Issuance Date: April 17, 2020
Closing Date and Time for Submission of Questions: April 27, 2020, 02:00 PM India time
Closing Date and Time for Submission of Proposals: May 18, 2020, 02:00 PM India time

Subject: Notice of Funding Opportunity (NOFO) Number: **72038620RFA00001**

Project Title: USAID's **India Development Partnership Activity**

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified U.S. and Non-U.S. organizations to fund a program entitled "India Development Partnership Activity". Eligibility for this award is not restricted. The authority for the NOFO is found in the Foreign Assistance Act of 1961, as amended.

See Section C of this NOFO for eligibility requirements.

Please be aware that this NOFO contains three merit review phases:

Phase 1: Applicants will submit an Initial Application, which will include a 10 page concept paper. Based on USAID's evaluation of the Initial Applications, only the top applicants will be invited to participate in Phase 2.

Phase 2: Selected applicants from Phase 1 will be invited to participate in an oral presentation of their proposed technical approach, conducted through video conference.

Phase 3: One applicant, whose application best meets the objectives of this funding opportunity based on the selection criteria contained herein, will be selected to co-create the final concept based on the apparently successful applicant's selected concept with USAID, a program description, which will be incorporated into the resulting Cooperative Agreement. USAID will evaluate the resulting final program description and the accompanying cost application from the applicant and grade it as acceptable or not acceptable.

USAID intends to make an award to the responsible applicant whose application best meets the requirements of this NOFO and the Merit Review Criteria contained herein. While one award is anticipated as a result of this Notice of Funding Opportunity (NOFO), USAID reserves the right to fund any or none of the applications submitted.

For purposes of this NOFO, the term "Grant" is synonymous with "Cooperative Agreement", "Grantee" is synonymous with "Recipient", and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements, and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on www.grants.gov, and may be amended as required. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe software to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NOFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section C.1. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NOFO.

Please send any questions to the point(s) of contact identified in section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

S/-

Armando Espinosa
Regional Agreement Officer
USAID/India

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SECTION A: PROGRAM DESCRIPTION

A.1 Summary

USAID's India Development Partnership Activity aims to amplify and broaden the effectiveness of the joint partnership between the U.S. Government and Government of India's (GOI) engagement in and finance for development activities across the Indo-Pacific region and globally. USAID will collaborate with the GOI's Development Partnership Administration (DPA) to bolster its impact as a development partner and stabilizing actor, fostering regional stability and supporting regional connectivity in line with the U.S. Government's (USG) Indo-Pacific vision and South Asia strategy. Through this activity, USAID will support the DPA to provide technical assistance to countries (regionally and globally) in a variety of areas, including, but not limited to: energy; natural resource management; digital technology and connectivity; trade and competitiveness; democracy and governance; agriculture; health; gender equality; and disaster risk management. This activity will leverage both USAID's and India's comparative advantages and achievements to improve economic outcomes in the region and achieve our shared goals for the development of the Indo-Pacific region.

A.2 Authorizing Legislation

The authority for this Notice of Funding opportunity is found in the Foreign Assistance Act of 1961, as amended. For U.S. organizations, 2 CFR 200, 2 CFR 700, OMB Circulars, and USAID Standard Provisions for U.S. Nongovernmental recipients will be applicable. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental recipients and the applicable cost principles (OMB Circular A-122 for non-profit organizations and OMB Circular A-21 for universities) will apply. The OMB circulars are available in the following link: http://www.whitehouse.gov/omb/circulars/index.html.

For both U.S. and non-U.S. for-profit organizations e 2 CFR 200 and 2 CFR 700 will apply. Further information including the referenced documents may be obtained via our agency website http://www.usaid.gov directly or via links in USAID Automated Directive System (ADS) Chapter303: http://www.usaid.gov/policy/ads/300/303.pdf, https://ecfr.io/Title-02/pt2.1.200 and https://ecfr.io/Title-02/cfr700_main.

Copies may also be obtained from the listed agency points of contact for this NOFO.

A.3 Background

Context

South Asia is considered one of the most dynamic regions in the world, with a steady rate of economic growth, large population concentration, and India at its heart. Unfortunately, political, historical, and security tensions also make it one of the least integrated regions in the world, limiting progress on issues that require cross-border cooperation and threatening India's self-reliance and the self-reliance of other countries in the region. Intra-regional trade accounts for only five percent of South Asia's total trade, compared to 25 percent in ASEAN countries. Existential water scarcity and extreme weather events, which climate change will exacerbate, coupled with a lack of regional connectivity have the potential to undermine current progress in India and the region.

The GOI's Neighborhood First policy actively seeks out partnerships and increased foreign assistance as a way of improving regional stability and sharing democratic and humanitarian values, as well as building the self-reliance of neighboring countries. Neighborhood First has taken on increased importance in the face of greater Chinese expansion. India has the will, power, and influence to reduce threats in the region and maintain a balance of power in Asia that promotes peace, prosperity, and stability.

USAID/India's 2020-2024 Country Development and Cooperation Strategy (CDCS) Goal is "India Accelerates its Own Inclusive Development and Fosters Enhanced Regional Connectivity." "Regional Connectivity" is an overarching term covering the efforts needed to operationalize the USG Indo-Pacific vision.The USG has defined the region as spanning from the west coast of the U.S. to the west coast of India, thereby encompassing East Asia and the Pacific and South Asia.

Development Objective (DO) 3 of the CDCS (Sustainable Economic Growth and Development in the Region Enhanced) aims to advance the Indo-Pacific vision, as well as support progress towards self-reliance in India and across South Asia. USAID will support India's status as a global development partner and a prosperous and self-reliant nation. Through this activity, USAID will build a new partnership with India's development agency, the Development Partnership Administration (DPA), to coordinate with the GOI to deliver development assistance to countries in the region and globally, across technical areas. USAID aims to bolster India as a development assistance provider and leverage both USAID's and India's comparative advantages and achievements to improve economic outcomes in the region and achieve our shared goals for the Indo-Pacific region.

India's role as an emerging donor

Development cooperation is an area of growing importance in India's foreign policy. India became a net donor country in 2015 when it donated $1.1 billion as aid and received $300 million from foreign countries and global banks. India has traditionally extended financial assistance to countries in its immediate neighborhood in order to maintain geopolitical clout and to keep crucial economic partnerships up and running. India's approach to development cooperation is based on two main pillars: 1) the idea of partnership, i.e. working for mutual benefit, and 2) priorities determined by the partner. In recent years, the Ministry of External Affairs has significantly expanded its development cooperation programming, both in geographical spread and sectoral coverage. Recognizing this, the Development Administration Partnership (DPA) was created in the Ministry of External Affairs in January 2012 to effectively handle India's aid projects.

AID FLOW RAISED BY 26% **(IN ₹ CR)**

Largest aid recipients in 2019-20	Largest aid recipients in 2018-19	Largest aid recipients in the last decade
Bhutan (2,802)	Bhutan (2,510)	Bhutan (32,280)
Mauritius (1,100)	Nepal (750)	Afghanistan (4,855)
Nepal (1,050)	Mauritius (660)	Nepal (4,156)
Maldives (576)	Afghanistan (470)	Mauritius (2,520)
Africa (450)	Maldives (440)	Africa (2,368)
Myanmar (400)	Myanmar (370)	Sri Lanka (2,317)
Afghanistan (400)	Africa (330)	Maldives (1,787) [1]

The DPA has four Divisions, each headed by a Joint Secretary. DPA I deals with project appraisal and lines of credit. This includes grant assistance projects in the East, South and West African regions, grant assistance projects in Bangladesh and the Sri Lanka Housing project. DPA II deals with capacity building programs, disaster relief, and the Indian Technical and Economic Cooperation program (ITEC). DPA-II also handles grant assistance projects in Southeast Asia, Central Asia, and West Asia and in Latin American countries. Humanitarian and disaster relief is also handled by this division. DPA III deals with the implementation of grant assistance projects in Afghanistan, Maldives, Myanmar, Nepal and Sri Lanka. Finally, DPA IV, created in January 2020, will focus on cultural heritage. DPA uses various implementation modes to achieve programmatic success: lines of credit, grants, technical assistance, consultancy, disaster relief, humanitarian aid, educational scholarships and a wide range of capacity building programs including short-term civilian and military training courses.

The main sectors of India’s development cooperation are health, education, energy and information technology. GOI lines of credit (LOCs) on concessional terms form an important component of India’s development cooperation policy in Africa, Asia and Latin America and several projects are being implemented under LOCs. Grant assistance projects are concentrated primarily in India’s neighborhood in Afghanistan, Bangladesh, Bhutan, Nepal, Maldives, Myanmar, Sri Lanka, in Mauritius and some African countries. Small Development Projects (SDPs) constitute an active pillar of India’s development assistance to foreign countries. The Government of India has committed $200 million for 536 SDPs in Afghanistan since 2006. Other SDPs include 51 SDPs in Sri Lanka, 200 in Nepal, 5 in Bangladesh, and 596 in Bhutan. The GOI also supports SDPs in partner countries such as Myanmar, Suriname, Dominica, Papua New Guinea, Samoa, and Niue, among others.

[1] https://www.business-standard.com/budget/article/budget-2019-india-redirects-foreign-aid-to-indian-ocean-countries-119070800030_1.html

India is clearly an emerging donor and is adapting its use of foreign assistance to match its goals for partnership in the region and around the globe. A U.S.-India partnership to align foreign assistance priorities will help achieve shared development and broader policy objectives.

U.S.- India trilateral cooperation

The US-India development relationship has evolved considerably in line with India's development trajectory. What began as a traditional donor-recipient relationship is now a peer-to-peer partnership. Through partnership with the GOI, private sector, and civil society, USAID/India's work has focused on identifying, piloting, and scaling up cost effective innovations and best practices for India's development. While advancing the U.S. government's Indo-Pacific vision, USAID/India will build upon its current work with India to support India's status as a global development partner and a prosperous and self-reliant nation.

The U.S. and India signed the India–U.S. Statement of Guiding Principles on Triangular Cooperation for Global Development on 3 November 2014, catering to the fulfilment of Sustainable Development Goal-17 (SDG 17). During a bilateral summit, held on 25 January 2015, the triangular cooperation was further deepened in Africa. While India and the U.S. have different histories and diverse traditions, the two are collaborating to promote sustainable economic growth in the African continent. The First Amendment to the SGP Agreement, which was signed on March 29, 2019 extends the validity of the SGP Agreement to 2021. The amended Agreement also expands the scope of the US–India triangular cooperation, focusing primarily on agriculture, regional connectivity, trade and investments, nutrition, health, clean and renewable energy, women empowerment, disaster preparedness, water, sanitation, education and institution-building. It also expands the scope of capacity-building activities undertaken jointly by the two nations and provides a consultative mechanism for joint biannual monitoring and review of activities.

The Feed the Future India Triangular Training (FTF-ITT) Program, launched on 25 July 2016, was a step forward for triangular cooperation between the U.S. and India in Africa. The program is implemented by The National Institute of Agricultural Extension Management (MANAGE), in Hyderabad, India, an autonomous organization under the Indian Ministry of Agriculture and Farmers' Welfare. It is fully funded by the U.S. and India, through USAID and MANAGE, respectively.

The India Development Partnership Activity will seek to continue this successful triangular cooperation and expand into new technical sectors. It will also seek to identify and implement development support linking the U.S. and India with Japan and/or Australia, wherever possible. The quadrilateral dialogues between these four countries are meant to align collective efforts to advance a free, open, and inclusive Indo-Pacific and advance practical collaboration on a broad range of technical topics, including cyber, development finance, quality infrastructure, humanitarian assistance, and disaster response.

Project Purpose and Vision

The purpose of the India Development Partnership Activity is to bolster the DPA's impact as a development partner and stabilizing actor; fostering a sustainable and long-term approach to maintaining regional stability and supporting regional connectivity in line with the U.S. Government's Indo-Pacific vision and South Asia strategy.

A.4 Objectives and Approach

This activity aims to amplify and broaden the effectiveness of the joint partnership between the U.S. Government and Government of India's (GOI) engagement in and finance for development activities across the Indo-Pacific region and globally. To do this, USAID will build a new partnership with India's development agency, the Development Partnership Administration (DPA), to strengthen the GOI's ability to deliver development assistance to countries in the region and globally, across a variety of development areas. This activity will leverage both USAID's and India's comparative advantages and achievements to improve economic outcomes in the region and achieve our shared goals for the development of the Indo-Pacific region, as codified in the U.S.-India Statement of Guiding Principles on Triangular Cooperation for Global Development.

To achieve this, the activity has three interrelated and mutually reinforcing objectives:

1. Strengthening India's centers of excellence and training institutions to expand demand for services in the region and globally;
2. Establishing partnerships and alliances to support U.S.-India development activities in third countries; and
3. Enhancing India's role as a development leader.

Theory of Change

USAID's overall development hypothesis is that if India's development assistance is advanced through strong institutions that promote India's development expertise and experience, implementation of priority foreign assistance activities in third countries, support for a rigorous assessment of results and clear communication of those results, and alignment of foreign assistance with other diplomatic engagement tools, then India will foster regional stability and prosperity as envisioned in the Indo-Pacific vision through its use of foreign assistance.

Achievement of all objectives must be accomplished using an inclusive approach that ensures the participation of GOI counterparts and stakeholders in other potential partner countries to maximize sustainability and institutionalization of best practices.

USAID envisions the project as an integrated network of mutually reinforcing activities, each of which could simultaneously contribute towards the achievement of both components. Given the context and history of the operating environment, *how* activities are implemented will be as important as *what* activities are implemented. USAID is seeking an approach that values adaptive management with significant collaboration, learning from activity implementation, and adaptation of the activity approach to respond to that learning.

Objectives

Objective 1: Strengthening India's centers of excellence and training institutions to expand demand for services in the region and globally.

The activity will work closely with USAID, DPA, and other GOI ministries to identify opportunities for enhancing the role of India's centers of excellence, training, and other relevant institutions in creating substantive cooperation among developing countries in the Indo-Pacific region and globally, and linking that cooperation to achieving shared Indo-Pacific objectives. Through this component, USAID will support the DPA and other Indian institutions, including the Indian Technical and Economic Cooperation (ITEC) among others, to provide technical assistance to countries (regionally and globally) in a variety of areas, including, but not limited to: energy; natural resource management; digital technology and connectivity; trade and competitiveness; democracy and governance; agriculture; health; gender and social equality; and disaster risk management.

This component will build upon USAID's collaboration with India's National Institute of Agricultural Extension and Malnutrition (MANAGE) and the Indian Technical and Economic Cooperation (ITEC) Program, and expand the model to include other institutions and/or technical sectors. ITEC has served as a primarily bilateral GOI assistance program for over 55 years. Through ITEC, 161 countries in Asia, Africa, East Europe, Latin America, the Caribbean as well as Pacific and Small Island countries are invited to share in the Indian developmental experience, growing awareness among other countries about the competence of India as a provider of technical assistance and expertise, as well as training opportunities, consultancy services, and feasibility studies. There are 47 training institutions in India which run more than 280 courses in diverse subjects including IT, public administration, election management, small and medium enterprises, entrepreneurship, rural development, parliamentary affairs, and renewable energy.

Illustrative outcomes of this objective may include:

- Enhanced strategic planning for targeted transfer of Indian expertise and comparative advantages to countries in the region and globally.
- Strengthened human capital within priority centers of excellence to facilitate the provision of assistance.
- Increased peer-to-peer engagement between Indian technical experts and counterparts in targeted third countries.
- Expanded institutional commitment and technical tools of DPA and other stakeholders to promote gender equality and female empowerment.

Objective 2: Establishing partnerships and alliances to support U.S.-India development activities in third countries

USAID and DPA have an existing framework for cooperation under the Statement of Guiding Principles on Triangular Cooperation for Global Development. These principles lay out the intention of both parties to work together and leverage their combined capacities to assist other developing countries. This objective seeks to implement strategic activities in third countries by identifying shared areas of interest, determining appropriate third countries for cooperation, and creating partnerships or alliances with public and private sector actors to finance those activities. To advance India's role as a development partner, this objective focuses on supporting USAID and DPA to provide technical assistance to third countries (regionally and globally) in a variety of areas, including, but not limited to: energy; natural resource management; digital technology and connectivity; trade and competitiveness; democracy and governance; agriculture; health; and disaster risk reduction.

USAID seeks to identify and create partnerships with private sector enterprises across multiple industries, whether headquartered in the U.S. or other countries in the Indo-Pacific region, with unique skills, technologies, and/or expertise that desire to act as leaders in addressing development challenges in the region. The activity will work closely with USAID and DPA to transform strategic areas for development cooperation into attractive investment opportunities. India's innovative, complex, and diverse private sector is quite advanced in the use of pay-for-success models like impact bonds, and blended finance through the social impact sector and commercial institutions. USAID/India has years of experience applying innovative approaches to private sector engagement for shared development objectives. The activity will support USAID and DPA to identify priority activities in third countries, coordinate among complex networks of stakeholders to build consensus for shared interventions, establish a communications and outreach plan to engage partners, and develop a robust accountability framework to demonstrate results to all stakeholders. Where appropriate, best practices from each institution will be transferred to the other to ensure donor coordination and efficacy. The activity could prioritize investments associated with the Coalition for Disaster Resilient Infrastructure and the Blue Dot Network.

Illustrative outcomes of this objective could include:

- Demonstrated public and private sector investment in triangular cooperation activities.
- Strengthened relationships between India and targeted third countries.
- Increased external communications on India's development engagement and partnerships.
- Increased public and private support for sustainable, high-quality and all inclusive infrastructure.

Objective 3: Enhancing India's role as a development leader

The GOI is a long-time contributor to development needs and partnership with countries throughout the world. Its political and economic clout has helped India to maintain its status as a regional leader, understanding the delicate balance it must play with regards to its neighbors to ensure a mutual relationship of respect. The GOI's willingness to hold itself accountable, to self-fund development solutions, and to exercise responsible global leadership provides a unique opportunity to leverage common goals, resources, and comparative advantages in pursuit of the Indo-Pacific vision in the South Asia region and globally. Through this objective, USAID and DPA will be able to request support as needed to ensure that shared development and foreign policy objectives are fully realized through the interventions under objectives one and two.

Illustrative activities could include developing, implementing, and institutionalizing a broad communications strategy that showcases India's development assistance and the results achieved; utilizing a strong monitoring, evaluation, learning and adapting platform to routinely capture achievements and successes, and supporting DPA to design and implement new tools to accomplish DPA's development objectives, for example impact bonds and blended finance instruments, or aligning GOI foreign assistance instruments (e.g. training, lines of credit, grants and technical assistance, etc.) to maximize impact.

Illustrative outcomes of this objective could include:

- Enhanced clarity of mission with respect to shared U.S. and India foreign assistance goals and implementation.
- Institutionalization of tools and resources developed to support DPA's delivery of foreign assistance.
- Strengthened coherence of development programs with other foreign policy tools.
- Increased administrative ease of foreign assistance implementation.

Geographic Focus

The main focus of this activity is working with the GOI and its DPA, as well as potentially other GOI institutions to strengthen their support for development assistance in Indo-Pacific region and globally.

A.5 Guiding Principles

The following guiding principles will be considered:

Private Sector engagement: In line with USAID's Private Sector Engagement Policy, USAID/India is considering a co-creation design process that will enable flexibility, creativity, and collaborative models to address the development challenges outlined above and will look to leverage, where possible, private-sector resources and action—including for-profit, philanthropy and Corporate Social Responsibility sources. The co-creation process will enable USAID and key stakeholders to develop a common understanding and mutual agreement on the project description detailing how the partners will achieve the expected results.

Collaboration and coordination: In close collaboration with USAID, the activity will engage with India's Development Partnership Administration, and other GOI central and state institutions, and technical ministries as appropriate. The activity will coordinate with current USAID-funded activities working in the same geographic areas. USAID/India will establish partnerships with other USAID missions to potentially support activities under Objective 2; the activity will support that coordination. This activity will coordinate and leverage the work of other relevant actors and stakeholders to ensure complementarity and avoid duplication of efforts.

Gender and social inclusion: The applicant shall address relevant gaps, identified through detailed gender analysis, in status and anticipated levels of participation of women, men, disabled and LGBTQ persons or other socially excluded groups that could hinder overall project outcomes in all aspects of the activity, such as participation and leadership in meetings, and training. Applicants must look for gender implications or opportunities in the activity, seeking to address embedded gender issues and promote gender and social equity and equality, as appropriate, while addressing gender concerns in a fundamental way.

The activity should ensure that the public across socio-economic classes can benefit from its interventions, and that activities do not exacerbate gender inequalities, and that interventions aim to reduce gender-based violence. The activity will contribute to these cross-cutting gender priorities by helping to strengthen an enabling environment in which women and men and boys and girls, and other marginalized communities can equally access, contribute, and benefit from the services.

Sustainability and self-reliance: Applicants must consider how the proposed investment will be used to catalyze sustained changes that strengthen the GOI's ability to deliver development assistance to countries in the region and globally, across a variety of development areas. Self-reliance refers to the ability of a country, working across its sectors (government, civil society, citizens, economy) to solve its own development challenges. The proposed approach should consider how to support India's emergence as a development leader, as well as how the proposed interventions will build self-reliance in potential third-country partners. The proposed approach should explicitly acknowledge a re-orientation of donor assistance programs to better support the journey of a country towards self-reliance through appropriate policies and systems reforms.

Monitoring and evaluation: The Activity must make best use of the latest principles in monitoring, evaluation, and learning (MEL) in order to set and achieve targets, fulfill objectives, and demonstrate outcomes of development efforts undertaken as part of this award. Complexity-aware monitoring approaches, as well as good practices in collaborating, learning, and adapting (CLA), are vital to ensure adaptive programming that responds to changing circumstances, new knowledge, and new evidence. A learning agenda and plan for dissemination of findings to the appropriate stakeholders will be critical to the success, sustainability and scalability of this activity. The applicant should include in its learning agenda evaluations or studies to assess and inform the roll out of interventions and incorporate reflection opportunities in order to better target and adapt activities.

As parts of its learning agenda, the Contractor must identify key knowledge gaps to articulate learning questions and potential tasks/actions required to answer the learning questions and develop meaningful indicators to measure key results. As appropriate, use of qualitative methods and measurements is encouraged, especially for hard to quantify and/or long-term results, to gauge the Activity's contribution to the results.

A.6 Monitoring and Evaluation

USAID/India intends for the activity to be subject to rigorous monitoring and evaluation, to (a) ensure the intended results and impact are being generated, and (b) inform activity management if, and when, course corrections may be necessary – an important consideration, given that this is a new activity and Partnership. The recipient should also conduct several periodic analyses to better understand certain aspects and issues within the award's domain.

Performance monitoring and evaluation will be conducted by the implementing partner. Applicants, in designing their technical approach. USAID may conduct additional monitoring and evaluation through external contract(s). A detailed M&E design will be developed upon completion of the design and will include appropriate Standard Foreign Assistance Indicators (F indicators).

Anticipated Results and Indicators

The activity will contribute to attaining the desired joint partnership outcomes between the U.S. Government and Government of India in development activities across the Indo-Pacific region and globally. These particularly include strengthening India's centers of excellence and training institutions, supporting triangular development activities in third countries, and enhancing India's role as a development leader.

The concept paper shall propose intermediate results that will help inform its content areas and initiatives. Applicants are expected to propose activities that are appropriate and relevant to the situation. Potential indicators may include:

Context:

- Total annual funds used by all GOI line ministries and agencies for any type of international development assistance and reported in GOI sources.
- Number of development assistance activities in the form of training, expert services, and technical assistance in other countries bolstering India's leadership role in the Indo-pacific region.

Objective 1:

- Number of activities implemented for strengthening GOI institutions to deliver essential assistance, services, and financing for the people in the region with USG assistance.
- Number of institutions collaborating to provide technical support services in the region with USG support.
- Number of Indian expertise and technology in a variety of sectors to countries in the region and globally with support from USG assistance.
- Number of people from various countries from the region received trainings, expert services and technical assistance from GOI institutions with support from USG assistance.
- Percent of USG-assisted organizations with improved performance (Standard - CBLD-9).
- Number of persons trained with USG assistance to advance outcomes consistent with gender equality or female empowerment through their roles in public or private sector institutions or organizations.

Objective 2:

- # of agreements signed between regional organizations or foreign governments with India/Indian organizations as a result of USG assistance.
- Amount of funds leveraged in support of projects outside of India as a result of USG assistance. (Outcome)
- Number of public-private partnerships or alliances facilitated, brokered, strengthened or established with USG assistance.

Objective 3:

- Number of strategies, guidelines, decisions, guidelines, legislations, and regulations created/ amended as a result of USG assistance. (outcome)
- Number of technical resources developed for supporting DPA's development objectives with USG assistance. (Communications strategy, performance measurement and learning system)
- Number of activities, instruments and models developed by DPA for implementation in the countries of the Indo-Pacific region.

Evaluation

Based on the preliminary learning questions and scope of the DPA activity and its various components, several assessments and evaluation will be considered depending on the implementation of the activities. The assessments and evaluation will measure the lessons learnt and effectiveness of the activity and the results achieved against the objectives proposed in the activity. Lessons learned, challenges, and recommendations will be summarized by the third party for review by USAID/India.

Learning Plan

Given the various collaborative approaches being proposed as a part of India Development Partnership Activity, learning is an essential and valuable component of activity implementation. A composite learning agenda will be designed for USAID DPA engagement as a whole, which will then have individual questions and components for each component that will contribute to both contextualized learning to support activity adaptive management.

A list of preliminary and illustrative learning questions is developed to serve as examples of what may be incorporated into the USAID DPA activity learning agenda.

Illustrative Learning Questions:

- What U.S. Government strategies/approaches have been most effective in bolstering the DPA's impact as a development partner and stabilizing actor in Indo-Pacific vision and South Asia region?

- Has implementation of USAID DPA initiatives been more effective in some countries/sectors over others?

  - ○ If so, why do these interventions seem to adhere in some countries over others?
  - ○ What interventions are being taken up and scaled up by local stakeholders (Government and non-Government)? Are they committing people, funds, resources?
  - ○ What criteria should we use to guide where we focus USG efforts? (e.g. Strategic countries; Countries that demonstrate success in taking ownership of the interventions; Countries with the highest capacity to take on our interventions; Countries with the greatest need?)

Has demonstrated public and private sector investment been effective in triangular cooperation activities?

- What are best practices adopted by DPA to enhance India's role as a development leader in the Indo-Pacific and South Asia region?

END OF SECTION A

SECTION B: FEDERAL AWARD INFORMATION

B.1 Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one Cooperative Agreement over a five (5) year period pursuant to this notice of funding opportunity.

Subject to availability of funds and at the discretion of the Agency, USAID intends to provide up to US$18 Million in total USAID funding. Upon successful ongoing implementation of the program, incremental funding will be provided to the successful Applicant/s (Recipient) during the five (5) years period of performance, not to exceed the Total Estimated Amount (TEA) of US$ 18 Million. USAID reserves the right to change the funding amounts, cycle, and terms of the resulting Cooperative Agreement as a result of availability of funds and US Government requirements. The Recipient will be notified in writing should such changes occur.

B.2 Anticipated Start Date and Period of Performance for Federal Awards

The anticipated period of performance is five (5) years. The estimated start date will be upon the signature of the award, on or about September 2020.

B.3 Types of the Awards

USAID intends to award one Cooperative Agreement under this NOFO. Please note that there are several phases to this process and that the final award will be determined after final technical and cost applications are collaboratively developed between the selected applicant, USAID and key stakeholders.

USAID is not responsible for any costs incurred prior to awarding an agreement. Potential applicants should note that USAID policy prohibits the payment of fee or profit to for profit organizations under assistance instruments, and that foregone profit does not qualify as cost sharing or leveraging.

No construction activities will be financed under the cooperative agreement resulting from this NOFO.

B.4 Purpose of the Award

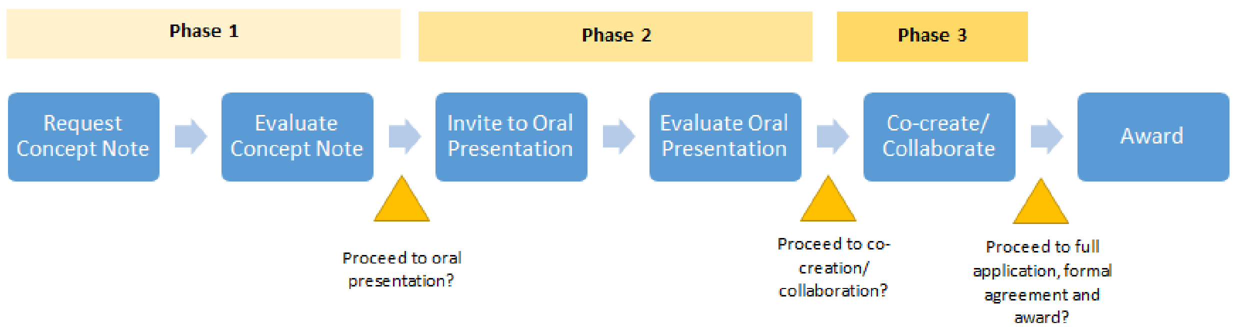
The principal purpose of the relationship of USAID with any award recipient is to transfer funds for it to accomplish its stated purpose of supporting the broad goals and objectives stated in Section A of this NOFO.

The Recipient will be responsible for ensuring the achievement of activity objectives as well as efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient has the primary responsibility for employing its own unique combination of staff, facilities, and experience, as well as necessary organizational and management techniques in order to assure proper and efficient administration of the resulting award.

B.5 Overall Process

Under this NOFO, there are three phases. The purpose of this process is to identify an Applicant with the best-combined technical approach that will have the greatest chance of success. This Applicant should build on the strengths of each individual organization that it will partner with, in a collaborative spirit and a clear shared vision, on how to best impact the health status of the country.

Below is the process diagram for all phases under this NOFO.



● **Phase 1 - Concept Paper:** Applicants will be invited to submit a Concept Paper not to exceed ten pages, including a notional budget estimate. Information regarding the Concept Paper submission is in SECTION D of this NOFO.

Concept Papers will be reviewed for technical soundness, organizational and management approach and the applicant's institutional capability and past experience. The highest rated concept paper applicants will be invited to participate in Phase 2.

In the event USAID determines that none of submitted Concept Papers are acceptable, USAID will issue an amendment to the NOFO to seek a second round of interested applicants.

● **Phase 2 - Oral Presentation:** Invited Applicants will be asked to orally present their concepts approximately three weeks after being notified that their concept paper was accepted for review. The oral presentation will be held via video conferencing. The format and technical requirements will be made available to those Applicants invited to participate in the oral presentation phase. The Applicant's concept paper author/s and lead technical backstops must be part of the presentation team.

Approximately two weeks after oral presentations are completed, the highest rated applicant will be asked to participate in Phase 3.

USAID reserves the right to ask one or more applicants to work collaboratively on a program description and cost application if, in USAID's opinion, combining their concepts will result in a more effective overall program.

Phase 3 - Application Co-Creation: Approximately two weeks after notification to the highest rated applicant/s, a two-week co-creation workshop will be hosted by USAID via video conferencing. This workshop will include the Applicant, USAID, other key stakeholders and will bring together the various technical approaches and innovations of each partner and further define activities. Programmatic budget levels, as well as leverage, will also be determined during this phase. The goal is that after the two-week workshop, a programmatic framework will be in place which clearly illustrates how the Applicant will implement the proposed strategies to achieve the goals and objectives stated in the NOFO. After the workshop, the Applicant will continue to work remotely to refine its approach and will draft a robust program description and detailed cost application to be submitted within two weeks. USAID will review these application/s and provide additional clarification questions, if any. The Applicant/s will have one week to respond to the questions and submit the revised program description and cost application for final review. Based on the results of the final review, USAID will determine the Apparently Successful Applicant (ASA).

No funding will be made available to any applicant prior to the award of a Cooperative Agreement. Applicants are responsible for all costs prior to the award of the Cooperative Agreement, including costs incurred during the various phases--from concept note preparation, oral presentation, co-creation and pre-award.

B.6 Authorized Geographic Code

The authorized geographic code for the procurement of services and commodities is 937. Code 937 is defined as the United States, the recipient country (India), and developing countries, but excluding any country that is a prohibited source. There are currently no prohibited source countries, but the list is updated regularly and can be found here:
http://www.usaid.gov/sites/default/files/documents/1864/310mac.pdf

B.7 Benefitting Geographic Area

The benefiting geographic area is Indo-pacific region.

B.8 Substantial Involvement [2]

[2] 1 This Substantial Involvement section is subject to change following the Co-Creation Workshop and submission of the Final Application of Phase 3

In accordance with ADS 303.3.11, USAID will remain substantially involved over the life of the Cooperative Agreement to assist the Recipient in achieving the expected outcomes and results of the program. . Examples of potential areas of substantial involvement during performance include the following:

1.It is expected that USAID will review the recipient's implementation plans to ensure that the plans are aligned with GoI's broader planning and timelines are followed.

2. Considering the innovative technical nature of this activity, it would be prudent for USAID to ensure that recipients key personnel have the experience and knowledge to lead the implementation of the activity hence, USAID will approve recipients key personnel.

B.9 Title to Property

Title to property financed by USAID under this NOFO vest in the Recipient and will be subject to the USAID Standard Provisions for U.S. Non-Governmental Organizations or Non-US Non-Governmental Organizations, whichever is applicable.

END OF SECTION B

SECTION C: ELIGIBILITY INFORMATION

C.1. Eligible Applicants

This funding opportunity is unrestricted and open to all eligible U.S and non-U.S. non-governmental organizations (other than those from foreign policy restricted countries), including foundations, institutions of higher education, consortiums and public international organizations, etc. Individuals are not eligible to participate.

Pursuant to 2 CFR 200.400(g), it is USAID policy not to award profit under assistance instruments such as Cooperative Agreements. While for-profit firms may participate, pursuant to 2 CFR 700.13(A)1), Prohibition against Profit, no profit will be paid to any for-profit entity receiving or administering Federal financial assistance as a recipient or sub-recipient.

USAID welcomes organizations that have not previously received financial assistance from USAID to submit their applications.

Applicants must also provide a valid DUNS number in the SF-424 form to be submitted along with their application. Though not required during the Phase 1 and Phase 2 application process, the "Apparently Successful Applicant" (ASA) must have successfully registered in SAM (System for Award Management) prior to award. For those who have previously registered in SAM, they must renew and maintain an active SAM registration during the time they have concept notes or applications under consideration by a Federal awarding agency, or during an active Federal award.

C.2 New Partners

a) Potential New Implementing Partners

In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID/India encourages applications from potential new implementing partners. Resultant award to new organization may be significantly delayed if USAID must undertake necessary pre award reviews of these organizations to determine their "risk assessment" (see below).

Accordingly, in order to mitigate this, the pre-award review will begin simultaneously with the co-creation phase. Non-U.S. Organization Pre-award Survey Guidelines and Support is available in the following link: http://www.usaid.gov/sites/default/files/documents/1868/303sam.pdf.

b) Pre-award Risk Assessment

In order for an award to be made, the AO must make a positive "risk assessment to ensure that the (ASA possesses the necessary management and technical competence to implement the proposed program. The ASA must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID. In the absence of a positive risk assessment, an award can ordinarily not be made. However, in rare cases, an award can be made with "Specific Conditions" (e.g., additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an organization for which a positive risk assessment cannot be made), but only where it appears likely that the applicant can correct the deficiency within a reasonable period.

C.3 Responsible Entity

The ASA will be responsible for ensuring achievement of the objectives described in the NOFO. Thus, an ASA must be a responsible entity. The AO will decide on whether to subject the ASA to a pre-award survey, and based on the results, will make a determination if the prospective recipient is a responsible entity, i.e., whether it has the necessary organization, experience, adequate accounting and operational controls, and technical skills—or ability to obtain them—in order to achieve the objectives of the project and comply with the terms and conditions of the award. If a pre-award survey is necessary, the AO will establish a formal survey team to conduct the examination.

C.4 Cost Share or Leverage

Under this NOFO there is not a mandatory cost share requirement. Leveraging of resources is welcome and a plan to leverage other sources of funding to implement activities under Objective 2 of Section A will be determined during Phase 3 the co-creation phase.

C.5 Other

It is preferred that an organization only submits one concept paper/ as a prime or consortium leader under the NOFO. However, organizations participating as a member of a consortium may elect to participate in another consortium under a different concept paper as a prime recipient. During phase-2, USAID or the applicant may recommend bringing additional members to a consortium in order to strengthen the joint program development.

END OF SECTION C

SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1 General Instructions

Applicants are expected to review, understand and comply with all aspects of this NOFO. Applicants must ensure the necessary documents are complete and received at USAID on time. All submissions received by the stated deadlines in the NOFO will be reviewed in accordance with the review criteria contained in Section E of this NOFO. Failure to do so may result in the submission being considered non-responsive and will not be reviewed.

Submissions must be in electronic format. Applicants' authorized representatives are to sign their names (manually or digitally) on the cover pages of their submissions, as well as in required certifications. For a submission to be considered timely, the electronic transmission must be submitted by email to indiarco@usaid.gov, with a copy to smadan@usaid.gov and received by the USAID/India internet server no later than the date and time indicated on the cover sheet of this NOFO.

D.2 Content and Form of Submissions

USAID/India will follow a three-phased process of application selection for each Addendum.

● The First Phase is the submission, review and evaluation of written Concept Papers.

● The Second Phase is Oral Presentations, wherein the best technically acceptable applicants from the First Phase will be invited to present their applications orally. USAID will provide notices to all applicants selected to participate in oral presentation.

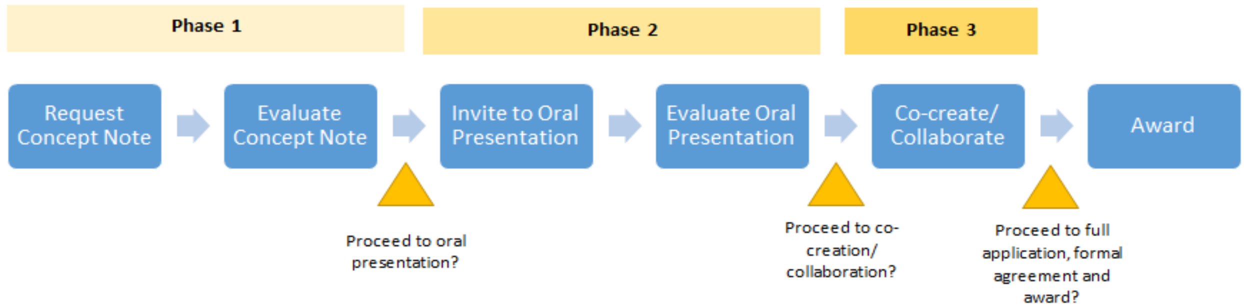
● The Third Phase, the Application co-creation and co-creation phase, is when the highest rated applicant from the Second Phase, will collaboratively develop with USAID, a full project description, after which they develop a detailed budget which will be submitted as Technical and Cost Application/s together with other required documents. This may or may not lead to an award, depending on the Merit Review of the final proposal and a determination by the Agreement Officer if the proposal merits an award.

Applicants not selected for the consecutive phase will be notified at the end of each phase.

D.3 Overall Selection Process

There will be three Merit Review phases under this NOFO. The purpose of this process is to identify an Applicant that will have the greatest chance of success to achieve the activity objectives.

Below is the process diagram for this NOFO.



Merit Review Phase 1 - Concept Paper: Applicants will be invited to submit a Concept Paper not to exceed ten pages, including a notional budget estimate. Information regarding the Concept Paper submission is in SECTION D of this NOFO.

Concept Papers will be reviewed for technical soundness, organizational and management approach and the applicant's institutional capability and past experience. The highest rated concept paper applicants will be invited to participate in Phase 2.

In the event USAID determines that none of submitted Concept Papers are acceptable, USAID will issue an amendment to the Addendum to seek a second round of interested applicants.

Merit Review Phase 2 - Oral Presentation: Selected Applicants will be invited to orally present their concepts through videoconference approximately two (2) weeks after being notified that their concept paper was accepted for review. This oral presentation is a requirement. The format, technical requirements, and videoconference information will be made available to those Applicants invited to participate in the oral presentations. The Applicant's concept paper author/s and lead technical backstops must be part of the presentation team.

USAID will not be responsible for costs associated with presentation.

One applicant will be selected from the Merit Review Phase 2 as the Apparently Successful Applicant (ASA)[3]. The ASA will be notified by letter approximately two (2) weeks after completion of oral presentations. The ASA will be invited to participate in Phase 3.

At the completion of Phase 2, the competitive process of ADS 303 will be satisfied.

Phase 3 - Application co-creation and Merit Review of the final proposal: Approximately one (1) week after ASA notification, a two-week collaborative workshop will be hosted by

[3] Apparently Successful Applicant(s). The applicant for USAID funding recommended for an award after the merit review, but who has not yet been awarded cooperative agreement by the Agreement Officer. Apparently successful applicant status confers no right and constitutes no USAID commitment to an award, which still must be obligated by the Agreement Officer

USAID/India via video conference. Participants in this workshop will include the ASA, USAID, and potentially other stakeholders.

Programmatic budget levels, as well as sources and modalities for leveraging additional funds to finance activities under Objective 2 of section A, will also be determined during this phase. The goal is that after the two-week workshop, a programmatic framework will be in place, which clearly illustrates how the ASA will implement the proposed strategies to achieve the goals and objectives stated in the NOFO. After the workshop, ASA will continue to work remotely to refine its approach and will draft a robust program description and detailed cost application to be submitted within one (1) week. USAID will review these two documents and provide additional clarification questions within one (1) week, if any. The Applicant/s will have one (1) week to respond to the questions and submit the revised program description and cost application for final review. Additional information regarding the logistics and content of the workshop will be provided as part of the ASA Notification Letter.

USAID reserves the right to ask two or more applicants to work collaboratively on a program description and cost application if, in USAID's opinion, combining their concepts will result in a more effective overall program.

No funding will be made available prior to the award of the Cooperative Agreement. Applicants, including the organization selected to collaboratively develop the Program Description, are responsible for all costs related to the oral presentation phase and Program Description Development Workshop. Once the award is signed, the implementing partner may start incurring costs.

D.4 General Instructions of Application Submission

Applicants are expected to review, understand, and comply with all aspects of the NOFO. USAID/India will follow a "three-phase merit review process" of application selection. The first phase (Phase 1) is the submission and review of a written concept note. The second phase (Phase 2) is Oral Presentations, wherein selected applicants from Phase 1 will be invited to present their application. USAID will provide notices to all applicants selected to participate in oral presentations. During the third phase (Phase 3), the ASA from Phase 2 will collaboratively develop with USAID a program description and subsequently submit a full technical and cost/business application.
Applicants not selected for the consecutive phase will be notified at the end of each phase. Unsuccessful applicants may request additional information following such notification.

The following provides the estimated timing for conducting the merit review process. This timeline is subject to change:

Submission/Action	Estimated Date of Submission and/or Activity
Phase 1 Submission of Concept Paper	May 18, 2020
Phase 2 Oral Presentation	June 23 - 26, 2020

Phase 3 Co-Creation Workshop	July 14 - July 31, 2020
Full Application (Technical and Cost Application)	August 08, 2020

It is highly recommended that applicants read the entire NOFO before submitting an application. Respond to evaluation criteria as appropriate and comply with all aspects of the NOFO. Failure to do so will be at the Applicant's risk.

D.5 Content and Form of Application Submission

USAID/India will follow a three-phased process of application selection for this NOFO.
● The First Phase is the submission and review of written Concept Papers.
● The Second Phase is Oral Presentations, wherein the best technically acceptable applicants from the First Phase will be invited to present their applications orally. USAID will provide notices to all applicants selected to participate in oral presentation.
● The Third Phase, the Application Co-Creation phase, is when the highest rated applicant/s from the Second Phase, will collaboratively develop with USAID, a full project description, after which they develop a detailed budget which will be submitted as Technical and Cost Application/s together with other required forms and documents.

(a) Phase 1 – Concept Paper Content and Format:

The initial application should be written from a comprehensive viewpoint that shows innovations and approaches proposed by the Applicant and lays out how the Applicant is uniquely capable of achieving the results set forth in the Program Description.

The initial application or the "concept paper" must demonstrate an understanding of the activity and introduce the applicant's strategy and methodology, including its strategic approach and realistic yet innovative interventions.

Applicants must format their Concept Papers as follows:

- Spacing: Singled-spaced;
- Font: Times New Roman, 12 points;
- Margins: one-inch margins on all sides;
- Paper Size: 8.5 inches x 11 inches;
- any graphs, charts, exhibits, tables, etc. contained in the body of the concept paper shall be numbered and included in the stated page limits (see below). Table font may be reduced to Times New Roman, 10-point.

Concept Papers should be no more than 10 pages, exclusive of cover page, table of contents and annexes. They must be presented taking into account and in the order of the technical evaluation criteria found in Section E.2:

- **Cover Page** (1 page; not included in the page count) and must contain—

- ❖ Project Title
- ❖ Notice of Funding Opportunity number
- ❖ Name, address and telephone number of the Organization (primary or lead)
- ❖ Proposed sub-awardees or partners
- ❖ Contact Person' Name and Signature, Title/Position, Email address, phone nos. OR
- ❖ Name and Signature of Individual authorized to negotiate terms, conditions and countersign the award; Title/Position; Email address; telephone nos.
- ❖ DUNS, TIN and, if applicable, LOC number.

- **Technical Approach** (7 pages; included in the page count) –
  In this section, the Applicant should present its overall vision for the NOFO stated goal and objectives and explain how the Applicant and its sub-awardees/partners can support the vision. Since the Applicant will collaboratively develop the final program description with USAID, it is not necessary to present a full or detailed technical application addressing every aspect of the priority areas listed under the activity objective. The Applicant will use the technical general approach to demonstrate an understanding of India's role as an emerging donor in the Indo-Pacific and globally, the main actors, and the key questions and guiding principles outlined in the NOFO. As such, the Applicant will only present a technical approach at an appropriate level of depth for addressing key results outlined in Section A of this NOFO.

  Applicants must focus on describing how they propose to achieve the program objectives and elaborate on how the proposed technical approach is the most effective way to address the intent of the NOFO. At a minimum, this section must contain:
  a. Summary Statement: A brief statement of the problem(s)/issue(s) being addressed, and proposed strategies/activities.
  b. Timeline: Proposed timeline, i.e. project duration or time needed to complete the proposed activities. All projects should be 36 to 60 months in duration.
  c. Project description: includes vision statement, brief narratives describing the situational context and background (limited to what is necessary to understand the project), the problem to be addressed, a description of proposed project activities, main objectives and expected results. Also include in the project description a brief discussion regarding:
  d. Sustainability (how the project will be supported and can continue without donor funding) and self-reliance;
  e. Collaboration with the GOI and other key stakeholders;
  e. Gender considerations;
  f. Environmental and climate risk mitigation.

- **Organizational Management and Staffing Plan** (2 pages; included in the page count)

This Project will require specialized skills from multiple set of partners USAID/India does not expect one organization to have all of the professional skills, services, and knowledge base required to meet the results; it is for this reason that subawards/partnerships are encouraged. USAID/India encourages the Applicant to clearly describe the individual skills and capacity of each partner organization, define the value each partner brings, and how they complement one another. Sub awards/partnerships with local entities will be critical in achieving the results of the program.

The Applicant should succinctly outline an inclusive leadership approach that will create a shared common vision and purpose that builds trust and recognizes the value and contribution of all sub-awardees/partners. The Applicant will coordinate the strategic approach on two levels. The first level of coordination will be at the Mission level where the program coordinates with relevant current and upcoming Activities managed by USAID/India to increase synergies and leverage existing programs.

The second level of coordination will focus on broader coordination across the Applicant and sub-awardees/partners with the GOI, DPA and other development partners. The Applicant should also demonstrate how they will ensure the sharing of information that results from coordination efforts with stakeholders.

The Applicant should explain how it envisions effective coordination, collaboration and working arrangements which will result in clear outcomes and maintain value for the contribution of all sub-awardees/partners, including its approach to the development of:
a. The individual partner roles and responsibilities regarding the division of labor;
b. Shared and transparent decision-making processes;
c. A communication plan for all levels within the partnership and with external stakeholders promoting effective and shared communication with the DPA and other partners;
d. Shared goals and aims to ensure sound coordination of policies, and programs, as well as the Applicant should articulate in general terms a proposed staffing plan to meet the objectives outlined in Section A of the NOFO.

• **Institutional Capability and Past Performance** (1 page; included in the page count)

USAID/India understands that achievement of desired outcomes relies on the overall performance of an organization. For this reason, USAID/India will evaluate both the Applicant and all proposed sub-awardees/partners. Not only will technical capacity be examined, but also the ability of each sub-awardee/partner organization to work with each other, focused on a common purpose. Past performance information must be provided and should relate to the specific technical nature of the Activity. The Applicant must provide performance information for each organization member (as an Annex; no longer than one page per organization). The Applicant is strongly encouraged to provide specific examples of significant impact of their past projects and how cooperation in prior partnerships/consortia contributed to that impact. The Applicant must include specific examples of past partnerships where the organization served as part of a consortia or other partnership.

USAID will determine the relevance (complexity, scope, size and magnitude) of similar performance information as a predictor of probable performance under the subject requirement. USAID will consider relevant projects successfully performed during the recent 3 to 5 years to be “recent performance information”.

The Applicant should address the following points:
● Demonstrated successful experience in managing and implementing similar programs, in size and scale, preferably in Asia;
● Timeliness of performance, cost, and scope; and
● How the Headquarters management team contributed to success.

Annexes (not included in the page count)
● Acronym List/Definition (not to exceed 1 page)
● Timeline
● Organizational chart/Staffing plan (general)
● Past performance (1 page per sub-awardee/partner)
● Other charts, graphs, tables, data or information considered essential to the application (not to exceed two pages)
● Proposed Notional Budget - estimated cost summary, direct, and indirect costs by the applicant and sub-awardees/partners (not to exceed one page)

The Concept Paper must demonstrate the Applicant’s complete understanding of the goals and objectives of the NOFO and of its strategy and methodology.

(b) Phase 2 – Oral Presentation Instructions

Based on USAID’s merit review of Concept Papers, only Applicants whose concept papers are the highest rated, i.e., are determined to be technically acceptable and/or innovative, will be invited to present their concept papers via video conferencing. The order of presentation among the selected Applicants will be randomly determined by the Agreement Officer.

Applicants who will be invited to the Oral Presentations will be notified promptly as to the date of their scheduled presentation. They should expect at least two (2) weeks notice before their scheduled oral presentation. At the time of the invitation, USAID will provide the initial discussion items based on the review of Concept Papers.

Oral Presentations are a condition of award as technical discussions will also occur at this stage. Video conference information will be provided prior to the scheduled date.

The Applicant’s presenting team should be made up of the Technical Lead, the Senior Program Manager and at least a representative from the proposed sub-awardees/partners. The Applicant is limited to five attendees. The presentation will take place via videoconference and USAID will provide the call details.

The audience for the Oral Presentation will consist of the Selection Committee (SC), the Agreement Officer, and other USAID staff and observers. The Agreement Officer will chair the Oral Presentations. USAID may, however, use in-house or a contracted moderator to facilitate the presentations.

While the Concept Paper will be presented in PowerPoint format, the remaining discussions will be in Question and Answer (Q&A) format with little time for consultation among members of the presenting team. Each team member should be an expert and should use the PowerPoint to present the salient/important points of the Concept Paper without reading the slide contents verbatim to the audience. Team members must be able to "think on their feet" and to actively participate in the discussion of subsequent Q's & A's.

The Oral Presentation Agenda is as follows:
● Introductions (10 minutes) [Lead: Agreement Officer]
● PowerPoint Presentation (1-1/2 hours) [Lead: Applicant]
● Q's & A's/Discussions - Round 1 (2 hours) [Lead: SC and Applicant]
● Break for Applicant/USAID Deliberations - (1 hour)
● Q&A/Discussions - Round 2 (1 hour) [Lead: SC and Applicant]
● Adjournment/Next Steps (10 minutes) [Lead: Agreement Officer].

Each oral presentation will be evaluated and scored by the SC in accordance with the evaluation factors set forth under Section E.3 of this NOFO.

The Applicant's presentation must not last more than one and a half hours. In addition to responding to the questions from USAID, the presentation must address the following areas:

- Technical Approach
- Organizational Management and Staffing
- Monitoring, Evaluation and Learning Methodology
- Institutional Capability and Past Performance
- Proposed Cost Efficiency Plan (Value for Money)
- Response to Clarifications

1. Overview of Technical Approach:

Each Applicant must present an overview of the general approach to the activity as outlined in their Concept Paper. The general approach component should demonstrate an understanding of India's role as an emerging donor and the Objectives and Guiding Principles specified in Section A of this NOFO.

Specifically, the overview must:
● Demonstrate a comprehensive understanding of the U.S. vision for the Indo-Pacific; the Government of India's goals, strengths, and areas for growth in the delivery of foreign assistance; India's leading centers of excellence and training institutions; India's history with and opportunities for triangular cooperation; the role of gender in achieving the outcomes of the activity; and ways to effectively engage the private sector.
● Identify how the Applicant's proposed approach will contribute to achieving the desired outcomes and guiding principles as stated in the NOFO;
● Propose a theory of change to meet the objectives outlined in the NOFO and describe the most applicable innovative and evidence-based strategies to respond to

the proposed theory of change;

● Describe how approaches will lead to:

➢ Strengthening India’s centers of excellence and training institutions to expand demand for services in the region and globally;

➢ Establishing partnerships and alliances to support U.S.-India development activities in third countries;

➢ Enhancing India’s role as a development leader; and

● Describe how gender-related activities will take advantage of international best practices and experiences while adapting them to the appropriate context, whether in India or a third country. It is not satisfactory to simply indicate that the proposed activity will “take gender into consideration.” The discussion should describe how gender-related challenges will be addressed.

2. Organizational Management and Staffing Plan

The applicant’s oral presentation must clearly demonstrate the guiding principles, goals and objectives specified in Section A. The presentation should be concise and understandable while demonstrating the applicant’s ability to effectively and clearly present the general approach to the activity as outlined in the applicant’s Concept Paper; and the ability to respond to the key questions that outline priority areas for this activity.

The presentation must explain the proposed mix of positions and management structure, and the comparative strengths of the proposed Applicant. Applicants are encouraged to have representation from proposed sub-awardees/partners participate. This not only demonstrates a shared vision, but also allows USAID to specifically question and evaluate the strength of each individual sub-awardee/partner; the roles and responsibilities of the Home Office and the field-based staff, including their assigned management and decision-making authorities, and how the organizational structure will effectively and efficiently achieve the activity objectives.

3. Monitoring and Evaluation

The Applicant must prepare a clear Monitoring, Evaluation and Learning (MEL) methodology that facilitates adaptive learning and management. The MEL plan must describe and demonstrate how the Applicant will structure the MEL system, give examples of this approach and describe how they will utilize minimal but sufficient data to adaptively manage interventions.

The Applicant should also describe how they will apply adaptive management techniques to inform program management and key decisions.

4. Proposed Cost Efficiency Plan (Value for Money)

As budget details depend on the specifics outlined in the final program description, a full cost-application will be developed by the Applicant once the project description is finalized. During the oral presentations, the Applicants should lay out the argument why their organization/consortium offers the best value for money and cost effectiveness for results achieved. Applicants are required to briefly describe the thought process that has gone into budgeting and what they expect key parts of their intervention strategy will cost. This can be a discussion on approach to cost-share, staff salaries, efficient use of resources and sub agreements and contracts, use of local solutions, etc.

The presentation will be followed by a two-hour question and answers (Q&A)/Discussion period where the Applicant will respond to questions related to its presentation as well as to any other questions arising from their Concept Paper. This will be followed by USAID deliberations and then a second, one-hour Q&A/Discussion period.

Any presentation materials (i.e., PowerPoint or similar format) must be sent via email to the Agency Point of Contact at indiarco@usaid.gov with a copy to smadan@usaid.gov on the date specified/provided as part of the invitation notification. This date will be the same for all Selected Applicants. The Agreement Officer will determine the order of presentations randomly.

Applicant Participants

The Applicant's concept paper author/s and lead technical backstops must be part of the presentation team. Selected Applicant is also highly encouraged to include participants from proposed sub partner organizations (if applicable). Selected Applicants are limited to seven participants and must be present via video conference on the date and time specified for the presentation (provided in the invitation notification letter.

Notification

Upon completion of the oral presentations, USAID plans to inform the highest rated Applicant/s if its application has been selected to proceed to the next stage of the review process. For the selected applicant(s), USAID will provide a written summary (feedback) of their Oral Presentation/Discussion to further guide the co-creation workshop preparation.
Unsuccessful Applicants will have the opportunity to request additional information following a notification that they were not selected to proceed to the next phase.
USAID reserves the right to select another applicant from the pool of Selected Applicants in phase-2 in case final agreement is not reached with the initially selected ASA in phase-3.

(c) Program Description Design Workshop Instructions

The highly rated Applicant/s will develop the Program Description for the resulting Cooperative Agreement in collaboration with USAID/India. Approximately two weeks after the notification, a two-week collaborative workshop will be hosted by USAID/India. The workshop will be conducted through videoconferencing and other forms of remote communication. This workshop, participants will include the highly rated applicant/s, USAID, and potentially other stakeholders, will bring together the selected technical approach to further define program activities. The highly rated applicant/s will make a determination as to who will be the appropriate representatives from its team/consortium. Other stakeholder inclusion in the workshop will be determined by USAID on a later date (but before the workshop dates), and likely set forth in the Notification Letter for Phase-3.

The Program Description should include, at a minimum, expanded information on the Applicant's Technical Approach and Organizational Management and Staffing. In addition, the Program Description will articulate its strategies in implementing its Monitoring, Evaluation and Learning Methodology that will facilitate adapting learning and management. The Applicant must also demonstrate how it will apply adaptive management techniques to inform program management and key decisions.

Programmatic budget levels will also be determined during this workshop. A highly rated applicant which may be the ASA should also anticipate commencing budget formulation during this workshop, once a programmatic framework is in place, which clearly illustrates how the ASA will tackle the activity objectives. Additional logistics and content of the workshop will be provided as part of the ASA Notification Letter.

(d) Phase 3 – Technical and Cost/Business Application

Upon completion of the PD Design Workshop, the ASA will be notified to submit a Final Technical and Cost/Business Application. There will be no page limitation for the full technical and cost/business application. Only electronic submission via email to the Agency Point of Contact at indiarco@usaid.gov with a copy to smadan@usaid.gov

(1) Technical Application Instruction

The ASA will develop its Technical Application, which will be the Program Description of the resulting Cooperative Agreement in collaboration with USAID. The Technical Application is the most important part of consideration in making the award decision. It must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this activity. It must be specific, complete and presented concisely.

Detailed format and content of the Full Technical Application will be developed in collaboration between the ASA and USAID.

The Technical Application will basically be the Program Description co-created and finalized during the PD Design Workshop.

In support of the final Technical Application, the ASA will also furnish the following:

- Gantt Chart of Program Activities
- Rapid Start-Up Plan
- Updated Program Organizational Chart
- Curriculum Vitae of Key Personnel (other than those already submitted during the Initial Application) and other pertinent staff (management and technical personnel) named in the Organizational Chart
- Monitoring, Evaluation and Learning Plan
- Draft Branding Strategy and Marking Plan

(2) Cost/Business Application Instruction

The Cost/Business Application must be submitted separately from the Technical Application. The Applicant shall submit a budget broken down by program years and in detailed costs for implementation of the program including the subrecipient's cost. The excel sheet should include a summary budget. The budget breakdown must be presented in an unlocked Microsoft Excel (version 2000 or later) spreadsheet with no hidden nor locked cells/sheets. The budget breakdown must be accompanied by a budget narrative which provides in detail the assumptions made for each of the cost elements. The application must provide evidence that the funds requested are reasonable and would be used in a cost-effective manner.

The cost application must consist of a summary budget in US dollars and must provide a breakdown by major cost element in the activity anticipated costs using Standard Form 424 – Application for Federal Assistance, 424A – Budget Information – Non-construction Programs, and 424B – Assurances – Non-construction Programs. The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A.

The Cost/Business Application must contain the following:

(i) Cover Page – containing the same information as the Technical Application cover page.

(ii) A summary of the budget must be submitted using Standard Form 424, 424A and 424B. Forms can be retrieved from https://www.grants.gov/web/grantsforms/sf-424-family.html#sortby=1. Instructions on how to complete these forms are found at https://www.grants.gov/web/grants/form-instructions.html.

(iii) Detailed/itemized budget breakdown (provided in spreadsheet)

The budget breakdown should be presented along the following line items:

Line Item	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Total**
I. Personnel						
II. Fringe Benefits						
III. Allowances						
IV. Travel and Transportation						
V. Trainings and workshop						
VI. Equipment and Supplies						
VII Contractual (Sub-recipients and Sub-Grants)						

VIII. Other Direct Costs						
IX. Total Direct Costs						
X. Indirect Costs (i.e., overhead, G&A, etc.)						
XI. Total Federal Cost						

Detailed breakdown should include the following:

- Personnel – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. Direct salaries, wages and allowances must ’include position title, salary rate, level of effort, and salary escalation factors. Specify the budget for the portion of the Activity to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the Applicant’s budget, including those related to fringe and indirect costs. The name, daily and annual salary, expected level of effort of each person charged to the program; same information should be provided for Consultants.

- Fringe Benefits – (if applicable) If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant must propose a rate and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

- Allowances: Allowances must be broken down by specific type and by person and must be in accordance with the Applicant’s policies. All salaries, benefits and allowances must be based on written compensation policies of the organization. Allowances should be in accordance with the applicant’s policies and the applicable regulations and policies. Explain assumptions in the Budget Narrative. If the organization has standing policies across all projects for annual salary escalations that exceed current inflation rates, those policies and the effective date of those policies must be provided with the application. The Applicant must also confirm that the policy applies to all staff across all projects.

- Travel and Transportation: Travel, per diem and other transportation expenses must be detailed in the financial plan to include the number of international trips, from where to where, number of per diem days and rates. Per diem and other travel allowances must be based on written travel policies of the employer organization (Applicant may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

- Equipment: Detail 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. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates.

- Supplies: Detail all materials and supplies expected to be purchased, including type, unit cost, and number of units. The budget narrative must include the purpose of supplies and the basis for the estimates.

- Contractual: Detail of all contractual, sub-recipients and sub-grants. Separate budget breakdown (using the same line item breakdown of the prime Applicant) for each sub-recipient/sub-award.

- Indirect cost: must be supported with information (i.e., Negotiated Indirect Cost Rate Agreement) to substantiate the calculation of the indirect cost.

- Other Direct Cost: This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the Activity proposed by the applicant. The applicant should indicate the subject, venue and duration of any proposed conferences and seminars, and their relationship to the objectives of the Activity, along with estimates of costs. Otherwise, the narrative should be minimal.

- For commercial organizations, no profit or fee shall be included in the budget. All reasonable and allowable expenses, both direct and indirect, which are related to the program and are in accordance with applicable cost principles under 2 CFR 200 and 2 CFR 700

(iv) Budget Narrative

The budget narrative should explain all budget assumptions and how the costs are derived. It will provide information regarding the basis of estimates for each line item, including reference to source used to estimate the costs (i.e., organization’s policy, payroll document, vendor quotes, etc.)

(v) Other administrative documentation

a. Evidence of responsibility

The Agreement Officer requires from the Applicant certain documents to be submitted in order to determine the Applicant’s responsibility as well as to assess USAID’s risk should an award be made. The information submitted shall substantiate that the Applicant:

- Has adequate financial, management and personnel resources and systems or the ability to

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

b. Indirect cost rate justification

A copy of the Applicant organization's current Negotiated Indirect Cost Rate Agreement (NICRA), if it has one with a U.S. Federal Agency. Applicant and proposed sub-awardee(s)/partner(s) that do not currently have a NICRA from their cognizant agency (USAID or another U.S. Federal Agency) must also submit copies of the partners' financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID.

- **Reviewed financial statements** that provide the user with comfort that, based on the accountant's review, the accountant is not aware of any material modifications that should be made to the financial statements for the statements to be in conformity with the applicable financial reporting framework. During a review engagement, the Accountant obtains limited assurance that there are no material modifications that should be made to the financial statements. Therefore, the objective of a review of the financial statements is to obtain limited assurance that there are no material modifications that should be made to the financial statements. A review does not contemplate obtaining an understanding of the entity's internal control; assessing fraud risk; testing accounting records; or other procedures ordinarily performed in an audit. The CPA issues a report stating the review was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation.

- **Audited financial statements** that provide the user with the auditor's opinion that the financial statements are presented fairly, in all material respects, in conformity with the applicable financial reporting framework. In an audit, the auditor is required by auditing standards generally accepted in the United States of America (GAAS) to obtain an understanding of the entity's internal control and assess fraud risk. The auditor also corroborates the amounts and disclosures included in the financial statements by obtaining audit evidence through inquiry, physical inspection, observation, third-party confirmations, examination, analytical procedures and other procedures. The auditor issues a report that states that the audit was conducted in accordance with GAAS, the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework. The auditor may also issue a disclaimer of opinion or an adverse opinion if appropriate).

Applicants that have not received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual.

c. Proof of Business Registration to conduct business in India

d. The applicant must complete the following documents and submit a signed copy with their application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf.

((2) Assurances for Non-Construction Programs (SF-424B)

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

e. Proof of Duns and SAM registration.

USAID may not award to an Applicant until the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements. The Applicant is required to:

- Be registered in SAM before submitting its full application
- Provide valid unique identifier (DUNS number) in its application; and,
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take several weeks to complete. Therefore, Applicant is encouraged to obtain them early to be eligible for an award under this NOFO.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Completion of an early registration does not constitute any commitment on the part of the U.S. Government to make an award.

f. Consortium arrangements

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severely liable for the acts or omissions of the other.

(e) Negotiation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. Applicants should not submit the information below with their applications! The information in this section is provided so that Applicant may become familiar with additional documentation that may be requested by the Agreement Officer:

- Bylaws, constitution, and articles of incorporation, if applicable.
- Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.

END OF SECTION D

SECTION E: APPLICATION REVIEW INFORMATION

E.1 General

All applications will be reviewed in accordance with the review criteria set forth below. The purpose of the merit process is to identify an Applicant with the best approach to achieve the India Development Partnership Activity objectives, as described in Section A; Program Description.

The criteria presented below have been tailored to the requirements of this NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters that Applicants should address in their applications, and (b) set the standards against which applications will be evaluated.

The criteria listed below are presented so that Applicants will know which areas require emphasis in the preparation of their applications during the appropriate phase.

E.2 Phase 1 – Concept Paper

The Initial concept paper should be written from a comprehensive viewpoint that shows innovations and approaches proposed by the Applicant and lays out how the Applicant is uniquely capable of achieving the results set forth in the Program Description. See Section D4(a).
The Initial Application will be reviewed based on the following merit criteria. The criteria listed below are presented in order of importance – Factor 1 is the most important factor, and Factor 2 is more important than Factor 3.

(a) Factor 1 - Technical Approach

Applicants will be evaluated on the extent to which the Applicant clearly articulates its innovative and feasible technical approach for each of the core areas set forth in the Program Description and convincingly demonstrates the rationale of how it will achieve the desired outcomes of the USAID India Development Partnership Activity.

(b) Factor 2- Organizational Management and Staffing

Applicants will be evaluated on the extent to which the Applicant's well-articulated management plan and staffing plan demonstrate the Applicant will effectively and efficiently achieve the activity objectives set forth in the Program Description

Applicants will also be evaluated whether its proposed partners represent the best combination of organizations to develop and implement this project based on the capability of each member in its specialized area. The management plan must clearly describe the roles of the prime organization and sub-partners, and the comparative advantage of each organization. The division of labor among Applicant and Sub-awardees/partners should be clear and appropriate to ensure the highest quality coordination and collaboration with various levels of the Government of India, USAID and other key stakeholders.

Applicants must have a clear and legally established coordination and management plan with their sub-awardees/partners. The Applicant must be the lead or “Prime” organization. We see the Applicant’s role as a “First among Equals,” understanding that each member is critical to the overall success of the award. The partnering arrangement must have clear lines of responsibilities, assigns clear roles and responsibilities relevant to the program among member organizations.

The elements of this review factor include:

- The overall quality of the management and staffing plan to implement the India Development Partnership Activity taking into consideration the type of interventions and roles of other partners;
- The coherence of a supporting organizational structure that matches the required skills to accomplish the full range of program activities;
- Detailed explanation of any proposed consortium and/or partnerships that the Applicant will participate in to carry out Project interventions; and
- Identified positions for key personnel and the type of skills each key personnel will need as well as their appropriateness to the technical approach outlined in the application.

(c) Factor 3 - Institutional Capability and Past Performance

Applicants will be evaluated on the degree to which the Applicant convincingly demonstrates through its past experience that it possesses the institutional capacity to successfully implement the proposed intervention to achieve the USAID India Development Partnership Activity desired outcomes.

Institutional capacity and past performance records for both Applicant and its proposed sub-awardees/partners will be closely reviewed and evaluated for their relevance and performance experience on similar projects performed within the last 3-5 years. Relevance is defined as projects performed of a similar scope, magnitude and scale. The Applicant and its partners have the technical and management experience and skills to implement the proposed interventions.

The rationale for sub-awardees needs to be explained. This NOFO encourages partnering with local partners.
Performance information will be used for responsibility determination. USAID may use performance information obtained from sources other than those identified by the Applicant. USAID will utilize existing databases of agreements performance information if any and solicit

additional information from the references provided in and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

In cases where an Applicant lacks relevant past performance history or in which information on past performance is not available, the Applicant will not be evaluated favorably or unfavorably on past performance. In such cases the Applicant will be rated "neutral". The "neutral" rating provided to these applicants is at the Agreement Officer's discretion based on the past performance ratings for all other applicants. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's past performance.

E.3 Phase 2 – Oral Presentation

The Oral Presentation and follow up question responses will be reviewed based on the following merit criteria. The criteria listed below are presented in a descending order of importance:

- Technical Approach
- Organizational Management and Staffing
- Monitoring, Evaluation and Learning Methodology
- Proposed Cost Efficiency Plan (Value for Money)

Each oral presentation will be evaluated and scored by the Selection Committee (SC) in accordance with the evaluation factors set forth in this section.

(a) Technical Approach

The Applicant will be evaluated on:

- The extent to which the Applicant clearly demonstrates how its Theory of Change is feasible to achieve the activity results.
- The extent to which the Applicant demonstrates that its proposed realistic, yet innovative interventions conceptually and operationally are feasible to achieve the activity results.
- The Applicant demonstrates an understanding of gender structure and bias in society, and how it will integrate the gender perspective discussed in the Program Description into the India Development Partnership Activity in order to achieve the activity results.
- The extent to which the Applicant clearly demonstrates how it will engage India's Development Partnership Administration, third-country stakeholders, and the private sector, and how its approach will maintain the sustainability of the activity results.

(b) Organizational Management and Staffing

The Applicant will be evaluated on:

- The Applicant demonstrates a feasible approach to ensure effective coordination and collaboration with various partners, including GOP, other non-state organizations and other USAID projects/activities.
- The Applicant clearly articulates how the Applicant intends to satisfy potential recipients and manage the sub-grant component of the activity.
- The extent to which the Applicant demonstrates that its proposed use of consortium members/partners/sub-partners/local networks (as applicable) will achieve the various results sought.
- The Applicant must clearly articulate the roles and responsibilities of the Home Office and field-based staff, including their assigned management and decision-making authorities, and how this organizational structure will effectively and efficiently achieve the India Development Partnership Activity objectives.
- The Applicant demonstrates that its proposed staffing plan and staffing mix of skills and knowledge will enable the Applicant to implement the proposed technical approach effectively.

(c) Monitoring, Evaluation and Learning (MEL) Methodology

The Applicant will be evaluated on the extent to which it clearly describes its MEL, methodology and how the structure of the proposed MEL system will apply adaptive management techniques to inform activity management and key decisions.

(d) Proposed Cost Efficiency Plan (Value for Money)

During their oral presentations, the Applicant should lay out the argument why they or their Consortium offers the best value for money and cost effectiveness for results achieved. This can be a brief general discussion on approach to cost-share if any, staff salaries, efficient use of resources and sub-agreements and contracts, use of local solutions, etc. The applicant will also need to demonstrate how they have applied cost-benefit into their design and that they understand the costs of doing business in India.

E.4 Phase 3 – Co-Creation

Only those who succeed from the Phase 2 Merit Review will be invited to join the co-creation phase which will result in the submission of Full Technical and Cost/Business Applications for final evaluation. USAID reserves the right to select another Applicant from the pool of Phase 2 merit review participants in case final agreement is not reached with the initially selected Applicant reaching phase-3.

E.5 Final Technical Application/Program Description

There will be no evaluation factors during Phase 3 (Program Description Design Workshop) but the resulting Program Description developed during the workshop will be the final technical application which will be incorporated into the resulting Cooperative Agreement. The final technical application/program description is the most important part of consideration in making the award decision.

At this stage, USAID/India will evaluate the Final Technical Application of the ASA as "Acceptable" or "Unacceptable". In the event that negotiations fail to improve the ASA's final technical application/program description, the Agreement Officer may determine the application as "Unacceptable".

E.6 Full Cost Application Review Criteria

During the Collaboration Workshop, USAID/India and the ASA will commence negotiation regarding the anticipated costs associated with implementing the Program Description. Following the Workshop, the ASA will finalize a Cost/Business Application based upon the discussions.

The Cost/Business Application will be reviewed separately from the Technical Application. Although Cost/Business Application will not be rated, the Applicant should have a structure that will allow it to provide the greatest value (highest result) at a reasonable cost.

Cost will be reviewed for general completeness, reasonableness, allowability and allocability. Cost realism is an assessment of the accuracy with the proposed costs and represents the most probable cost of performance within the Applicant's technical and management approach. Cost realism review will be performed as part of the review process to:
(i) verify the Applicant's understanding of the activity objective;
(ii) assess the degree to which the cost application reflects the approaches and/or risk assessments made in the technical application as well as the risk that the Applicant will provide the supplies or services for the offered cost; and
(iii) assess the degree to which the cost included in the cost application accurately represents the work effort included in the technical application.

The Final Cost/Business Application will also be reviewed to ensure that all compliance requirements have been satisfied and the Agreement Officer can make an affirmative determination of responsibility.

END OF SECTION E

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 Federal Award Notices

A notice of award signed by the Agreement Officer is the authorizing document for this NOFO. The notice of award will be provided electronically to the successful applicant's point of contact listed in the application. Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b. For the successful application, USAID may reach out to the applicant with clarifying questions and a request for a revised application by a specified date. USAID reserves the right to award without requesting clarifications or additional detail on an application. USAID may choose to change the Applicant's proposed award type, Grant or Cooperative Agreement, prior to award.

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

Applicants are advised that costs incurred prior to receipt of either a fully executed Agreement (in electronic or print form) or a specific, written authorization from the Agreement Officer are not allowable and therefore are ineligible for reimbursement under the Agreement. The Agreement Officer will also provide written notification electronically to the unsuccessful Applicants' Points of Contact. Requests for additional information from unsuccessful Applicants will not be considered.

F.2 Administrative & National Policy Requirements

The cooperative agreement will be administered in accordance with:

For U.S. Non-governmental organizations

- 2 CFR 700 (https://www.ecfr.gov/cgi-bin/text-idx?SID=531ffcc47b660d86ca8bbc5a64eed128&mc=true&node=pt2.1.700&rgn=div5)
- 2 CFR 200 (https://ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl)
- ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations (https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf)

For Non-U.S. Non-governmental organizations

- ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations (https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf)

For Public International Organizations (PIOs)

- ADS 303mab, Standard Provisions for Cost-Type Awards to PIOs (https://www.usaid.gov/sites/default/files/documents/1868/308mab.pdf)

USAID/India Regional Office of Acquisition and Assistance (ROAA) will administer this award. The AO will designate an AOR to review, concur and/or approve on items outlined in Substantial Involvement (Section B.3 of this NOFO).

F.3 Pre-Award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award survey to assess the Apparently Successful Application's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, the ASA must prepare, in advance, the required information and documents.

The additional documents that may be requested are By-laws, constitution, articles of incorporation, organizational policies on travel, procurement, financial management, personnel, etc. When requested, the ASA shall provide copies of the requested additional documents.

Please note that a pre-award survey does not commit USAID to make any award.

F.4 Reporting Requirements

The Recipient will adhere to all reporting requirements listed below; further, US Non-governmental organizations need to be in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.327-329).

The Recipient will submit all reports by the due date for approval from the Agreement Officer's Representative (AOR). The Recipient will consult with the AOR on the format and content prior to submission. In addition to the reports below, the AOR may request additional information to contribute to the internal USAID project reviews.

(a) Program Reporting

The Recipient must submit a copy of each report required by this Agreement to the Agreement Officer, the AOR, and the Development Experience Clearinghouse (DEC). Submission to the DEC must be through the public-facing and searchable DEC Website (http://dec.usaid.gov).

The title page of all reports forwarded to USAID must include a descriptive title, the author's name, Cooperative Agreement number, the project number and title, the Recipient's name, the name of the USAID office, and the publication or issuance date of the report.

(1) Annual Implementation Plan

The Recipient must work with USAID to develop and submit an initial annual implementation work plan within 45 calendar days of the effective date of the award. Subsequent annual implementation plans will be submitted within 30 days before the start of the succeeding fiscal year. The AOR will review and approve the plan within 15 calendar days after receipt of the draft implementation plan.

The implementation plan must include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the Monitoring, Evaluation and Learning (MEL) Plan
- Timeline for implementation of the year's proposed interventions, including target completion dates
- Information on how interventions will be put in place
- Gender Action Plan that will define how gender will be integrated in the activity cycle
- Environmental Risk Mitigation Plan which will describe how environmental compliance and climate risk management will be integrated into activity interventions
- Personnel requirements to achieve expected outcomes
- Details of collaboration with other major partners
- Annual budget with estimates of projected monthly expenditures

(2) Monitoring, Evaluation and Learning (MEL) Plan

The MEL Plan must describe the agreed upon framework of goals, outcomes, and outputs for the program, along with performance indicators, baselines and targets defined for each, and sex-disaggregated where appropriate. The MEL Plan must describe the evaluative work that the implementing partner will conduct for its own management decision-making, institutional learning, and accountability purposes (see ADS 203.3.1, as revised, for more detailed guidance).

During the first sixty (60) days after the award is made, the Recipient will work closely with the USAID AOR to finalize its MEL Plan. The plan must identify specific indicators for measuring the following aspects of the recipient's performance:

- progress toward meeting program objectives and sub-objectives;
- time frame for achieving these objectives and sub-objectives;

The Recipient will collaborate with the USAID AOR to review/update its MEL Plan, and to monitor and report to USAID.

Both quantitative and qualitative indicators need to be developed and special attention paid to data sources, collection methods, and data quality assessment.

Program monitoring and evaluation comprises an essential component of this cooperative agreement for the following reasons:

- informs USAID of progress;

- enables detailed and on-going design of activities and sub-activities;
- builds counterparts' capacity to collect and analyze the data for sound decision-making; and

At a minimum, the MEL Plan must include the following:

- Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data.
- Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems.
- Means of addressing a discovered lack of progress or success. Procedures will focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- A learning and research agenda and how this agenda will help achieve activity level results and contribute to national and international knowledge and learning.
- Information about all activities to be monitored under the MEL Plan. The list of activities must be provided in a logical framework which:

- Links activities to Agreement results—both those dictated by USAID in the program description and lower level or complementary results contained in the Recipient's approach.
- Describes assumptions being made about the relationship of the activity to the Agreement result.
- Identifies the indicators against which progress is to be measured. Includes methods to be used for monitoring
- Provides an illustrative schedule for discrete monitoring activities tied to the overall program implementation plan.

- Gender Consideration:

To the greatest extent possible, the Recipient should seek to include both men and women in all aspects of this program including participation and leadership in e.g., meetings, training, etc. The Recipient must collect, analyze and submit to USAID sex-disaggregated data and proposed actions that will address any identified gender-related issues.

In order to ensure that USAID assistance makes the maximum optimal contribution to gender equality, performance management systems and evaluations must include gender-sensitive indicators and sex-disaggregated data when the technical analyses supporting the Agreement demonstrates that:

- The different roles and status of women and men affect the activities to be undertaken; and
- The anticipated results of the work would affect women and men differently.

(3) Quarterly Performance Reports

The Recipient will submit quarterly reports that give insight into the progress of planned activities. Such reports follow USAID fiscal quarters, i.e., Quarter 1 covers October-December;

Quarter 2 covers January-March; Quarter 3 covers April-June; Quarter 4 covers July-September. The quarterly report is due within 30 days after the fiscal quarter's end. In lieu of the fourth quarter report, the Recipient will submit an Annual Progress Report (see Section F.4(4)4 below).

The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the quarter. In addition, the narrative report will indicate key implementation challenges encountered and how they were, or are planned to be, resolved. To the extent where MEL Plan includes quarterly targets, this should be reflected in the narrative report.

(4) Annual Progress Reports

The Recipient must submit an annual progress report within 30 days after the end of the fiscal year to cover annual performance from the fiscal year. At a minimum, both quarterly and annual progress reports will contain:

- Progress (interventions completed, benchmarks achieved, and performance standards completed) made since the last report by region and province as applicable
- Problems encountered and whether they were solved or are still outstanding
- Proposed solutions to new or ongoing problems
- Success stories
- Security concerns
- Information on new opportunities for program expansion
- Qualitative data on program achievement and results
- Updated/filled MEL Plan, as an attachment
- Documentation of the best practices that can be taken to scale
- Progress to date on sustainability, gender and environmental mitigation plans
- Update on monthly expenditures for the quarter vis-à-vis annual budget

(5) Close-out Plan

No later than six (6) months prior to the completion date of the agreement, the Recipient will submit a close-out plan for the Agreement Officer (AO) approval. The close-out plan shall include:

- Draft property disposition plan
- Plan for the phase-out of in-country operations
- Delivery schedule for all reports or other deliverables required under the agreement
- Timetable for completing all required actions in the close-out plan, including submission date of the final property disposition plan to the AO.

(6) Final Report

The Recipient must submit, within ninety (90) days following the expiration of this cooperative agreement, a detailed final report. The final report will cover the entire period of the award and will include, but is not limited to:

(i) executive summary;
(ii) overall description of the activities and methods of assistance used under the Program during the period of this Cooperative Agreement, and the significance of these activities;
(iii) brief description of the cumulative results towards achieving the program objectives and the performance indicators, as well as an analysis of how the indicators illustrate the program's impact on the accomplishment of the program's overall objectives;
(iv) an assessment of impact of the program in assisting USAID in meeting targets, as well as any unmet targets and the reasons for them;
(v) section reporting on gender, sustainability and institutionalization, environmental compliance and climate risk mitigation;
(v) success stories;
(vi) discussion on the issues and problems that emerged during program implementation and how they were overcome;
(vii) cost-effectiveness;
(viii) lessons learned; and
(ix) recommendations for USAID's future interventions.

The final/completion report shall also contain an index of all reports and information products produced under this agreement.

(b) Financial Reporting:

(1) Quarterly Financial Report

The Recipient must submit the Federal Financial Form (SF-425) quarterly, no later than 30 days after the end of the quarter, via electronic format to the U.S. Department of Health and Human Services (http://www.dpm.psc.gov). The Recipient must submit a copy of SF-425 at the same time to the Agreement Officer Representative (AOR) and the Controller.

Electronic copies of SF-425 and instructions for using it can be found at:

http://www.whitehouse.gov/omb/grants/standard_forms/ff_report.pdf
http://www.forms.gov/bgfPortal/docDetails.do?dId=15149
http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf"

(2) Final Financial Report

Within 90 days following the estimated completion date of this award, the Recipient must submit to the: (a) USAID/Washington, M/CFO/CMP-LOC Unit; (b) Agreement Officer (manila-roaa-admin@usaid.gov); (c) Controller (aidmnlrfsc@usaid.gov); and (c) Agreement Officer Representative (AOR), the final Federal Financial Form (SF-425).

(3) Foreign Tax Reports

Reporting of foreign taxes under this agreement shall follow the standard provision entitled "Reporting Host Government Taxes (December 2014)" of this award document.

Host government taxes are not allowable where the Agreement Officer provides the necessary means to the recipient to obtain an exemption or refund of such taxes, and the recipient fails to take reasonable steps to obtain such exemption or refund. Otherwise, taxes are allowable in accordance with the Standard Provision, "Applicability of 2 CFR 200 and 2 CFR 700 (December 2014)," and must be reported as required in this provision.

The Recipient must include this reporting requirement in all applicable sub-agreements, including subawards and contracts.

F.5 Program Income

If the successful applicant is a non-profit organization, any program income generated under the award will be added to USAID funding (and any cost-sharing that may be provided, if applicable), and used for program purposes. However, pursuant to 2 CFR 200.307 Program Income, if the successful Applicant is a for-profit or commercial organization, any program income generated under the award will be deducted from the U.S. Government share of this award to determine the amount of USAID funding.

Program income will be subject to 2 CFR 200.307 for U.S. NGOs or the standard provision entitled Program Income for non-U.S. NGOs. If the successful Applicant is/are a PIO, any program income generated under the award will be added to USAID funding (and any non-USAID funding that may be provided) and used for program purposes.

F.6 Branding & Marking

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funded under a USAID grant or cooperative agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID identity. See Section 641, Foreign Assistance Act of 1961, as amended and 2 CFR 700.16.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan by the Apparently Successful Applicant, as defined in the regulation. A Branding Implementation Strategy and Marking Plan must be in accordance with USAID Branding and Marking Plan as required per ADS 320 at the following link:
https://www.usaid.gov/sites/default/files/documents/1868/320.pdf

The Branding and Marking Plan may include a request for a waiver or exceptions to marking requirements established in 2 CFR 700.16. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and Marking Plan (including any request for exceptions and waiver) of the ASA, consistent with the provisions "Branding Strategy", "Marking Plan", and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 2 CFR 700.16. Please note that in contrast to "exception" to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 1 CFR 700.16(j).

F.7 Environmental Compliance

(a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g (http://www.usaid.gov/sites/default/files/documents/1870/201.pdf) and 204 (http://www.usaid.gov/sites/default/files/documents/1865/204.pdf), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this cooperative agreement.

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

(c) No activity funded under this cooperative agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a determination of exemption, an approved Determination of Categorical Exclusion, Initial Environmental Examination (IEE), or Environmental Assessment (EA). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

(d) An Initial Environmental Examination (IEE) will be conducted in Phase Three of the evaluation process, when the concept notes received have been narrowed down to an award, and a detailed program description developed. The IEE will be completed and approved by the Bureau Environmental Officer before the award is made. The climate risk analysis (CRA) will also be conducted along with the IEE when the activity description is developed and sites of interventions are identified. This will enable USAID to conduct a more realistic CRA and IEE, based on the award's program description.

(e) As part of its Work Plan, the Recipient, in collaboration with the AOR and Mission Environmental Officer (MEO), shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

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

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

(ii) Integrate a completed EMMP or M&M Plan into the initial implementation plan.

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

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

The Recipient will be responsible for periodic reporting to the USAID AOR, as specified in this award. Both AOR and MEO reviews the report but the MEO clears on the document.

END OF SECTION F

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

AGENCY POINT OF CONTACT

Name:Mr. Armando Espinosa
Title:Regional Agreement Officer
Email:aespinosa@usaid.gov

Any prospective Applicant desiring an explanation or interpretation of this NOFO must request it in writing by the due date and time specified on the cover page of this NOFO in order to allow a reply to reach all prospective Applicants before the submission of their Initial Application. Oral explanations or instructions given before award will not be binding. Any information given to a prospective Applicant concerning this NOFO will be furnished promptly to all other prospective Applicants as an amendment of this NOFO if that information is necessary in submitting applications or if lack of it would be prejudicial to any other prospective Applicants.

END OF SECTION G

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

ATTACHMENTS:

1. Annex 1: Certifications, Assurances, Other Statement of the Recipient and Solicitations Standard Provisions
2. Annex 2: Past Performance Questionnaire
3. Annex 3: Preliminary Gender Equality and Social Inclusion Analysis

END OF SECTION H

ANNEX 1: CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATIONS STANDARD PROVISIONS

The following certifications are required for full application submissions in Phase 3.

Certification, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions can be at website http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

Part I – Certifications and Assurances

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

Part IV – Representation by Organization Regarding a Delinquent Tax or a Felony Criminal Conviction

Part V – Other Statements of Recipient

Part VI – Standard Provisions for Solicitations

CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATIONS STANDARD PROVISIONS

NOTE: When these Certifications, Assurances, and other Statements of Recipient are used for cooperative agreements, the term 'Grant' means 'Cooperative Agreement'

1. Assurance of Compliance with Laws and Regulations Governing NonDiscrimination in Federally Assisted Programs

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must 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.

2. Certification Regarding Lobbying

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

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

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

(3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must 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 will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

3. 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 must 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 will be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure."

4. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee 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

must review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.
If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

5. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

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 is maintained by OFAC, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification –

a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

(i) “Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.
(ii) “Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge.

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 must 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 will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

6. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds $500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

1. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision "Trafficking in Persons" and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and
2. To the best of the representative's knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision "Trafficking in Persons."

7. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing NonDiscrimination in Federally

Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

These certifications and assurances are 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 that 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 these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or Annual Program Statement No. ______________________________

Application No. __________________________________

Date of Application ______________________________

Name of Recipient _______________________________

Typed Name and Title ___________________________________

Signature _________________________________

Date _______________________________

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

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

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

Signature: ___________________________

Date: ______________________________

Name: _____________________________

Title/Position: _____________________________

Organization: ______________________________

Address: ____________________________

Date of Birth: ______________________________

NOTICE:

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

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

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

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

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

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

Signature: ______________________________________

Name: ________________________________

Date: ________________________________

Address:

Date of Birth: ________________________________

NOTICE:

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

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

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) "Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2) "Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government".

It is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1) The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
(2) The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Part V – Other Statements of Recipient

1. Authorized Individuals

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

Name Title:

Telephone No.

Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: ______________________________

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, 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 email Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

system. DUNS:

4. Letter of Credit (LOC) Number

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

LOC: ____

5. Procurement Information

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

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

$____

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

TYPE/DESCRIPTION (Generic) ____________________
QUANTITY ________________________________
ESTIMATED UNIT COST ______________

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision “USAID Eligibility Rules for Procurement of Commodities and Services,” indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. “Source” means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, “source” means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, “available for purchase” includes “offered for sale at the time of purchase” if the commodity is listed in a vendor’s catalog or other statement of inventory, kept as part of the vendor’s customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors’ shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor’s catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through “just in time” or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient’s request for the commodity.

TYPE/DESCRIPTION______________
QUANTITY__________________________
ESTIMATED GOODS ____________________
PROBABLE GOODS ______________________
_____
PROBABLE (Generic) ____________________
UNIT COST ___________________________
SOURCE ______________________

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

TYPE/DESCRIPTION__________________
QUANTITY____________________________
ESTIMATED_____________________
PROBABLE ___________________
INTENDED USE (Generic) ___________________
UNIT COST ______________________
SOURCE _________________________

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," 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.

TYPE/DESCRIPTION_________________
QUANTITY__________________
ESTIMATED________________
PROBABLE SUPPLIER ________________
NATIONALITY __________________
RATIONALE (Generic) _________
UNIT COST (Non-US Only) ________________
FOR NON-US ___________________
_____

6. Past Performance References

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

7. Type of Organization

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

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or local governmental organization, [ ] a private college or university, [ ] a public college or university, [ ] an international organization, or [ ] a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as [ ] a corporation organized under the laws of_____________(country), [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a nongovernmental educational institution, [ ] a governmental organization, [ ] an international organization, or [ ] a joint venture.

8. Estimated Costs of Communications Products

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

Part VI – Standard Provisions for Solicitations

1. Branding Strategy – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

(i) USAID requires the applicant to use the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at http://www.usaid.gov/branding, unless Section F of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

(ii) USAID prefers local language translations of the phrase “made possible by (or with) the generous support of the American People” next to the USAID Identity when acknowledging contributions.

(iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section F of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, “USAID is from the American People.”

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://www.usaid.gov/branding. Section F of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

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

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

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

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PROVISION)

3. Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)

PROHIBITION ON PROVIDING FEDERAL ASSISTANCE TO ENTITIES THAT REQUIRE CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS – REPRESENTATION (MAY 2017)

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.
“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign

regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.
"Subaward" has the meaning given in 2 CFR Part 200.
"Subrecipient" has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a nonfederal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) Representation. By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

(END OF PROVISION)

[END OF ANNEX I]

ANNEX 2: PAST PERFORMANCE QUESTIONNAIRE

On the following pages, summarize the Applicant's performance in each rating factor listed below. Each factor has a set of sub factors with four possible adjectival ratings. Determine the adjectival rating that most nearly represents your experience with this applicant and indicate your assessment by placing an "X" under the appropriate heading.

Applicant performance factors are:

A. Institutional Capacity

B. Quality of Service

C. Timeliness of Performance

D. Teaming Arrangements

Adjectival ratings are defined below and should be used as a reference in assessing performance:

OUTSTANDING	Applicant's performance significantly exceeded the agreement requirements.
GOOD	Applicant's performance exceeded the agreement requirements.
SATISFACTORY	Applicant's performance met agreement requirements.
UNSATISFACTORY	Applicant's performance was less than acceptable and was unable to perform the agreement requirements successfully.
N/A	Not applicable

A	Institutional Capacity	Outstanding	Good	Acceptable	Unsatisfactory	N/A	Additional Comments
1.	Did Applicant provide effective contract/agreement and project management?						
2.	How effective has the Applicant been in understanding and responding to Customer's Organization?						
3.	Did the Applicant establish and maintain effective quality control standards and procedures?						
4.	Did the Applicant demonstrate cost efficiencies in performing the required effort and was the effort performed within the estimated cost/price?						

B	QUALITY OF SERVICES	Outstanding	Good	Acceptable	Unsatis factory	N/A	Additional Comments
1.	Did the Applicant provide quality services?						
2.	Did the Applicant provide quality reports and documentation (i.e., accurate,current and complete)?						
3.	Was the Applicant able to solve any performance problems without extensive guidance from the Customer Organization counterparts?						
4.	Did the Applicant supply professional and qualified personnel?						
5.	Did the Applicant respond to emerging situations to include staffing and responsiveness?						
C	TIMELINESS OF PERFORMANCE	Outstanding	Good	Acceptable	Unsatis factory	N/A	Additional Comments

1.	Did the Applicant adhere to the deliverable/report schedules in the:						
	(a) Performance of Services?						
	(b) Delivery of reports and other documentation?						
	(c) Qualified Staffing?						
D	TEAMING ARRANGEMENTS	Outstanding	Good	Acceptable	Unsatisfactory	N/A	Additional Comments
1.	Did the Applicant have an effective partnership with its team members?						
2.	What percentage of the contract/agreement work was performed by Applicant?						
3.	Did the Applicant effectively manage sub-grant programs?						

4.	Did the Applicant utilize local organizations and/or networks effectively?						

END OF PAST PERFORMANCE QUESTIONNAIRE

[END OF ANNEX 2]

ANNEX 3: PRELIMINARY GENDER EQUALITY AND SOCIAL INCLUSION ANALYSIS

1. BACKGROUND

United States Government Context

As stated in the National Security Strategy of the United States of America, “Societies that empower women to participate fully in civic and economic life are more prosperous and peaceful. We will support efforts to advance women’s equality, protect the rights of women and girls, and promote women and youth empowerment programs.”[1]

Women make up half the human population — and can act as key drivers of global growth and national security. At USAID, we believe that investing in gender equality and women’s empowerment can help eradicate extreme poverty, build vibrant economies, and unlock human potential on a transformational scale.

It is estimated that: i) if the same number of women as men participated in the global economy, global GDP would grow by $12 trillion by 2025; ii) providing online and mobile access to 600 million women could contribute $18 billion to GDP growth in 144 developing countries; and iii) women are 18 percent more likely than men to pay back small business loans.

On February 7, 2019, the White House launched the Women’s Global Development and Prosperity (W-GDP) Initiative, which will bring women’s economic empowerment to the forefront of the U.S. Government’s development agenda. W-GDP establishes an innovative new fund at USAID to enable women to succeed in the economy in the developing world.
The initiative focuses on three pillars:

1. Pillar One: Advancing workforce development and vocational education to ensure women have the skills and training necessary to secure jobs.
2. Pillar Two: Promoting women’s entrepreneurship and providing women with access to capital, markets, technical assistance and networks.
3. Pillar Three: Striving to remove the legal, regulatory and cultural barriers that constrain women from being able to fully and freely participate in the economy.

USAID Context

Pursuant to Automated Directives System (ADS) 205[2] and in alignment with the United States Agency for International Development’s (USAID) ‘Gender Equality and Female Empowerment Policy’[3]Individual Operating Units (OU) are responsible for conducting gender analyses at the design stage of new projects/programs, and for ensuring that the Policy is implemented throughout each stage of the Program Cycle. This preliminary gender analysis pertains to the design of USAID/India’s ‘India Development Partnership Activity (IDPA)’, which aims to amplify and broaden the Government of India’s (GOI’s) effectiveness to engage in and finance development activities across the Indo-Pacific region and globally. USAID seeks to bolster the

GOI’s commitment as a development partner and stabilizing actor, fostering a sustainable and long-term approach to maintaining regional stability and supporting regional connectivity in line with the U.S. Government’s Indo-Pacific vision and South Asia strategy.
USAID will build a new relationship with India’s development agency, the Development Partnership Administration (DPA), to strengthen the GOI’s ability to deliver development assistance to countries in the region and globally, across a variety of development areas. This activity will leverage both USAID’s and India’s comparative advantages and achievements to improve economic outcomes in the region and achieve our shared goals for the development of the Indo-Pacific region, as codified in the U.S.-India Statement of Guiding Principles on Triangular Cooperation for Global Development. India has the will, capability, and influence to sustainably reduce threats in the region and maintain a balance of power in Asia that promotes peace, prosperity, and stability.

The activity has three interrelated and mutually reinforcing components:

- Strengthening India’s centers of excellence and training institutions to expand demand for services in region and globally
- Establishing partnerships and alliances to support U.S.-India development activities in third countries
- Enhancing India’s role as a development leader

2. MAIN FINDINGS

A Gender Equality and Social Inclusion (GESI) Analysis is not a “woman’s analysis” and needs to consider the different threats, impacts, and opportunities operating on males and females. As such, a GESI Analysis considers these questions and their social/economic implications throughout the various stages of the Program Cycle – from activity design and implementation, monitoring and evaluation (M&E), and learning and adapting.

The World Economic Forum’s ‘The Global Gender Gap Report 2018’[4] benchmarked national gender gaps on economic, education, health and political criteria, and the rankings for South Asian countries were as follows: Bangladesh (48); Sri Lanka (100); Nepal (105); India (108); Maldives (113); Bhutan (122). Thus, only Bangladesh was above the global average.

Laws, Policies, Regulations, and Institutional Practices

‘Laws’ include formal statutory laws and informal and customary legal systems that create/enforce laws. ‘Policies and regulations’ include formal and informal rules and procedures adopted by public institutions for making decisions and taking public action regarding the governance of actors. ‘Institutional practices’ can be formal or informal and include behaviors or norms related to human resources (hiring and firing), professional conduct (workplace harassment - a form of gender-based violence), and the like. In South Asia, women have less of a direct influence than men in the development of laws, policies, regulations, and institutional practices.

Gender Roles, Responsibilities, and Time Use

Across South Asia cultural norms and beliefs vary across countries and even internally, where religion, level of education, social standing, and rural versus urban residence can all influence collective cultural norms and beliefs. These beliefs influence the assumed roles and responsibilities of men and women in economic activities. Some commonalities exist regarding how men and women behave in social situations and interact with one another throughout the region. Frequently, there are disproportionate unpaid care work burdens for women; in public/social situations that are mixed, men often have the stronger voice and position to set cultural, political, and economic agendas; and in rural communities women and girls are more often responsible for spending time collecting firewood for cooking fuel and heating, this regular task conducted away from home increases the risk of women and girls being exposed to gender-based violence.

Access to and Control over Assets and Resources

A key component of gender analysis is an examination of whether females and males own and/or have access to and the capacity to use productive resources – assets (land, housing), income, social benefits (social insurance, pensions), public services (health, water), technology – and information necessary to be a fully active and productive participant in society. As men largely dominate political leadership in South Asia, from a macro-level, women have a disproportionately limited access to/control over assets and resources.

Patterns of Power and Decision-making

This domain of gender analysis examines the ability of women and men to decide, influence, and exercise control over material, human, intellectual, and financial resources, in the family, community, and country. There is an imbalance in the representation of women in decision-making positions in South Asian governments and the private sector.

3. RECOMMENDATIONS

The India Development Partnership Activity (IDPA) will be developed through a co-creation process. The selected implementing partner will develop a gender strategy that will provide several methods for gender mainstreaming across the various activities through such means as gender budgeting, use of gender impact assessments, research, use of gender-sensitive indicators and sex-disaggregated data, consultations with stakeholders, training, monitoring and evaluation, awareness raising, and systems strengthening. The selected implementing partner should also understand the connections between gender equality, women's leadership, and inclusive growth in South Asia, and reflect on how they can move the gender equality and women's empowerment agenda forward in regional government work.

The IDPA will incorporate four overarching outcomes: i) reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; ii) reducing gender-based violence and mitigate its harmful effects on individuals, the disabled, and communities, so that all people can live healthy and productive lives; iii) increasing the capability of women, disabled persons, and girls to realize their rights, determine their life outcomes, and influence decision making in households, communities, and societies; and iv) establishing gender tools and training to develop institutional frameworks for gender mainstreaming.

Further, the selected implementing partner will conduct GESI analyses and prepare a gender integration plan once specific activities are defined in collaboration with India's Development Partnership Administration. GESI analyses will identify and explain gender differences across five dimensions, noted below, in countries of mutual interest that may be in South Asia or in other geographic regions of the world.

- Laws, policies, regulations, and institutional practices that influence the context in which men and women act and make decisions
- Cultural norms and beliefs
- Gender roles, responsibilities, and time use
- Access to and control over assets and resources
- Patterns of power and decision-making

END OF PRELIMINARY GENDER EQUALITY AND SOCIAL INCLUSION ANALYSIS

[END OF ANNEX 3]

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