime, its local partners, and headquarters.
 - 2.5. Application details how the program will coordinate and obtain commitment with appropriate GOC entities, other USAID programs, international donors and other relevant stakeholders.

3. Personnel – 10%

3. Application provides qualifications and relevant experience of proposed technical personnel. Proposed staff should have strong management experience, relevant technical skills with experience working with ethnic minorities, excellent interpersonal relations, ability to work under difficult circumstances, and the ability to form productive relationships with host country counterparts.
 - 3.1. Application includes appropriate proposed technical positions (expats and host country nationals and long and short term) that correspond to the RFA and the applicant’s proposed technical approach.
 - 3.2. Staffing reflects sufficient capacity in English to liaise effectively with USAID and other USG entities. Key personnel responsible for liaising with USAID must be fluent in written and oral English and Spanish.
 - 3.3. Staffing includes significant representation by Colombian professionals who are able to work effectively with the target populations. Applications that demonstrate diversity in regard to gender, ethnicity and culture will receive preference.

4. Sustainability 10%

4. Application includes institutional strengthening component for Colombian partners and sub-grantees so that after the life of the program the organizations are able to continue their work. This includes, but is not limited to: management, administration, accounting, finance, and advocacy.
 - 4.1. Applicants approach promotes ownership and accountability.

5. Past Performance - 10%

The Technical Evaluation Committee will make a reasonable, good faith effort to contact all references to obtain verification or corroboration of the following evaluation criteria:

- 5.1 How well an applicant performed
- 5.2 The relevancy of the program work,
- 5.3 Instances of good performance,
- 5.4 Instances of poor performance,

5.5 Significant achievements,

5.6 Significant problems, and

5.7 Any indications of excellent or exceptional performance in the most critical areas.

To ensure an effective past performance evaluation, the TEC, as part of the evaluation will :

- Evaluate the past performance of the team, consortia, or joint venture members and proposed subaward organizations, along with the applicant's past performance.

To the extent information is available, USAID reserves the right to review Past Performance Systems in order to gather information on the applicant.

Also the TEC may contact references other than those provided in the application.

These factors will be evaluated based on the offeror's past performance implementing and managing:

- Complex programs to enhance livelihoods of ethnic minorities communities, particularly in areas vulnerable or prone to conflict.
- Programs to increase ethnic minority community confidence, improve, governance in rural ethnic territories, strengthen local ethnic institutions and civil society ethnic organizations; and
- Programs to influence formulation and implementation of public policies that recognize and respect territorial, cultural, political, economic, environmental and human rights of ethnic minority populations.

Cost Evaluation Criteria

Cost has not been assigned a weight but will be evaluated for general reasonableness, realism, appropriateness, cost-effectiveness, allowability, and allocability. The cost realism analysis is intended to: (1) verify the Applicants understanding of the requirements; (2) assess the degree that the Cost application reflects the approaches in the Technical application, and (3) assess the degree that the cost included in the Cost application accurately represents the work effort included in the Technical Application.

G. AWARD

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

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

[END OF SECTION VI]

SECTION VII – AWARD AND ADMINISTRATION INFORMATION

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

A. ROLES AND RESPONSIBILITIES

The recipient shall be responsible to USAID/Colombia for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer Technical Representative (AOTR).

B. ANNUAL IMPLEMENTATION PLANS AND REPORTING

1. Annual Implementation Plans

The recipient is required to complete the first year's implementation plan and corresponding budget within 60 days of award of the cooperative agreement. Future year implementation plans shall be submitted and approved within 30 days after each year's agreement anniversary. Implementation plans shall be the product of participation by beneficiaries, local organizations, the Government of Colombia, donors, and USAID.

The annual implementation plan and progress reports will include a data component that will provide information required for USAID's comprehensive data base (presently being developed). The data will also be consistent with the GOC data requirements as coordinated between USAID and the GOC. This information will be used by the Mission and the GOC to assess program impact and coordinate donor activities.

2. Performance Monitoring Plan

A Performance Monitoring Plan (PMP) will also be required to be submitted to USAID and approved within 60 days of agreement award and subsequently reviewed and amended as needed. The recipient shall submit an updated PMP for subsequent years along with the annual implementation plan (30 days prior to the USAID fiscal year). The recipient is expected to develop, jointly with USAID, a system of processes and tools for the monitoring and evaluation of the required indicators and results included in the ACIP. The recipient is responsible for tracking and meeting these performance requirements. In addition, the recipient should ensure that the monitoring and evaluation system focuses not only on quantitative reporting of outputs but also gathers qualitative survey information related to changes in perception and overall impact of consolidation.

The recipient shall work with USAID's Monitoring and Evaluation (M&E) program to develop and gather baseline data for the PMP during program start-up as well as feed and update USAID's clearinghouse. The program baseline data should be included in the PMP. The PMP may change based on adjustments to the program's indicators and targets during quarterly strategy reviews. The applicant should budget for a baseline study that will feed into the identification of targets. The applicant must also budget for one mid-term and one impact assessment throughout the life of the program.

In addition, the selected recipient will: 1) provide mutually agreed upon higher-level (AO level) results information to the USAID Clearinghouse to be developed by the USAID M&E Program; 2) facilitate the collection of impact (qualitative) information by the USAID M&E Program; 3) provide data and information to other USAID centralized reporting/tracking systems; and 4) collect disaggregated data on project indicators for gender, ethnic group, region, etc. All performance data must be reported on a USG fiscal year basis in addition to any other reporting deadlines outlined in the contract scope of work.

As part of the Performance Monitoring Plan (PMP) the applicant should also budget to gather lessons learned and develop creative systems and processes for sharing of best practices and knowledge from the program. An explicit component on gathering lessons and best practices should be integrated into the program design. This may include documentation of best

practice models and pilots, creative mechanisms to capture and share lessons, and implementation of learning forums and workshops with relevant partners, international organizations, and government counterparts.

3. Quarterly Progress Reports

No later than 30 days following the close of each quarter, the implementing partner will prepare and submit quarterly progress reports to USAID. The reports will summarize progress in relation to agreed-upon objectives contained in the Annual Work Plan, and will specify any problems encountered and indicate resolutions or proposed corrective actions. For each action, the partner will designate responsible parties and establish a schedule for completion. The report will list activities proposed for the next quarter, noting where they deviate from the approved Annual Plan.

4. Quarterly Financial Reporting

The implementing partner will submit a quarterly financial report summarizing expenditures against the approved budget, accruals and projected expenditures. The format for the reports will be provided by USAID.

5. Final Agreement Completion Report

The recipient shall prepare and submit a final/completion report to the AOTR which summarizes the accomplishments and impact of this agreement, lessons learned, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this agreement.

6. Outreach and Communications Support

USAID/Colombia conducts public affairs efforts to highlight the role and contribution of U.S. assistance programs in Colombia as a way to raise public awareness, understanding, and support for US Government-funded goals and activities. To complement this vision, the recipient shall enhance USAID's outreach and communications efforts along two dimensions.

The first dimension is outreach to domestic audiences. This effort will focus on attracting positive publicity and promoting USAID's efforts in strengthening the socio-economic status of ethnic minorities through the ACIP and supporting joint objectives of the Colombian and U.S. governments.

The second dimension, if appropriate, is to strengthen local counterpart's ability to increase public and private commitment and community support to ensure program success and sustainability by conveying success stories to external audiences. The recipient shall coordinate training activities with counterparts – at the regional and local levels - to strengthen their outreach efforts to build and support external commitment.

The recipient shall prepare and share with USAID fact sheets and success stories describing the impact of the program, especially at the community and individual levels. The recipient shall coordinate with the USAID AOTR and USAID's Information and Communications Office to provide information on the assistance programs and activities and to collaborate on public diplomacy events and VIP visits.

[END OF SECTION VII]

SECTION VIII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Mr. Neil Price
Agreement Officer
USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4147
Fax: 571/383-2309
E-Mail: nprice@usaid.gov

The Acquisition and Assistance Specialist for this Award is:

Mrs. Nubia Farfán
Acquisition and Assistance Specialist
USAID/Colombia
Carrera 45 No. 24B-27
Bogotá, Colombia

Tel: 571/383-4138
Fax: 571/383-2309
E-Mail: nfarfan@usaid.gov

[END OF SECTION VIII]

SECTION IX – OTHER INFORMATION

BRANDING STRATEGY AND MARKING PLAN

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

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

BRANDING & MARKING UNDER ASSISTANCE INSTRUMENTS

I. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

(b) Submission.

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

(c) Submission Requirements

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

(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 from technical experts while performing the evaluation.

II. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

(c) Submission Requirements.

The Marking Plan will include the following:

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

- (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
- (ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;
- (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

- (i) the program deliverables that the recipient will mark with the USAID Identity,
- (ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and
- (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

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

III. 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 subrecipients, 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 landmark, 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) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients 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 Cognizant Technical Officer (CTO) 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 Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

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

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

(4) Approved waivers “flow down” to recipients of 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 SECTION IX]

APPLICATION FOR FEDERAL ASSISTANCE

Version 7/03

1. TYPE OF SUBMISSION: Application ☐ Construction ☐ Non-Construction		2. DATE SUBMITTED		Applicant Identifier	
		3. DATE RECEIVED BY STATE		State Application Identifier	
		4. DATE RECEIVED BY FEDERAL AGENCY		Federal Identifier	
5. APPLICANT INFORMATION					
Legal Name:			Organizational Unit:		
			Department:		
Organizational DUNS:			Division:		
Address:			Name and telephone number of persons to be contacted on matters involving this application (give area code)		
Street:			Prefix:		First Name:
City:			Middle Name		
County:			Last Name		
State:		Zip Code	Suffix:		
Country:			Email:		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):			Phone Number (give area code)		Fax Number (give area code)
☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ ☐ If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) ☐ ☐			7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:			9. NAME OF FEDERAL AGENCY:		
TITLE (Name of Program): ☐ ☐ ☐ ☐ ☐			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):					
13. PROPOSED PROJECT			14. CONGRESSIONAL DISTRICTS OF:		
Start Date:		Ending Date:	a. Applicant		b. Project
15. ESTIMATED FUNDING:			16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?		
a. Federal	\$	.00	a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE: b. No. ☐ PROGRAM IS NOT COVERED BY E.O. 12372 ☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
b. Applicant	\$	.00			
c. State	\$	.00			
d. Local	\$	.00			
e. Other	\$	.00			
f. Program Income	\$	.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		
g. TOTAL	\$	.00	☐ Yes If "Yes" attach an explanation. ☐ No		
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Authorized Representative					
Prefix		First Name		Middle Name	
Last Name				Suffix	
b. Title		c. Telephone Number (give area code)			
d. Signature of Authorized Representative		e. Date Signed			

Previous Edition Usable
Authorized for Local Reproduction

Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Net for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award C. Increase Duration B. Decrease Award D. Decrease Duration	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	
8.					
9.					
10.					
11.					
12. TOTAL (Sum of lines 8-11)					
		Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal					
14. Non-Federal					
15. TOTAL (Sum of lines 13 and 14)					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	
16.					
17.					
18.					
19.					
20. TOTAL (Sum of lines 16-19)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard are to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

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

The Applicant 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 AID, and that with respect to the grant 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) AID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

If the Applicant 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 Applicant establishes to the satisfaction of the AID 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 program.

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 Applicant by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant 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 Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the Applicant.

(Applicant)

BY (Signature) _____ TITLE _____

TYPED NAME _____ DATE _____

CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

(Applicant)

BY (Signature) _____ TITLE _____

TYPED NAME _____ DATE _____

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

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] 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 or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

CERTIFICATION REGARDING TERRORIST FINANCING

Implementing E.O. 13224 (Revision 2)

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

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

Signed: _____
(Typed Name and Title)
(Name of Organization)

_____ Date

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.

PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

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. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
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(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, 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. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does 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 (Generic)	QUANTITY EST. UNIT COST	GOODS PROBABLE COMPONENTS SOURCE	GOODS PROBABLE COMPONENTS ORIGIN
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(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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	PROBABLE ORIGIN	INTENDED USE
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER	NATIONALITY for NON-US	RATIONALE
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(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
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

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.

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.