



USAID
FROM THE AMERICAN PEOPLE

Issuance Date: December 21, 2009
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Closing Date and Time for Application Submission: February 5, 2010

Subject: Request for Applications (RFA) Number: RFA-518-10-000003
RFA Title: Strengthening Civil Society in Ecuador

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications from US and local organizations for funding to support a program entitled "Strengthening Civil Society in Ecuador". The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of goals and expected results.

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

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

Subject to the availability of funds, USAID intends to provide approximately \$2,581,000.00 in total USAID funding to be allocated over the thirty-month year period. USAID reserves the right to fund any or none of the applications submitted.

Award will be made to the responsible applicant whose application offer the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

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

All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any clarification questions concerning this RFA should be submitted in writing to Ms. Doanh Van, Agreement Officer via e-mail at dvan@usaid.gov and Luisa Alvarado, Acquisition and Acquisition Specialist, via email at lalvarado@usaid.gov by the date listed above. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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

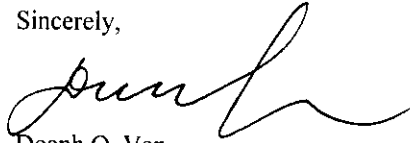
U.S. Agency for International Development
Av. La Encalada, cdra. 17
Monterrico, Surco
Lima 33, Perú

Phone: (511) 618-1200
Fax: (511) 618-1350
<http://www.usaid.gov/>

The applicant shall submit applications in BOTH electronic and hard copy format as described in Section IV.

Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

Sincerely,

A handwritten signature in black ink, appearing to read 'Doanh Q. Van', with a stylized, flowing script.

Doanh Q. Van
Agreement Officer

Encl: Section I, Funding Opportunity Description;
 Section II, Award Information
 Section III, Eligibility Information;
 Section IV, Application and Submission Information
 Section V, Application Review Information
 Section VI, Award and Administration Information
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I. Funding Opportunity Description

I. INTRODUCTION

A stronger and better organized civil society that promotes adherence to democratic practices and principles and upholds democratic values and behavior is an essential factor for strengthening Ecuadorian democracy. Civil society organizations (CSOs) are not sufficiently well integrated, coordinated, and specialized to reach these objectives. In addition, the legal, political, and financial environment for civil society in Ecuador presents uncertainties and major challenges.

The United States Agency for International Development Mission in Ecuador (USAID/Ecuador) will support the implementation of the Strengthening Civil Society project for a period of three years and an amount not to exceed \$2,580,000, pending the availability of funds, in order to enhance the capacity of CSOs to participate more effectively in the oversight of public institutions and democratic processes, policy dialogue and decision-making, and promotion of key democratic values and practices. This project will complement technical capacity building and democracy strengthening efforts with assistance that enhances the financial, organizational, and networking capacity of targeted CSOs.

This project will support innovative initiatives by CSOs to oversee, promote, and implement basic democratic principles including freedoms of association and press, checks and balances, inclusion in democratic and political processes, and transparency in governance. Special support will be provided to media strengthening efforts including assistance for better understanding of media role by citizenry. The project will also support efforts by CSOs to improve the legal enabling environment and transparency mechanisms for this sector.

USAID/Ecuador seeks to continue supporting CSOs strongly committed to democracy strengthening. Support will be expanded to diverse types of CSOs including media, advocacy NGOs, think tanks, universities, professional associations, among other groups. Assistance will be provided to CSOs representing different types of sectors including media, civic groups, etc. To accomplish this, the proposed project should place particular emphasis on promoting networking and alliance efforts by these organizations as well as exploring opportunities to include CSOs that represent underrepresented groups such as Afro-Descendents and women.

During the period of this award (2010-2012), CSO strategies and approaches need to be flexible and innovative enough to respond to challenges that civil society confronts to effectively influence democracy strengthening. This project will coordinate initiatives of oversight and citizen participation with USAID/Ecuador's projects "Strengthening Democracy in Ecuador" implemented by the local NGO *Participacion Ciudadana*, "Strengthening Administration of Justice", and "Promote More Democratic and Effective Municipalities in Ecuador". Moreover, it should encourage financial and organizational sustainability efforts for CSOs participating in these other projects.

This project will help advance mutual Ecuador and U.S. democracy objectives. It will contribute to USAID/Ecuador's Country Strategy Assistance Objective "More Effective, Democratic and Transparent Governance." Activities should specifically aim at achieving the Assistance Objective's Intermediate Result 2 "Improved civil society participation and oversight capacity at the national level." It will also contribute to the United States Government's foreign assistance objective of Governing Justly and Democratically by enhancing Civic Participation (Program Element 2.4.1) and promoting Media Freedom and Freedom of Information (Program Element 2.4.2).

This project will also contribute to Ecuador's National Development Plan objective #10, which seeks to guarantee citizens access to public and political participation. USAID/Ecuador and the recipient will promote coordination efforts for the implementation of this project with Government of Ecuador (GOE) institutions such as Ecuadorian International Cooperation Agency (AGECI), which is responsible for

international cooperation monitoring and coordination and with the appropriate ministries and other GOE national institutions tasked with advancing citizen participation and government transparency.

II. BACKGROUND

The thirty-year history of democratic rule in Ecuador has been marked by few periods of political calm mixed with more frequent periods of political and economic instability. Since taking power in early 2007 as Ecuador's eighth president since 1997, Rafael Correa has pursued a policy of governmental reform and "citizen revolution." In September 2008, a referendum in support of a new constitution granted popular approval for President Correa's platform for national change.

Although the new constitution provides important legal advances in terms of mechanisms to promote citizen participation in governance, there are major challenges that civil society has to confront to effectively participate in the strengthening of the democratic system. The reorganization of democratic institutions under the constitution requires increased oversight by CSOs. Some concerns that CSOs have with the Government's new direct democratic participation model include: limits to the traditional bottom-up approach that civil society uses to influence government decisions; partisan civil society leaders; and a complicated legal framework for CSOs as demonstrated in Presidential Decree No. 982 approved in March 2008 that provides the Government with discretion to dissolve CSOs for taking actions that are "contrary to State interests."

Other civil society organizations, including the media, may also be affected by new constitutional provisions and legislation such as a communication law that is viewed by many as limiting freedom of press and information.

In addition, due to the recent elections and the new constitution, many aspects of the government institutions are in flux and many institutions are lacking clearly defined roles and responsibilities. The role of the new branch of government or "5th power"—the Council for Citizen Participation and Social Control—may provide a unique opportunity for civil society to participate directly in government policymaking processes. On the other hand, public opinion leaders have expressed concern that it may prove to be a body controlled by the Executive that minimizes pluralism and political voice. Civil society must be able to continue to exist independently and thrive outside of this structure.

Given the propensity of reorganization processes to be politicized in Ecuador, the role of civil society will be essential to ensuring that this process is addressed in a fair and transparent manner. The oversight and participation of civil society organizations will also be necessary to promote governmental and citizen adherence to, and advancement of, basic democratic principles such as freedom of association, freedom of press, inclusiveness of vulnerable groups in political processes, and transparency in governance. Moreover, the role of objective and respected civil society groups in the formulation of key reforms around these issues will be fundamental to positively influence improvements in Ecuador's political, social and economic structure. Civil society must play a role in shaping the future of Ecuador and its governing system.

For years USAID/Ecuador has supported citizen participation strengthening programs in Ecuador. Due to the number of elections in recent years, support to civil society from 2005 to 2009 focused on efforts to successfully hold free, fair, inclusive, and transparent elections. USAID/Ecuador also helped advance other activities originated by civil society such as a pioneer citizen participation approach to the design and promotion of legislation in Ecuador. USAID/Ecuador has also supported innovative and successful civic participation experiences at the local level. A recent USAID-financed Democracy and Governance Assessment pointed out that continued promotion of civil society oversight and participation in key democratic processes is a critical area for foreign assistance to democracy in Ecuador.

III. GOAL

The long-term goal of this project is to build the capacity of civil society to promote transparency in governance and positively influence democratic processes.

IV. OBJECTIVES

As part of its application the applicant will present a set of illustrative activities for achieving the following proposed objectives:

1. Strengthen the capacity of CSOs to effectively influence democratic processes, institutions, and adherence to democratic principles.

Ecuador's democratic system is permeated by chronic distrust in democratic institutions and elected officials. Lack of transparency in decision-making and governance has a direct effect on this situation. In addition, citizens are skeptical about the real impact of their participation in public policy. As important channels of communication, advocacy, and interaction between citizens and their government, civil society organizations should promote transparency and more effective citizen participation in policy-making thus helping enhance confidence in government.

As part of this project, USAID/Ecuador will support oversight and advocacy efforts by civil society organizations in areas that directly contribute to the deepening of key democratic values, including freedom of association, freedom of press, checks and balances, inclusion in democratic and political processes, and transparency in governance. USAID/Ecuador will also support civil society promotion of good governance practices such as accountability, transparency, and constructive dialogue to influence public policy.

The recipient will propose innovative oversight and advocacy methodologies and approaches that civil society groups could apply in order to influence democratic processes and public policy in the issues identified above. USAID/Ecuador expects that the project will place special emphasis on the monitoring of and follow-up to the incorporation of recommendations made by the recipient or its sub-grantees regarding public policies, including laws, procedures, rules and/or regulations, as well as the actions or corrective measures that the recipient calls for as a result of its oversight efforts.

The recipient should place particular attention to the oversight of institutions responsible for the making and implementation of public policy regarding press freedoms and freedom of association. Examples of such institutions include the Citizen Participation of Social Control Council, the National Assembly, the Coordinating Ministry of Social Development, and the National Telecommunications Council (CONATEL). Other institutions to be included may be established by the pending Communications Law (scheduled to be enacted in early calendar 2010). Moreover, under this objective, this project will provide significant support to media and other civil society organizations working with media and journalists to strengthen their capacity in areas such as investigative journalism, coverage of democracy and political reforms, improved outreach to citizenry, and more active participation in the promotion of democratic values and issues.

This project will also ensure support to further advance current local initiatives that seek to enhance a more favorable legal environment for CSOs. For example, it should facilitate a constructive dialogue with the GOE to incorporate legal reforms to current legislation and establish self-regulation systems for CSOs. In this regard, the project should expand assistance efforts such as those developed to date by the International Center for Not-for-Profit Law (ICNL) under USAID/Washington's Legal Enabling Environment Program (LEEP), or other successful initiatives implemented to date to enhance CSOs legal environment.

To expand civil society oversight and advocacy capacity USAID/Ecuador seeks to support a broader base of CSOs strongly committed to democracy strengthening including NGOs, media organizations, universities, associations, and think tanks. The project should place emphasis in promoting networking and alliance efforts among civil society organizations. It should also promote policy dialogue efforts by civil society including targeted forums, dialogues, and debates on issues concerning the areas indicated above. The recipient will need to define concrete purposes and outcomes of each policy dialogue activity and ensure the participation of relevant people including GOE officials, political parties, and civil society groups representing vulnerable groups.

Expected results:

- Civil society organizations, including those that represent and/or work with vulnerable groups of the population, implement effective advocacy and watchdog strategies.
- At least eight key public policies, laws, regulations, and/or procedures in democracy-related issues (including freedom of association, press, and communication) are drafted with civil society participation and input.
- At least 20 reports or articles produced by journalists and/or media representatives that participate in training activities under this project provide quality and clear information to the public on democracy strengthening issues, especially on issues related to freedom of association or press freedoms.
- Citizens have greater access to information on quantitative and qualitative aspects of political processes and functioning of public institutions through CSOs communication products and strategies such as oversight reports and analysis, blogs, forums, etc.
- National and/or local public institutions establish oversight mechanisms as a result of innovative and/or effective strategies developed by CSOs under this project.
- Increased debate promoted by CSOs over key democratic issues including freedoms of association and press, checks and balances, inclusiveness in political processes, and transparency in governance.

Indicators:

The recipient shall develop a baseline and track at least the following indicators from USAID's standard indicators for Civic Participation and Media Freedom and Freedom of Information program elements:

- Number of positive modifications to enabling legislation/regulation for civil society accomplished with USG assistance.
- Number of policies that have been influenced by civil society organizations.
- Number of USG-assisted CSOs that engage in advocacy and watchdog functions.
- Number of participants in USG-funded programs supporting participation and inclusion of traditionally marginalized ethnic minority and/or religious minority groups.
- Number of positive modifications to enabling legislation/regulation for media drafted with USG assistance.

In addition, the recipient will track the following indicator from the GOE's National Development Plan Objective 10:

- Number of civic participation processes that support participatory governance.

2. Strengthen the capacity of selected CSOs to develop more effective sustainability efforts and function more transparently.

Enhancing the financial, organizational, and networking capacity of key CSOs is needed to succeed in sustaining democracy strengthening efforts under this project. In addition, promoting new leadership and enhancing the capacity of current CSO leaders is also important to address the major challenges that this sector confronts.

During the proposed period, the recipient will identify institutional and organizational needed reforms in selected CSOs—including those participating in other democracy projects—and develop concrete activities to promote financial sustainability and diversification of financial resources from national and international sources. The recipient will also undertake efforts to assist these organizations strengthen research, and monitoring and evaluation capabilities.

Leadership development is another key aspect to be supported under this project. The project shall give special attention to enhancing the current leadership and promoting new leaders in this sector, especially in CSOs that represent and work with marginalized groups and vulnerable populations such as Afro-Descendents and women.

Another key challenge for CSOs is to be able to operate under the new legal framework for this sector. For this, the major aspects that CSOs need to address are the building or strengthening of legal technical capacity within the organizations, and the establishment of internal controls and transparency mechanisms. This project will provide targeted support to key CSOs—especially organizations that implement USAID-sponsored democracy initiatives under the projects “Strengthening Democracy in Ecuador”, “Strengthening Administration of Justice”, and “Promote More Democratic and Effective Municipalities in Ecuador”—to advance their legal technical capacity and transparency mechanisms including accountability, internal controls, and public outreach.

To promote alliances and other networking strategies and to expand USAID’s support to CSOs with the potential to succeed in democracy strengthening objectives, the recipient shall examine if there are any initiatives already developed or planned by the public or private sector to identify civil society organizations that work in the democracy sector. Based on this analysis, the recipient will propose an appropriate mapping activity to be implemented under this project.

Expected results:

- Selected CSOs in Ecuador have improved capacity to identify and diversify their funding sources.
- Institutional and organizational reforms adopted by selected CSOs result in improved and streamlined operations, improved administration and financial systems, and effective internal and external communications.
- CSO leaders or emerging leaders from this sector that supported under this project enhance their skills to effectively manage and improve the capacity of their organizations.
- At least ten CSOs supported under this project establish transparency mechanisms.
- Increased numbers of CSOs are informed on legal framework regulating CSOs and provide input for enhancing operations and laws or regulations for this sector.

Indicators:

The recipient shall develop a baseline and track at least the following “custom” indicators to measure the impact of this project component:

- Number of CSOs with increased institutional capacity measured by improvements in specific aspects such as streamlined operations of administration and financial systems, sound internal and external communication systems, CSOs inputs actually incorporated into laws, regulations, and/or procedures, increased number of inputs/opinions by assisted CSOs in media outlets.
- Number of CSOs with diversified sources of revenue so that no source accounts for more than 60% of revenue.

In addition, the recipient shall track the following jointly-accepted indicators from the Agency's standard indicators for Civic Participation and Media Freedom and Freedom of Information programs elements:

- Number of CSOs using USG assistance to improve organizational capacity.
- Number of media Civil Society Organizations and/or support institutions assisted by USG.

V. SPECIAL CONSIDERATIONS

Gender

The recipient will promote gender considerations under this program. Also, whenever applicable, the performance indicators will contain gender-disaggregated data. Gender is not a "euphemism" for women. It means examining the constraints and opportunities for both men and women, particularly as they may differ. Including gender means, for example: (1) assessing how the participation of men and women through civil society may be different, (2) how the impact of activities may differentially affect men and women, and (3) how the contributions of men and women may affect results in different ways. The recipient shall demonstrate a knowledge of and sensitivity to gender issues and translate such into effective implementation of the project.

Partnerships

For the past decade USAID/Ecuador has been one of the major international cooperating agencies supporting civil society in the diverse Democracy and Governance areas of justice, electoral reform, local governance, and good governance. This project should aim at forming partnerships and seek to engage the private sector, other donors, international organizations, and civil society institutions, in order to provide comprehensive approaches to civil society strengthening and also leverage additional funds to enhance proposed project results, promote sustainability of these activities, and provoke a broader impact.

VI. PROJECT IMPLEMENTATION

The recipient shall submit Annual Implementation Plans detailing objectives, planned results, activities, indicators, travel and acquisition plans, as well as detailed scheduling for the activities to be conducted each year from FY 20010 to FY 2012.

As appropriate, USAID/Ecuador and the recipient will promote coordination efforts for the implementation of project activities with the Government of Ecuador (GOE) institutional tasked with advancing citizen participation and government transparency.

VII. AWARD ADMINISTRATION

22 CFR 226, OMB Circulars, and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable. These documents may be accessed through the world-wide-web at:

<http://www.gpoaccess.gov/cfr/index.html>

<http://www.usaid.gov/policy/ads/omb.html>

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

VIII. APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

- (a) The provisions of 22 CFR Part 226 and the Standard Provisions that will be attached to the agreement upon award are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The

recipient shall assure that subrecipients have copies of all the attached standard provisions.

- (b) For any awards or subawards made to Non-US organizations, the "Standard Provisions for Non-US Nongovernmental Grantees" shall apply. All recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[END OF SECTION I]

II. Award Information

A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide approximately \$2,580,000 in total USAID funding for the thirty-month life of the activity.

B. Number of Awards Contemplated

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

C. Start Date and Period of Performance

The period of performance anticipated herein is for thirty months, through September 30, 2012. The estimated start date is on or about May 1, 2010.

D. Type of Award

USAID/Ecuador expects to award one Cooperative Agreement.

E. Substantial Involvement

USAID plans to negotiate and award one Cooperative Agreement to a US or local Non-Governmental Organization or a coalition of organizations. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer’s Technical Representative (AOTR). The intended purpose of the AOTR involvement during the award is to assist the recipient in achieving the objectives of the agreement.

USAID anticipates a close working relationship with the implementing partner. USAID’s substantial involvement under this cooperative agreement will extend to:

1. **Approval of the recipient’s work/implementation plan.** USAID anticipates that a draft work plan for the first 12 months of the project will be submitted as part of the application. While the draft work plan might serve as a foundation, the recipient shall submit for USAID approval a revised version of this 12-month work plan within 30 days of the date of the award.
2. **Approval of specified key personnel:** USAID will approve the personnel filling those positions considered to be essential to the successful implementation of the award. Key personnel may include a maximum of three positions.
3. **Agency coordination and collaboration with implementing partner:**
 - 3.1 **Performance Monitoring and Evaluation Plan.** USAID will review and approve the recipient’s monitoring and evaluation plan. An initial draft PMP inclusive of realistic and appropriate performance indicators and plans for periodic evaluation of activities shall be submitted as part of the Application. A performance monitoring plan (PMP) detailing all plans for monitoring and evaluation (M&E) will be developed in the first 45 days after award.

F. Key Personnel and Overall Staffing Plan

A highly qualified and motivated team will be required to implement this program successfully. Applicants are encouraged to field a team that they believe will best accomplish the agreement objectives and achieve results. USAID expects that the recipient will provide a staffing plan, which should also include the

technical (gender, M&E, advocacy) and administrative and finance support personnel required to implement the program

USAID will approve the personnel filling those positions considered to be essential to the successful implementation of the award. Key personnel include the 1) Program Director; and 2) Two civil society experts with combination of expertise in the following areas: media strengthening, and/or promoting favorable CSOs frameworks, and/or financial and institutional sustainability; and/or effective watchdog and advocacy strategies. Interested applicants are invited to propose combinations of key staff. Applicant is requested to designate Key Personnel, indicating name(s) and position title(s). Preference will be given to a mix of local and international candidates.

A chart showing proposed staff is required.

The skills required for the key positions follows:

Program Director:

- A professional with a university degree (at least Master or another post-graduate degree) in social and political sciences or a relevant field.
- Minimum ten years of experience in development and civil society programs.
- Ability to communicate effectively in written and spoken English/Spanish
- Demonstrated ability to lead a complex, high-profile program
- Strong communications and interpersonal skills
- Professionalism and ability to interact with high-level Ecuadorian and U.S. officials

Civil Society experts:

- Professionals with post-graduate university degrees in social and political sciences or a relevant field to civil society strengthening work.
- Minimum eight years of experience in development programs working with CSO, government and private sector institutions
- Demonstrated ability to lead complex program components related to media strengthening, CSOs laws and regulations, financial and institutional sustainability, watchdog and advocacy.
- Strong communications and interpersonal skills

Applicants should provide qualifications and relevant experience of proposed Key Personnel, including technical capabilities, interpersonal skills, ability to work under difficult circumstances, and ability to form productive relationships with diverse counterparts.

Applicants may also identify/list other key and non-key positions/personnel deemed necessary. In this case, CV of other personnel should also be presented.

G. Performance Monitoring Plan and Work Plans

1. **A performance monitoring plan (PMP)** detailing all plans for monitoring and evaluation (M&E) will be developed in the first 45 days of the activity. However, an initial draft PMP will be submitted with the Application. Applicants will develop indicators that distinguish clearly between output indicators (workshops, trainings, publications) and outcome indicators (the expected results of the activities).

2. Work plans

As part of the application, the applicant will submit a draft work plan for the first 12 months of the project. In addition to the information above, this work plan will detail start-up activities, including an

explanation of when and how key decisions relating to the performance monitoring and evaluation plan referred in section II G.1. will be made. The successful applicant will submit a revised version of this 12-month work plan within 30 days of the date of the award to USAID/Ecuador for approval.

Subsequently, an 18-month work plan (covering months 13 – 30) will be prepared and submitted for USAID/Ecuador approval at the end of month 11 (from the date of award).

Work plans should include, at a minimum:

- Information on how activities will be implemented.
- Proposed accomplishments and expected progress towards achieving results.
- Timeline for implementation, including milestones and target completion dates.
- Planned collaboration with other major partners at national and sub-national levels.
- Any equipment or commodities to be procured.
- Detailed budget.

H. Reporting

The successful Applicant will meet USAID's minimum reporting requirements, i.e.: technical and financial reports to be submitted on a quarterly basis, to be submitted each calendar year. In addition, Applicants may be required to submit accruals on a quarterly basis.

All above activities will be included in the Program Description of the selected implementation recipient and will be an integral part of the award.

[END OF SECTION II]

III. Eligibility Information

1. Eligible Applicants

US and Local Non- Governmental organizations (NGOs)

2. Cost Sharing or Matching

Cost share of at least 20% of the total estimated amount is required from the applicant to fund proposed activities.

[END OF SECTION III]

IV. Application and Submission Information

1. Address to Request Application Package

This application is found on the internet at www.grants.gov . Potential applicants that cannot download application materials electronically may contact the individual listed below for assistance:

Ms. Mireya Matute
mmatute@usaid.gov

2. Content and Form of Application Submission

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

3. General Application Instructions

The following general guidance is applicable to the submission of the **Full Technical Applications under this RFA**.

1. *Applicants:* USAID will entertain Full Technical Applications from U.S. and non-U.S., non-governmental entities such as private, non-profit organizations (or for-profit companies willing to forego profits), including, universities, research organizations, professional associations, and relevant special interest associations. It is USAID's policy not to include profits of any nature under assistance agreements. Reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (e.g., OMB Circular A-122 for non-profit organizations), may be paid under the agreement contemplated by this RFA.
2. *Responsiveness:* Applicants should submit an application directly responsive to the terms, conditions, specifications and clauses of this RFA. As set forth in Section IV of this RFA, applications not conforming to this RFA may be categorized as non-responsive and eliminated from further consideration.
3. *Language:* It is USAID policy that English shall be the official language of all award documents. As a result, it is required that the main parts of the Full Technical application be in English. Specifically, the Technical Application Body specified in Section IV. 4 below and the body of the Cost/Business Application specified in Section IV. 5 below must be in English. However, attachments such as resumes, corporate background information specified as annexes to the Technical Application in Section IV. 4 and any copies of pre-existing documents required with the Cost/Business Application specified in Section IV. 4 can be submitted in the original Spanish. No translation of pre-existing documents is required.
4. *Copies:* One original plus two (2) copies of a Full Technical application, and one original plus one (1) copy of a cost/business application must be submitted. In addition to hard copies, applicants must supply a copy of their application by electronic mail to the following addresses: mmatute@usaid.gov, dvan@usaid.gov and vleo@usaid.gov. Any graphics/tables must be drafted in or converted to Word 2003 or Excel 2003. Technical applications must not make reference to specific costs or detailed pricing data. Applicants should retain for their records one copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.
5. *Envelopes:* All hard copies of the technical and cost/business applications must be placed in separate sealed envelopes clearly marked on the outside with the following words "RFA-518-10-000003-Full Technical Application" for the copies of the Full Technical Application and " RFA-518-10-000003 Cost/Business Application" for the copies of the Cost/Business Application. These two individual

envelopes must then be bundled together to be received as one complete package.

6. *Electronic mail:* All electronic files containing Full Technical and Cost Applications must be clearly marked on the subject line with the following words " RFA-518-10-000003" . The size of each electronic submission should not exceed of 15MB and no zip extensions should be used.
7. *Delivery:* Telegraphic or faxed applications are not authorized for this RFA and will not be accepted. E-mail submission is acceptable. However, it is the organization's responsibility to ensure all documentation is received in both ways (electronic and hard-copies) on time and complete. It is important to note that graphics, charts, tables and fancy formatting are often garbled during e-mail transmission and care should be exercised to ensure that the product we receive would be adequate for evaluation. In that regard, USAID is not responsible for applications which cannot be accessed through USAID standard e-mail systems or word processing software.
8. *Start Up:* USAID anticipates that the successful recipient of the Agreement will begin activities immediately after signing the Agreement. The Agreement will provide support for thirty (30) months from the date of the Agreement signature. All program activities are expected to be completed within that period. Final program and financial reports are due within ninety (90) days after the end of the activity.
9. *Unnecessarily Elaborate Proposals:* Unnecessarily elaborated brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
11. *Authority to Obligate the Government:* The Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either an agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.
12. *Information:* Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

1. 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 cooperative agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting 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 ____; and"

2. 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."

13. *Explanation to Prospective Applicants:* Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions should preferably be sent within two weeks of issuance of the RFA to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

4. Technical Application Format

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

The application shall include the technical and management approach to the Program Description included herein. It should demonstrate the capacity and expertise needed to achieve the goals of this program. It should reflect an understanding of the program description and its two objectives. Gender and exclusion issues will be identified and addressed. It will clearly articulate how performance will be measured and reported.

The technical application should be specific and concise. The **maximum page limit for the application is 20** single spaced pages; Arial font; 11 point size. Annexes should not exceed a total of 20 pages. Cover Page, Table of Content and Dividers are not included in this page limitation. The application must be submitted in English.

The Cover Page include: (1 page)

- Title of the proposed activity
- Names of all organizations that are part of the application
- Name and contact information for the lead organization
- Approval signatures by appropriate officials of the lead organization.

The Application should include: (20 pages)

- A detailed description of proposed activities corresponding to the two activities described in the Program Description above.
- A draft 12-month work plan that includes the information described in section II. G.2 above.
- A draft Performance Monitoring Plan.

The Annexes should include: (20 pages)

- Key personnel resumes, including three work references, and letters of commitment.
- Management structure or organizational chart.
- Institutional Past Performance Information.

Technical applications must include both a complete overview of the program design and implementation and sufficient information for USAID to analyze and evaluate the application completely and fairly. They should include an explanation of the problems to be addressed, the expected goals to be achieved and a description of the strategy to be used to achieve the proposed goals. The full application should also provide a detailed description of how the progress and achievements of the program will be monitored, measured and assessed. Additional considerations as applicable, including gender and Partnerships with Ecuadorian organizations are a plus.

Describe your organization's technical and administrative experience and capabilities, including a description of work undertaken in specific areas in Ecuador. Applicants should illustrate their ability to ensure an expedient, smooth and effective launch of activity implementation and to adapt programs to changing circumstances.

5. Cost Application Format

The Cost/Business Application should be prepared following the guidance provided below. All

information discussed below should be included in the application in the manner and format described below.

1. *Separateness*: The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF 424 and SF 424A "Application for Federal Assistance."
2. *Cost Information Submission*: The cost information submitted must include three distinct parts: a) the SF 424; b) the budget; and c) budget notes.
 - a. SF-424: All Applicants must submit the application using the SF-424 series, which includes the:
 - **SF-424, Application for Federal Assistance**
 - **SF-424A, Budget Information - Nonconstruction Programs, and**
 - **SF-424B, Assurances - Nonconstruction Programs**

b. Budget

The information to be presented under Cost/Business Application must also indicate the amount of funds to be spent by Result. Stated another way, the budget should relate to results while also showing the type of cost for each result. Applicants should include an overall summary budget as well as a detailed annual budget defined by result area.

c. Budget Notes

To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how all costs were derived. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs.

- i) Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- ii) Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.
- iii) Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- iv) Equipment – Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.
- v) Materials and Supplies – Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- vi) Communications – Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of these types of costs.
- vii) Subcontracts/Consultants – Information sufficient to determine the reasonableness of the cost of each specific subcontract and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- viii) Allowances – Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
- ix) Direct Facilities Costs – Specific information regarding the cost of any facilities needed to

perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.

- x) Other Direct Costs - This includes report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
 - xi) Indirect Costs - The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, etc.).
 - xii) Rules on Source and Origin for Goods and Services - Goods and services provided by the Recipients under this USAID-financed award are expected to be subject to the 000 Geographic Code (United States). Please refer to ADS 310 and 22CFR228 for more information on this subject.¹
3. *Cost Sharing:* In addition to USAID funds, applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in-kind and can include contributions from the U.S. NGO, local counterpart organizations, project clients, and other donors (not other USG funding sources). Cost Sharing contributions should be in accordance with OMB Circular A-122 - Cost Principles for Non-Profit Organizations which can be found at the following link <http://www.whitehouse.gov/omb/circulars/a122/a122.html> . Information regarding the proposed cost share should be included in the SF 424 and the Budget as indicated on those documents. The cost sharing plan should be discussed in the Budget Notes to the extent necessary to determine its feasibility and realistic access to the sources and funds. The minimum percentage established as cost share for this requirement is 20%.
4. *Management Costs:* Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
5. *Teaming:* If the applicant is a group of organizations that has actually formed a separate entity – i.e. a joint venture -- for the purposes of this application, then the Cost/Business application must include a copy of the documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the Cost/ Business Application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated, how work will be organized and managed and copies of all agreements between the partner organizations
In all cases, the cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget notes described in part 2.c of this subsection should discuss which team member is bearing a particular cost where appropriate and justify and explain the cost in question.
6. *Certifications:* Certifications included in RFA Section V must be included with the cost proposal.
7. *Financial Resources:* The Cost/Business Application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there

¹ Interested parties can access these documents through the following internet addresses: (a) ADS 310.5 - <http://www.usaid.gov/policy/ads/300/310.pdf>; and b) 22CFR228 - http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr228_02.html

has been approval of the organization's accounting system by a U. S. Government agency, including the name, address, and telephone number of the cognizant auditor. If , the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the following should be included, as applicable.

- (a) Audited financial statements for the past three years,
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
- (c) Copies of the applicant's personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

Similar information should be submitted for all partner organizations.

8. *Responsibility:* The application should include information that substantiates that the applicant:

- (a) Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
- (b) Has the ability to comply with the Agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
- (c) Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the applicant, applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of applicants.
- (d) Has a satisfactory record of integrity and business ethics.
- (e) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility.

Similar information should be submitted for all partner organizations.

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

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

a. A signed copy of the mandatory reference, [Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs](#);

b. A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see [22 CFR 227](#));

c. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries;

- d. A signed copy of the certification regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;
- e. A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking”;
- f. Survey on Ensuring Equal Opportunity for Applicants, which can be accessed by pressing Control Key and clicking on the following link: [Equal Opportunity](http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf), which will address you to <http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf> and
- g. All applicants must provide a Data Universal Numbering System (DUNS) Number.

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

11. Submission Dates and Times

Applications are due to USAID by February 5, 2010, 5:00 p.m.

Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award, unless the Agreement Officer determines it is in the Government's interest."

Hard copies of applications and modifications thereof (original and copies of each technical and cost proposal is required) should be submitted in sealed envelopes or packages with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages to:

Courier/Hand carry submission:

1. Delivery by Mail (or delivered by hand)

Ms. Luisa Alvarado
A&A Specialist
USAID/Ecuador
Av. Avigiras E12-170 y
Eloy Alfaro
Quito, Ecuador
Phone No.: (5932) 398-5501
Re: RFA No. 518-10-000003

And

Ms. Veronica Leo
Regional Contracting Office
USAID/Peru
Av. La Encalada s/n, Cuadra 17
Monterrico
Lima Peru

Electronic submission

Ms. Doanh Van (Technical and Cost Application)
Internet Address: dvan@usaid.gov

Ms. Veronica Leo (Technical and Cost Application)
Internet Address: vleo@usaid.gov

Ms. Luisa Alvarado (Technical and Cost Application)
Internet Address: lalvarado@usaid.gov

[END OF SECTION IV]

V. Application Review Information

1. Evaluation Criteria

The selection criteria have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application and the one that best meets the program description. To facilitate review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria. Applications will be evaluated and scored based on the following weighted criteria out of a total score of 100.

Applicants should note that these criteria: (1) will 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.

A. Technical Approach	40 points
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Overall quality of the technical proposal in responding to the requirements outlined in the Program Description, including quick startup and innovative approaches to achieve the results proposed under this Project.

Particular attention will be given to the plan's proposal to build capacity in CSOs and strengthen their participation in key democratic processes and preservation of democratic values especially freedoms of press and association. The implementation plan should state clear and specific descriptions of the activities, outcomes and results anticipated, defined by quantifiable and qualitative indicators of progress and achievement of results.

The Applicant should also specify how gender considerations will be addressed as part of the technical approach. The Applicant will provide a clear timeline of activities which will include sequencing and the approach used to attain results over a three-year period. Finally, the proposal will also be evaluated on the applicant's ability to staff and start program activities rapidly.

B. Personnel/Management	40 points
--------------------------------	------------------

Demonstrated capacity and experience of the technical and management personnel proposed for the design and implementation of the activities outlined. 3 persons should be clearly identified as "Key Personnel" with expertise needed for the strengthening of the CSO sector including effective advocacy to influence public policy and legal reforms, media strengthening, networking and alliances, financial and institutional sustainability, CSOs laws and regulations, communications and outreach techniques, and effective monitoring and watchdog strategies. Key personnel will include a full-time Project Director. Interested applicants are invited to propose combinations of key staff. Preference will be given to a mix of local and international candidates.

The recipient will use as required international and/or local, short-term technical assistance. Factors to be evaluated are the technical and managerial experience and skills of proposed key personnel; practical experience in establishing and operating programs in their specific areas of expertise; demonstrated understanding of CSO sector challenges and organizational structures, and mechanisms to mobilize CSOs and monitor debate on issues of public interest and provide specific input into laws and regulations. In addition, other factors to be evaluated include knowledge of the region and Ecuador; and demonstrated experience and ability to work in the region or in a similar environment.

C. Institutional Capability	10 points
------------------------------------	------------------

Main factors to be considered include organizational capacity, preferably in Latin America, in managing a complex and politically sensitive civil society strengthening program, including the contracting of a multiplicity of local and international organizations and consultants and management of small-grants

programs. Preference given to applicants who promote alliances among local organization for the implementation of the project; as well as alliances with international organizations, as needed. Criteria for evaluation will be based on the applicant's demonstrated ability and capacity to plan, implement, and support complex programs and the range of activities outlined in the Program Description.

The criteria will also include: Ability to collaborate with other organizations; ability to disseminate that knowledge and help other organizations to comply with those regulations and practices; ability to monitor and evaluate program implementation, results and impact; clear organizational structure and relationships; ability to provide professional and logistical support to field operations; and ability to staff and start project activities rapidly.

D. Past Performance

10 points

The applicant should provide evidence that it has a demonstrated, successful track record in implementing and monitoring similar or closely related activities to those contained in the program. If the application proposes an alliance with other organizations, a list of relevant contracts, grants, and cooperative agreements that demonstrate their experience for the role they will play should also be included. The applicant must include the following information for all required references: the location; current telephone numbers/e-mail address (if applicable); points of contact and a brief description of work performed.

Total Possible Points: 100

2. Cost Evaluation

The proposed budget must be reasonable and cost-effective. Applicants should provide estimates for program management (including program monitoring). Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer "greater value" than those with higher costs.

This is a 30-month activity and is estimated to cost approximately \$2,581,000. A minimum 20% cost-share from the applicant is required. The technical evaluation of each proposal will take into consideration the amount of cost-share proposed.

3. Review and Selection Process

The Agreement Officer may conduct negotiations with one or more applicants but reserves the right to make award(s) without consultations. USAID's objective is to award one Cooperative Agreement to the organization whose application is in USAID's judgment, most likely to achieve USAID/Ecuador's goals. The awardee will be the applicant whose application is determined by the Agreement Officer to be most advantageous to the United States Government.

The technical and cost application will be evaluated by a committee comprised of U.S. Government representatives.

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

[END OF SECTION V]

VI. Award Administration Information

1. Reporting

Reports shall be in accordance with 22 CFR 226.50-52 or the standard provisions set forth in the Cooperative Agreement. Unless otherwise indicated, all plans and reports shall be submitted in English.

1.1 Quarterly Program Performance Reports:

The applicant will prepare and submit to USAID/Ecuador quarterly performance reports within 10 days after the end of each Fiscal Year Quarter. The report should contain the information required by 22 CFR 226.51(d) or the standard provisions set forth in the cooperative agreement and describe results in relation to the approved work plan. The report should contain, at a minimum:

- An executive summary that highlights progress and achievements, as well as obstacles in implementation
- Progress towards objectives for the period, including progress towards meeting established program performance indicators, benchmarks and targets.
- A gender section reporting related activities and achievements.
- Success stories (if available).
- Documentation of best practices that can be replicated.
- Planned activities for the next quarter.

1.2 Quarterly Financial Reports

The recipient shall provide USAID with quarterly financial reports through Standard Form 269 in accordance with 22 CFR 226.52.

1.4 Performance Management

The recipient will plan and budget for monitoring the achievements of project operations, collecting and analyzing performance information to track progress toward planned results, using information to influence decision-making, and communicating results achieved, or not attained, to USAID/Ecuador. Efforts should be made to keep the performance management system cost-effective.

Within the first 60 days from the signature of the Agreement and before major project implementation actions get underway, the recipient will complete a Performance Management Plan (PMP) to plan and manage the process of monitoring, evaluating, and reporting progress toward achieving the program objectives. The PMP shall include USAID's standard outcome indicators for civil society programs and GOE indicators listed under each result in Section I, and also impact indicators collected at the end of the project. Additional guidance on the content of the PMP is described in USAID's Automated Directive System (ADS) Section 203.3.3.1. Guidance on performance indicators for PMPs is available in ADS 203.3.4. The PMP will be presented to USAID/Ecuador together with the Annual Implementation Plan. USAID/Ecuador will have the right of final approval of this Plan.

The recipient will present quarterly reports to USAID/Ecuador clearly demonstrating advances toward project results, indicators, and goals. The recipient shall propose a specific format for the quarterly reports for approval, 60 days after signing the Agreement. In addition, the recipient will brief USAID/Ecuador to assess progress in achieving results and to make decisions on improving performance.

Within 90 days following the completion of this Agreement, the recipient shall submit a final report that includes: an executive summary of the project's accomplishments and conclusions about the need for future assistance; an overall description of the project's activities and accomplishments; an assessment of the

performance in accomplishing the project's objectives; significance of these activities; findings; comments and recommendations; and a fiscal report that describes how the project funds were used.

1.4 Final Report

Thirty (30) days prior to the end of this award, the award recipient will submit to USAID/Ecuador a draft Final Report. This draft final report shall include, at a minimum, the information required by 22 CFR 226.51(d) or the standard provisions set forth in the cooperative agreement, providing a final accounting of activities, progress made, results obtained, and lessons learned. Fifteen days after submission of the draft, the USAID will provide the applicant with comments. The Final Report will be submitted one week prior to the end of the award date.

[END OF SECTION VI]

VII. Agency Contacts

Ms. Luisa Alvarado
A&A Specialist
USAID/Ecuador
Av. Avigiras E12-170 y
Eloy Alfaro
Quito, Ecuador
Phone No.: (5932) 398-5501
Re: RFA No. 518-10-000003

[END OF SECTION VII]

VIII. Other Information

1. BRANDING AND MARKING PLAN

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

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

[END OF SECTION VIII]

IX. CERTIFICATIONS & ASSURANCES AND OTHER STATEMENTS OF RECIPIENTS

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

- **SF-424, Application for Federal Assistance; SF-424 C and SF-424 D for non-construction awards**

I. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT

PART I - CERTIFICATIONS AND ASSURANCES

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

- (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
- (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

- (a) Instructions for Certification

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

below.

- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For recipients other than individuals, Alternate I apply.
- (4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The recipient certifies that it will provide a drug-free workplace by:
 - (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
 - (B) Establishing a drug-free awareness program to inform employees about--
 - 1. The dangers of drug abuse in the workplace;
 - 2. The recipient's policy of maintaining a drug-free workplace;
 - 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
 - (C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);
 - (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--
 - 1. Abide by the terms of the statement; and
 - 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
 - (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;
 - (F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--
 - 1. Taking appropriate personnel action against such an employee, up to and including termination; or
 - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
 - (G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of

paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

- (2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

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

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions
- (1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:
 - (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
 - (B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;
 - (D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
 - (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. CERTIFICATION REGARDING LOBBYING

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

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

attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

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

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	e.mail address.
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

(1) Recipient's name.

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

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

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

DUNS: _____

<https://eupdate.dnb.com/requestoptions.html> <http://www.fpd.gov/fpdc/duns-query3.htm>

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

- (a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:
- \$ _____
- (c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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- (d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was

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

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

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

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

- (a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or
- (b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of _____ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

9. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
 7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
 8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
 9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions
- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
 - (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

10. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

11. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

12. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. § 1182). _____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

**13. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224
(REVISION 2)**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :
<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website:
<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

- b. "Terrorist act" means-
- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

Signed: _____

Date

[END OF SECTION IX]

[END OF RFA 518-10-000003]