



USAID | RUSSIA

FROM THE AMERICAN PEOPLE

Issuance Date: 14 November 2011
Closing Date: 20 January 2012
Closing Time: 1700 hours Moscow Time

Subject: Request for Applications No. RFA-118-12-000001
“Resilient Civil Society Project (RCSP)”

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Russia, is seeking applications (proposals for assistance funding) from Russian non-governmental organizations (NGOs), for implementation of the “Resilient Civil Society Project” (RCSP). The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended.

The four-year project is designed to increase citizen engagement on issues of public interest at the national and regional levels. The program contains two components: national and regional. USAID intends to make one award for the national component. Up to three awards may be granted for the regional level component

The total amount of funding available for this project is estimated at \$12.6 million, subject to the availability of funds. USAID plans to apportion this amount between the national and regional components according to the following illustrative distribution for four years:

Component 1 – National: \$3 – 3.6 million (one award)

Component 2 – Regional: \$8 – 10 million (up to three awards, between \$2.6 – 3.3 million each)

USAID/Russia reserves the right to reduce, revise, or increase the application budget in accordance with the needs of the program and the availability of funds. Award(s) made will be subject to periodic reporting and evaluation requirements and substantial involvement by USAID/Russia. Final authority for assistance awards resides with the USAID/Russia Mission Agreement Officer.

While any type of organization is eligible for the award, it is USAID policy not to award profit under assistance instruments (grants and cooperative agreements). However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards, may be paid under assistance instruments.

Prospective applicants are advised that the applicant(s) funded under this RFA will be required to comply with Russian laws and regulations. This includes changes to the registration and reporting obligations for Russian NGOs working in Russia (see Russian Federal Law # 18-FZ, “On Introducing Amendments to Certain Legislative Acts of the Russian Federation” dated January 10, 2006). A copy of this law can be found at the Federal Ministry of Justice website (at <http://www.minjust.ru/ru/>) and in Russian Legal databases).

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

Section I – Funding Opportunity Description
Section II – Award Information
Section III – Eligibility Information
Section IV – Application and Submission Information
Section V – Application Review Information
Section VI – Award and Administration Information
Section VII – Agency Contacts
Section VIII – Other Information

Annex A: Certifications, Assurances and Other Statements of the Recipient

Annex B: Survey on Ensuring Equal Opportunity for Applicants

If your organization decides to submit an application, it should be received at USAID/Russia by the closing date and time specified by this RFA. To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments. Applicants must submit the full application package by one of the methods indicated in Section IV of this RFA.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. 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.

Any questions or comments concerning this RFA should be submitted in writing to Russia-Applications@usaid.gov no later than 1700 hours local Moscow Time, November 30, 2011.

Sincerely,



Ryan Weddle
Contract Specialist
USAID/Russia

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".

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. Title

The United States Agency for International Development (USAID) is seeking applications for one or more grants to implement a project entitled "Resilient Civil Society Project".

B. Authorizing Legislation

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended.

C. Award Administration

OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to any grant awarded under the RCSP. These documents may be accessed through the worldwide website at: <http://www.usaid.gov/business/regulations/>.

D. Program Description Framework

Resilient Civil Society Project (RCSP)

I. Purpose

The purpose of the Resilient Civil Society Project (RCSP) is to increase citizen engagement on issues of public interest at the national and regional levels.

This will be reached through achievement of three interdependent outcomes as summarized below and as further detailed in the national and regional components descriptions.

1. Citizens' Civic Competence (awareness, knowledge, leadership and other civic skills) Increased;
2. Capacity of CSOs to Raise Citizen Activism and Foster Public Dialogue Increased;
3. Effective Public Dialogue Expanded.

The four-year project is divided into two components: national and regional. USAID intends to make one award for the national component. Up to three awards may be granted for the regional level component. Awards will be for an estimated four-year period.

USAID has identified 12 geographic priority regions, which are listed in this section under Part VIII – Regional Considerations. Projects addressing the national component must ensure that their activities cover, to the maximum extent possible, these regions. Projects addressing the regional component should seek to involve no less than five of the regions from the same geographic priority list.

The total amount of funding available for this project is estimated at \$12.6 million, subject to the availability of funds. USAID plans to apportion this amount between the national and regional components according to the following illustrative distribution for four years:

Component 1 – National:	\$3 – 3.6 million (one award)
Component 2 – Regional:	\$8 – 10 million (up to three awards, between \$2.6 – 3.3 million each)

II. Background

USAID Russia has long collaborated and cooperated with Russian civil society organizations (CSOs) as they exercise their roles and functions promoting democracy and the rule of law.¹ USAID's support for Russian-led initiatives includes support for improving Russian CSO capacity, infrastructure and ability to operate in and respond to a changing and challenging implementation environment. USAID cooperation enables key non-governmental organizations (NGOs) to increase citizen activism on issues of public interest, encourage community volunteerism, empower youth, and promote greater citizen and civic competence and constructive interaction with the government.

As USAID advances to a new phase of cooperation with Russian civil society and local governments, the new Resilient Civil Society Project (RCSP) will support the efforts of CSO partners to bolster citizen engagement on issues of public interest at the national and regional levels. The RCSP focus recognizes the need for horizontal connectivity across broader groupings of civil society, to empower networks, and intertwine “networks of networks” in the democratic and peaceful-minded civil society agenda for democracy and good governance.

As President Medvedev has repeatedly stressed in his speeches, the Russian Government recognizes the need to involve civil society in administrative reforms, combat corruption, develop regional policy and modernize all aspects of society. This understanding has taken life in various forms of civil society-government interaction, such as: numerous public councils and other types of consultative bodies under ministries and government committees; involvement of CSOs in policy development within the framework of presidential working groups on the government's “Strategy 2020”, and Ministry of Economic Development (MED) working groups on the state support of socially-oriented organizations. NGOs focusing on service provision have been particularly successful in establishing a productive dialogue with the state, whereas the environment for civil society organizations focusing on issues such as human rights advocacy and environmental protection remains challenging.

The identification of innovative and effective practices for expanding activism and participation will be essential to promoting resilience and “survivability” among CSOs. This includes expanding the base of citizen volunteers lending time and effort to public interest

¹ For the definitional purposes of this request for applications, *civil society* encompasses the interaction between the state, the market and individuals, where citizens engage in voluntary, collective action around shared interests, providing a means through which the public can communicate its needs and interests to the government and participate in shaping government policy.

causes, and encouraging philanthropy by Russian citizens and organizations for CSOs concerned with the public interest. To build and expand knowledge for sustaining long term resilience, civil society will need to be able to effectively disseminate successful practices, enhance synergy and collaboration in broader and interconnected networks: between citizens and NGOs, between NGOs and networks, and between various networks.

Over the last decade, Russian NGOs have developed, tested and assimilated a variety of effective social technologies and models of civic activity and participatory local governance. The Resilient Civil Society Program will provide an opportunity for Russian NGOs in different regions to benefit from the dissemination and exchange of this experience and knowledge, and will support Russian CSOs' implementation of activities to raise the level of citizen engagement on issues of interest to the local communities where they work. These activities will emphasize engaging citizens on issues of public interest by publicizing past successes to increase awareness of the potential benefits of citizen activism and by providing tools, such as Information and Communication Technologies (ICT), for civic action initiatives.

In summary, USAID will support the work of Russian civil society leaders and organizations to enable the development of a more resilient Russian civil society, to strengthen civic engagement, protect human rights and to promote more open, democratic and effective local governance. The priority under this initiative is to enable civil society to not only "survive", but "thrive" as CSOs become more effective, expand their outreach to constituencies, and support efforts to build peer-to-peer partnerships across the Russian CSO community. Ultimately, these outcomes will enable CSOs to empower citizen engagement in promoting a constructive, peaceful and civic-minded public interest agenda, and foster independent and informed public dialogue with local representatives, government officials and other stakeholders.

III. Development Challenges

A well-functioning, agile and effective democratic-minded civil society offers a referential compass for society to help citizens and government officials navigate through complex public interest agendas and multi-stakeholder civic scenario building processes² at both national and regional levels. These agendas and issues are as broad and diverse as the human condition; and include policy, governance and enforcement issues in a range of areas, such as: various as civil and human rights, combat of corruption, equality of rights for all Russian citizens, improvements in living and work conditions, the environment, and peaceful settlement of disputes and conflict, among a multitude of other issues.

Despite the many and varied advances and accomplishments of Russian civil society since the dissolution of the former Soviet Union, civil society's progress and functional role in Russian democracy has remained vulnerable and the consolidation of the civil society "third sector" remains elusive.

Multiple structural issues have influenced slow civil society development. Among the reasons most frequently cited are: that it may take generations to change cultural traditions

² For an example of multi-stakeholder civic scenario processes at moments of democratic system transition, see a description of the South African experience at <http://reospartners.com/publications/Project%20Papers>

and attitudes that inhibit Russian civil society from fully assuming vital roles and functions, particularly in public interest agendas touching on democratic institutions and processes, in fostering greater respect for the rule of law, and in promoting conditions for bottom-up, citizen-led, economic prosperity.³ The vulnerabilities have been particularly noted for those independent NGOs choosing to work in the realm of democratic good governance reform, which clashes with special interests opposed to such reforms. The past 10 years have witnessed what some characterize as an erosion of protections and freedoms which makes it difficult for civil society to operate, much less flourish.

Also, the economic downturn since the 2008-2009 economic crisis, combined with a reduction in both international and national donor funding resources, has over the past two years further limited funding, and therefore also limiting the breadth and depth of civil society programs in Russia.

Observers have also noted that in responding to international and national donor support, some CSOs have grown overly bureaucratic, resulting in the narrowing of opportunities for new leadership and new organizations to break into long established networks. The same observers note tendencies for some Russian NGOs to assume characteristics of what Russians refer to as the “vertikal”, i.e. strong hierarchical centralized leadership and management as opposed to modern horizontal management and decentralized bureaucracy. While important NGOs have grown more effective at presenting public interest issues and policy analysis to governmental bodies, and informing and coordinating the activities of disparate organizations, concern remains that in the process of pursuing their own organizational interests, some have undermined the “informal, open-ended, and horizontal ties that make up an essential part of civil society.”⁴

Finally, while CSOs, their leadership, and volunteers have worked tirelessly throughout the past decade, assessments and public opinion polling results find that the level of public interest and involvement in civil society work still remains relatively low.⁵ One particular challenge to strengthening civil society’s functional role in safeguarding rights is the need to catalyze citizen participation in identifying, promoting and contributing to community, regional and national public interest agendas. The Russian culture of volunteerism and philanthropy remains relatively low. Yet, social activism, especially collective social

³ For national and international observers, alike, the erosion in democratic governance indicators has been a documented concern in various national and international reports and indices, to include in areas such as – democratic reform, business environment, peace and security, and media independence. Analysis of these trends highlights the need for continued support for civil society strengthening, to counteract negative trends that are perceived to weaken the quality of the democracy, and which not only erode the effectiveness of governance, but the perception of Russia’s standing among democratic societies in the world.

⁴ See James Richter, “Promoting Civil Society? Democracy Assistance and Russian Women’s Organizations”, *Problems of Post Communism*. 1/2002, pp.30-41, as cited in Sarah Mendelson and John K. Glenn, Editors: “The Power and Limits of NGOs”, p.71

⁵ According to a 2009 survey by the Higher School of Economics; Russian citizens, on average, are not prepared to engage in collective action, they share a low level of trust in government, and are generally pessimistic about the possibility for them to affect change. Some 76% of respondents say that Russian citizens are unable to influence the development of their country (Results of the All-Russia NGO Survey, Higher School of Economics, GRANS Center, 2010).

activism, will be a significant factor in fostering an effective civil society – one which will remain resilient in the face of multiple challenges and obstacles.

Significant obstacles hamper the development of Russian civil society. These include citizens' historic and ongoing disengagement from governance, insufficient policy dialogue between the public and government – particularly on issues of democratic good governance – and, hence, the belief by citizens that they lack the ability to influence policy formulation and decision-making. Due to the highly centralized governance structure existing in Russia today as well as the lack of citizen demand, citizens are rarely involved in shaping and implementing national and local policies.

Despite these findings, recent studies indicate a growing demand for increased civil society involvement in decision-making. According to the Analytical Report on Civil Society in Modernizing Russia, there is a societal demand for a stronger impact of civil society organizations on the life of the country and political decisions by federal and local authorities (Center for Civil Society and NGO Sector Research, Higher School of Economics, Moscow, 2011). Evidence of increased citizen activism include: spontaneous grass-roots initiatives to protect residents' rights, citizen movements against controversial decisions by local authorities, public reaction to reports of corruption by state officials, and increased calls for protection of consumers', patients' and workers' rights. These spontaneous movements have emerged throughout Russia.⁶

IV. Project Approach

RCSP will focus on empowering citizens and NGOs to more actively and effectively engage on issues of public interest at the national and regional level. This will be achieved through three interconnected outputs, all of which will be identified both in the national and regional components:

1. Citizens' Civic Competence (awareness, knowledge, leadership and other civic skills) Increased;
2. Capacity of CSOs to Raise Citizen Activism and Foster Public Dialogue Increased;
3. Effective Public Dialogue Expanded.

The top priorities for the project approach are:

- Relevance of Issues to Citizens

Communities are encouraged to self-select those public interest issues of greatest concern to the local population. Only in this way will citizens begin to see the relevance of CSOs to their daily lives and be more interested in engaging in problems

⁶ Notable examples of civic activism on urgent issues of public concern include: in 2009, the NGO community succeeded in advancing key amendments to the much-criticized NGO Law. Then, during the devastating forest fires of 2010, there was an unprecedented surge in civic activism, with huge numbers of volunteers self-organizing to render support to affected regions. Other examples include large protests against a ban on the import of right-hand drive vehicles in the Russian Far East, motorist protests against drivers of officials "blue light" vehicles abusing their immunity from prosecution for traffic violations, and environmental activists seeking to block construction of a major road through a forest in a Moscow suburb.

that have a direct relevance to their daily lives. Projects should identify the process by which citizen public interest priorities will be identified.

- Citizen Activism

The program will be largely “process” focused (the citizen participation/engagement aspect). Communities with high levels of civic activism are often more resilient and stronger than those with low levels of civic engagement and participation. Most Russian citizens are not well-aware of their legal rights, or of actions they may undertake to seek redress or legal remedy when those rights are violated. In addition, Russians are poorly informed of the ways to effectively engage and communicate their needs to elected representatives, government officials and policy makers. Moreover, many people have little or no understanding of the role of CSOs: what they do, how they do it, and why or if they should be trusted.

A more constructive engagement and increased activism of Russian citizens offers an opportunity for citizens to hold municipal, local, and regional governments more accountable in key DG areas such as respect for democratic institutions and processes, civil liberties, and human rights. Thus, RCSP is built on increasing the civic competencies of citizens; strengthening the capacity of CSOs to raise citizen activism and bring all relevant stakeholders into public dialogue.

- Innovative Tools

To address the challenges of filling the information gap on CSOs, their services, principles of work, mechanisms of civic participation, etc., USAID recognizes the need for significant public information, education and democratic acculturation activities, and recognizes that innovative tools (i.e. information communication technology, social marketing, etc.) must be employed to help citizens identify with public interest causes. This is especially critical to the national component of the project in disseminating information about best practices and positive examples of citizen engagement. As use of the internet and computers becomes even more widespread throughout the Russian Federation, it becomes essential for project partners to integrate these tools into all project activities in order to expand the reach of their audience and capture the attention of those who may have previously not been engaged in civic activities.

- Cross-fertilization of the national and regional components

In the course of RCSP implementation, there should be consistent ongoing collaboration among all implementers of the regional component and with the national component implementer, as well. To ensure effective networking and collaboration, projects targeting the regional component should plan interventions aimed at the interregional exchange of expertise and best practices. At the same time, implementers of the RCSP national component, while covering most of USAID’s geographic priorities in Russia, should specifically plan for activities enhancing collaboration among regional projects to be implemented under the framework of this program and promoting their best practices at the national level. Projects should identify how they will go about coordinating between the two components.

V. Coordination

USAID expects that the new RCSP will coordinate program activities and seek out synergies with USAID's other civil society implementing partners (a complete list can be found at http://russia.usaid.gov/programs/democratic_dev/civil_society/), as well as the following additional programs:

- Mainstreaming Human Rights Program (Management Systems International) – This program seeks to increase Russian citizens' awareness of human, social and civil rights and supports constructive dialogue between government and human rights groups in developing effective rights compliance mechanisms.
- Information Communication Technology (ICT) – This program has not yet been awarded; however, it is anticipated that the program will be able to serve as resource and consultant for Russian CSOs in order to more effectively integrate the use of ICT tools into their activities.
- USAID Media Programs (IREX and Eurasia Foundation) – Both projects contribute to the free and independent exchange of information and ideas essential to local development.
- Anti-Corruption Instruments (Transparency International – Russia) – This project seeks to provide citizens with practical guidance regarding where and how to address different types of corruption and to develop citizens' capacity to expose cases of corruption.
- Local Governance Program - This program has not yet been awarded; however, it is anticipated that the program will promote more transparent and accountable local governance in Russia by incorporating public participation into local government decision-making in areas such as economic development planning, land use regulations, budgeting, social service delivery, housing and communal services.

VI. Expected Results and Indicators

The overall objective of the Project is to support the establishment of a resilient civil society, one able to withstand or recover quickly from difficult conditions in the operating environment and to remain adaptable to the needs of the Russian public in advancing democratic and good governance principles. RCSP will focus on empowering citizens and NGOs to more actively and effectively engage on issues of public interest at the national and regional level through increased Citizens' Civic Competence (awareness, knowledge, leadership and other civic skills); Enhanced Capacity of CSOs to Raise Citizen Activism and Foster Public Dialogue; and Expansion of Effective Public Dialogue.

Part of resilience is sustainability, particularly the ability to leverage resources beyond USAID involvement. Planning and attracting leveraged resources is key for both the national and regional level components and provides more local ownership and involvement in the project outcomes.

Component 1: National

In recent years, key NGOs have developed a number of successful citizen engagement models. However, these initiatives often remain fragmentary and are not replicated within a broad community of active citizens. National level activities will facilitate exchange of information and best practices in citizen engagement across regions through accumulation of a comprehensive data base of best regional practices for civic engagement and making these practices available to a wide range of stakeholders, including different types of CSOs, government and socially responsible businesses.

National level media sources (including informal outlets such as blogs and online fora) and communication platforms (such as events in the Public Chamber, Ministry for Economic Development, public councils under federal government bodies and other national-level fora) may be used to expand public dialogue. Efforts at the national level will aim at establishing effective interaction among various initiatives and organizations within the NGO sector and ensuring cross-fertilization among productive civic engagement technologies tested in different regions of the Russian Federation. Activities at the national level will seek to establish effective communication and collaboration among organizations belonging to different segments of NGO community (such as human rights, environmental and others) around issues of citizen engagement and grass-roots activism. They will also enhance the capacity of NGOs to link and collaborate with informal, spontaneous citizen movements across a broad variety of sectors, including such as consumers' rights, environmental protection, homeowners' rights and others.

While formal exchange and cooperation with the federal government on legislation and reform is not seen as a realistic output at this time, the project should seek to engage the government where possible in order to share best practices on engaging citizen's in decision making processing and include citizen input into policy formation.

Output 1: Citizens' Civic Competence (awareness, knowledge, leadership and other civic skills) Increased

In recent years, a wide range of initiatives pertaining to civic activity in Russia has come not only from CSOs but also from self-organized groups of citizens or even individuals. Most initiatives are discussed and conducted via the internet. Although the preponderance of such initiatives concern social, cultural, or infrastructural/environmental issues, individual citizens and self-organized groups are also raising matters connected with changes to legislation, violations of laws, corruption, investigations and court hearings.

USAID will contribute to expansion of this phenomenon by supporting extensive outreach efforts by Russian partners to inform citizens not only of their rights under the Russian constitution, law and regulations, but also about the avenues and mechanisms whereby they can discuss, protect, and exercise those rights.

Partner activities under this component will incorporate a national awareness raising/social marketing campaign informing Russian society about a positive track record of resolving social problems through peaceful citizen engagement, creating a bank of successful civic participation practices, and facilitating citizens' access to this information. The national

component will seek to disseminate this information across multiple regions of Russia through national level media, web sites, on-line and off-line discussion platforms using innovative information communication tools.

Consistent efforts will be made to identify regional best practices in citizen engagement and disseminate them through national conferences, NGO interregional associations, and across different types of NGOs. Effective models of citizen engagement will be advanced through federal government agencies, councils and other types of fora and made increasingly known to socially responsible businesses in various regions of Russia in order to leverage support for such initiatives.

Expected Results:

- More people are informed of ways to participate in governance and community actions and are aware of CSOs' role in these activities;
- More people engaged in civic activism and have access to effective venues and tools of civic activism;
- More regional best practices are identified and disseminated at the national and interregional level.

Illustrative Activities:

- National and interregional social marketing, public awareness campaigns, contests, festivals, conferences and other related events that enable exchange of best practices in citizen activism;
- Various discussion platforms, with special emphasis on the use of innovative Information and Communication Technologies (ICTs), to encourage discussion of the issues on the public agenda;
- Subgrants designed to expand the regional outreach of program activities;
- National media disseminate information on successful civic engagement and feature views of public opinion leaders on important issues on public agenda and civic engagement;
- National-level surveys, focus groups and/or opinion polls.

Illustrative Indicators:

- Number of federal publications featuring CSO-driven initiatives and civic engagement models;
- Percentage of respondents aware of ways to engage with their local or global communities;
- Number of citizens engaged in collaborative activity around public concern issues on the national level (in USAID's geographical priority regions).

Output 2: Capacity of CSOs to Raise Citizen Activism and Foster Public Dialogue Increased

Despite the significant contributions already made to local development by civil society organizations and networks in some regions of Russia, the potential of non-governmental actors to serve as catalysts, leaders, and/or experts in productive dialogue with government and business stakeholders is still largely unfulfilled. NGOs are not often successful in effectively convening citizens, business, and government on issues important to a

community; and they lack the leadership skills to develop and guide an agenda. Many are unprepared to act as experts and qualified practitioners in using public participation mechanisms to advance policies and law-making initiatives congruent with citizen interests.

The national level component will reach out to a broad variety of regional NGOs in different segments of the “third sector,” supporting Russian initiatives to improve the capacity of the sector to communicate with the public, government and corporates on issues of citizen engagement. This will be done through training NGOs in how to better tell their story, mobilize citizens, and interact with media. Activities will seek to develop and strengthen links between NGOs and local governments, NGOs and businesses in multiple regions of Russia. Efforts will be made to ensure that regional best practices in civic engagement are translated to the national level and NGO initiatives are reflected in the programs and agendas of federal government bodies. To enhance the effectiveness of the NGO sector and its appeal to stakeholders, the project will seek to enhance CSO planning, administration and management processes, which may be through activities highlighting use of Human and Institutional Capacity Development (HICD)⁷ and /or ISO 9001:2008 NGO processes, as well as foster transparency, accountability and self-regulation of the non-governmental sector as a whole.

Expected results:

- CSOs are equipped with, and capable of effectively using, best practices to enhance civic engagement;
- CSOs are capable of effectively engaging actors in multi-sectoral (government, business, foundations, other CSOs in various spheres, etc.) partnerships;
- CSO-driven initiatives are effectively translated into government discussion and potentially policy.

Illustrative activities:

- Provision of public expertise and oversight of government initiatives;
- Public fora and exchange of ideas within the CSO community, to consolidate opinion on issues of public importance and advance these ideas to various levels of government;
- Training seminars and conferences for CSOs from multiple regions to improve their collaboration across different groups within the NGO sector and increase capacity to engage in multi-sectoral partnerships.

Illustrative indicators:

- Number of NGOs reporting progress in constituency building/partnership development, as measured by surveys and self-assessment tools;
- Number of NGOs which improved their capacity to raise citizen engagement;
- Number of federal policies/decisions/laws/regulations adopted with input from the NGO community.

⁷ See USAID HICD handbook at http://pdf.usaid.gov/pdf_docs/PNADT442.pdf

Output 3: Effective Public Dialogue Expanded

Public dialogue is an effective means for community members to constructively address issues that affect them in their daily lives. At the same time, public dialogue allows policy makers to be informed about community concerns, needs and priorities. It serves to find ways in which community demands can be addressed effectively.

Given a paucity of autonomous spaces for productive and open discussion of policy issues, the work under this component would include elements to create and utilize spaces for free discussion of issues that are of immediate interest to ordinary citizens, such as housing, communal services, neighborhood improvement or disability rights. This broader dialogue addressing people's needs, rights and aspirations will help to maintain and stimulate demand for more open, responsive and accountable politics.

RCSP will expand creative and enhanced use of ICT to stimulate public debate, and promote different open government models; placing emphasis on the values of openness, responsiveness and accountability and allowing citizens to be informed about and engaged in local government decision-making.

The effectiveness and impact of public dialogue will be improved through encouragement of leading CSOs in different sectors to work together in identifying issues of public importance, accumulating public interest and representing solidified public opinion. Increased focus will be placed on encouraging CSOs to strengthen across-the-board horizontal networking to represent broader societal interests and demands in interaction with authorities. Activities will ensure that NGO public policy analysis and recommendations are widely discussed in national level communication platforms and are made known to the expert community. At the same time project activities will provide for substantial discussion of government decisions and legislative initiatives affecting civil society within the NGO sector, while also channeling NGO input to the government. Expanded and inclusive public dialogue will enable the NGO community to influence government decision-making on the federal level.

Expected results:

- Improved interaction between citizens and government;
- Expansion of diverse public fora and communication platforms effectively articulating democratic values and broader societal interests;
- Improved integration among CSOs in regional and national networks on key issues of public concern.

Illustrative activities:

- Public hearings, forums, public legislative reviews held regarding issues of public concern and the NGO sector development;
- Promotion of existing and development of new venues and mechanisms for citizen involvement in governance and decision-making (including ICT);
- Multi-sectoral interregional fora, involving NGOs, government and businesses to discuss issues of collaboration.

Illustrative indicators:

- Number of public hearings and other citizen engagement events conducted;
- Number of people participating in on-line discussions on issues of public importance;
- Number of various discussion platforms, with special emphasis on innovative online tools to encourage discussion of the issues on the public agenda.

Component 2: Regional

The Regional Component will promote interaction between local authorities and citizens regarding issues of public concern in their regions, encourage regional CSOs to identify such issues, formulate public interest issues for presentation to regional government entities, provide feedback from the community to the local government, and monitor and hold the government accountable. Project activities will seek to leverage support from local businesses and effectively reach out to the local public. By activating public participation in decision-making in areas such as economic development planning, land use regulations, budgeting, social service delivery, housing and communal services, the Project will enhance linkages to USAID's Local Governance programming.

Output 1: Citizens' Civic Competence (awareness, knowledge, leadership and other civic skills) Increased

Public awareness campaigns, civic education and training at the regional level will contribute to informing citizens not only about their own roles as Russian citizens, and democratic and good governance values, but also about the value-added that CSOs can bring to the equation as intermediaries between citizens and local government. With such support, it is expected that members of the public/civil society at-large will utilize a variety of mechanisms to make their views heard, such as: the internet, media outlets, petitions to officials, call-in radio shows, participation in public meetings, etc. To be motivated to use these and other methods, citizens will need to be convinced that such action can have the effect they desire, and so examples of successful actions must be disseminated as well. Efforts will be made to motivate citizens to act through the wide-scale dissemination of positive experience concerning collective action around issues of public concern.

Awareness-raising and social marketing campaigns for broad categories of citizens will inform them of possibilities for collaboration with the government to address pressing social problems and local development issues; ways to access and understand official information from government sources, public meetings and discussions, facilitating the development of civic skills and capacity for joint deliberation; how to take collective action on issues citizens define as important; and the development and demonstration of mechanisms for cooperation between different community social groups.

It is envisioned that small grants will be a key element in the regional component. These small grants should be used for local organizations that engage on salient issues affecting the everyday lives of citizens in their regions and promote citizen activism as a way to seek solutions to these problems. The aim of the grants should be not only to raise awareness but also motivate citizens to use the lessons learned in order to be more involved. Small grants should include an "action" portion of the project that will include elements of volunteerism, involvement in public discourse, starting small scale community campaigns, etc. An estimated \$550,000 per award under this component should be dedicated to small grants.

Expected Results:

- More people are aware of democratic values and civic rights;
- More people are aware of ways to participate in governance and community actions and aware of CSOs' role in these activities;
- More people engaged in civic activism/volunteerism and have access to effective venues and tools.

Illustrative Activities:

- Public awareness campaigns, contests, festivals, conferences and other related events that enable exchange of best practices of citizen activism;
- Small grants programs to launch awareness raising and advocacy events;
- Various discussion platforms, with special emphasis for online communities to encourage discussion of the issues on the public agenda;
- Public opinion leaders express their point of views on important issues on public agenda and civic engagement in public debates.

Illustrative Indicators include:

- Number of public awareness campaigns conducted;
- Number of citizens volunteering in their communities;
- Percentage of respondents aware of ways to engage with their local or global communities.

Output 2: Capacity of CSOs to Raise Citizen Activism and Foster Public Dialogue Increased

The Project will enhance CSO capacity to engage with government, policy-makers, subject experts, and other CSOs to develop solutions to various issues at the local level based on sound research, high-quality expertise and tested models. The Project will also seek to more effectively involve citizens in the dialogue on issues of public concern with other community actors, to inform and train citizens on mechanisms to participate in local governance.

Project activities will seek to institutionalize tested best practices in building CSO-government and CSO-business partnerships through the development of interactive communication platforms and tools.

Along with civil society-government partnerships, greater emphasis will be given to collaboration between CSOs and businesses, which could, in part address the question of CSOs' financial viability. Small and medium-sized businesses have the economic interests that motivate them to collaborate with CSOs on issues of mutual concern, including transparent and accountable governance, better government service provision, fighting corruption, and others. This work can result in the development of long-term strategies with socially responsible businesses.

Expected results:

- CSOs are capable of securing broad-based support from constituencies;
- CSOs' capacity to engage with local government and businesses enhanced;
- Local government more responsive to citizens' initiatives, needs, and concerns.

Illustrative activities:

- Public expertise and citizen /CSO oversight of local government initiatives;
- Active citizen engagement in multi-sectoral collaboration through local government, corporate social responsibility programs, and local civic leadership programs;
- Training seminars and exchange of best practices among NGOs.

Illustrative indicators:

- Number of NGOs reporting progress in constituency building/partnership development, as measured by surveys and self-assessment tools;
- Number of local policies adopted with input from community actors;
- Number of civic initiatives supported by local private businesses.

Output 3: Effective Public Dialogue Expanded

The Project will engage with local governments on the issue of positive civic participation and invest in their capacity to involve citizens in dialogue.

To achieve this objective, the Project should synchronize, to the extent possible, planning and implementation of program activities with USAID's local governance project that aims to increase the use of constituent-focused governance by local authorities in targeted areas.

The effectiveness of a public dialogue, to a great extent, depends on the ability of CSOs to reach out to different constituencies and involve stakeholders in meaningful discussion on issues of public interest. Efforts under this component will create new opportunities for civic engagement for different categories of stakeholders, seek to increase the number of stakeholders and improve the quality of their interaction on civic engagement issues.

Expected results:

- Improved interaction between citizens and local government;
- Increased citizen access to information on government activities;
- More space for open discussion of public concern issues, ranging from online to offline and horizontal networking, is created and effectively used.

Illustrative activities:

- Public hearings, fora, public legislative reviews held regarding local government and community development issue;
- Promotion of existing, and development of new, venues and mechanisms for citizen involvement, including ICTs;
- Discussions and round tables with local authorities, representatives of public organizations, business and media on community priorities.

Illustrative indicators:

- Number of public hearings and other local government/community development events conducted;

- Number of people participating in online discussions on local government/community development issues;
- Number of meetings/discussions on community priorities held.

VII. GENDER ANALYSIS

Gender integration should be an issue considered during design, planning, implementation and evaluation of the suggested activities. This means identifying and then addressing gender differences and inequalities and ensuring that both genders equitably participate in and benefit from project activities.

Gender disparities, typical of Russian society as a whole, are reflected in civil society. The Russian non-profit sector demonstrates an extraordinarily high participation of women. The statistics for Moscow are typical: in 2008, women made up 73 per cent of all those working for NGOs. However, a 2006 survey finds that distribution of top positions in the NGO sector follows the same trend as within government: women constitute only 37 per cent of NGO directors. A 2010 study confirms that the most active citizens are typically middle-aged and elderly women, often employed in the state sector. A critical lack of male participation has been repeatedly reported by USAID partner organizations.

The above raises a number of issues that need to be considered during implementation of the RCSP:

- 1) Male underrepresentation in the non-profit sector. Targeted efforts should be made to reach out to the male population (especially young men and boys) in a way that facilitates active participation from both men and women, and youth in particular.
- 2) Activism of women in the civil society sector is not correlated with enhanced potential for political participation or access to top positions in government. Project activities should seek ways to enhance the leadership potential of women activists and their expert skills in the area of local governance and community development.
- 3) The overwhelmingly disproportionate representation of women in the NGO sector does not equate to advancement of the gender equality agenda. Project activities should therefore lead to gender sensitization of active citizens, policymakers and planners to improve the understanding of the distinct needs of male and female citizens as well as the potential differential impact of seemingly gender-neutral activities. Gender integration should be seen as an integral part of local governance and community development activities.

VIII. REGIONAL CONSIDERATIONS

USAID conducted an internal Civil Society and Youth Assessment (2010) that analyzed the most favorable/unfavorable regions for civil society programming. Later this analysis was reinforced with additional research into geographical scope for the development of the Mission's new strategy. The Mission considered a number of important regional characteristics such as:

- General level of economic development;
- Historic level of civic activism;
- Number and quality of capable NGOs;
- Estimated receptivity of local officials to collaboration with USAID;
- Track record of past USAID/USG projects in the region; and
- Activity of other donor organizations in the region.

Based on these analyses, the Mission identified the following regions for democracy and governance programming: Kirovskaya Oblast, Ulyanovskaya Oblast, Permskiy Kray, Nizhnegorodskaya Oblast, Sverdlovskaya Oblast, Tomskaya Oblast, Irkutskaya Oblast, Novosibirskaya Oblast, Krasnoyarskiy Kray, Primorskiy Kray, Khabarovsk Kray, Vladimirskaia Oblast.

In order to increase the Project's impact, it is essential that programs at least partially overlap geographically, including various activities under this design as well as other civil society, ICT and governance projects. The results achieved under one activity should support and be supported by results sought by other activities. To increase the chances of the program having national relevance, regions should be selected based on criteria, which might include the presence of existing relationships that can be built upon to more rapidly achieve impact, demonstrated commitment of officials to relevant reforms, degree of civic activism among citizens or potential for it, and population density.

In order to avoid possible overlap of activities in certain geographical regions, potentially successful applicants may be asked to modify their selection to conduct activities in only 3 - 4 of their proposed regions which would be designated by USAID.

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

The total amount of funding available for this project is estimated at \$12.6 million, subject to the availability of funds. USAID intends to apportion this amount between the national and regional components according to the following illustrative distribution for four years:

Component 1 – National: \$3 – 3.6 million (one award)

Component 2 – Regional: \$8 – 10 million (up to three awards, between \$2.6 – 3.3 million each)

B. Type and Number of Awards

USAID intends to award up to four (4) Cooperative Agreements to the responsible applicants whose programs are considered to best meet the development challenges outlined in the RFA.

NOTE: The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

USAID anticipates making awards by June 2012. The anticipated period of performance is four years.

D. Substantial Involvement

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer’s Technical Representative (AOTR) or the Agreement Officer (AO). The intended purpose of USAID involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in the cooperative agreement in the following ways:

1. Approval of Annual Implementation Plan by the AOTR.
2. Approval of key personnel by the AOTR.
3. Concurrence on selection of sub-awardees by the AOTR
4. Approval of the Monitoring and Evaluation Plan by the AOTR.
5. Concurrence on selection criteria for sub-awards by the AOTR.
6. Monitoring by the AOTR to permit specified kinds of direction or redirection because of interrelationships with other projects.

SECTION III – ELIGIBILITY INFORMATION

A. Eligible Applicants

Qualified applicants must be Russian non-governmental organizations (NGOs). In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners, particularly if they are joined with a more experienced organization.

B. Local Registration

All local institutions must be registered as a legal entity in Russia.

C. Cost Sharing and Leveraging

There is no cost share requirement for this RFA. Applicants are welcome to propose cost share from their own resources or the resources of sub-awardees, but this may not be counted towards the leveraging requirement.

Applicants are required to leverage no less than 10% of the cost of proposed activities under the national component and 5% of the cost of proposed activities under the regional component. This requirement must be met by leveraging resources from external sources such as private companies, governments, or other non-profit organizations.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Application Package

This RFA and any future amendments can be downloaded from www.grants.gov. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance.

Potential applicants may also request a copy of the RFA application package by sending an email to Russia-Applications@usaid.gov, referring to RFA-118-12-000001.

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

- (1) Section V.B – Technical Evaluation;
- (2) Section IV.D – Submission of Applications;
- (3) Section IV.E – Application Preparation Guidelines; and
- (4) Section I – Funding Opportunity Description

B. Questions

Any questions concerning this RFA must be submitted in writing to Russia-Applications@usaid.gov by 1700 hours local Moscow time on November 28, 2011. Oral explanations or instructions given before award 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.

C. Submission of Applications

Applications must be submitted no later than 1700 hours local Moscow time on January 23, 2012. Acceptance and review of late applications is at the discretion of the Agreement Officer.

Applications may be submitted using any one of the following methods:

1. E-mail Submission: Applicants e-mailing submissions shall forward them to the following e-mail address: Russia-Applications@usaid.gov with the e-mail SUBJECT line to read: “Resilient Civil Society Project (RCSP)”. Applicants submitting electronic applications are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the usaid.gov e-mail server. USAID servers may automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. The maximum size for an unzipped file is 5 MB. However, please note that USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Acceptable file formats are Word, Adobe Acrobat and Excel. This is the preferred application method.

2. Hard Copy Submissions: Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. Hard copy submissions must be in MS Word and/or Excel format on letter or on A4 paper and single-spaced, using 10 or 12 Font. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

Donella J. Russell, Agreement Officer
American Embassy Moscow
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation
Tel: (7-495) 728-5000

3. Faxed Applications: Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

D. Application Preparation Guidelines

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the technical and cost application format.

All applications must be submitted in English in two separate parts: (a) technical and (b) cost or business application.

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.

E. Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. **If an applicant is applying for both components, a complete standalone technical application should be submitted for each component for which an applicant wishes to be considered.** Each application should demonstrate the applicant's approach, capabilities and expertise with respect to achieving the goals of the specific component. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section V.

Technical applications should not exceed 19 pages in length, exclusive of the two annexes. The technical application shall consist of the following:

- Cover Page (1 page)
- Application Summary (1 page)
- Narrative (17 pages or less)
 - Technical Approach (10 pages or less)
 - Leveraging Plan (1 page)
 - Illustrative First Year Implementation Plan (1 page)
 - Illustrative Award Monitoring Plan (2 pages or less)
 - Management & Institutional Capacity, including Management Plan (2 pages or less)
 - Project Team (1 page)
- Annexes
 - Resumes (not more than 2 pages per resume)
 - Past Performance References (3 pages or less)

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. All charts, graphs, pictures, etc., are included in the page limits above. Any other information submitted, including letters of reference or commitment or additional annexes, will not be provided to the evaluation panel and will not be evaluated.

Technical applications shall include:

Cover Page: A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide 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, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The DUNS number of the Applicant should also be listed on the cover page.

Application Summary: The Application Summary **shall not exceed one page** and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.

Narrative (15 pages or less): The narrative should contain the following elements:

1. Technical Approach (10 pages or less)

- i. The Program Approach must include a clear description of the conceptual approach and the general strategy proposed, explain how the approach is expected to achieve the proposed objectives; include a well-articulated strategy for long-term impact,

and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the results identified in the Program Description Framework. Applicants are encouraged to propose innovative programs to reach the desired outcomes/results.

- ii. Applications shall discuss how to obtain results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.
- iii. Applicants must provide a description of any partnerships and sub-recipient relationships planned with partners. Applicants should detail any existing relationships with partner organizations and/or the methods proposed to establish new relationships. In this regard it is necessary to describe how elements of the grant will be implemented with non-government organization partners and other types of partners.
- iv. Applicants addressing the regional component should select 5 of the 12 USAID priority regions and list them in the order of priority for the given project. Applicants should explain their rationale for this selection. (*See Part VIII: Regional Considerations under Section I.D: Program Description*).
- v. In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. Applicants should address these fundamental gender questions:
 1. How will gender roles and relations affect the achievement of project results?
 2. How will project results impact the relative status of men and women?
 3. How can attention to gender issues be elevated in project activities?

(*See Part VII: Gender Analysis under Section I.D: Program Description Framework*).

2. Illustrative First Year Implementation Plan (1 page)

The application must provide an illustrative First Year Implementation Plan for achieving expected program results during the first year of project activities. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the annual and end-of-program results. This plan will be considered illustrative for the purposes of evaluating applications; however, once the award is made, finalizing the implementation plan will be a key activity. Within 60 days of the effective date of the award, the successful applicant(s) will be required to submit a revised first year implementation plan (*see Part C.4.a Initial Work Plan under Section VI: Award and Administration Information*).

3. Leveraging Plan (1 page)

Applicants are required to leverage no less than 10% of the cost of proposed activities under the national component and/or 5% of the cost of proposed activities under the regional component. This requirement must be met by leveraging resources from external sources such as private companies, regional or national governments, or other non-profit organizations.

Leveraging may include both cash and in-kind contributions. Various types of in-kind contributions can play an important role in providing critical resources. Examples of in-kind contributions include:

- Use of training or other facilities necessary to a program's implementation;
- Value of time donated by technical consultants;
- Value of salaries for staff of external partners dedicated to a project;
- Innovative technology, communications and capital assets; and
- Intellectual property rights.

The leveraging plan should demonstrate that the proposed leveraging, in combination with the support sought from USAID, will provide the applicant with a comparative advantage in achieving significant and sustainable impact on the development challenge set forth in the RFA. Applications should articulate the unique contributions that resource partners bring to the application that will help produce significant development results better, faster and/or more cost effectively, and with a greater chance of long-term sustainability.

Note that proposed cost share from the applicant or its proposed sub-awardees may not be applied to the leveraging requirement.

4. Illustrative Award Monitoring Plan (2 pages or less)

As part of the program approach, applicants shall submit an illustrative Award Monitoring Plan (AMP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). Applicants shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting.

5. Management & Institutional Capacity, including Management Plan (2 pages or less)

As part of the technical application, applicants must submit a Management Plan. The applicant should specify the organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project, and describe how the proposed program will be managed. "Implementing partners" are organizations that will have substantial implementation responsibilities. The management plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the

proposed results and the unique capacities/skills they bring to the program. Please note that documentation that reflects an “exclusive” relationship between implementing partners is not requested and should not be submitted.

Applicants must also offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following information:

- a. Brief description of organizational history and experience;
- b. Examples of accomplishments in developing and implementing similar programs;
- c. Relevant experience with proposed approaches;
- d. Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas;
- e. Sub-recipient or subcontractor capabilities and expertise, if applicable;
- f. Proposed field management structure and financial controls;

6. Project Team (1 page)

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. Applicants must propose which positions should be Key Personnel (no more than five positions or five percent of recipient employees employed under the award, whichever is greater). In an annex to the technical application, applicants should provide resumes for the candidates proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities.

Annexes:

Resumes: Resumes are to be included as an Annex for each individual who is proposed as key personnel and/or long-term staff on the program, for both the Applicant and proposed implementing partners, if any. Resumes should use a common format. Key Personnel references should include at least three references with telephone numbers and e-mail addresses for each reference. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is not requested and should not be submitted. **Each resume should not exceed 2 pages.**

Past Performance References: Describe all contracts, grants and cooperative agreements which the organization (both the primary Applicant as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. **Past performance information should not exceed 3 pages in total.**

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant's responsibility. USAID reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the United States Government.

F. Cost Application Format

The Cost or Business Application is to be submitted in English under separate cover from the technical application. Applicants must submit a separate cost application for each component they apply for as explained below. 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 Cost Application shall consist of the following:

1. Cover Page
2. Mandatory Certifications and Assurances
3. Acknowledgement of any amendments to the RFA
4. Budget
5. Budget Narrative
6. Additional financial documentation
7. Evidence of responsibility

Applicants submitting applications for both components must submit a cost application for each component which includes the following: Cover Page, budget and budget narrative. Only one set of the other information on the list above, such as the mandatory certifications and assurances, needs to be submitted by an applicant applying for both components.

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

1. Cover Page

A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide 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, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the

applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The DUNS number of the Applicant should also be listed on the cover page.

2. Mandatory Certifications and Assurances

Applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
 - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
 - Certification Regarding Lobbying
 - Certification Covering Terrorist Financing
- PART II – Other Statements of Recipient

These certifications and assurances are attached as Annex C to this RFA.

3. Acknowledgement of Any Amendments to the RFA

Applicants shall acknowledge receipt of all amendments, if any, to this RFA by signing and returning the amendment as part of the cost application. The Government must receive the acknowledgement by the time specified for receipt of applications.

4. Budget

Applicants must submit an overall summary budget as well as a detailed annual budget. Stated another way, the budget should relate to results while also showing the type of cost for each result. The budget must clearly display:

- a. the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- b. the breakdown of all costs according to each partner organization involved in the program;
- c. the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- d. the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Grant; and
- e. resources leveraged from external sources
- f. *(Component 2 Only)* an estimated amount \$550,000 for a Small Grants Program (see Part VI. Expected Results and Indicators, Component 2: Regional under Section I.D, Program Description)

5. **Budget Narrative**

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. The combination of the cost data and breakdowns specified above and the budget narrative must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs. Please note that applicants are **not** required to present their costs in the budget or budget narrative in the format or order below.

- a. **Salary and Wages**
Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- b. **Fringe Benefits**
If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. 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 include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.
- c. **Travel and Transportation**
The application should indicate the number of trips, domestic and international, and the estimated costs per trip. 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).
- d. **Equipment**
Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.
- e. **Materials and Supplies**
Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- f. **Communications**
Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of these types of costs.

- g. Subcontracts/Subwards/Consultants
Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- h. Allowances
Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
- i. Direct Facilities Costs
Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
- j. Other Direct Costs
This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- k. 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 any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

6. Current Negotiated Indirect Cost Rate Agreement (NICRA)

If the applicant has a current Negotiated Indirect Cost Rate Agreement (NICRA) with any agency of the United States Government, a copy must be submitted along with the application.

7. Additional Financial Documentation

The cost application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there has been approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor. 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.

Additional documentation may be required before award.

8. Evidence of Responsibility

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

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

An award shall be made only when the Agreement Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey before award can be made.

G. Statement on Disclosure of Data

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."

SECTION V – APPLICATION REVIEW INFORMATION

A. Basis for Award

Award will be made to the responsible applicants whose programs are considered to best meet the development challenges outlined in the RFA. Award(s) will be made by component. No preference will be given to applicants who apply for both components. The final award decision is made by the Agreement Officer, taking into account the Technical Evaluation Committee recommendations, cost evaluation (including cost share) and the applicant's proposed Branding Strategy and Marking Plan.

B. Technical Evaluation

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in 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.

Applications will be evaluated and ranked according to the technical selection criteria identified below. The relative importance of each criterion is indicated by points. A total of 100 points are possible. Sub-criteria have not been assigned points but are presented in descending order of importance.

NATIONAL COMPONENT SELECTION CRITERIA

1. Proposed Technical Approach (50 points):
 - a) Extent to which the proposed project approach is clear, technically sound, directly addresses the objectives identified in the component, includes all required elements and describes ambitious but achievable results.
 - b) Extent to which the applicant describes a realistic plan for collaborating with national level NGOs, businesses, media, and potentially federal agencies to effectively pursue program goals throughout the priority regions.
 - c) Extent to which the program proposes a viable, realistic leveraging plan for attracting additional non-USAID resources.
 - d) Extent to which the proposal addresses gender issues through program design, implementation and the performance monitoring plan.
2. Organizational capacity (30 points):
 - a) Demonstrated expertise in implementing projects involving multiple regions of Russia and effectively collaborating with NGOs, businesses and government to reach national impact.
 - b) Demonstrated organizational capacity to manage projects of similar scale and scope as evidenced by presentation of a comprehensive project-specific management plan with clear division of roles, duties and responsibilities among

project staff, detailing the staffing, financial and technical resources that will be employed to implement the approach, including roles of any proposed project partners/sub-grantees, if any.

3. Project Personnel (10 points):

- a) Extent to which the technical qualifications, knowledge and abilities of proposed key personnel and long-term staff are appropriate to their proposed roles and are suited to the successful implementation of the technical approach.
- b) Past performance of key personnel in successful implementation of similar projects.

4. Organizational Past Performance (10 points):

Past performance in supporting activities related to those proposed in the application.

REGIONAL COMPONENT SELECTION CRITERIA

1. Proposed Technical Approach (50 points):

- a) Extent to which the proposed project approach is clear, technically sound, directly addresses the objectives identified in the component, includes all required elements and describes ambitious but achievable results.
- b) Extent to which the applicant provides a well-reasoned justification for their geographic focus and demonstrates understanding of regional specifics.
- c) Extent to which the program proposes a viable, realistic leveraging plan for attracting additional non-USAID resources.
- d) Extent to which the proposal addresses gender issues through program design, implementation and the performance monitoring plan.

2. Organizational capacity (30 points):

- a) Demonstrated ability to establish working contacts in the local NGO sector and government that will enable the applicant to successfully accomplish project goals in the selected regions.
- b) Demonstrated organizational capacity to manage projects of similar scale and scope as evidenced by presentation of a comprehensive project-specific management plan with clear division of roles, duties and responsibilities among project staff, detailing the staffing, financial and technical resources that will be employed to implement the approach, including roles of any proposed project partners/sub-grantees, if any.
- c) Demonstrated ability to administer numerous small grants to existing and emerging regional CSO partners.

3. Project Personnel (10 points):

- a) Extent to which the technical qualifications, knowledge and abilities of proposed key personnel and long-term staff are appropriate to their proposed roles and are suited to the successful implementation of the technical approach.
- b) Past performance of key personnel in successful implementation of similar projects.

4. Organizational Past Performance (10 points):

Past performance in supporting activities related to those proposed in the application.

C. Cost Evaluation

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allocability, allowability and cost-effectiveness. Cost sharing, if any, will be evaluated on the level of financial participation proposed and the added value it represents to the program.

D. Review and Selection Process

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application(s) of the most highly-ranked applicant(s) will be opened. To the extent that they are necessary, clarifications or negotiations will then be conducted. The Agreement Officer will then select one or more Apparently Successful Applicant(s). The Apparently Successful Applicant means the applicant recommended for an award of a component after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

If the same Apparently Successful Applicant is selected for the national award and one of the three awards anticipated under the regional component, USAID will expect to negotiate and make one award for the components, reflecting technical synergies and cost efficiencies.

The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Branding Strategy and 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.

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.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Award Notices

All applicants will be notified in writing of the final decision regarding their application.

C. Administrative and National Policy Requirements

1. Award Format

The standard format for award of a grant to a non-U.S. organization, as prescribed in ADS 303, will be used.

2. Allowable Costs

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., nongovernmental recipients, and the Mandatory Standard Provision entitled “Allowable Costs (DEC 2003)” for public international organizations), may be paid under the grant.

3. Funding Restrictions

The award resulting from this RFA may have restrictions on funding activities that benefit the central government of the Russian Federation and its institutions.

4. Reporting Requirements

- a. **Initial Work Plan:** Within 60 days of award, the Recipient will be required to submit a draft detailed work plan for the first year of activities to the USAID/Russia AOTR for review and approval (in electronic format). This is to be based on the illustrative first year implementation plan submitted along with the technical application. The AOTR must provide written comments on the draft plan within three weeks of receipt and when the plan is finalized, the AOTR will provide written approval.

The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should:

- 1) explain in brief its connection to the objective;
- 2) define the necessary steps to complete the tasks;
- 3) assign responsibilities for completing those steps;
- 4) provide any quantitative or qualitative targets (e.g., number of persons to be trained, topics of the trainings, etc.); and
- 5) a timeline for the implementation of the task.

The initial work plan must include the recipient's proposed **Award Monitoring Plan**, which must address program results, provide a description of indicator evaluation criteria and the methodology for data quality assurance and establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals.

The Recipient will also be required to report mandatory output level (F) indicators, to be determined in coordination with the AOTR (Agreement Officer's Technical Representative). One or more of the following F indicators must be included in the Award Monitoring Plan and reported on in the Performance Reports:

- Number of Civil Society Organizations using USG assistance to improve internal organizational capacity;
- Number of USG assisted Civil Society Organizations that engage in advocacy and watchdog functions;
- Number of publications featuring CSO-driven initiatives and civic engagement models;
- Number of NGOs reporting progress in constituency building/partnership development, as measured by surveys and self-assessment tools;
- Number of public hearings and other citizen engagement events conducted;
- Number of Civil society Organizations using USG assistance to promote political participation.

Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender.

- b. **Annual Implementation Plan:** Annual implementation plans for subsequent years are due to the AOTR 30 days before the end of the preceding award year (in electronic format). These plans should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support.

For each task, the Recipient should

- 1) explain in brief its connection to the objective;
- 2) define the necessary steps to complete the tasks;

- 3) outline any special issues that the recipient will target for that year;
- 4) assign responsibilities for completing those steps;
- 5) provide any quantitative or qualitative targets (e.g., number of persons to be trained); and
- 6) a timeline for the implementation of the task.

- c. **Performance Reporting:** Quarterly performance reporting will be required under any award made hereunder. The performance reports must contain, among other things, information on quarterly, annual and life-of-project results when applicable. The Recipient will collect performance indicator(s) data contributing to Mission reporting on these Strategy elements. The Recipient will also be required to report mandatory output level (F) indicators, as noted above and incorporated in the Award Monitoring Plan.

5. Authorized Geographic Code

The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

The authorized Geographic Codes for procurement of goods and services under the proposed award are 000 (United States) and 110 (NIS or Newly Independent States).

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in a Code not included in Code 941 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured, applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

These authorities were expanded by a worldwide waiver signed November 24, 2010, which authorizes, inter alia, local procurement of commodities of 935 origin (excluding foreign policy-restricted countries), up to \$5 million per award. The \$5 million limit includes procurement under all subawards. This waiver does not waive any other restrictions that may apply to commodities. Additional information on this waiver may be obtained from the Agreement Officer.

6. Environmental Requirements

- a. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.
- b. 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.
- c. No activity funded under this RFA 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.")
- d. An Initial Environmental Examination [DCN: 2010-RUS-002] has been approved for the program funded under this RFA. The IEE covers activities expected to be implemented under this RFA. USAID has determined that a Categorical Exclusion applies to the proposed activities. This indicates that if these activities are implemented as stated in the award, they are expected to have no significant adverse effect on the environment. No further environmental review is required unless the Recipient proposes changes to the activities specified in the IEE.
- e. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Technical Representative (AOTR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all on going and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation. A brief statement describing how the Recipient ensures that program activities comply with these terms should be included in all performance reports.
- f. 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. Examples of common situations which require additional environmental review include but are not limited to: activities which involve generation, handling or disposal of medical waste, renovation or construction of facilities, rehabilitation or construction of infrastructure, and agricultural activities.

- g. 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.

7. Standard Award Provisions

The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

a. USAID DISABILITY POLICY – ASSISTANCE (2004)

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

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

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

[END OF PROVISION]

b. 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 landmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

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

(c) Submission Requirements

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

(1) Positioning

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

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

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project.

For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

(2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

c. 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 landmark, which clearly communicates that our

assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, cooperative agreements, or other assistance awards or subawards.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

**d. 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 atwww.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,

Websites/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 [Agreement Officer fill-in] days after the effective date of this provision. The plan will include:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) Definitions. For purposes of this award term:

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

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

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

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

(4) Subaward:

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

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

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

(5) Subrecipient means an entity that:

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

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

[END OF PROVISION]

**f. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION
(OCTOBER 2010)**

(a) Reporting of first-tier subawards.

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

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrcs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation

was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

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

(b) Reporting Total Compensation of Recipient Executives.

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

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

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

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

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

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

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

(c) Reporting of Total Compensation of Subrecipient Executives.

- (1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's

five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

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

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

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

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

(i) To the recipient.

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

(d) Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

(e) Definitions. For purposes of this award term:

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

(i) A Governmental organization, which is a State, local government, or Indian tribe;

- (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization;
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- (2) Executive means officers, managing partners, or any other employees in management positions.
- (3) Subaward:
- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non- ProfitOrganizations”).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
- (4) Subrecipient means an entity that:
- (i) Receives a subaward from you (the recipient) under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
- (5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or subrecipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- (i) Salary and bonus.
 - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement

plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which is not taxqualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

g. TRAFFICKING IN PERSONS (OCTOBER 2010)

(a) Provisions applicable to a recipient that is a private entity.

- (1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
 - (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (ii) Procure a commercial sex act during the period of time that the award is in effect; or
 - (iii) Use forced labor in the performance of the award or subawards under the award.
- (2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —
 - (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
 - (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as

implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

(b) Provisions applicable to a recipient other than a private entity.

(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

(i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or

(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

(c) Provisions applicable to any recipient.

(1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.

(2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:

(i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(ii) Is in addition to all other remedies for noncompliance that are available to us under this award.

(3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

(d) Definitions. For purposes of this provision:

(1) “Employee” means either:

(i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or

(ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a

volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

- (2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) “Private entity”:
 - (i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).
 - (ii) Includes:
 - (A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - (B) A for-profit organization.
- (4) “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

SECTION VII – AGENCY CONTACTS

Donella J. Russell, Agreement Officer
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U.S. Agency for International Development
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121099 Moscow
Russian Federation

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Fax: (7-495) 960-2140

drussell@usaid.gov

SECTION VIII – OTHER INFORMATION

Applicable Regulations & References:

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

22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

OMB Circular A-122
http://www.whitehouse.gov/omb/circulars_a122_2004/

OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads>

ANNEX A

PART I

CERTIFICATIONS AND ASSURANCES

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

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the 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) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal

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

Note: Applicants are only required to sign this certification if any part of the program activities proposed will be undertaken in the United States.

Signed: _____ **Date:** _____
(Typed Name and Title)

2. CERTIFICATION REGARDING LOBBYING

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

Signed: _____ **Date:** _____
(Typed Name and Title)

3. CERTIFICATION REGARDING TERRORIST FINANCING

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: _____ **Date:** _____
(Typed Name and Title)

4. CERTIFICATION OF RECIPIENT

The recipient certifies to the best of its knowledge and belief all of the above and that it has reviewed and is familiar with the proposed grant format and the provisions and regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

As applicable:

Grant/Agreement No.: _____

Solicitation No.: _____

Application/Proposal No.: _____

Date of Application/Proposal: _____

Name of Recipient: _____

Typed Name and Title: _____

Signature: _____

Date: _____

PART II

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:

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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 applicant's/grantee'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. **TYPE OF ORGANIZATION**

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

- (a) **(NOT APPLICABLE under this RFA)** 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 non-governmental 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) **(NOT APPLICABLE under this RFA)** If the recipient is a U.S. entity, it ☐ is, ☐ is not a Gray Amendment entity, as defined below.
- (c) If the recipient is a Gray Amendment Entity, it is ☐ a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101), ☐ an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU), ☐ a college or university having a student body in which more than 40% of the students are Hispanic American, or ☐ a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).

- (d) 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.

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/Grant Officer or other contact person.

7. OMB CIRCULAR A-133 OR SIMILAR AUDITS

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

8. 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 sub-grant or sub-agreement) to a sub-grantee or sub-recipient in support of the sub-grantee's or sub recipient'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. Non-expendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged

directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

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

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

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

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

INTENDED USE

PROBABLE SOURCE

PROBABLE ORIGIN

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

TYPE/DESCRIPTION (Generic)

QUANTITY

ESTIMATED UNIT COST

SUPPLIER NATIONALITY (NON-U.S. ONLY)

RATIONALE FOR NON-U.S.

(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

ANNEX B

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PLEASE REFER TO AAPD 04-08 - "Ensuring Equal Opportunity for Faith-Based and Community Organizations" At The Following Website:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf