



USAID
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Issuance Date:	October 27, 2011
Deadline for Receipt of Questions:	November 3, 2011
Deadline for Registration for Bidders' Conference:	November 3, 2011
Bidders' Conference Held:	November 17, 2011
Closing Date and Time for Submission of Applications:	December 12, 2011 16:00 Budapest, Hungary local time

Subject: Request for Application No. RFA-168-12-000001
Project Title: Anti-Corruption Civic Organizations' Unified Network (ACCOUNT)

The United States Agency for International Development (USAID), Regional Services Center, Regional Contracting Office/Budapest, is seeking applications from eligible Bosnian Non-governmental organizations, for a cooperative agreement to fund a project in Bosnia and Herzegovina (BiH) entitled "Anti-Corruption Civic Organizations' Unified Network" (ACCOUNT). The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

In support of USAID's efforts to develop local capacity and promote sustainability, eligibility to submit applications under this solicitation is limited to local entities. Subject to the availability of funds, USAID anticipates awarding one cooperative agreement, not to exceed the approximate amount of \$1.05 million in total funding, to a local BiH Non-governmental organization¹. The U.S Dollar amount will be funded from USAID appropriated funds, to be allocated over a three (3) year period. The anticipated start date for this activity is on or about March 2012. USAID reserves the right to fund any or none of the applications submitted, and will determine the resulting level of funding for the award.

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 agreement program and are in accordance with applicable cost standards (22 CFR 226, 2 CFR 230 – Cost Principles for Non-Profit Organizations (OMB Circular A-122) , 2 CFR 220 – Cost Principles for Education Institutions (OMB Circular A-21) , the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, and the Mandatory Standard Provision "Allowable Costs (APR 2011) for public international organizations), may be paid under the cooperative agreement.

The prospective award will be administered in accordance with the Standard Provisions for Non-U.S. Nongovernmental Recipients. The set of mandatory standard provisions and required as applicable standard provisions for Non-U.S. nongovernmental recipients is accessible at the following website: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

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

¹ Please reference SECTION F – ATTACHMENTS/BACKGROUND INFORMATION/REFERENCES for definition of local NGO to ensure that your organization is eligible for award under this solicitation.

Eligible BiH Non-governmental organizations interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of project sought and the application submission requirements and evaluation process.

To be considered for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. This RFA consists of this cover letter plus the following Sections:

1. Section A - Instructions for Application Format;
2. Section B - Program Description;
3. Section C - Selection Criteria;
4. Section D – Required Forms
5. Section E – Annexes
6. Section F – Attachments/ Background Information/References

This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this RFA. Applicants will need to access or download Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on www.grants.gov or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance. Please note that beginning August 9, 2011, Grants.gov will reject applications if the applicant is not registered in Central Contractor Registration (CCR)² or if CCR registration is expired. Please refer to the Mandatory Standard Provision entitled “Central Contractor Registration and Universal Identifier” in ADS 303 for further details on this requirement (link is provided in ANNEX 2– MANDATORY AWARD REQUIREMENTS).

It is the responsibility of the interested potential offeror to ensure that documents downloaded from Grants.gov are received in their entirety. USAID bears no responsibility for data errors resulting due to the transmission or conversion processes.

Any questions concerning this RFA should be submitted in writing to Ms. Viktoria Hollosy at vhollosy@usaid.gov **and** Ms. Agnes Tusjak at atusjak@usaid.gov. The deadline for submission of questions on this RFA is November 3, 2011. Responses to questions will be published and accessible to all potential applicants through an amendment to this RFA on Grants.gov.

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 cooperative agreement 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. All preparation and submission costs are at the applicant's expense.

In order to provide an opportunity for interested parties to better understand the programmatic and administrative requirements of this USAID-funded activity, USAID/BiH is planning to host a Bidders' Conference a/o November 17, 2011. Confirmation of date and location will be issued through an amendment to this solicitation. Although participation is not required, it is highly encouraged.

²[Central Contractor Registration \(CCR\)](#) is the official, FREE on-line registrant database for the U.S. Federal Government. CCR collects, validates, stores and disseminates data in support of agency acquisition and award missions.

In order to participate at this conference, interested parties must register by sending an email to Ms. Selma Sijercic at ssijercic@usaid.gov with the following information: name, surname, company/organization, address of organization and phone number. Registration must be received NO LATER THAN November 3, 2011. Those who do not register on or before November 3, 2011, will not be granted access for security reasons.

USAID is excited about this funding opportunity to work on this important issue in Bosnia and Herzegovina and encourage eligible and qualified BiH NGOs to submit applications.

Sincerely,



Eleanor TanRengco
Regional Agreement Officer

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SECTION A – INSTRUCTIONS FOR APPLICATION FORMAT

1. PREPARATION AND SUBMISSION GUIDELINES

The federal grant process is web-enabled, allowing for applications to be submitted on-line through the Grants.gov portal. Instructions to upload applications electronically in response to this RFA are found on Grants.gov in the “For Applicants” section – under “Apply for Grants.” Applicants are also encouraged and it is USAID’s preference that offerors submit electronic copy of their application via e-mail to Ms. Viktoria Hollosy, Acquisition and Assistance Specialist at vhollosy@usaid.gov and Ms. Agnes Tusjak, Acquisition Agent at atusjak@usaid.gov. The file size for each transmission shall not exceed 5 MB. Please note that applicants are only required to submit their application through one modality. However, if submitted through Grants.gov please send an e-mail to notify the above points of contact to ensure your application has been received.

If your organization decides to submit an application, it must be received by the closing date and time indicated at the top of the cover letter. The applicant must comply with the instructions for submission herein including providing required information found in any attachments to this RFA. Applicants should retain for their records one copy of all enclosures which accompany their applications.

To be eligible for award, the application should be prepared according to the structural format set forth below in section (2) Technical Application Format and section (3) Cost/Business Application Format. Applications which are received late or are incomplete run the risk of not being considered in the review process. Acceptance of late applications is at the sole discretion of the Agreements Officer and may be considered for inclusion in the evaluation process only if the Agreement Officer determines it is in the best interest of the US Government.

USAID will consider only applications conforming to the format prescribed below. All applications received by the closing date and time indicated on the cover letter will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section C addresses the selection criteria and procedures for the applications. Receipt of any amendments to this RFA published on Grants.gov is the sole responsibility of the applicant.

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 cooperative agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages TBD”; 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.”

2. TECHNICAL APPLICATION FORMAT

Technical applications must not exceed **20** pages, utilizing Times New Roman 12-font size, single spaced, typed

in standard 8 ½"x11" paper size with one-inch margins both right and left, and each page numbered consecutively. Cover letter, dividers, table of contents, annexes (e.g. performance monitoring and evaluation plan, personnel resumes, past performance information, certificates, forms, acronym list etc.) will not count toward the page limitation. Any pages that exceed the page limitation will not be reviewed by the Evaluation Committee. There is no page limit on attachments or cost application. Additional information specifically referenced in this solicitation which is requested to be submitted as part of the Annex to the technical application are not included as part of the 20 page count limit.

Applications will be evaluated on a Best Value basis. As such, technical factors are more significant than cost factors in evaluating the selection of a successful applicant. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore, it should be specific, complete and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria specified in Section C.

Application Contents: The technical application, at a minimum, shall contain the following:

- A. Cover Page:** A single page with the project title and RFA number, the name of the Applicant clearly identified. In addition, the Cover Page should provide a contact person for the 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. If available, the **Data Universal Numbering System (DUNS)** numbers of the Applicant shall also be listed on the cover page.
- B. Table of Contents:** Listing all parts of the technical application, with page numbers and attachments.
- C. Executive Summary** (counts toward the page limitation and shall not exceed 2 pages): Briefly describe
 - a) the proposed goals, b) the key activities and anticipated results, and c) managerial resources of the Applicant, and how the overall project will be managed.
- D. Technical Approach and Methodology:** In this section, applicants should not simply repeat what is already described in this RFA. Applicants must focus on describing **how** they propose to achieve the project objective(s) and how their implementation of the project will make a significant contribution towards achieving the strategic objectives and areas for action identified in the program description. Applicants shall elaborate in their technical approach the most effective way to develop and realize the objectives of this project including the reasonable course of action and tasks that are relevant to the current needs of Bosnia and Herzegovina. Applicants should present a convincing and compelling articulation of their technical approach.

At a minimum, the approach shall address the following:

- Discussion of the concrete expected results and how they will be achieved;
- Results and interventions applicants believe should be prioritized and why;
- Causal link between the proposed activities and intended impact
- Discussion on the coordination with other USAID activities, stakeholders and other donor activities. Applicants should provide specific examples on how to capitalize on possible synergies with other implementing partners, and therefore strengthen the impact of ACCOUNT;
- Substantive attention on how applicants will incorporate gender considerations and other cross-cutting themes under the USAID Mission Strategy, including youth, into the implementation of the

ACCOUNT;

- E. Implementation, Monitoring and Evaluation Plans:** In this section, applicants should focus on implementation of the proposed approach, provide description of activities and interventions, and illustrate timelines of activities that will reach the stated project objectives within the required time period of performance. This section should also include applicants' proposed methodology for effective monitoring and evaluation of the project achievements.

At a minimum, the implementation, monitoring and evaluation plan shall address the following:

- Implementation timelines schedule;
- The proposed plan for effective rapid launch of activities;
- Clearly articulated results directly corresponding with measurable, realistic and direct indicators that reliably quantify program progress;

The proposed plan for collecting base-line and follow-on data is cost effective.

As an annex to this section, applicants shall submit a draft Performance Monitoring and Evaluation Plan (PMEP). The PMEP does not count against the page limitation. The PMEP must explain how the applicant proposes to monitor the project performance and measure indicators and impact. The PMEP must include results, indicators, targets, consisting of data sources, frequency of data collection, collection methods, data verification, and responsible parties for data collection, baseline information, and benchmarks. The applicant must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated by gender and age. It is the applicant's responsibility to ensure that all costs, if any, related to the implementation of the PMEP are included in the cost proposal.

- F. Impact and Sustainability:** In this section, the applicants should provide evidence of how the activities under this project will improve and strengthen civil society voice in anti-corruption reforms required for the BiH European integration process. Additionally the applicants should explain its plan how the initiatives galvanized during the life of the program will likely continue beyond the life of the program.
- G. Organizational and Team Capabilities:** In this section, the applicant shall describe the proposed management plan and offer evidence of its technical resources and organizational expertise, as well as staffing pattern that includes proposed key personnel and support this with clear description of the professional qualifications, education and relevant experience of all proposed key personnel.

At a minimum, this section shall address the following:

- A brief description of organizational history/expertise;
- An applicant's pertinent work experience implementing programs similar in scope and magnitude;
- How the management structure will ensure effectiveness and efficiency, in order to achieve maximum benefits and results at minimum cost;
- Effective management systems and procedures for personnel, sub-contracts, commodities, training and information technology solutions;
- Composition and organizational structure of the proposed project team and a description of each key team member's role, technical expertise, estimated amount of time to be devoted to the activity for each person;
- Capability to mobilize long-/short-term technical assistance in areas that are within and those not included in the illustrative areas of technical assistance.

This section will include:

- **Management Plan and Organizational Capacity:** The applicant is expected to serve as a coordinator and/or a secretariat among local NGOs already involved and committed to anti-corruption work in BiH and promote the development of larger informal NGO networks or a consortium assembled around specific thematic issues³. The Applicant does not have to be an anti-corruption group, but must have experience in assembling and administering networks, and support the activities conducted by NGO network members. ACCOUNT will genuinely promote teamwork, supportive actions that will lead to more galvanized and unified voice of NGO sector in anti-corruption reforms.
- **Team Capabilities / Key Personnel Qualifications and Experience:** Applicants may propose no more than five key personnel positions to include a Program Director.

Program Director/Chief of Party will be the primary point of contact with USAID/Bosnia and Herzegovina with regard to day-to-day activity implementation. This person can be different from the Executive Director of the Applicant organization who is authorized to sign Award and deal with other matters related to the management of the Agreement. The Program Director/Chief of Party will be responsible to assure that all assistance provided under the award is technically sound and appropriate and to adequately manage and coordinate the efforts of anti-corruption NGO beneficiaries of the project.

Applicants shall identify and clearly describe the professional qualifications, education and relevant experience of its proposed key Program Director/Chief of Party.

The Program Director/Chief of Party should possess:

- Relevant experience in managing similar civil society programs in Bosnia and Herzegovina or the Balkan region preferred. .
- Excellent negotiation, conflict prevention and resolution skills and the ability to lead and build consensus, cooperation, and coalitions among individuals with competing interests.
- Technical experience in several of the following areas: lobbying, advocacy, coalition-building, , media relations, and organizational capacity building.
- Experience mentoring local organizations and transferring skills and know-how.
- Experience working in civil society in BiH or the Balkan region preferred.
- Ability to coordinate with major USAID projects and other donor programs on civil society and seek synergies, and complementarities to maximize results..

Applicants will propose staffing pattern that includes other proposed key personnel and support this with a clear description of the professional qualifications, education and relevant experience of all proposed key personnel. In addition to the Program Director/Chief of Party there should be no more than four other key personnel proposed. As an annex to this section, applicants shall submit resumes for all proposed key personnel. The resumes must be no more than two pages each and should include at least three professional

³ By the end of this project, USAID expects that the formal and long-lasting issue-based networks would be formed among the local anti-corruption NGOs.

references with current telephone numbers or email addresses for each reference. Each résumé shall be accompanied by a SIGNED letter of commitment from each candidate indicating his/her (a) availability to serve in the stated position on a specific date and for a definitive term of service and (b) agreement to the compensation levels as set forth in the cost proposal. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is NOT requested and should NOT be submitted.

Other proposed short-term or long-term, local or international consultants should not be considered as key personnel.

H. Past Performance and Experience:

This section shall address the Applicant’s brief description of organizational history and experience including:

Applicant’s ability to galvanize collaboration and teamwork among different civil society organizations of BiH on common issue;

Examples of accomplishments in developing and implementing similar projects related to coalition building;

Relevant experience with proposed approaches; and

Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas.

Describe any number of contracts, grants, and cooperative agreements which the organization has implemented involving similar or related programs over the past three years. Please include the following information in an annex under past performance information:

Name, address, current telephone number and email address of responsible representative(s) from the organization for which the work was performed;

Contract/grant name and number, if any, annual amount received for each of the last three years and beginning and end dates;

Brief description of the project/assistance activity.

3. COST/BUSINESS APPLICATION FORMAT

Cost is a required evaluation criterion and will be evaluated separately. Although the Cost Application will not be assigned points, it is an important evaluation criteria, although less significant than non-cost (technical) factors.

The Cost/Business Application is to be submitted under separate cover from the technical application.

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 the cost application, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- I. Budget: which provides in a breakdown by elements of cost (e.g. personnel, fringe, equipment, etc.), the total estimated amounts for implementation of the project your organization is proposing.

- II. Budget narrative: that provides detailed budget explanations and supporting justification of each proposed budget line item. It must briefly describe programmatic relevance and clearly identify the basis of estimate (i.e. how the budget number was determined fair and reasonable) for each cost element, such as market surveys, price quotations, current salaries, historical experience, etc.

A summary of the budget must be submitted using:

Standard Forms 424, 424A and 424B which are available at Grants.gov under the “Application” tab for this RFA (preferred submission method) or under Section D, ‘REQUIRED FORMS’ of this RFA.

The budget must include:

1. The breakdown of all costs associated with the project according to costs of headquarters, regional and/or country offices, if any;
2. Potential contributions of non-USAID or private commercial donors to the expected cooperative agreement; if any
3. The name (if identified), annual salary, and expected level of effort of each candidate named or TBD and charged to the activity. **Provide annual salary history for at least the three most recent years for all identified and proposed long-/short-term key and non-key personnel;**
4. If applying fringe benefit rates, the applicant must provide information regarding how this rate is being applied for each category of employees and an explanation of the benefits included in the rate. Should the applicant have an negotiated indirect cost rate agreement (NICRA) with the U.S. Government, submission of their approved NICRA is all that is required.
5. Travel, per diem and other transportation expenses detailed to include number of trips, expected itineraries, number of per diem days and per diem rates;
6. All equipment proposed to be purchased;
7. Details regarding the level of cost share your organization is proposing for this activity. Cost sharing may be proposed from any available and interested local funding sources; and

The following information should be taken into consideration when developing the budget:

- (1) Salaries and wages must be reflective of the “market value” for each position. Salaries and wages may not exceed the Applicant’s established written personnel policy and practice, including the Applicant’s established pay scale for equivalent classifications of employees, which shall be certified by the Applicant. No individual salary or wage may exceed the employee’s current salary or wage, or the highest rate of annual salary or wage received during any full year of the immediately preceding three (3) years without the approval of the Agreement Officer. Salaries for locally employed staff should not exceed the Local Compensation Plan for USAID/Bosnia and Herzegovina.
- (2) Base pay, or base salary, is defined as the employee’s basic compensation (salary) for services rendered. Taxes which are a responsibility or liability of the employee are inclusive of, and not additive to, the base pay or salary. The base pay excludes benefit and allowances, bonuses, profit sharing arrangements, commission, consultant fees, extra or overtime payments, overseas differential or quarters, cost of living or dependent education allowances, etc.

(3) This USAID-funded project implemented under the anticipated cooperative agreement will be for an estimated period of performance of three (3) years; also referred to as the award period. Unless the Applicant/Recipient demonstrates otherwise to the USAID Agreement Officer's satisfaction, Cooperating Country Nationals (CCNs) employed by the Applicant/Recipient solely to work under the USAID-funded project under this agreement are considered by USAID as employed by the Applicant/Recipient for a specified period not to exceed the agreement period. This provision shall be interpreted in accordance with applicable cost standards including 2 CFR 230 – Cost Principles for Non-Profit Organizations (OMB Circular A-122) for non-profit organization, 2 CFR 220 – Cost Principles for Education Institutions (OMB Circular A-21), as applicable, including, but not limited to Selected Items of Cost - Compensation for Personal Services, and 22 CFR 226.

Annual Salary Increases

Annual salary increase and/or promotional increase may be granted in accordance with the Applicant's established policies but up to the maximum of 5%. Salary increases may be granted after the employee's completion of each twelve months of satisfactory services under the USAID award.

Fringe Benefits - If accounted for as a separate item of cost, fringe benefits should be accounted in accordance with BiH labor law.

Supplies and Equipment - Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, unless the Applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the project, specifying quantities and unit cost.)

Allowances, if any, must be broken down by specific type and by person and must be in accordance with the Applicant's established policies.

Travel and Per Diem - The narrative should indicate the purpose of trip(s), number of trips, domestic and international, and the estimated unit cost of each. Specify the origin and destination for each proposed trip, duration of travel and number of individuals traveling. Proposed per diem rates must be in accordance with the Applicant's established policies and practices that are uniformly applied to federally financed and other activities of the Applicant.

Other Direct Costs (ODC) - could include costs such as communications, office rental, utilities, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than the Applicant's normal coverage), other filed office operation costs, etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

Proposed (Sub) contracts/agreements - Applicants who intend to utilize subcontractors or sub recipients should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the Applicant. Extensive (sub) contract/agreement financial plans should follow the same cost format as submitted by the Applicant.

Cost share: ADS 303.3.10 Cost Share defines cost share as "the resources a recipient contributes to the total cost of an agreement. It is the portion of project or program costs not borne by the Federal Government."

USAID/Bosnia and Herzegovina encourages the potential applicants to propose cost sharing since “it is critical that the activity continues after USAID assistance ends.” These cost sharing requirements can ensure that the project establishes adequate alternate sources of funding, as well as give the applicant a financial stake in the success of the program. The applicants’ proposed cost share may enable additional worthwhile activities to be undertaken which USAID funds could not support. Cost share may secure the programmatic and financial sustainability of the initiatives.

USAID encourages applicants to propose for which activities and in which amount cost sharing will be applied. The exact level of cost share is left to applicants to propose per 303.3.10.1 (<http://www.usaid.gov/policy/ads/300/303.pdf>). Ultimately the Agreement Officer shall determine if the applicant’s cost share contributions (e.g. categories or items) meet the standards set in the Standard Provision entitled "Cost Sharing" for non-U.S. organizations (Mandatory References, 22 CFR 226.23; and Standard Provisions for Non-U.S. Nongovernmental Recipients, and ADS 303.3.10 Cost Sharing). Once approved, cost sharing becomes a condition of an award. Cost sharing must be verifiable from the recipient’s records, is subject to the requirements of 22 CFR 226.23, and can be audited. If the recipient does not meet its cost sharing requirement, it can result in questioned costs.

Responsibility Determination - 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 the organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey. The cost/business applications of all applicants submitting a technically acceptable application will be evaluated for general reasonableness, cost realism, allowability and allocability.

- I. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from U.S. Government agency shall submit the following information:
 - Copies of the applicant's financial reports for the previous 3-year period, which have been audited by
 - a certified public accountant or other auditor satisfactory to USAID;
 - Cash flow and organizational chart; and
 - A copy of the organization's accounting manual.
 - Copies of applicable policies and procedures (e.g., accounting, purchasing, property management, personnel).
- II. Apparently successful applicants will be required to submit Pre-award Certifications, Assurances and other Statements of the Recipient at <http://www.usaid.gov/policy/ads/300/303.pdf>. These Pre-award Certifications, Assurances and other Statements of the Recipient shall not be submitted as part of the initial application. The Agreement Officer will notify the apparently successful applicant to submit these documents after evaluation of proposals.
- III. Applicants should submit any additional evidence of financial responsibility deemed necessary for the Agreement Officer to make a determination of responsibility to manage USG funds. The information submitted should substantiate that the Applicant:
 - Has adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award;
 - Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;

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

IV. Certificate of Compliance: if available, submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA).

4. COOPERATIVE AGREEMENT AWARD

The Government may award a cooperative agreement resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value (see Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept alternate applications, and (d) waive informalities and minor irregularities in applications received.

The Government may award a cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

Awards will be made to responsible applicant whose applications offer the greatest value, technical, cost and other factors considered. Applicants are specifically advised that until an executed document is received and duly signed by an Agreement Officer, no project expenditures will be paid by USAID/Bosnia and Herzegovina.

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

- (a) Section C - Selection Criteria;
- (b) Section A - Instructions for Application Format;
- (c) Section B - The Program Description;
- (d) Cover Letter.

A written award, electronically or otherwise, furnished to the successful applicant within the time for acceptance specified either in the application or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral mandate, a commitment to nondiscrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without

regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under the cooperative agreement.

Foreign Government Delegations to International Conferences: Funds in the cooperative agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" <http://www.usaid.gov/policy/ads/300/350maa.pdf> or as approved by the Agreement Officer.

5. AUTHORITY TO OBLIGATE THE GOVERNMENT

The USAID 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.

[END OF SECTION A]

SECTION B – PROGRAM DESCRIPTION

I. Purpose

The purpose of this three-year \$1.05 million program entitled the “Anti-Corruption Civic Organizations’ Unified Network” (ACCOUNT) is to strengthen and streamline the voice of civil society in order to put pressure on the BiH government to enforce and sustain anti-corruption reforms required for the BiH European integration process. The Cooperative Agreement for ACCOUNT will be awarded to a competitively selected local non-governmental organization (NGO) who is expected to serve as a coordinator and/or a secretariat among local NGOs already involved and committed to anti-corruption work in BiH and promote the development of larger informal NGO networks or a consortium assembled around specific thematic issues. ACCOUNT will provide technical assistance and capacity building support for networking of local NGOs.

II. Background and Problem Statement

Bosnia and Herzegovina - corruption in facts

In addition to extremely complex governance structures, a general lack of transparency and accountability among elected officials, apathy of citizens, and a lack of democratic tradition, Bosnia and Herzegovina (BiH) suffers from wide-spread public corruption that plagues all aspects of government and society and severely impedes reforms. Public corruption has a destabilizing effect on political stability and economic development. It weakens democracy and good governance, destroys decision-making processes, reduces accountability, undermines the rule of law, and results in ineffective provision of services. It weakens economic development by inflating the cost of doing business, avoiding competition, lowering compliance with regulations, and diverting budgetary resources away from the provision of public goods and services to private gains. Most importantly, corruption reduces the quality of government services to citizens and consequently it undermines trust and tolerance among citizens.

According to the Heritage Foundation’s 2011 Index of Economic Freedom⁴, BiH’s economic freedom score is 57.5(104th place). Its overall score is 1.3 points better than last year, with significant improvements in trade freedom, monetary freedom, and property rights. BiH is ranked 39th out of 43 countries in the European region, and its overall score remains well below the regional average. The weakest scores in three areas indicate inefficiency and high government spending, weak protection of property rights, and widespread corruption which discourage entrepreneurial activity. The score for Freedom from Corruption component is derived primarily from Transparency International’s Corruption Perceptions Index (CPI)⁵ for 2010, according to which corruption in BiH is perceived as widespread. BiH ranks 91st out of 178 evaluated countries – placing it last in South-Eastern Europe. Corruption remains prevalent in many political and economic institutions. According to TI’s Global Corruption Barometer⁶ for 2010, 59% of respondents believe that corruption has increased in the last three years, 54% consider government’s efforts to fight corruption ineffective, and political parties are perceived as the most corrupted institutions, followed by parliaments.

⁴ The Heritage Foundation’s [Index of Economic Freedom](#) covers 10 freedoms (business freedom, trade freedom, fiscal freedom, government spending, monetary freedom, investment freedom, financial freedom, property rights, freedom from corruption, labor freedom) in 183 countries. The Index uses a scale from 0 to 100, where 100 represents the maximum freedom.

⁵ [Transparency International’s Corruption Perceptions Index](#) measures the degree to which public sector corruption is perceived to exist in 178 countries around the world. It scores countries on a scale from 10 (very clean) to 0 (highly corrupt).

⁶ [TI’s Global Corruption Barometer 2010](#) surveys more than 91,000 people in 86 countries and territories. It focuses on petty bribery, perceptions of public institutions and views of whom people trust to combat corruption.

Citizens are still reluctant to report on corruption since BiH legislation does not stimulate nor provide protection for whistleblowers. Furthermore, there are only a few safe avenues to report cases of corruption. Besides general hotlines for reporting criminal offences, the only alternative is Transparency International BiH's (TIBiH) service that provides legal assistance to citizens, where one can also report corruption via phone or email.

Issues – EU Progress Report

Progress of BiH in the European integration process depends on fulfillment of the requirements of the Stabilization and Association Agreement (SAA) with the EU. The European Commission annually issues a progress report which monitors the progress of BiH in three key areas, including political and economic criteria and European standards. This report is submitted to the European Parliament and the Council in Brussels, and therefore presents one of the key benchmarks for the BiH-EU integration process. The EC progress report monitors the level of progress of anti-corruption policies as a sub-area within the political criteria. However, anti-corruption is a cross-cutting theme within the economic criteria as well. The Council of Europe's Group of States against Corruption (GRECO) also publishes evaluation reports on Bosnia and Herzegovina that serves as an indicator for country's progress in anti-corruption policy implementation. The Third Round Evaluation Report⁷, published on August 17, 2011 calls BiH "to take determined steps to enforce criminal legislation and become more efficient in convicting corruption offenders."

According to the 2010 EU Progress Report "Bosnia and Herzegovina has made limited progress in tackling corruption, which is widespread throughout the public and private sectors, affecting the judiciary, tax and customs administrations, public procurement, and privatization. The only positive example pointed in the report is related to the state-level adoption of a Law establishing the Agency for Prevention and Coordination of the Fight against Corruption.

The 2010 Progress Report does not include the information that on July 30, 2011, the BiH Parliament confirmed the appointment of a permanent management body of the Agency for Prevention of Corruption and Coordination of the Fight against Corruption. , This appointment fulfills the last obligation of the BiH criminal justice system from the Roadmap to visa liberalization.

Although the country has embarked on a series of reforms to align penal legislation with international standards on criminalizing of corruption (including ratification of Council of Europe's protocol for Criminal Law Convention on Corruption) GRECO reports inconsistencies in existing criminal codes at the level of the State, the Federation of Bosnia and Herzegovina, the Republika Srpska and Brcko District. It also highlights "shortcomings in criminalization of bribery in the private sector and active trading in influence".

i. Government sector

The EC 2010 Progress Report recognizes that "Bosnia and Herzegovina has a Law on conflicts of interest in place. However, country-wide implementation of the law is uneven. the Central Election Commission that holds jurisdiction in implementation of state-level law identified only two violations of the State law on conflict of interest and fifteen violations of the Federation law. Republika Srpska has its own commission for determining conflict of interest, which identified only one violation.

A state-level code of conduct for civil servants, regulating both prevention and detection of corruption, has not yet been adopted. Amendments to the code of conduct for civil servants in Republika Srpska were adopted to regulate the movement of public officials to the private sector and to prevent conflict of interest. In the

⁷ [http://www.coe.int/t/dghl/monitoring/greco/evaluations/round3/GrecoEval3\(2010\)5_BiH_One_EN.pdf](http://www.coe.int/t/dghl/monitoring/greco/evaluations/round3/GrecoEval3(2010)5_BiH_One_EN.pdf)

Federation, the code of conduct for civil servants was amended to introduce priorities regarding the risk of corruption and the concept of ethics.

The House of Peoples adopted amendments to the Law on financing of political parties to raise the threshold for individual donations. The Central Electoral Commission (CEC) has started to monitor asset declarations, conflicts of interest and reports on financing of political parties. It has imposed financial and administrative sanctions in 18 cases. However, asset declarations by individual candidates remain voluntary.”

GRECO also calls for more transparency and accountability in the funding of political parties and election campaigns. Additionally, GRECO acknowledges that political parties and election candidates are accountable to some degree for their finances, but that the legal framework is complex, patchy and imperfectly consolidated. It calls for greater transparency to ensure that the public get access in good time to information on party funding and to the results of supervision carried out by the Central Electoral Commission, saying that the Commission needs more resources and that a review of the existing sanctions for violating the law on political parties' financing and the election law needs to take place.

ii. Rule of Law

There is no effective investigation, prosecution and conviction of high-level corruption. Corruption is mainly prosecuted under the rules on abuse of office and at Entity-level. A number of high-level cases involving senior politicians and civil servants are at the prosecution stage. The judicial follow-up of cases of corruption remains slow and although special investigative measures are available to police and prosecutors, they are rarely used in corruption cases. Cooperation between police and prosecutors needs to be improved in order to make the investigation of corruption cases more effective...

iii. Economic issues

Corruption seriously influences economic development of BiH. In addition, BiH's poor infrastructure and weak rule of law discourage foreign investment. To accelerate its European integration process by creating a single economic space, BiH needs to ensure a harmonized regulatory framework in BiH for internal market issues. This is crucial for the business environment and the attraction of foreign investments. In areas related to internal market and competition, European Commission expects more coordination between the two Entities that hold competencies in the legislation and administrative execution of laws.

The 2010 EU Progress Report for BiH raises especial concern regarding the stalemate in the area of public procurement. BiH is the only country in the region that has not yet implemented the 2004 EU public procurement directives that require more competition amongst bidders and in receiving better and often less expensive offers for services, supplies and works. The BiH Public Procurement Law largely meets basic standards regarding transparency, but its provisions for preventing or detecting irregularities are not applied consistently. “

Civil Society⁸ role in anti-corruption

Over the past several years, the civil society sector in general, and NGOs in particular, are increasingly affirming their public role in the prevention of corruption. Bosnian NGOs has shown great interest and knowledge to tackle the issue of corruption in BiH society. It is evident that more advocacy campaigns, media

⁸ USAID uses broad definition of civil society that allows for diverse interests and activities and encompasses all the organizations and associations that exist outside of the state and the market that is accepted by political scientists and the international development community. Civil society can be either *formal* (including non-governmental organizations, media outlets, academia, universities, political parties), or *informal* (such as citizens' groups, and individual sectoral experts).

reports, and public discussions are being held on this topic. Local NGOs have developed adequate skills to monitor and report on corruption perception, to conduct research on corruption in selected sectors, and to advocate and participate in legislative discussions.

NGOs, for example successfully advocated for establishment of a public procurement monitoring process in two health clinics in Banja Luka and Sarajevo, and three public health funds (RS, FBiH and Sarajevo Canton). Multiple cases of misusing public procurement were identified and picked up by media reports. Also, NGOs actively participated in advocacy campaigns and successfully persuaded management of eight major health clinics in BiH to sign Memorandums of Understanding and therefore officially agreed to develop and implement effective mechanisms to prevent corruption in these health institutions.

Currently several NGOs are conducting anti-corruption activities at universities throughout BiH. A local initiative advocating for a more transparent system of political party financing was launched prior to the 2010 General Elections. Major local political parties and the Central Election Commission are involved to ensure high quality of discussions and interest among all stakeholders.

This valuable work of NGO sector in exposing the corruption in BiH was complemented by the work of BiH media. Specialized investigative stories related to corruption are being regularly published through popular independent web portals, and investigative media outlets. While the number of those willing to write on this topic is not excessive, during past few years number of investigative reports, both in electronic and print media, revealed the most significant corruption cases in in some instances served as basic for criminal prosecutions (Federation BiH TV's *60 minutes*, magazine *Dani* and *Slobodna Bosna*).

In spite the evident improvement in local NGOs' engagement in fight against corruption within particular sectors, the level of corruption remains enormously high. The problem is that a dozen of local NGOs engage in anti-corruption activity individually and exclusively on project-based level. There have been limited or no efforts to work together or network with other local NGOs to address problem of corruption within one sector collaboratively. These individual initiatives have not been successful in tackling the foundation of corruption in BiH. Instead, corruption continues to be present in all sectors of BiH society, and there is no political will among politicians to seriously resolve this problem. Individual initiatives, implemented by a single NGO without massive public involvement and cooperation with all interested stakeholders, can only influence specific problems but do not involve systematic changes in fighting corruption. Rather, there is a need for improved interaction between non-governmental organizations, the media, and civil society as a whole to take on a 'watch-dog' function and hold the government accountable for its actions.

Civil society in BiH has reached the momentum to take on a more comprehensive and systematic approach in anti-corruption efforts by intensifying cooperation among all civil society stakeholders (NGOs and investigative media outlets), and by involving new stakeholders from the private sector who have clear interests in more transparent systems, reduced administrative corruption and fewer opportunities for bribe-giving. Civil society has to take on the new role and lead public awareness campaigns to reach out to common citizens and involve them in the general fight against corruption.

III. Coordination with other Activities and Other Donor Programs

The goal of ACCOUNT is to augment existing USG and non-USG-funded anti-corruption initiatives and raise their profiles from the local to the entity and state level. The program will create more coordinated, comprehensive and publicly recognized civic anti-corruption "blocks" that will target selected sectors in the fight against corruption. Some of the ongoing initiatives include the following:

USAID supports anti-corruption efforts through its Civic Advocacy Partnership Project (CAPP) II. This program provides advocacy and watch-dog sub-grants to local NGOs in their fight against corruption in selected sectors, including education, health, and public procurement.

At this moment, USAID/CAPP II supports Transparency International, NGO Tender, Association Radio Kameleon, Helsinki Committee for Human Rights in Republic Srpska, youth organization Vermont from Brcko and the association Stop Mobbing from Trebinje in their anti-corruption efforts.

The European Union provides technical assistance to eight local NGOs and media outlets to monitor and report on corruption, fight corruption in the education sector, the employment sector, and public procurement. The selected organizations include: the Center for Investigative Journalism, Foreign Policy Initiatives, NGO Kyodo, Independent Office for Development, NGO Tender, Media Center, Vesta and Transparency International. In addition, EU provides technical assistance to the government bodies responsible for enforcement of the anti-corruption strategy.

The British Embassy provides technical assistance to the newly established anti-corruption agency on the state level and is considered the major donor in the fields of political transparency and good governance. In addition, the British Embassy funds Transparency International to monitor the implementation of the BiH anti-corruption strategy 2009-2014. The purpose of this program is to ensure the implementation of BiH's anti-corruption strategy through the active monitoring and evaluation of civil society organizations (CSOs). In March 2011, the British Embassy announced a call for proposals to support BiH reforms necessary for EU accession or closer partnership with the EU. One of the objectives is focused on "increased political transparency and good governance." Finally, the British Embassy is completing an assessment of anti-corruption initiatives. Should any anti-corruption program result from this assessment, USAID will coordinate it with the British Embassy.

Open Society Institute (OSI) is one of the most engaged international donors in the area of anti-corruption in BiH. OSI's programs focus on government accountability, education, women, minorities, and youth empowerment. OSI recently funded an analysis of fiscal transparency in municipalities in BiH. OSI funds Transparency International to advocate improvements and wider implementation of the law on freedom of access to information as a tool for reducing corruption in BiH.

The Embassy of the Kingdom of the Netherlands also supports CSOs fighting corruption. Since January 1, 2011, CSOs from BiH are eligible for MATRA (Maatschappelijke Transformatie) grant mechanism. One of the MATRA objectives under which NGOs can apply is public administration/public order/police/corruption. The focus is on (1) increased accountability, legitimacy and transparency and the democratization of government action; (2) decentralization and deregulation; the administration and funding of public services; (3) policymaking processes; and (4) reform of public services.

The role of ACCOUNT is to coordinate and integrate existing civil society anti-corruption efforts. This program is not intended to replace existing projects. Rather, ACCOUNT will play a strategic coordination role to ensure regular information sharing, networking, and strengthening and streamlining of civil society efforts in the fight against corruption.

IV. Statement of Work

The main objective of the Anti-Corruption Civic Organizations' Unified Network (ACCOUNT) is to strengthen and streamline the voice of civil society through NGO networking in order to put pressure on the BiH government to enforce and sustain anti-corruption reforms required for the BiH European integration process. Anti-corruption has been identified as a major obstacle to the progress of BiH and is a major cross-cutting objective of USAID/BiH under its new Country Development Cooperation Strategy (CDCS) 2012-2016. This Activity will be the principal USAID-funded intervention in the area of anti-corruption.

To effectively fight corruption it is crucial to enhance transparency and accountability of government and increase public awareness and participation in the fight against corruption. ACCOUNT will advocate for effective accountability mechanisms and the investigative capacity of government institutions by supporting civil society organizations in their ability to effectively participate in and oversee government activities, in order to reduce the pre-conditions for corruption. ACCOUNT will also advocate and seek for greater involvement of media in exposing the government actions to the wider public.

USAID's proposed new ACCOUNT program will utilize skills and energy of existing anti-corruption civic advocacy and watch-dog groups to raise the civic anti-corruption profile through joint efforts and networks that will advocate for stability, economic prosperity, rule of law and the participatory democratic processes. The aim is to create a strong civil society anti-corruption movement that will continuously echo and reaffirm EU accession requirements related to anti-corruption policies within political and economic areas.

The program is designed to augment existing anti-corruption efforts funded by USAID and other donors in selected sectors including public procurement, education, health, and political party financing. It will also expand anti-corruption efforts into other sectors in which USAID/Bosnia has already invested resources and which the EU has identified as crucial for BiH integration process, including the energy sector and wood processing. As a cross-cutting activity, the ACCOUNT program will closely coordinate its activities with all USAID-funded programs.

ACCOUNT will seek to use and promote all major local and international anti-corruption policy papers, reports, and indexes by using all available traditional and new media to raise pressure on government officials and increase public understanding of consequences and the cost of corruption in everyday life.

An important result of ACCOUNT will be to increase coordination among anti-corruption activities funded by different donors, and thereby to promote a joint nation-wide strategy for fighting against corruption.

The ACCOUNT program will include the following three components:

A. Creation of policy-based nation-wide civil society networks to monitor, report, and engage with the government and private sector in anti-corruption activities

This program will provide a platform for local civil society actors, including local anti-corruption NGOs, media, business associations and other professional organizations engaged in anti-corruption activities, for information sharing and initiating joint actions with a more articulate civil society voice against corruption. This program will not compete with other existing local initiatives, but rather help local organizations to incorporate and raise anti-corruption issues from the grass-roots level to a more comprehensive nation-wide policy level.

The goal of this program is to encourage NGOs to form larger and more inclusive movements and create networks fighting against corruption. An emphasis will be placed on establishing sectoral coalitions in order to ensure more systematic and focused advocacy efforts. The Applicant is expected to identify at least 3-5 sectors in which NGO coalitions will be formed. Through ACCOUNT, these coalitions will receive technical assistance for deeper networking, simple (yet robust) methodologies for monitoring, and basic manners of communicating these to the public. These civil society sectoral coalitions will tackle anti-corruption issues relevant to the EU integration process through cooperation with governmental institutions, media and the private sector. In the past, civil society advocacy efforts have in general excluded private sector from its advocacy and policy development initiatives. Having in mind that the private sector has vested interest in the reduction of the bureaucratic obstacles and in transparent interaction with state institutions, it is crucial for this sector to be involved in anti-corruption activities. The Applicant is therefore encouraged to utilize public-private partnerships in their programming approach to ensure that all vested interests of stakeholders are incorporated and respected. In addition, this increases the level of interest and buy-in from all parties involved.

Through organized meetings and round tables, ACCOUNT will bring together BiH civil society groups, government official and private sector representatives to enhance dialogue, highlight existing points of contention and agreement, and promote consensus building on issues related to specific anti-corruption policy. It is very important that media outlets with history of in-depth investigative reports on corruption in BiH are included in these meetings both to publicize the work of ACCOUNT but also to use the results and recommendations of this dialogue to enhance their own investigations.

Additionally, ACCOUNT will promote more dynamic outreach to smaller municipalities through the involvement of NGOs in a number of towns and municipalities. This will elevate existing anti-corruption grassroots initiatives to entity or state level policy discussions and will encourage cooperation between local-level authorities and civic structures active in these smaller municipalities. The Applicant is required to focus its interventions in both entities and if feasible, to encourage coalitions and advocacy at the state level

Illustrative activities under this component include:

- Coordination meetings for anti-corruption civil society organizations;
- Roundtables including government officials, political parties, media, and/or representative of the private sector to discuss anti-corruption topics;
- Research paper production on selected topics related to anti-corruption;
- Outreach and meetings with grassroots anti-corruption organizations;
- Outside consulting services on strategic development of networks;

B. Development, adoption and enforcement of existing and new anti-corruption legislations and policies

ACCOUNT will monitor enforcement of all relevant anti-corruption legislations, including the Criminal Code, the Law on Criminal Procedure, the Law on Conflict of Interest, the Public Procurement Law and the Freedom of Information Law. The program will also promote coordination among local NGOs around development and adoption of new legislation and changes of existing legislation and policies.

Although BiH does not have a specific anti-corruption law, it has a reasonable legal framework for fighting corruption. The problem that is more evident is the enforcement of the existing laws. Only a few anti-corruption legislations are missing. For example, whistleblowing protection legislation is almost nonexistent. Some other issues require minor legislative or procedural adjustments. These include harder sanctions for civil servants convicted of corruption, or changes in the immunity rules of Members of Parliaments that apply to offences related to corruption.

ACCOUNT will take on the coordination role in developing dialogue among different stakeholders and will provide a forum for civil society to identify innovative solutions and develop legislative or policy proposals that best address the needs and interests of anti-corruption civil society stakeholders and (if applicable) the private sector. Through this kind of dialogue, local experienced NGOs will be able to provide expertise in the legislative development process in areas of relevance to the prevention of corruption.

Illustrative activities under this component include:

- Holding of public debates on certain legislations and policies;
- Basic anti-corruption legal training for local NGO members;
- Training on monitoring methodologies and public communication of messages;
- Research on certain legislations and policies;
- Monitoring of the enforcement of existing legislations;
- Promoting advocacy for adequate legislative improvements;

- Leading the process of engaging the government anti-corruption bodies in effective dialogue.

C. Public education and outreach to allow adequate and safe avenues for citizens to report on corruption

To foster citizens' participation, promote anti-corruption practices and raise public awareness at the grass-roots level, ACCOUNT shall aim to reach a wide public audience throughout BiH by using all available means of public outreach.

Public education and awareness raising about costs of corruption in everyday life will be a major focus of this program. For citizens to become active in fighting corruption, it is crucial that they understand the consequences corruption has on the economy and public services provided by the government. ACCOUNT will use illustrative examples to approach different population groups and to encourage citizens to report on corruption through the existing and if needed new, safe mechanisms that provide legal assistance and protection, such as hotlines for reporting corruption cases, and/or legal assistance provision easily available to citizens.

ACCOUNT findings and examples will be transferred to citizens through media with established records on anti-corruption reporting. USAID therefore expects ACCOUNT to develop partnerships with media outlets to publish investigative reports on specific corruption cases and to echo the public interest to reduce corruption in the public life. Besides traditional media, ACCOUNT will use innovative approaches through new media available online, including web portals, online magazines, Facebook, Twitter, and YouTube.

ACCOUNT will hold town-hall meetings in smaller municipalities in order to reach out to common people and provide them adequate information on anti-corruption activities and encourage their participation in this process. Civil society has an important role to provide user-friendly guidelines and assistance to citizens on increased utilization of the Freedom of Information Act (FOIA) for increased access to public information at the grassroots level.

Finally, one of the very important tasks of ACCOUNT is to provide citizens of BiH with effective and safe means to report corruption.

Illustrative activities under this component include:

- Convening local community (town hall) meetings throughout BiH;
- Administering an interactive web page;
- Promoting utilization of the freedom of information legislation to increase civic activism in raising government transparency;
- Cooperating with mainstream media (local radio, TV and print), especially those with interest in anti-corruption reporting. Also, using new media technology (online magazines, web portal Facebook, Twitter, YouTube) to promote anti-corruption activities;
- Encouraging use of existing and if necessary developing new anti-corruption hotlines for reporting corruption.

V. Anticipated Results

Component A

- Anti-corruption NGOs establish issue-based anti-corruption networks to galvanize and unify their voice against corruption;
- Anti-corruption watch-dog and advocacy campaigns conducted by NGO networks;
- NGO networks effectively analyze, monitor and publicize reports on corruption;

- Increased dialogue with government counterparts on anti-corruption reforms;

Component B

- Anti-corruption NGO networks actively develop, introduce and lobby for adoption and enforcement of anti-corruption legislative amendments;
- Introduced improved legislation for whistleblower protection;

Component C

- Citizens educated and more engaged in anti-corruption activities;
- Increased citizen pressure for anti-corruption reforms
- Increased citizen demand for more transparency and accountability from government officials;
- Increased publicity on public procurement actions;
- Increased reporting on corruption by citizens.
- Increased reporting on corruption by media.

VI. Youth

Youth is identified as a cross-cutting initiative under the newly developed Country Development Cooperation Strategy (CDCS) 2012-2016. Although ACCOUNT will not have a specific focus on youth, the Applicant should consider targeted campaigns and advocacy geared to youth, including students and unemployed youth. The Applicant will also develop close coordination wherever possible with other youth-related USAID- funded programs to increase the effect of ACCOUNT on youth.

VII. Gender Statement

The implementing partner will address the role of women in ACCOUNT and facilitate where possible their involvement and professional development. The implementing partner will also consider how the different roles and status of women and men will affect the work, and how the anticipated results will affect women and men differently. Considering the nature of this program, the activities under this program are envisioned to be gender neutral and will benefit both genders. No gender specific activities or assistance will be conducted by this program.

VIII. Environmental Consideration

- 1) 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. Applicants' environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

- 2) 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.
- 3) No activity funded under this cooperative agreement 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.”)
- 4) As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- 5) 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.
- 6) 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.

IX. Substantial Involvement

Under this award, USAID/BiH considers collaboration with the Recipient crucial for the successful implementation of this program. Substantial involvement under the proposed award shall include the following:

- a) USAID will be substantially involved in approving specified key personnel. The Applicant will propose no more than five positions that will be considered as key personnel for the implementation of ACCOUNT and therefore will be the subject to USAID approval.
- b) USAID will be substantially involved in approving the Recipient’s annual work plans. The first annual work plan will be submitted to USAID for approval 30 days after the cooperative agreement is signed, and others will be submitted 30 days after the start of the following years of the program. Any significant changes to the approved work-plan or the performance monitoring plan will require additional approval. The work plan will include Performance Monitoring and Evaluation Plan (PMEP).

[END OF SECTION B]

SECTION C - SELECTION CRITERIA

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

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

I. TECHNICAL EVALUTAIION CRITERIA

A technical evaluation committee, using the criteria shown in this Section, will score technical Applications. The criteria set forth will serve as the basis for evaluating the technical Applications. Please reference Section A, Technical Application Format, for additional details regarding how applicants should prepare their applications to address each of the following evaluation criterion. The various functional elements of the technical criteria are assigned weighted scores, so that the Applicants will know which areas require emphasis in the preparation of Applications. Applicants should note that these criteria:

- (1) Serve as the standard against which all Applications will be evaluated; and
- (2) Serve to identify the significant matters which Applicants should address in their Applications.

The relative importance of each criterion is indicated by the number of points assigned; a total of 100 points is possible.

Technical Evaluation Criteria	Weight
1) Approach and Methodology	30 points
2) Implementation, Monitoring and Evaluation Plans	25 points
3) Impact and Sustainability	20 points
4) Organizational and Team Capabilities	15 points
5) Past Performance	10 points
Total Possible Evaluation Points	100

1) Approach and Methodology (30 points)

- A. **Approach (15 points):** The extent to which the proposed approach is clear, logical, ambitious, well-conceived, and technically sound; is appropriate to the BiH context; reflects understanding and support of USAID/BiH's program objectives; and responds to the objectives, requirements and parameters sought under this RFA;
- B. **Methodology (15 points):** The extent to which the proposed program methodology anticipates causal link between the proposed activities and intended impact on the problems of corruption; and is linked to indicators that measure the desired programmatic outcomes.

2) Implementation, Monitoring and Evaluation Plans (25 points)

- A. **Implementation Plan (20 points):** The extent to which illustrative timelines for the effective implementation of project components realistically demonstrate the applicant's ability to reach stated project objectives within the required time period of performance, including a plan for rapid launch of project activities.
- B. **Monitoring and Evaluation Plan (5 points):** The extent to which results are clearly articulated and directly correspond to stated goals and objectives as outlined in the approach and methodology section; and the extent to which the plan for collecting base-line and follow-on data is cost effective, and will reliably quantify program progress.

3) Impact and Sustainability (20 points)

The extent to which the proposed activities are likely to achieve the overall goal of stronger civil society voice in anti-corruption reforms required for the BiH European integration process. The extent to which the application shows how the efforts conducted under ACCOUNT will be able to assist NGOs to raise the corruption issue from local to policy level and to be able to continue these efforts beyond the life of the award. The extent to which the applicant can demonstrate a realistic sustainability plan for continued activities in support of the program objectives beyond the life of USAID funding.

4) Organizational and Team Capabilities (15 points)

The extent to which Applicant offers evidence of its technical resources and organizational expertise through provision of the following: a brief description of organizational history/expertise; pertinent work experience implementing programs similar in scope and magnitude; institutional strength as represented by the breadth and depth of experienced personnel in projects in relevant disciplines/areas, including the curriculum vitae of the proposed project director or equivalent; proposed management structure including an organogram. Key personnel for the programs should be explicitly stated in the proposals, must be based in BiH and available throughout the life of the project. Other proposed short or long-term consultants, local or international, should express willingness to be involved in the project.

5) Past Performance (10 points)

Specifically past performance will be evaluated to the extent to which the applicant provides the past performance references with demonstrated ability to plan, budget, manage, and implement programs of similar complexity with descriptions of significant achievements and relevance of past program work. This will include:

- The ability of Applicant to galvanize and manage issue-based networks;

- The Applicant's record of conforming to contract/agreement requirements and to standards of good workmanship;
- The Applicant's record of forecasting and controlling costs;
- Adherence to contract/agreement schedules, including administrative aspects of performance;
- History of reasonable and cooperative behavior and commitment to customer satisfaction.

II. COST EVALUATION

The Cost Application will be submitted in a separate volume from the Technical Application. Cost will be evaluated for cost effectiveness and cost realism of the application.

Cost Effectiveness will be measured as the degree to which the application demonstrates viable resources for in-kind and/or cash contributions from non-USG sources; the degree of efficient use of funding resources towards direct costs with direct correlations to the delivery of results; and ratio of funding to impact, dollar to results, proposed and feasible.

Cost realism is an assessment of accuracy with which proposed costs represent the most probable cost of performance within the Applicant's technical and management approach. Cost realism evaluation will be performed as part of the evaluation process to: a) verify the Applicant's understanding of the requirements; b) assess the degree to which the cost/price proposal accurately reflects the approaches and/or risk assessments made in the technical and management approach as well as the risk that the Applicant will provide the supplies or services for the offered prices/cost; and c) assess the degree to which the cost included in the cost/price proposal accurately represents the work effort included in the technical proposal.

Cost will also be evaluated for realism, reasonableness, allowability, allocability, and cost effectiveness. The pre-award evaluation of cost effectiveness will include an examination of the application's budget detail to ensure it is a realistic financial expression of the proposed project and does not contain estimated costs which may be unallocable, unreasonable or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered.

Applications that maximize direct activity costs including cost sharing and that minimize administrative costs will be favorably considered. Other considerations are the completeness of the application adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured by a responsibility determination.

Notes on Cost Sharing:

Cost share is defined by USAID as "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please refer to the provision on cost-sharing in 22 CFR 226.23.

Cost sharing is desirable but not required under this RFA. USAID policy is that cost sharing is an important element of the USAID-Recipient relationship.

III. BEST VALUE DECISION

Award will be made to the Applicant whose application offers the best value to the Government. Best value is

defined as the expected outcome of a procurement that, in the Government's estimation, provides the greatest overall benefit in response to the requirement.

For this RFA, technical factors are considered more significant than cost factors. Cost factors gain increasing significance as applications receiving the highest ratings are more closely ranked. Therefore, after the final evaluation of the application, the Agreement Officer will make the award to the Applicant whose application offers the best value to the Government considering technical, cost and non-cost factors.

Other areas of review and discussion will vary according to the circumstances pertaining to the application.

IV. BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended and 22 CFR 226.91) that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID identity. In accordance with ADS 320.3.3 Branding and Marking Requirements for Assistance Awards USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.”

Successful applicant will be required to submit a branding strategy and marking plan. Standard provisions Branding Strategy – Assistance (December 2005), Marking Plan – Assistance (December 2005), and Marking under USAID-Funded Assistance Instruments (December 2005) in Annex 1. to this RFA under Section E contain detailed requirement on the content and submission of the branding strategy and marking plan.

More information on Branding strategy and Marking plan are available at <http://www.usaid.gov/branding/assistance.html>.

The branding strategy and marking plan will become material element of the cooperative agreement. Information on USAID's branding “assistance” applies to this RFA. ADS Chapter 320 sections ADS concerning “acquisition” do not apply to this RFA. ADS Chapter 320 can be found on USAID website: <http://www.usaid.gov/policy/ads/300/320.pdf>.

[END OF SECTION C]

SECTION D – REQUIRED FORMS

Applicants shall submit the following forms

- Survey on Ensuring Equal Opportunity for Applicants
- SF 424 Application for Federal Assistance
- SF 424A Budget Information - Non-Construction Programs
- SF 424B Assurances – Non-Construction Programs

Electronic submission is preferred through www.Grants.gov (under ‘Application’ tab of this RFA) or using the forms inserted in this section on the following pages.

In order to access the electronic forms for this RFA at www.Grants.gov, applicants shall go to the ‘Application’ tab of the RFA and click the link “download” in “Instructions and Application” column of the table at the bottom of this page, then on the next page click on “2. Download Application Package”.

In case the next page does not display all the above listed forms in their entirety, applicants shall select each form in the block “Mandatory Documents” and hit the arrow under “Move Form to Complete”. Then the form selected and moved under the block “Mandatory Documents for Submission” will automatically appear in the continuation pages of this document.

The CFDA Number for this funding opportunity is 98.001.

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

OMB No. 1890-0014 Exp. 02/28/09

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

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Federal Program: _____ **CFDA Number:** _____

1. Has the applicant ever received a grant or contract from the Federal government?

☐ Yes

☐ No

2. Is the applicant a faith-based organization?

☐ Yes

☐ No

3. Is the applicant a secular organization?

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

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

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1. Self-explanatory.
2. Self-identify.
3. Self-identify.
4. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
5. Self-explanatory.
6. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
7. Annual budget means the amount of money your organization spends each year on all of its activities.

Paperwork Burden Statement

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

Application for Federal Assistance SF-424

Version 02

*1. Type of Submission ☐ Preapplication ☐ Application ☐ Changed/Corrected Application		*2. Type of Application ☐ New ☐ Continuation ☐ Revision		*If Revision, select appropriate letter(s): * Other (Specify)	
*3. Date Received:		4. Application Identifier:			
5a. Federal Entity Identifier:			*5b. Federal Award Identifier:		
State Use Only:					
6. Date Received by State:			7. State Application Identifier:		
8. APPLICANT INFORMATION:					
* a. Legal Name:					
* b. Employer/Taxpayer Identification Number (EIN/TIN):				*c. Organizational DUNS:	
d. Address:					
*Street1: Street 2: *City: County: *State: Province: Country:					
*Zip/ Postal Code:					
e. Organizational Unit:					
Department Name:				Division Name:	
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix:		First Name:			
Middle Name:					
*Last Name:					
Suffix:					
Title:					
Organizational Affiliation:					
*Telephone Number:			Fax Number:		
*Email:					

Application for Federal Assistance SF-424

Version 02

9. Type of Applicant 1: Select Applicant Type:

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

*Other (specify):

*10. Name of Federal Agency:

11. Catalog of Federal Domestic Assistance Number:

CFDA Title:

*12. Funding Opportunity Number:

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

*15. Descriptive Title of Applicant's Project:

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424

Version 02

16. Congressional Districts Of:

*a. Applicant

*b. Program/Project:

Attach an additional list of Program/Project Congressional Districts if needed.

17. Proposed Project:

*a. Start Date:

*b. End Date:

18. Estimated Funding (\$):

*a. Federal

*b. Applicant

*c. State

*d. Local

*e. Other

*f. Program Income

*g. TOTAL

*19. Is Application Subject to Review By State Under Executive Order 12372 Process?

☐ a. This application was made available to the State under the Executive Order 12372 Process for review on

☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐ c. Program is not covered by E.O. 12372

*20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)

☐ Yes

☐ No

21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☐ **I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

Authorized Representative:

Prefix:

*First Name:

Middle Name:

*Last Name:

Suffix:

*Title:

*Telephone Number:

Fax Number:

*Email:

*Signature of Authorized Representative:

Date Signed:

Application for Federal Assistance SF-424

Version 02

*Applicant Federal Debt Delinquency Explanation

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form (including the continuation sheet) required for use as a cover sheet for submission of preapplications and applications and related information under discretionary programs. Some of the items are required and some are optional at the discretion of the applicant or the Federal agency (agency). Required items are identified with an asterisk on the form and are specified in the instructions below. In addition to the instructions provided below, applicants must consult agency instructions to determine specific requirements.

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
		11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
		13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
		14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For preapplications, attach a summary description of the project.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.		
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.		
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.		
8.	Applicant Information: Enter the following in accordance with agency instructions: a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444. c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses.
		19.	Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the

	assistance activity, if applicable.			State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State
	f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.			20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions.		21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)		

BUDGET INFORMATION - Non-Construction Programs

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. Totals		\$	\$	\$	\$	\$

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)		
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$

7. Program Income	\$	\$	\$	\$	\$
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SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.		\$	\$	\$	\$	
9.						
10.						
11.						
12. TOTAL (sum of lines 8-11)		\$	\$	\$	\$	
SECTION D - FORECASTED CASH NEEDS						
		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal		\$	\$	\$	\$	\$
14. Non-Federal						
15. TOTAL (sum of lines 13 and 14)		\$	\$	\$	\$	\$
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
(a) Grant Program		FUTURE FUNDING PERIODS (Years)				
		(b) First	(c) Second	(d) Third	(e) Fourth	
16.		\$	\$	\$	\$	
17.						
18.						
19.						
20. TOTAL (sum of lines 16-19)		\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:			22. Indirect Charges:			
23. Remarks:						

INSTRUCTIONS FOR THE SF-424A

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

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

General Instructions

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

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

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

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

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

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

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

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

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

Line 5 - Show the totals for all columns used.

Section B Budget Categories

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

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

Line 6j - Show the amount of indirect cost.

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

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

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

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

Column (b) - Enter the contribution to be made by the applicant.

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

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

Column (e) - Enter totals of Columns (b), (c), and (d).

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee- 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

* SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL Completed on submission to Grants.gov	* TITLE
* APPLICANT ORGANIZATION	* DATE SUBMITTED Completed on submission to Grants.gov

SECTION E - ANNEXES

ANNEX 1 – BRANDING STRATEGY AND MARKING PLAN

1. 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.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

- (1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:
 - (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
 - (ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;
 - (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and
 - (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.
- (2) A table specifying:

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

(3) A table specifying:

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

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical 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.

3. 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 nonpresence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the nonpresence country exercising delegated authority from USAID.

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

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

- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Sub-recipients. To ensure that the marking requirements “flow down” to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows:

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

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

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

- (11) The recipient will provide the 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 [**one week**] days after the effective date of this provision. The plan will include:
 - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
 - (ii) The type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
 - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and

materials;

- (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

(d) Waivers.

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.
 - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
 - (4) Approved waivers “flow down” to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer’s waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity.** The requirements of this provision do 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.

ANNEX 2– MANDATORY AWARD REQUIREMENTS

STANDARD PROVISIONS

The Standard Provisions for Non-U.S. Non-governmental Recipients will apply to this solicitation and resulting award. The provisions are accessible at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>. In addition, in accordance with Acquisition & Assistance Policy Directive (AAPD) 06-12, the following provision is hereby incorporated in this solicitation and is applicable to this solicitation and resulting award:

1. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12 (HSPD-12) (SEP 2006) - ASSISTANCE

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 “smart card” IDs to applicable recipients (and recipient employee), using a phased approach. Effective October 27, 2006, USAID will begin issuing new “smart card” IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID’s information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employees) loses or damages his/her existing ID and would need a replacement ID prior to October 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV process described below and be issued one of the new smart cards.)

Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID’s information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID’s information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual’s employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notice, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee's employee to have routine physical access to USAID space or logical access to USAID's Information Systems.

AUTHORIZED GEOGRAPHIC CODE

The authorized Geographic Code for procurement of goods and services under this Award is 000 (United States). However, local procurement in the Cooperating Country is authorized within the parameters specified in 22 CFR 228.40, 'Local Procurement'. Also, per USAID/General Notice No. 11113, dated November 30, 2010, a blanket waiver for local procurements of commodities and services for up to the amount of \$5,000,000.00 has been approved by the USAID Administrator.

[END OF SECTION E]

SECTION F – ATTACHMENTS/BACKGROUND INFORMATION/REFERENCES

GLOSSARY

- **DUNS**

A DUNS number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity globally. [D&B](#) assigns DUNS numbers for each physical location of a business. All U.S. Government contractors globally can receive a DUNS number at no charge and, under normal circumstances, within 1-2 business days when using the [D&B web form process](#). If requested by phone, a DUNS can usually be provided immediately.

- **Local Non-Governmental Organization**

To be considered a “local non-governmental organization” an entity at the time of the award must,

- (1) be organized under the laws of the recipient country,
- (2) have its principal place of business in the recipient country,
- (3) be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country, and
- (4) not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term “controlled by”, (4), means a majority ownership or beneficiary interest as defined at (3), above, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law.

“Foreign entity” means an organization that fails to meet any part of the “local organization” definition.

Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are excluded from the above definition of local organization for the purpose of this solicitation.

- **TIN**

A Taxpayer Identification Number (TIN) is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS.

INITIAL ENVIRONMENTAL EXAMINATION (IEE)

Hard copy attached below.



**U.S. Agency for International Development
REQUEST FOR CATEGORICAL EXCLUSION**

**ANTI-CORRUPTION CIVIC ORGANIZATIONS' UNIFIED NETWORK
(ACCOUNT) PROGRAM**

USAID BOSNIA AND HERZEGOVINA

A. PROGRAM AND ACTIVITY DATA

PROJECT NAME: Anti-Corruption Civic Organizations' Unified Network
(Account) Program

ASSISTANCE OBJECTIVE: Program Objective 2: Governing Justly & Democratically

PROGRAM AREA: Program Area 2.2.: Good Governance

COUNTRY Bosnia and Herzegovina

ORIGINATING OFFICE: USAID/Bosnia-Herzegovina/Democracy Office

DATE: May 25, 2011

IEE AMENDMENT: Yes ☐ No ☒

DCN OF ORIGINAL IEE: N/A

PURPOSE OF AMENDMENT: N/A

IMPLEMENTATION START: 2011

IMPLEMENTATION END: 2014

LOP AMOUNT: Up to \$2 million

AMENDMENT FUNDING AMOUNT: N/A

CONTRACT/AWARD # IF KNOWN: N/A

Environmental Media and/or Human Health Potentially Impacted (check all that apply):

None ☒ Air ☐ Water ☐ Land ☐ Biodiversity ☐ Human health ☐ Other ☐

Environmental Action Recommended (check only one—the highest level action):

Categorical Exclusion:	☒	Positive Determination:	☐
Negative Determination:	☐	Deferral:	☐
Neg. Deter. with Conditions:	☐	Exemption:	☐

B. BACKGROUND AND ACTIVITY/PROGRAM DESCRIPTION

1. Proposed Federal Action

The Anti-Corruption Civic Organizations' Unified Network (ACCOUNT) is a multiple-year program that will encourage anti-corruption networking among non-governmental organizations (NGOs), and strengthen and streamline the voice of civil society to put pressure on the BiH government to enforce and sustain anti-corruption reforms required for BiH's European integration process. The Project is designed to provide wide spectrum of BiH civil society organizations with the technical assistance and skills necessary to engage in the critical process of anti-corruption reform.

2. Program Overview

ACCOUNT will include the following three components:

1. **Component 1:** Creation of policy-based nation-wide civil society networks to monitor, report, and engage with the government in anti-corruption activities;
2. **Component 2:** Development, adoption and enforcement of existing and new anti-corruption legislations and policies;
3. **Component 3:** Public education and outreach to allow adequate and safe avenues for citizens to report on corruption.

To achieve results in these three components, ACCOUNT will assemble all local NGOs engaged in anti-corruption activities to provide a needed forum for information sharing and initiating joint actions with an articulated voice against corruption. More specifically, over the next three years ACCOUNT will conduct the following activities:

1. Component 1:

- 1.1. Coordination meetings for anti-corruption civil society organizations;
- 1.2. Roundtables organized on specific topics including government officials, political parties and/or representatives of the private sector;
- 1.3. Research paper on selected topics related to anti-corruption;
- 1.4. Outreach and meetings with grassroots anti-corruption organizations;

2. Component 2:

- 2.1. Holding public debates on certain legislations and policies;
- 2.2. Research on certain legislations and policies;
- 2.3. Monitoring of the enforcement of existing legislations;
- 2.4. Promoting advocacy for adequate legislative improvements;
- 2.5. Leading the process of engaging anti-corruption bodies in effective dialogue.

3. Component 3:

- 3.1. Convening local community (town hall) meetings throughout BiH;
- 3.2. Administering an interactive web page;
- 3.3. Promoting utilization of the freedom of information legislation to increase civic activism in raising government transparency;
- 3.4. Using traditional (local radio, TV, and print) and new media technology (online magazines, Facebook, Twitter, YouTube) to promote anti-corruption activities;
- 3.5. Developing an anti-corruption hot-line for reporting corruption.

• COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)

a. Country Information (Baseline Information on the Need for the Project)

In addition to extremely complex governance structures, a general lack of transparency and accountability among elected officials, apathy of citizens, and the lack of democratic traditions, Bosnia and Herzegovina (BiH) suffers from wide-spread public corruption that plagues all aspects of government and society and severely impedes reforms. Public corruption has a destabilizing effect on political stability and economic development. It weakens democracy and good governance, destroys decision-making processes, reduces accountability, undermines the rule of law, and results in ineffective provision of services. It weakens economic development by inflating the cost of doing business, avoiding competition, lowering compliance with regulations, and diverting budgetary resources away from the provision of public goods and services to private gains. Most importantly, corruption reduces the accountability of a government to its citizens, and undermines their trust.

According to all relevant measurement instruments, including the Heritage Foundation's Index of Economic Freedom¹, Transparency International's Corruption Perceptions Index (CPI)² and TI's Global Corruption Barometer³ corruption in Bosnia and Herzegovina is perceived as widespread and all scores remain well below the regional average. Corruption remains prevalent in many political and economic institutions. There is an indication of inefficiency and high government spending, weak protection of property rights, and widespread corruption which discourage entrepreneurial activity and foreign investments. Political will to tackle corruption appears to be low. Despite various indications of serious corruption affairs, no corruption-related convictions of high-level officials have taken place so far.

Progress of BiH in the European integration process depends on fulfillment of the requirements of the Stabilization and Association Agreement (SAA) with the EU. The European Commission annually issues a progress report which monitors the progress of BiH in three key areas, including political and economic criteria and European standards. This report is submitted to the European Parliament and the Council in Brussels, and therefore presents one of the key benchmarks for the BiH-EU integration process. The EC progress report monitors the level of progress of anti-corruption policies as a sub-area within the political criteria. However, anti-corruption is a cross-cutting theme within the economic criteria as well.

By utilizing skills and energy of existing anti-corruption civic advocacy and watch-dog groups, ACCOUNT will advocate for effective accountability mechanisms and the investigative capacity of government institutions by supporting civil society organizations in their ability to effectively participate in and oversee government activities, in order to reduce the pre-conditions for corruption.

The program is designed to augment existing anti-corruption efforts funded by USAID and other donors in selected sectors including public procurement, education, health, and political party financing. It will also expand anti-corruption efforts into other sectors in which USAID/Bosnia already invested resources and which EU has identified as crucial for BiH integration process.

b. Baseline Environmental Information

Environmental Context Related to the Project

USAID/Anti-Corruption Civic Organizations' Unified Network (ACCOUNT) will fully comply with host country environmental policies and regulations. It is expected that activities under this project will have NO impact on BiH environment and biodiversity.

¹ The Heritage Foundation's [Index of Economic Freedom](#) covers 10 freedoms (business freedom, trade freedom, fiscal freedom, government spending, monetary freedom, investment freedom, financial freedom, property rights, freedom from corruption, labor freedom) in 183 countries. The Index uses a scale from 0 to 100, where 100 represents the maximum freedom.

² [Transparency International's Corruption Perceptions Index](#) measures the degree to which public sector corruption is perceived to exist in 178 countries around the world. It scores countries on a scale from 10 (very clean) to 0 (highly corrupt).

³ [TI's Global Corruption Barometer 2010](#) surveys more than 91,000 people in 86 countries and territories. It focuses on petty bribery, perceptions of public institutions and views of whom people trust to combat corruption.

Environmental issues in BiH are primarily dealt by entity-level governments through laws and regulations that are partially harmonized. The National Environmental Action Plan exists however there is no environmental strategy developed. BiH has very limited financial resources. The institutional structure in the field of environment is very complex and inefficient. The Ministry of Foreign Trade and Economic Relations has received the authority over the issues related to natural resources and environmental protection at the state level, however, the capacity on the state level is still insufficient due to non-existence of the state level environmental protection agency.

Some legislative steps have been taken by BiH regarding air, water and waste water management. A monitoring system has been established and it is operational for air quality. Both Entities have adopted legislation and bylaws on air protection. There have been improvements in the development of the legislation for waste management as well. The Waste Management Strategy has been developed and current legislation has been amended according to the Strategy. A register of the polluters has been developed. Regarding water quality, the collection of data on water quality is not functioning. Water quality reporting and waste water treatment remain the key environmental challenges. Water quality in the major rivers is generally not good due to discharge of effluent.

Description of Relevant Environmental and Natural Resources Policy, Law and Regulation

The administrative structure for issues related to the environment and biodiversity in BiH is extremely complex. There are three administrative levels involved – entity, cantonal, and local/municipal. Although the responsibilities and jurisdictions between different levels have been clearly defined in environmental legislation, there is a serious lack of coordination within the structure.

Federation BiH

Environmental management in the Federation BiH is uneconomical and unsustainable. The main reason for this serious lack of coordination, disorientation, and duplication between the different levels of administration responsible for environmental issues lies in the fact that institutionalized mechanisms and channels for exchange of information virtually do not exist. In addition to the relevant ministries involved in the environment and biodiversity, the Federation has quite an impressive number of specialist institutions that provide expert consulting, inspection and monitoring, and/or services that protect citizens, property and the environment/biodiversity from natural disasters. These institutes and agencies work under relevant ministries or report directly to the government. While the structure and number of institutions is rather impressive, the lack of inter-ministry coordination on all levels, as well as weak information exchange, are serious issues that impede and obstruct efficient environment/biodiversity management. Additionally, inadequate experience in environmental management of ministerial staff often results in serious gaps between the legal requirements and actual implementation

The environmental protection legal framework in FBiH consists of five laws that were developed and adopted in 2003 at the entity level:

- Law on Environmental Protection;
- Law on Nature Protection;
- Law on Waste Management;
- Law on Air Protection; and
- Law on Environmental Protection Fund.

Adoption of these laws was a crucial step towards harmonizing BiH legislation with the EU. Although, FBiH adopted several of the sub-laws that harmonized many aspects of environmental protection with the EU legislation, the process of harmonization is far from finished. The process of harmonization must continue in order for FBiH to meet all EU directives related to regulating the environment. The main impediments to harmonization are the lack of a vision and the lack of a strategy for improving the efficiency of the harmonization processes.

Furthermore, harmonization of legislation is required within the legal structure in the entity and cantonal governments. The environmental laws adopted in 2003 were at the entity level, and some cantons have never adopted cantonal laws. In addition, some cantonal laws were adopted prior to the year 2003, so many provisions in these laws are inconsistent with the 2003 entity environmental laws.

The Republika Srpska (RS)

The institutional framework for environment in the RS is simpler than the one in FBiH. There are only two levels of administration in the RS: entity and local. Similarly to FBiH, there are public enterprises tasked with specific consulting, monitoring or other services related to the environment.

At the entity level, the Ministry for Spatial Planning, Construction, and Ecology is responsible for all issues related to the environment. This Ministry is responsible for drafting and adopting laws, implementing laws relevant to environmental protection, recommending areas to be protected, and monitoring and supervising work of local/municipal administrations. Within this ministry, there is a specialized department that handles environmental issues. Some responsibilities at the entity level related to the environment are also delegated to the Ministry of Agriculture, Forestry and Water Works; the Ministry of Education; and the Ministry of Trade and Tourism. The roles and responsibilities of each of these ministries have been defined by the Law on Ministries (2002). This same law provides for the role of the Public Institute for Protection of Cultural, Historical and Natural Heritage of Republika Srpska. This institution is tasked with all works related to protected areas, including updating the register of protected areas. They also provide expert and consulting services related to protection of the RS. In its work, the institute cooperates with other public institutions in the RS, such as faculties, museums, etc. In addition, and similarly to FBiH, there are public enterprises that manage natural parks. In the RS, there are two such institutions that are responsible for the national nature parks, Sutjeska and Kozara. Also, there is a public enterprise “Srpske Sume” that is responsible for overall management of all forests in the RS.

The most significant legislative reform related to the environment in the RS was the adoption of a set of entity laws on the environment. This set of five laws was drafted and adopted by both entities at the same time and are harmonized with EU legislation regulating the environment. Furthermore, and similarly to FBiH, there are other pieces of legislation that regulate certain aspects of the environment that were adopted in the RS. These include the following:

- Law on Forests (2003);
- Law on Hunting (2002);
- Law on National Parks (2005);
- Law on Waters (2006);
- Law on Agricultural Lands (2006);
- Law on Fishing (2002);
- Law on Communal Police (2003);
- Law on Fees for Utilizing Natural Resources for Energy Generation (2003); and
- Law on Environmental Fund (2002).

The Republika Srpska is facing some of the same issues as FBiH, including the requirement for full harmonization of its legislation with EU regulations. As previously stated, in order to harmonize its legislation with the EU, the BiH government started revising existing laws in 2006. This project was financed by the EC with the ultimate goal of monitoring the level of harmonization with EU regulations.

D. EVALUATION OF ACTIVITY WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL AND IDENTIFICATION OF MITIGATION MEASURES

Component 1: Creation of policy-based nation-wide civil society networks to monitor, report, and engage with the government in anti-corruption activities

- 1.1. **Coordination meetings** will bring together BiH local NGOs engaged in anti-corruption activities to provide a needed forum for information sharing and initiating joint actions with an articulated voice against corruption. Participants will dictate the topics of discussions.
- 1.2. **Roundtables** will be organized on specific topics and will include anti-corruption civil society organizations, government officials, political parties and/or representatives of the private sector. The objective of these round tables is to enhance mutual dialogue, highlight existing points of contention and agreement among all key stakeholders.
- 1.3. **Research papers** on selected topics related to anti-corruption will be issued to enhance anti-corruption policy development and support civil society advocacy efforts.
- 1.4. **Community Outreach Meetings** will be organized in smaller municipalities outside of main cities to enhance the involvement of grassroots anti-corruption organizations. This will elevate existing anti-corruption grassroots initiatives to entity or state level policy discussions and will encourage cooperation between local-level authorities and civic structures active in these smaller municipalities.
- 1.5. **Limited procurement of office equipment** is planned at the beginning of the project. ACCOUNT implementing partner may include limited procurement of computers, printers, scanners, photocopiers, cell phones, landline phones, fax machines, and other technology needed to operate an office. All small office equipment will be under \$5,000.

Table 1 Illustrative activities under Program Component One—Creation of policy-based nation-wide civil society networks to monitor, report, and engage with the government in anti-corruption activities

Illustrative Activities	Potential Impacts
1.1 Coordination meetings	None
1.2 Roundtables	None
1.3 Research papers on topics related to anti-corruption;	None
1.4. Community Outreach Meetings	None
1.5. Limited procurement of office equipment	None

2. Component 2: Development, adoption and enforcement of existing and new anti-corruption legislations and policies

- 2.1 **Public debates** on certain legislations and policies will promote coordination among local NGOs around development and adoption of new legislations and changes of existing anti-corruption legislations and policies.
- 2.2 **Research** on certain legislations and policies related to anti-corruption will be issued to support innovative solutions and legislative or policy proposals that best address the needs and interests of anti-corruption civil society stakeholders and (if applicable) the private sector.

2.3 Monitoring of the enforcement of all relevant anti-corruption legislations, including the Criminal Code, the Law on Criminal Procedure, the Law on Conflict of Interest, the Public Procurement Law and the Freedom of Information Law.

2.4 Advocacy activities for adequate legislative improvements will include public campaigns focused on achieving selected legislative change.

2.5 Engaging anti-corruption bodies in effective dialogue through series of meetings with all stakeholders aims to developing dialogue among different stakeholders and to identify innovative solutions and develop legislative or policy proposals that best address the needs and interests of anti-corruption civil society stakeholders and (if applicable) the private sector.

Table 2- Illustrative activities under Program Component Two: Development, adoption and enforcement of existing and new anti-corruption legislations and policies	
Illustrative Activities	Potential Impacts
2.1. Public debates	None
2.2. Research on certain legislations and policies	None
2.3. Monitoring activities	None
2.4. Advocacy activities	None
2.5. Engaging anti-corruption bodies in effective dialogue	None

3. Component 3: Public education and outreach to allow adequate and safe avenues for citizens to report on corruption.

3.1. Local community (town hall) meetings will be organized in coordination with existing grassroots anti-corruption organizations in smaller municipalities in order to reach out to common people and provide them adequate information on anti-corruption activities and encourage their participation in this process.

3.2. Interactive web page will provide adequate and timely information on all activities, news and legislations relevant to the project.

3.3. Promotion of the Freedom of Information Act (FOIA) will increase civic activism in raising government accountability. This program will provide user-friendly guidelines, brochures and pamphlets to increase access to public information at the grassroots level.

3.4. Public outreach will include usage of traditional (local radio, TV, and print) and new media technology (online magazines, Facebook, Twitter, YouTube) to promote anti-corruption activities;

3.5. Anti-corruption hot-line will provide citizens of BiH effective and safe means to report corruption.

Table 3 Illustrative activities under Program Component Three —Public education and outreach to allow adequate and safe avenues for citizens to report on corruption	
Illustrative Activities	Potential Impacts
3.1. Local community (town hall) meetings	None
3.2. Web page administration	None
3.3. Promotion of FOIA	None
3.4. Public outreach	None
3.5. Anti-corruption hot-line	None

E. RECOMMENDED ENVIRONMENTAL ACTION

1. Recommended Environmental Threshold Determinations:

Categorical Exclusions:

A categorical exclusion is recommended for the following activities:

- A categorical exclusion pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc) is recommended for activities 1.5, 2.2, 2.3, 2.4, 3.2, 3.3, 3.4 and 3.5. These activities related to training and capacity building, establishment of a core team of professionals, development of guidance tools, coordination of civil society organizations.
- A categorical exclusion is recommended pursuant to 22 CFR 216.2(c)(2)(iii) for analysis, studies, academic or research workshops and meetings is recommended for activities 1.1, 1.2, 1.3, 1.4, 2.1, 2.2, 2.3, 2.4, 2.5, and 3.1. These activities relate to training and capacity building of local civil society organizations and citizens.

Per 22 CFR 216.2(c)(1), neither an IEE nor an EA is required for activities which are determined to fall within one or more of the classes of activities listed in 22 CFR 216.2(c)(2).

F. MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS AND WORKPLANS

- Appropriate environmental compliance language shall be included in solicitations and awards for this activity with an appropriate level of funding and staffing to satisfy the environmental compliance requirements set forth in this IEE. Environmental mitigation and monitoring requirements shall also be included in solicitations and awards.
- Adherence to the conditions set forth in this IEE shall be included as PMP Indicator.
- Implementing partner will incorporate conditions set forth in this IEE in to their work plans and an indicator for environmental compliance shall be included as part of the project's performance monitoring plan.

G. LIMITATIONS OF THE IEE:

This IEE does not cover activities involving:

1. Classes of actions normally having a significant effect on the environment pursuant to 22 CFR 216.2(d)(1):
 - i. Programs of river basin development;
 - ii. Irrigation and water management;
 - iii. Agricultural land leveling
 - iv. Drainage projects
 - v. Large scale agricultural mechanization
 - vi. Resettlement Projects
 - vii. New land development
 - viii. Penetration road building and road improvement
 - ix. Power plants;
 - x. Industrial plants
 - xi. Potable water and sewerage projects
2. Activities affecting endangered species or introducing exotic species

3. Support to extractive industries (e.g. mining and quarrying).
4. Support for activities that promote timber harvesting;
5. Construction, reconstruction, rehabilitation, or renovation work.
6. Activities involving support to agro-processing, industrial enterprises, and regulatory permitting.
7. Activities involving support to industrial enterprises, and regulatory permitting.
8. Potential activity components dealing with privatization of industrial facilities or infrastructure with heavily polluted property.
9. Project preparation, project feasibility studies, and infrastructure investments for projects that may have a potentially significant impact on the environment.
10. Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA – ‘Federal Insecticide, Fungicide, and Rodenticide Act’.
11. Procurement or use of genetically modified organisms (GMOs).
12. DCA or GDA programs.

Any of the above actions would require an amendment to the IEE approved by the E&E Bureau Environmental Officer (EE/BEO).

H. REVISIONS:

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered “major” and their effect “significant,” or if additional activities are proposed that might be considered “major” and their effect “significant,” this IEE will be reviewed and, if necessary, revised by the Mission Environmental Officer (MEO) with concurrence by the EE/BEO. It is the responsibility of the USAID AOTR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of the IEE.

I. RECOMMENDED ENVIRONMENTAL THRESHOLD DECISION

A categorical exclusion is recommended for the following activities:

- 1.5, 2.2, 2.3, 2.4, 3.2, 3.3, 3.4 and 3.5 pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc).
- 1.1, 1.2, 1.3, 1.4, 2.1, 2.2, 2.3, 2.4, 2.5, and 3.1 pursuant to 22 CFR 216.2(c)(2)(iii) for Analyses, studies, academic or research workshops and meetings.

USAID Approval of Recommended Environmental Threshold Decision:

USAID Mission Director:
Alan Reed

 Date: 06/13/2011

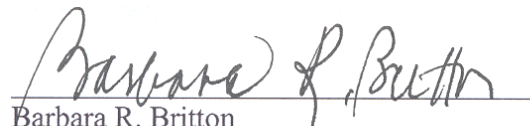
USAID /Project COTR/AOTR:
Selma Sijercic

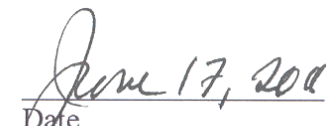
 Date: 06/13/2011

USAID/MEO:
Samir Dizdar

 Date: 6/12/11

Concurrence:


Barbara R. Britton
E&E Bureau Environmental Officer


Date

Distribution:

IEE File
Mission Environmental Officer (to also provide a copy to COTR)

[END OF SECTION F]

[END OF RFA NO.: RFA-168-12-000001]