NOTICE OF FUNDING OPPORTUNITY

USAID Protecting Lives and Rights in the Sahel Activity

USAID/SENEGAL
SAHEL REGIONAL OFFICE (SRO)
NOFO NO.: 72068524RFA00014_ Amendment#1
August 26, 2024

Issue Date:	**July 24, 2024**
Deadline for Questions:	**August 7, 2024**
Closing Date:	**September 18, 2024**
Closing Time:	**17:30 GMT (Dakar local time)**
Subject:	Notice of Funding Opportunity Number: **72068524RFA00014-Amendment #1**
Program Title:	**USAID Protecting Rights and Lives in the Sahel Activity**
Assistance Listing Number:	98.001

PLEASE NOTE THIS IS AMENDMENT NO. 1.

THIS AMENDMENT TO THE NOTIFCE OF FUNDING OPPORTUNITY ISSUED ON JULY 24, 2024, INCLUDES CHANGES AND UPDATES TO TEXT AND LANGUAGE THAT SHOULD HELP CLARIFY CERTAIN SECTIONS OF THE DOCUMENT. FOR EASE AND CONVENIENCE, USAID HAS HIGHLIGHTED IN YELLOW ANY SECTIONS WHERE THERE IS A CHANGE. GENERALLY, THE HIGHLIGHTED SECTIONS INCLUDE THE TEXT THAT WAS DELETED AND NEW TEXT ADDED.

THIS AMENDMENT SUPERSEDES THE NOFO ISSUED ON JULY 24, 2024.

Dear Prospective Applicants:

The United States Agency for International Development (USAID or the Agency) is seeking applications for a Leader with Associate Award (LWA) from qualified entities to implement the above-mentioned program outlined in the subject notice of funding opportunity (NOFO).

Eligibility for this award is not restricted.

USAID intends to make a single award to the applicant that best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible entities interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of activity sought, application submission requirements, and selection process

Subject to funding availability, USAID intends to provide up to $50 million in total USAID funding (LWA including any future Associate Awards) to support the USAID Protecting Rights and Lives in the Sahel Activity. The initial Leader Award is anticipated not to exceed $20 million. Associate Awards may not exceed $30 million combined. There will be no initial associate award(s) with the LWA, and there is no guarantee regarding the number or amount of Associate Awards.

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 notice of funding opportunity is posted on www.grants.gov and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this NOFO and to ensure that the NOFO has been received from the internet in its entirety. 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 at support@grants.gov for technical Assistance.

USAID may not award to an applicant unless the applicant has complied with all applicable unique entity identifiers and System for Award Management (SAM) requirements detailed in Section D.6.g. The registration process may take many weeks to complete; therefore, applicants are encouraged to begin registration early in the process.

Please send any questions to the point(s) of contact identified in Section G below. 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 NOFO posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the U.S. Government (USG) nor does it commit the USG 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. Please note that USAID reserves the right to cancel this process at any time without prior notice.

Thank you for your interest in USAID programs.

Sincerely,

EDEL PEREZ-CAMPOS Digitally signed by EDEL PEREZ-CAMPOS
Date: 2024.08.27 14:34:57 Z

Edel Perez
Regional Agreement Officer

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SECTION A: PROGRAM DESCRIPTION

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in Section F.

See Attachment A

[END OF SECTION A]

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SECTION B: FEDERAL AWARD INFORMATION

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

USAID contemplates making one Leader with Associate Award (LWA) for technical implementation of the USAID Protecting Rights and Lives in the Sahel Activity **.**USAID intends to award one Leader with Associate Award (LWA)pursuant to this NOFO. Subject to funding availability and at the discretion of the Agency, USAID intends to provide **$50,000,000.0**0 in total USAID funding (LWA including any future Associate Award) over a five-year period. The competition covers both the initial Leader Award and all subsequent Associate Awards. The Total Estimated Amount (TEA) of the leader award is $20,000,000.00 (inclusive of a $3,000,000 rapid response~~ supplemental~~), and the total ceiling of all subsequent Associate Awards combined is $30,000,000.00.

Individual "buy-in" (allows multiple operating units or missions to contribute funding into an Associate Award rather than establishing an individual or separate Associate Award) will be permitted under the LWA with a ceiling of $5,000,000. The PRL LWA allows all USAID operating units to issue Associate Awards supporting activities that fit within the scope of the PRL Programmatic Framework. ~~Individual buy-ins for~~ Associate Awards have a ceiling of $10,000,000.00.

2. **Expected Performance Indicators, Targets, Baseline Data, and Data Collection**

The PRL LWA is a regional activity designed to counter trafficking in persons (TIP) and protect the human rights of the most marginalized and vulnerable groups in Sahel countries. Over a five-year period, PRL aspires to ensure that the governments of affected countries effectively address TIP and protect vulnerable people. The Activity will achieve this goal by applying a holistic, multi-sectoral, and cross-border approach. The Activity will integrate CLA fully into its technical work and operations to ensure its effectiveness and relevance through implementation. PRL will coordinate with other CTIP and human rights interventions supported by USAID, DOS, and other donors, as well as with other relevant technical sectors USAID supports, such as health and education, wherever possible. PRL will also fully incorporate a flexible, iterative approach to implementation that will allow learning over time to inform the Activity.

3. **Start Date and Period of Performance for Federal Awards**

The anticipated period of performance is five years. The estimated start date will be on or about **December 01, 2024.**

4. **Substantial Involvement**

USAID recently revised ADS Chapter 303's guidance on substantial involvement, removing strict limits on the specific aspects of award management through which USAID might be substantially involved. This revision aims, in part, to better enable adaptive management by allowing Agreement Officer's Representatives (AORs) to engage in more technical aspects of implementation. The intended purpose of the involvement of the AORs during the implementation of the Activity is to assist the recipient in achieving the supported objectives. It is expected that in the award, the Agreement Officer (AO) will delegate several approvals to the AOR, except for changes to the Program Description, period of performance, or the approved budget, which may only be approved by the AO only. See also 2 CFR 200.308(c). In this award, in addition to normal award administration and technical assistance as described in ADS 303.3.11, USAID, through the AO and AOR, will be substantially involved in the following areas:

- The Agency's approval of the recipient's implementation plans during performance. USAID generally only requires approval of implementation plans annually; however, where changed contexts or new information require a pivot in the activity, USAID may consider changes to an implementation plan;

- The Agency's ability to immediately halt an activity if the recipient does not meet detailed performance specifications (for example, construction specifications). These would be provisions that go beyond the suspension remedies of the Federal Government for noncompliance as stated in 2 CFR 200, including non-performance;

- The Agency's review and approval of substantive provisions of proposed subawards or contracts (see definitions in 2 CFR 200). These would be provisions that go beyond existing policies on Federal review of recipient procurement standards and sole source procurement. 2 CFR 200.308 already requires the recipient to obtain the AO's prior approval for the subaward, transfer, or contracting out of any work under an award;

- The Agency's approval of key recipient personnel;

- The Agency's approval of the AMELP and any subsequent changes to the approved document;

- The Agency's approval of required reports;

- The Agency and recipient collaboration or joint participation, such as when the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, or in regular "pause and reflect" sessions;

- Agency monitoring to permit specific kinds of direction or redirection of the work because of the interrelationships with other projects or activities. All such direction or redirection must be within the program description budget, and other terms and conditions of the award;

- Direct agency operational involvement or participation to ensure compliance with statutory requirements such as civil rights, environmental protection, and provisions for people with disabilities that exceeds the Agency's role that is normally part of the general statutory requirements understood in advance of the award;

- Highly prescriptive Agency requirements established prior to award that limit the recipient's discretion with respect to the scope of services offered, organizational structure, staffing, mode of operation, and other management processes, coupled with close monitoring or operational involvement during performance over and above the normal exercise of Federal stewardship responsibilities to ensure compliance with these requirements;

These areas of substantial involvement are subject to negotiation, and may change prior to final award. Please refer to ADS 303.3.11 for further information.

5. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 937 (the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source).

6. Nature of the Relationship between USAID and the Recipient

The principal purpose of USAID's relationship with the recipient under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the **USAID Protecting Rights and Lives in the Sahel Activity** , which is authorized by Federal statute.

The recipient(s) will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The recipient(s) 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.

7. Principal Purpose of Assistance Instrument

The principal purpose of the LWA Assistance instrument and the grantor-grantee relationship it will create between the Agency and the recipient is to transfer Federal financial assistance to the recipient - to carry out in the designated Program Area - a public purpose of support or stimulation, as authorized by the Foreign Assistance Act of 1961, as amended, and other applicable authorities as provided in annual appropriations legislation.

The principal purpose of the recommended Assistance instrument and the grantor-grantee relationship it will create is not to acquire from the recipient - by purchase, lease, or barter - property or services for the direct benefit or use of the Agency.

The provision of Federal financial assistance to a recipient for the Program Areas identified in this memorandum serves the Agency's public purpose of supporting development actors who advance the achievement of USG development objectives in the Program Area. This also advances the Mission of the Agency and serves a public purpose of support and stimulation authorized by the FAA and annual appropriations legislation.

As a result of market research conducted during the planning phase of this activity, the use of an assistance instrument is recommended over acquisition because this award will support recipient organization/s to achieve outcomes they pursue based on their organization's missions and priorities, that align with–and not just respond to–the priorities of USAID. The alternative instrument – a contract – would not be appropriate because the Agency is not acquiring goods and services in this case.

Specifically, USAID/SRO plans for the initial Leader award to focus on a few specific countries in the region, in particular those countries for which SRO has funds and where these is clear need and political will to engage (e.g., The Gambia, Mauritania, Burkina Faso, Chad, and Guinea-Bissau). However, additional countries in the region have significant CTIP and human rights needs, and subject to the availability of additional funding from SRO or other operating units in the region, may choose to issue Associate Awards to cover needs outside of the initial Leader award's focus.

USAID is planning to allocate a combined ceiling for the Leader with Associates Awards of $50M, due to extensive field consultations in Burkina Faso, Chad and Mauritania, and conversations with other USAID Country Offices and Missions in the region. During those discussions, it has been determined that due to the unanticipated future and frequent need to respond to compelling urgent programmatic requirements that cannot be foreseen in terms of location, timing, or magnitude, the objectives of this activity can best be met through the use of a LWA. Given the high insecurity in the Sahel and subsequent movement of vulnerable populations due to internal displacement, and the need for adaptability and close coordination between the leader, USAID and local stakeholders, an LWA will best serve the interests of the USG to achieve the anticipated results of this award.

[END OF SECTION B]

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SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

Eligibility for this NOFO is not restricted; however, USAID encourages Applicants to incorporate the principles of "Localization" into their applications and consider substantial engagement with local organizations for proposed subawards and Associate Awards.

2. Cost Sharing or Matching

USAID is not requiring cost share for the Leader award though it can be included in Associate Awards. For guidance on cost sharing in grants and cooperative agreements see 2 CFR 200.306.

3. Other

All applicant organizations are restricted to submitting only one application as the "Prime" or Primary Applicant. If more than one application is received with the same Prime Applicant, USAID will seek written clarification from the relevant entity regarding which application should be considered for review. If clarification is not resolved within five (5) business days, all applications submitted by the Applicant will be deemed ineligible.

Potential sub-awardees are however not restricted to appearing on only one application. Local and regional organizations may be included in multiple applications for this funding opportunity.

[END OF SECTION C]

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SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Primary:
Name: Aminata Diallo
Title: Agreement Specialist
Street Address: USAID/Senegal, c/o U.S. Embassy, B.P. 49, Route des Almadies, Dakar, Senegal
Email: amdiallo@usaid.gov

Alternate:
Name: Robert Almosd
Title: Regional Agreement Officer
Street Address: USAID/Senegal, c/o U.S. Embassy, B.P. 49, Route des Almadies, Dakar, Senegal
Email: ralmosd@usaid.gov

2. Questions and Answers

Questions regarding this NOFO should be submitted in writing to the email addresses of the primary and alternate agency contacts above no later than the date and time indicated on the cover letter, or as amended.

Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment to this NOFO, if that information is necessary in submitting applications or if the lack thereof would be prejudicial to any other prospective applicant.

3. General Content and Form of Application

The Applicant must furnish the information required by this NOFO. Applications must be submitted in two separate parts: (a) Technical Application, and (b) Business (Cost) Application.
This subsection addresses general content requirements applying to the full application. Please see subsections below, for information on the content specific to the Technical and Business (Cost) Applications. The Technical Application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.
Both the Technical and Business (Cost) Applications must include a cover page containing the following information:

- Program/Activity title;
- Name and address of organization(s) applying for the award;
- Name(s) of all proposed partner(s)/sub-recipient(s), if any; (identify if any of the organizations are local organizations, per USAID's definition of 'local entity' under ADS 303);

- SAM registration confirmation of the prime applicant, and the Universal Entity Identification (UEI) Number for the applicant as well as all proposed sub-recipients (to encourage localization efforts, UEI numbers for local partners are not required at the application stage but will be required at the time of award);
- Contact person name and title, email address, telephone number, and corresponding signatures, and the identification of the alternate contact person; and
- Identification and signature of the person authorized to sign an award. Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant must be accompanied by evidence of that agent's authority.

Applications must comply with the following:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- Written in English.
- Use standard 8 ½” x 11”, single sided, single-spaced, 12-point Calibri font, 1” margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and applicant’s name.
- A 10-point font can be used for graphs and charts. Tables, however, must comply with the 12-point Calibri requirement. No changes to font, font size, spacing, etc., will be contemplated.
- Submitted via PDF format, except budget files which must be submitted in Microsoft Excel.
- The Technical Application must be a searchable and editable PDF format.
- The Cost Application must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant's discretion. However, the official cost application submission is the unlocked Excel version. A Budget Narrative/Justification must accompany the Cost Application.
- Each page must be numbered sequentially, and the application must not be password protected and must not be zipped.

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

> This application includes data that must not be disclosed outside the U.S. Government and must not be duplicated, used, or disclosed other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of the submission of this data, the U.S. Government will have the right to

duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets *(insert sheet numbers)*.

Applicants must review, understand, and comply with all aspects of this request. Failure to do so may be considered as being non-responsive and may be evaluated accordingly. Applicants should retain for their records one copy of the application and all accompanying enclosures.

4. Application Submission Procedures

Applications in response to this NOFO must be submitted no later than the closing date and time indicated on the cover letter, or as amended. Late applications will not be considered.

Applications must be submitted by email to amdiallo@usaid.gov with a copy to ralmosd@usaid.gov. Email submissions must include the NOFO number and applicant’s name in the subject line heading. In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

Technical application and cost/business applications must be submitted separately. The technical application must not include any cost data or references.

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that email is NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID mail server. File size must not exceed 25 MB per email.

There may be a problem with the receipt of *.zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID cannot guarantee their acceptance by the internet server.

5. Technical Application Format

The Technical Application must include the following sections and observe the indicated page limitations. Note that sections V. Technical Approach, VI. Management Approach, and VII. Localization Approach, described below **must not exceed 30 pages combined**:

I. **Cover Page** (maximum one page–does not count towards technical approach page limit): The Applicant must provide the title of the proposed activity, name and address of prime applicant, and names of proposed partners and proposed subawards, as applicable on the cover page, etc. Please see L.3.

II. **Table of Contents** (maximum one page–does not count towards technical approach page limit) Include major sections and page numbering to easily cross-reference.

III. **List of Acronyms** (Optional–does not count towards technical approach page limit).

IV. **Executive Summary** (maximum two pages–does not count towards technical approach page limit): Briefly provide a high-level overview of the technical application including (a) the proposed vision and goals for the program and (b) the managerial approach and resources that the applicant will bring to bear on the overall management of the program.

V. **Technical Approach**: see below for further description and the technical approach must include the following sections:
   - **A.** Background
   - **B.** Activity goals and objectives
   - **C.** Program Statement outlining major activities to be accomplished linking to expected results with timelines and incorporating all of the elements below, such as environment and gender, and the attached program description.

VI. **Management Approach:** see below for further description and the management approach must include the following sections:
   - **A. Management Plan**
   - **B. Staffing Plan**
   - **C. Key Personnel**
   - **D. Institutional Capacity and Experience**

VII. Localization Approach

USAID expects the recipient of the Leader Award to outline a process for identifying and including organizations that meet the USAID definition of "local" (ADS 303) as part of the consortium, if applicable, following the award. In the application, the Leader will identify the types of activities "set aside" for local organizations to advance USAID's localization objectives. Examples of potential "set aside" activities include assessments, recurrent monitoring surveys, communications support, Associate evaluations, etc. This should not be construed to limit local organizations to only those activities. The recipient of the Leader Award should allow and consider local organizations for the implementation of other Associate Awards across the technical sectors, depending on the level of technical and operational expertise.

VIII. Annexes:

- **A.** Organizational Chart
- **B.** Staffing Plan (matrix)
- **C.** Key Personnel:
  - i. CVs (maximum 3 pages/key personnel)
  - ii. Letters of commitment (maximum 1 page/key personnel)
  - iii. Three (3) References (maximum 1 page/key personnel),see NOFO Amendment#1
- **D.** Draft AMELP
- **E.** Draft 3-month Work Plan

Technical Approach Information: Throughout the narrative, the Applicant must describe its understanding of the development challenges relevant to this activity, its underlying problems and root causes; and describe potential solutions and proposed approaches that are technically sound, evidence-based, feasible, and context-appropriate in order to sustainably achieve the objectives and results outlined in the Program Description. Applicants must provide a clear theory of change that directly leads to the program outcomes/objectives and successful achievement of the program description outlined in the NOFO.

Apart from the guidance in the Program Description–Attachment A, the technical approach also must address the following:

- **Environment:** The applicant must identify the potential environmental impacts of the proposed activity to be financed by USAID and plan to develop appropriate environmental safeguards to any issues identified in response to the IEE. Please refer to ADS 204 for USAID's environmental procedures. In addition, the recipient must comply with host country environmental regulations. The Recipient will be responsible for training their staff, grantees, subcontractors, and counterparts on the agreements' environmental requirements and for ensuring they are in compliance with these requirements. In the case the activity has environmental impact, it is the responsibility of the applicant to budget for effective monitoring and mitigation to ensure compliance with 22 CFR 216 throughout the life of an activity.
- **Gender:** The application should include how and to what extent their proposed activities will impact gender equality. To the extent possible, the analysis should identify:
  - Relevant gaps in the status and anticipated levels of participation of women and men (including age, ethnicity, disability, location, etc.) that could hinder overall activity outcomes.
  - Possible differential effects the activity might have on men and women; and

opportunities to promote women's empowerment.

- ○ How women will be engaged throughout the activity.
- ○ The applications should provide a strategy and action plan for addressing identified gender inequalities. Please refer to USAID [Gender Equality and Women's Empowerment Policy].

Management Approach Information:

Applicants must submit a management and staffing plan that specifies the composition and organizational context of the entire implementation team (including home office support if any and sub-awardees) and specify clear lines of supervision, accountability, decision-making and responsibility including management of sub-awards, with defined lines of management, authority, technical responsibility, including oversight and quality control. The management approach must also demonstrate a strong plan for Collaboration Learning and Adaptation. ~~and a commitment to locally-led development.~~

Management Plan

~~The management plan should describe how the management approach will be adaptive and how managers will provide feedback to multiple stakeholders, have the ability to be flexible, and be responsive during implementation.~~

~~The management plan must explain how expertise in both gender and youth is incorporated within senior leadership, who is responsible for each of these areas, and how leadership of these areas will occur within the proposed organizational chart. The application must demonstrate technical staffing expertise in presenting a staffing plan that includes an overall matrix. This matrix will reflect all proposed positions (including key personnel) projected to implement all program components and cross cutting elements. It will clearly demonstrate excellent technical expertise in monitoring and evaluation, as well as financial monitoring and compliance.~~

The management plan must include an approach and timeline to ensure rapid and efficient start-up of both operational and technical aspects of the program. Applicants must also outline a clear scheme on partnerships and collaboration with a diverse range of actors, and a commitment to locally-led development.

The management plan should also describe the proposed geographic location of the Leader Award and how the Leader will flexibly coordinate activities throughout the Sahel.

Staffing Plan

In the staffing plan, Applicants must indicate the number of positions, their functions, whether they will be local or expatriate hires. ~~The staffing plan must include an approach and timeline to ensure rapid and efficient start-up of both operational and technical aspects of the program. Applicants must also outline a clear scheme on partnerships and collaboration with a diverse range of actors.~~

In the staffing plan, the Applicant must demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing. The staffing plan should clearly show how the individuals, skills and proposed staffing mix are appropriate for achieving the program's objectives and supports implementation at all levels.

The management plan must explain how expertise in both gender and youth is incorporated within senior leadership and who is responsible for gender and social inclusion in the implementation of the activity.

~~It must identify other significant full or part-time technical professional staff, consultants (if any), and implementing sub-partners, and describe how they will complement the skills and expertise of the team.~~

Key Personnel

Collectively, proposed Key Personnel should present a team that possesses the following skills, knowledge and experience, in addition to the individual minimum requirements set forth below:

- Knowledge of the human rights and trafficking in persons context in the West Africa region, with knowledge of the Sahel a plus.
- Experience in implementing similar activities/projects focused on counter-trafficking in persons and working with specific target groups such as youth, women, and girls.
- Previous experience of working in a developing country context, preferably in Africa. Experience in the Sahel is a plus.
- Demonstrated capability to build the long-term capacity of local partners.
- Demonstrated ability to support government institutions to lead on CTIP and protect human rights.
- Experience in MEL, in order to provide adequate oversight for implementation of the Monitoring, Evaluation and Learning Plan.
- Demonstrated ability to manage and work within multi-disciplinary teams of professionals in international environments.

The following three personnel are key to the successful implementation of this activity:

Chief of Party (COP)**:** The COP must provide overall technical and administrative leadership and expertise and serve as the primary liaison with USAID on management and technical matters. The COP will be responsible for administering and managing the implementation of the activity and has the overall responsibility for assuring that all assistance provided is technically sound and appropriate to meet activity objectives. The COP must be responsible for overseeing all aspects of coordination and communication, including with the governments, other donors, civil society, private sector, and other potential implementing partners. The COP will supervise the work of all organizations (subawardees) and individuals engaged under the activity.

Requirements:

- Relevant degree in the social sciences, international relations, law or other related field.
- At least seven years of relevant experience managing and implementing human rights and

similar or related development projects, preferably in the CTIP area.

- Demonstrated success in designing, managing, and implementing technical assistance projects, preferably related to the Program Description for this activity.
- Demonstrated ability to coordinate and partner with government counterparts, local community organizations, other donors and stakeholders.

Deputy Chief of Party (DCOP): The COP will be assisted by an able DCOP who will be responsible for providing day-to-day activity leadership in the management of operational staff and oversight of monitoring, evaluation, and grants under the agreement. The DCOP will assist the COP in management and decision-making and ensuring that Activity interventions are meeting client and stakeholder expectations. The DCOP will be responsible for the oversight of the Activity's operations and reporting functions for ensuring compliance with the terms of the agreement. The DCOP will supervise the activity's administration staff, providing oversight to the overall activity management and human resources functions. The DCOP will ensure adherence to USAID administration policies and procedures and ensure that all documentation is complete and compliant with the terms of the reference in the agreement.

Requirements:

- Relevant degree in the social sciences, international relations or other related fields.
- At least five years relevant experience managing project operations on technical assistance projects.
- Demonstrated familiarity with operations and management issues on human rights projects, or projects/activities dealing with similar sensitivities.
- Relevant experience in project/activity operations, staff management, and grants management.

MEL Team Lead (MEL-TL): The MEL-TL will be responsible for organizing and managing all monitoring, evaluation and learning tasks to assess the success of the activity, by monitoring contextual changes and tracking activity results for adaptive management. The MEL-TL will assist the COP and the DCOP in developing and applying state-of-the-art collaborating, learning, and adapting (CLA) and knowledge management (KM) methods to help ensure that the activity is coordinated with others, grounded in a strong evidence base, and iteratively adapted to remain relevant throughout implementation.

Requirements:

- Relevant degree in the social sciences, international development, project management, statistics, or other related field.
- At least five years of progressively responsible experience in leading the monitoring, evaluation, and learning of donor development projects/activities.
- Experience in implementation of MEL, CLA, and KM of human rights projects/activities, or other activities dealing with similar sensitivities.
- Experience in design and field testing of data collection instruments (e.g., questionnaires and interview guides) and in participatory research methods and sampling.

- Experience in data quality control and reporting for projects/activities and programs.

Institutional Capacity and Experience
The applicant must provide a concise description of their organization, and all proposed subrecipients/associates, justifying the inclusion of the proposed subrecipients/associates and other organizations if it is a consortium. Within the application, the applicants must provide summary information about significant past and current activities/projects, for themselves and each subrecipient/associate, related to the set of activities and responsibilities specified in this NOFO. USAID reserves the right to verify information provided by the applicant and subrecipients by contacting references, individuals or other organizations with knowledge of the applicant's work; this is a part of USAID's normal due diligence and responsibility determination. It also includes verification of any information related to past or current activities/projects, history of performance, etc., that is submitted through the technical application as well as business/cost application.

6. Business (Cost) Application Format

The Cost Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The cost Application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

The Cost Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

a) **Cover Page** (See above for requirements)

b) **SF 424 Form(s)**

The applicant must sign and submit the Cost Application using the SF-424 series. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

Form Name	Adobe Form	Form Instructions
Application for Federal Assistance (SF-424)	PDF	Instructions
Budget Information for Non-Construction Programs (SF-424A)	PDF	Instructions

Assurances for Non-Construction Programs (SF-424B)	PDF	Instructions

Failure to accurately complete these forms could result in the rejection of the application

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with their application for any proposed subawardee/Associate.

(1) ADS 303mav Certifications, Assurances, Representations, and Other Statements of the Recipient.
Note: Please use the 2024 Interim 2024 Interim Certifications, Assurances, Representations, and Other Statements of the Recipient : Attachment H

(2) Assurances for Non-Construction Programs (SF-424B) (see link in the above table).

(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).

d) Budget and Budget Narrative

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (cost share) amount, if applicable. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make an award and may result in a rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking, security considerations, etc. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the aApplicant and any potential sub-applicants for the entire period of the program. The maximum estimated budget for the initial Leader Award is $20 million; there is no expectation to include potential Associate Award budgets as these will be dealt with separately.

- Detailed Budget, including a breakdown by year, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E. Applicants may use a plug figure to account for the rapid response; to split the $3 Million rapid response and use approximately $600.000 per year for five (5) years in the proposed budget.

- Detailed Budgets for each sub-recipient, for all federal funding and cost share (if applicable), broken out by budget category and by year, for the entire implementation period of the project.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) Salaries and Allowances – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The Applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant.

2) 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 aApplicant 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.

3) Travel and Transportation – Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Applicants must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the subtier 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.

6) Construction – Not applicable to this award.

7) Other Direct Costs – 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 program 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 program, along with estimates of costs. Otherwise, the narrative should be minimal.

8) Indirect Costs – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

   Method 1 - Direct Charge Only
   Eligibility: Any applicant.
   Initial Application Requirements: See above on direct costs.

   Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
   Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA.

   Initial Application Requirements:
   If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide a copy of the NICRA and the current contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See [USAID's Indirect Cost Rate Guide for Non-Profit Organizations]() for further guidance.

   Method 3 - De minimis rate of up to ~~10~~15% of modified total direct costs (MTDC)
   Eligibility: Any applicant that has never received a NICRA.

   Initial Application Requirements:
   Costs must be consistently charged as either indirect or direct costs but may not be double charged or inconsistently charged as both. If chosen, this methodology once

elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Note: On April 22, 2024, OMB announced a final rule revising the OMB Guidance for Federal Financial Assistance effective as of October 01, 2024. On August 07, 2024, USAID issued AAPD No. 24-06 titled USAID's Early Implementation of 2 CFR Revisions which allows early implementation of the new OMB rule and which makes it effective immediately. According to the OMB announcement, the new rule under "2 CFR 200.414(f) *De minimis rate"* will state that "recipients and subrecipients that do not have a current Federal negotiated indirect cost rate (including provisional rate) may elect to charge a de minimis rate of up to 15 percent of modified total direct costs (MTDC)." Please refer to OMB guidance as the MTDC thresholds and definition have changed and these must be used in the new calculations.

Method 4 - Indirect Costs Charged As A Fixed Amount

Eligibility: Non-U.S. non-profit organizations without a NICRA may request this, but approval is at the discretion of the AO.

Initial Application Requirements:
Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.

- Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year.

- Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the applicant's requested method.

9) Cost Sharing (if proposed) – USAID is not requesting a cost share. A cost share component may be requested in Associate Awards and will be outlined in the Associate Award request from USAID.

e) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

f) Approval of Subawards

The applicant must submit information for all proposed subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:

- Name of organization
- Identification as a subawardee
- Identification as local or international and attestation that it complies with the USAID's definition of "local" found in ADS 303
- Unique Entity Identifier (UEI) - (mandatory at time of award)
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred
- Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.332(b)
- Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.

Per 2 CFR 200.407, USAID requires prior approval of subawards made by the prime recipient. USAID does not require prior approval of subsequent subawards or grants made by subawardees since USAID's relationship is with the prime recipient.

In accordance with good practice #8 taken from USAID's Locally Led Programs indicator, the prime recipient must "demonstrate good faith efforts to maximize subawards to local organizations." As noted in Sections C.3, local and regional organizations may be included on multiple applications, and should not be asked to agree to exclusivity arrangements.

g) Unique Entity Identifier (UEI) and SAM Registration

Applicants must obtain a Unique Entity Identifier (UEI) and register in the System for Award Management (SAM) (https://sam.gov/) in order to be eligible to receive federal assistance, such as grants and cooperative agreements. Unless an exemption applies (see ADS 303maz), prime applicants must be registered in SAM prior to submitting an application for award for USAID's consideration. Each applicant (unless the applicant is an individual or entity that is exempted from UEI/SAM requirements under 2 CFR 25.110) is required to:

1. fully register in SAM before submitting an application, maintain the registration while an application is under consideration, and include the UEI in each application.

2. continue to maintain an active SAM registration with current information at all times during which it has an active Federal award.

3. First-tier subrecipients (i.e., direct subrecipients) must obtain a UEI in order to receive a subaward.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video, on https://sam.gov/.

Note: to encourage localization efforts, UEI numbers for local partners are not required at the application stage but will be required at the time of award.

h) History of Performance - (Past Performance Information - Attachment F)

The applicant (prime only) must provide information regarding its history of performance (and encouraged to provide past performance information for proposed sub-awardees) on any cost-reimbursement contracts, grants, or cooperative agreements with no maximum limit on the number of referenced awards as long as they are recent, relevant (not to exceed ten years), and involving similar or related programs as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;

- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last three years; and
- Name of at least two updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the applicant encountered problems on any of the referenced awards, it may provide a short explanation and the corrective action taken. The applicant should not provide general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

Applicants should use the format provided in Attachment F - Past Performance Information of the NOFO to document the detailed information as requested.

i) Naming, Branding Strategy & Marking Plan

Applicants are encouraged to name the Activity per the guidelines below. The apparently successful applicant will be asked to provide a draft Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award. The ASA should use the guidance provided in Attachment B to develop the BSMP and the associated budget.

Naming
USAID encourages applicants to propose new names for this Activity. The activity should be named in a manner that will help all audiences understand the purpose of our work. The name should be clear, concise, and represent the work of USAID. As noted in the USAID Graphic Standards Manual and Partner Co-Branding Guide. This activity should adhere to the following guidelines:

- Names should may include USAID in the name, if appropriate
- Names should include a basic description of the project in simple language. Activities should use local language names when possible, or in French where a local language name is not feasible
- Names should not include abbreviations or acronyms

All estimated costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and the like, must be included in the total cost estimate of the grant or cooperative agreement or other assistance award, and are subject to revision and negotiation with the Agreement Officer upon submission of the BSMP.

Note: Please use the attached template (Attachment B) for the Branding Strategy and Marking Plan.

j) Funding Restrictions

Profit is not allowable for recipients or subawardees under this award. See 2 CFR 200.330 for assistance in determining whether a subtier entity is a subawardee or contractor.

Construction will not be authorized under this award.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B.4 of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

Any activities involving any level of host country law enforcement training or technical support requires USAID pre-approval.

k) Conflict of Interest Pre-Award Term

Personal Conflict of Interest

An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten calendar days following discovery.

Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

The following pre-awards terms found in ADS 303mba Pre-Award Terms are incorporated into this NOFO by reference:

1. Branding Strategy – Assistance
2. Marking Plan – Assistance
3. Conflict of Interest Pre-Award Term

[END OF SECTION D]

SECTION E: APPLICATION REVIEW INFORMATION

1. **Criteria**

The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the applicants should address in their applications, and (b) set the standard against which all applications will be evaluated.

Technical and other factors will be evaluated relative to each other, as described here and prescribed by the technical application instructions. The Technical Application will be scored by a Merit Review Committee (MRC) using the criteria described in this section.

Applications submitted under this NOFO should propose an approach that satisfies these criteria and exhibits the characteristics set forth below.

2. **Review and Selection Process**

a) Merit Review

USAID will form a Merit Review Committee (MRC) to review all applications received that comply with the instructions in this NOFO. The MRC will be composed of USAID personnel, and may include consultants. The AO will make the final selection of the apparently successful applicant based on the recommendation of the MRC. Applications will be reviewed and evaluated in accordance with the following criteria that are listed below:

FACTOR	FACTOR DESCRIPTION	IMPORTANCE
Criterion 1	**Technical Approach**	**Most important**
Criterion 2	**Management Approach**	**Important**
Criterion 3	**Localization Approach**	**Important**

Criterion 1: Technical Approach

Extent to which the applicant provides a technical approach that is tailored to the problem set and takes into consideration specific country needs and institutional, legal, and cultural contexts, including the distinct needs of different marginalized groups.

Elements that will be considered are whether the approach applies a gender lens to the problem set, and how it includes proposed criteria for selecting target countries as described in section A.1., Geographic Scope.

Criterion 2: Management Approach
Extent to which the applicant's plan demonstrates appropriate technical and managerial competencies to successfully implement the activity and addresses priorities of the RFA.

Elements that will be considered are whether the approach provides a strong plan and/or process to ensure adaptive management that takes advantage of learning and whether it is flexible enough to respond to changes in the environment, and that places a focus on collaboration, partnerships, and engagement with other relevant USAID activities, key regional organizations, local actors, institutions, and other donors, etc.

Criterion 3: Localization Approach
Extent to which the applicant demonstrates a commitment to locally-led development in the application, by giving local partners a leadership role in driving implementation, setting priorities and co-creating activities.

Elements that will be considered are whether the approach demonstrates that just funding of local partners (as seen by the level of direct or indirect funding) is insufficient; and whether local actors will drive decision-making, by using approaches such as Local Advisory Councils, and pre- or post-award co-creation that substantially includes local partners and stakeholders.

b) Business (Cost) Review

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review (apparently successful applicant(s) only) to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the activity and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

[END OF SECTION E]

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SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

a. Federal Award Notices

Award(s) 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, applicants are hereby notified of these requirements and conditions for the award.

b. Administrative & National Policy Requirements

The resulting award(s) from this NOFO will be administered in accordance with the following policies and regulations.

2 CFR 200, 2 CFR 700, ADS 303, and ADS 303mab.

These documents may be accessed through the internet as follows:

- 2 CFR 200 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- 2 CFR 700 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards
- ADS 303 Grants and Cooperative Agreements to Non-Governmental Organizations
- ADS 303mab Standard Provisions for non-U.S. Nongovernmental Recipients

See Section H, Attachment C, for a list of the Standard Provisions that will be applicable to the award(s) resulting from this NOFO.

c. Reporting Requirements

Substantive reporting requirements are detailed in the paragraphs below. The corresponding submission deadlines are listed in the Summary of Reports/Deliverables table at the end of Section F.

- **Financial Reporting:**

The recipient must account for expenditures for activities carried out to ensure funds are used for their intended purposes. Financial reports must be in accordance with 2 CFR 200.327.

A. Quarterly Reports

The recipient will submit a SF-425 Federal Financial Report, via electronic format to the U.S. Department of Health and Human Services (https://pms.psc.gov/) within 30 calendar days following the end of each quarter of the United States Government fiscal year. A copy of this form must be simultaneously submitted to the Agreement Officer's Representative and the USAID/Senegal Office of Financial Management.

B. Final Report

The recipient will submit within 90 calendar days following the estimated completion date of this award the original and three copies of the final SF-425 Federal Financial Reports to: (a) USAID/Washington, M/CFO/CMP-LOC Unit; (b) the Agreement Officer, (c) Agreement Officer's Representative. The electronic version of the final SF-425 will be submitted to the U.S. Department of Health and Human Services (https://pms.psc.gov/) in accordance with paragraph (A) above.

Links to the PDF version of SF-425 and to Instructions can be found at:
https://www.grants.gov/forms/forms-repository/post-award-reporting-forms

- **Performance Reporting**

The recipient will be required to submit by email performance reports. The performance reporting requirements will be compliance with 2 CFR 200.329– Monitoring and Reporting Program Performance.

Recipients are encouraged to choose Standard Foreign Assistance Indicators and develop custom indicators that help them to manage and learn from their work; such indicators should include both output and outcome indicators.

A. Quarterly Reports

The recipient will submit quarterly reports, covering each calendar quarter, within thirty calendar days following the end of each calendar quarter (i.e., January 30, April 30, and July 30), limited to ten pages, not including annexes. (The quarterly report for Quarter 4 will be incorporated in the Annual Report, which should include a separate list of key achievements for that quarter.) The quarterly reports should include the following components:

- Bulleted list of achievements in the quarter (one page)
- Background and details of some of the key achievements, including potential impacts on target populations. Any identified best practices and or lessons learned should be included here (four-five pages)

- Description of collaborative activities with other USAID implementing partners and/or stakeholders (one-two pages)
- Description of key problems or issues encountered, how they were or will be resolved, and, as needed, recommended USAID interventions to facilitate their timely resolution (one-two pages)
- Bulleted list of planned activities for the next quarter to include dates and locations of major events and meetings (one-two pages)
- Quantitative and qualitative analysis of progress against objectives, results, and targets;
- Summary of key activities for the following quarter;
- Discussion of lessons learned, good practices and success stories; and
- Challenges outside the scope of program, which affect implementation.

Further, notification must be given in the quarterly reports in the case of problems, delays, or adverse conditions that materially impair the ability to meet the objectives of the award. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

Following receipt of the report, a "quarterly review" meeting with the AOR and other relevant USAID staff will be held to discuss results, challenges, and the way forward.

In addition, the following are required Annexes for the quarterly reports:

- Annex 1: Table of indicators targets and results to date showing progress made during the quarter, cumulative for the fiscal year, and cumulative for the life of project toward set targets. Use a color scheme for table highlighting indicators in red if target is not met or to signal that it is in danger of not being met and green for indicators met. Provide explanations for targets exceeded and targets unmet.
- Annex 2: Include a financial table which contains expenses of the reported period, year to date amount, and remaining budget line-item amount.
- Annex 3: Provide one or two success stories with relevant high-resolution photos. Stories should highlight the high-level impact and/or scalability of the activity's successes. If a story could not be done during the reporting period, explain why. (one page per story)
- Annex 4: Quarterly Environmental Mitigation and Monitoring Report

With regards to pause and reflect, the recipient must:

- Utilize quarterly pause and reflect exercises to re-examine core assumptions, review findings from MEL processes, reflect on input from established feedback loops (e.g., Local Advisory Councils, if any) and generally consider whether new information and/or context shifts necessitate adapting implementation. Pause and reflect exercises can be formal or informal events, as long or short as need be, and participation will vary as appropriate. The AOR should be included in these sessions.

With regards to CLA, the recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly
- Increased ability of USAID implementing partner to respond to the needs of target groups by using learning
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts
- Increased efficiency in activity implementation

B. Annual Reports

The annual report will consist of both a narrative and a quantitative section and report against all indicators. The narrative section is limited to forty pages, not including annexes, and should cover key achievements and high-level impacts, synergistic results, scalability of results, collaborative activities, best practices, lessons learned, challenges encountered, and priorities for the next year. This report will also cover Quarter 4 and should include a separate list of key achievements for the quarter. Annexes must include:

1. a comprehensive property inventory list;
2. reporting against all indicators;
3. financial table;
4. at least two success stories with relevant photos;
5. Annual Environmental Mitigation and Monitoring Report; and
6. Annual Shock Response Report detailing rapid response.

The Annex 2 table for indicators must be submitted on or before October 15th of each year in order to be included in USAID's annual performance reporting requirements. For all results that either exceed or fall short of the annual target by 10% or more, a narrative explanation must be included. Please highlight in a different color all indicators that exceeded (green) or fell short (red) of their target so they can be easily distinguished from the rest.

The Recipient will benefit from using USAID IPs Development Information Solution (DIS) platform to ensure effective qualitative, quantitative, and GIS data reporting in DIS. USAID will provide the partner with DIS access for direct data reporting into the system. Implementing partners should report data directly into DIS in accordance with reporting deliverable deadlines

C. Final Report

The recipient will be required to submit a final report by email. Specific instructions for the submission of the final report will be included in the resulting award from this NOFO.

D. Other Reports and Deliverables

Security Conditions

The recipient must be aware of security conditions in the country of implementation, and by entering into the agreement, assumes full responsibility for the safety of its employees. Before commencing work, the recipient must ensure that it has adequate procedures (a security plan) in place to advise its employees of situations or changed conditions that could adversely affect their security. A security plan will not be included as a deliverable, but it is expected to be available upon request by the Agreement Officer.

In order to keep abreast of security conditions in the country of implementation, but particularly before any employee commence travels, especially in areas of security concerns, the recipient must seek information from all available sources, including USAID in the country of implementation, for all areas in which its employees work or travel. The recipient acknowledges that security conditions are subject to change at any moment, that USAID cannot guarantee the accuracy of any information that it may provide to the recipient, and that USAID assumes no responsibility for the reliability of such information. The recipient has sole responsibility for approving all travel plans for its employees. The recipient is also responsible for immediately notifying USAID and the US Embassy American Citizen Services section in the event a US citizen employee does not return from travel as expected. In the event that USAID requests the recipient to do so, the recipient's Chief of Party must assume responsibility for contacting all of its employees. The recipient must provide the Agreement Officer's Representative the name, current address, and current home and/or cellular telephone number of the Chief of Party and of an alternate designated employee.

The recipient is responsible for ensuring that the information provided to the AOR is up to date so that in an emergency, the Chief of Party or alternate representative can be reached immediately, and they can rapidly contact all other affected employees. In the event of an adverse work or project related security situation affecting any recipient's staff/activity, the recipient is responsible to notify the Agreement Officer's Representative or their alternate (as well as the A&A Specialist and the Agreement Officer) within 24 hours or as soon as it is practicable.

Geographic Information System (GIS) data

USAID is required to make nonproprietary geospatial data available to the public. Data must be consistent with U.S. Federal Geographic Data Committee (FGDC) level 1 metadata standards. Implementers are to work in collaboration with these USAID hired mapping specialists and ensure that they have mapping capabilities within activity staff or procured through consultants.

All spatial and geographic information system activities financed by U.S. Government federal funds must comply with:

a. OMB Circular A-16, Executive Order 12906;
b. Automated Directives System (ADS) 507 (Freedom of Information Act);

c. ADS 551 (Data Administration); and
d. ADS 557 (Public Information).

Therefore, the recipient must submit to USAID the following one year after the start date of the award and on October 30 of each subsequent year:

a. Digital spatial data according to FGDC Level 1 metadata standards capturing GIS at the regional, administrative, commune, and village level for their zones of intervention;
b. Digital copies of spatial data with accompanying metadata; and
c. Make spatial data available to the public at the cost of reproduction.

Development Experience Clearinghouse (DEC) Requirements

USAID recipients are required to comply with the submission requirements for the [Development Experience Clearinghouse] pursuant to the Standard Provision entitled "Submissions to the Development Experience Clearinghouse and Publications (June 2012)."

In addition, the recipient must submit one electronic copy of development experience documentation to the AOR.

Draft 3-month Work Plan

The 3-month work plan covers the start-up period and is focused on the key deliverables to be produced during this initial phase to inform longer-term planning and adaption, outline a plan for co-creating the subsequent work planning, and describe how local partners and stakeholders will have a meaningful role in the planning process. The 3-month work plan addresses how the proposed partner(s) will conduct the necessary analyses and learning that will enable them to refine their theory of change and approach, and to co-create an annual work plan with USAID.

Annual Work Plans (AWP)

Annual work plans will form the basis for activities to be initiated in each year of the award. For the purpose of the AWP, "Annual" is defined according to the U.S. Government fiscal year, i.e., October 1st to September 30th. Draft AWPs for subsequent years after the first annual work plan must be submitted no later than September 1st of each year.

The first annual work plan will be developed through co-creation with USAID.

The AWP will be reviewed by the AOR within two weeks of submission. Following review and comment by USAID, the Implementer shall prepare a Final Work Plan for each year, to be submitted no later than October 30th. The AWPs will provide a detailed description, schedule, and expected results for activities in support of each objective under the award. The Implementer must also address:

- Any proposed actions to strategically collaborate with other USAID implementing partners in-country;
- How knowledge gaps in the theory of change, the technical implementation approach,

operating environments, assumptions and risks, will be filled using activities such as, but not limited to, monitoring, research, evaluation and analytical studies; and
- How specific interventions will be adapted for insecure zones.

The work plan will serve as a guide for program implementation. As such, it must demonstrate the links between activities and intended results; present a sound basis for budget estimates; and serve as the foundation for the monitoring and evaluation plan. The work plan will outline key activities and the expected results to be accomplished for that year, including a timeline with relevant milestones, tied to the recipient's Performance Management Plan. The work plan should also describe joint activities in work plans that clarify roles and responsibilities around specific programmatic linkages with other activities. A budget with sufficient detail to allow the AOR to judge the efficiency of the annual implementation plan must be included.

Modifications to the AWP may be made during the year subject to the approval of the AOR.

Activity Monitoring, Evaluation, and Learning Plan (AMELP)

The activity will contribute vital information on development results, strategies, and approaches to enhance individual, household, community, and institutional resilience in a dynamic environment. The monitoring, evaluation, and learning (MEL) system should use USAID's Collaboration, Learning, and Adapting (CLA) principles (see ADS 201.3.5.19) to effectively collaborate with other implementing partners and integrate real-time monitoring and learning back into the project strategy and program implementation and ensure that knowledge is shared with the broader community.

The recipient must develop a comprehensive conflict sensitive activity monitoring, evaluation, and learning plan (AMELP) that outlines how the activity will track progress, identify learning opportunities, and effectively adapt programming to anticipate and respond to challenges and opportunities that arise. The AMELP is due within 60 calendar days after award. The AMELP must demonstrate how the activity will routinely assess the quality of data; the status of activities; whether these activities are resulting in their intended outcomes; if those outcomes are leading to the desired objectives-how, why or why not; whether critical assumptions remain valid; and whether course corrections should be made. The AMELP should clearly support the RDCS monitoring, evaluation, and learning plan. It must be updated regularly, prioritize gender equality and youth inclusion, and include a data management plan. The plan must explain how indicators data will be collected, disaggregated, analyzed, submitted, published, and re-used, including any specific software necessary for analysis. This is also an opportunity for the applicant to ensure a consistent data analysis approach among multiple partners, an adaptive and dynamic learning approach.

The monitoring system must include data analysis for both performance and context monitoring. Recipients are responsible for collecting baseline data for their performance indicators. Performance monitoring refers to monitoring the quantity, quality, and timeliness of activity outputs within the control of the recipient, as well as the monitoring of activity outcomes that are expected to result from the combination of these outputs. Performance monitoring includes operational monitoring, such as checking back later to see if completed activities still function, and determining opportunities for adaptation. Performance monitoring through data analysis, outcome harvesting, and learning for adaptation must be agile and occur continuously. For example, if a well is drilled, is it still functioning a year later, or if an individual is trained, do they apply the training properly, or if a loan is extended, is it repaid? In line with efforts of learning and adaptation, when implementation falls short, performance monitoring should determine why and what can be done differently to address failures.

In anticipation of any potential shifting environment (insecurity, climatic, or health shock, etc.) that may lead to inaccessibility of the activity zone of intervention, applicants should also develop an alternative MEL system capable of regularly and accurately gathering and analyzing verifiable monitoring data safely, to check whether activity's interventions are being implemented as planned, with tools and methods that adapt to changing context. Depending on the contextual factors, remote monitoring methods can be developed, including phone/video partners meetings, informal partner reporting, mobile phone surveys/feedback mechanisms, virtual site visits, virtual internal DQA, GIS/remote sensing monitoring, etc.

Recipients will benefit from USAID IPs Development Information Solution (DIS) training sessions to ensure effective qualitative, quantitative, and GIS data reporting in DIS. USAID will provide the recipient with DIS access for direct data reporting into the system.
Context monitoring is the monitoring of local conditions that may directly affect implementation and performance (such as non-USAID projects operating within the same sector as USAID projects) or external factors that may indirectly affect implementation and performance (such as macro-economic, social, political conditions, or other paradigm shifts). Context monitoring should monitor assumptions and risks identified in the activity logic model.

In order to have a sound monitoring system, applicants will propose performance and context indicators, determine ways to set baselines, realistic targets (only for performance indicators), and effective procedures for internal data quality control.

The activity must develop a preliminary learning agenda that identifies a limited number of questions (one to three) related to the activity theory of change. Close and systematic collaboration with other USAID implementing partners, the host country government, decision-makers, institutional bodies among the target communities, and other key stakeholders will be critical to maximize the use of learning and ensure that monitoring and evaluation systems are as cost-effective as possible and do not create a parallel system. The activity will be expected to collaborate closely with USAID's M&E mechanism.

The Monitoring and Evaluation Plan should be organized according to the Program Objectives described in this Program Description. The Leader and each Associate Award is anticipated to generate a large number of performance, financial, and other reports. The Recipient is encouraged to propose an alternative online file management system to streamline the electronic submission of reports and ensure reliable accessibility to the Agreement Officers and AORs. Existing "off-the-shelf" information technology products and/or services would be preferred. Such a system would not alter the responsibility of the Recipient to submit documentation to the Development Experience Clearinghouse as required (see ADS 540).

With regards to CLA, the recipient must address:

- How the products and result of collaboration will improve implementation approaches and development practice broadly
- Approaches that improve USAID implementing partner's ability to respond to target groups' needs by using learning
- How the application of learning will influence decision making, resource allocation, and contextual shifts
- How to increase the efficiency of activity implementation

Gender Analysis and Gender and Social Inclusion (GESI) Action Plan

The U.S. government "Women's Entrepreneurship and Economic Empowerment (WEEE) Act" underscores the importance of gender equality and empowering women to participate fully in the formal economy, which leads to more peaceful and prosperous societies. This activity is consistent with the USAID Gender Equality and Female Empowerment Policy that advances equality between females and males, and empowers women and girls to participate fully in and benefit from development, through the integration of gender in the entire project cycle -- from project design and implementation to monitoring and evaluation. This integrated approach focuses on achieving the following overarching outcomes:

- Reduce gender disparities in access to, control over, and benefit from resources, wealth, opportunities, and services - economic, political, and cultural;
- Reduce gender-based violence and mitigate its harmful effects on individuals;
- Increase the capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies;
- Support interventions that secure private property rights and land tenure for women in developing countries; and
- Improve the access of women and girls to education.

To operationalize these overarching outcomes, the activity is expected to adopt any one of the seven output and outcome indicators, as applicable, on gender equality, female empowerment, and gender-based violence as provided in the USAID Gender Policy, and ADS 205 Integrating Gender Equality and Women's Empowerment in USAID's Program Cycle, or develop custom indicators appropriate to projects/activities. All people-level indicators must be disaggregated by age, sex, groups and included in activity reports.

The gender analysis/assessment is mandatory. It feeds the GESI Plan, which is due within 90 days of the start date of the award. It must describe how the recipient will use the findings from the gender assessment to address GESI issues. It includes roles and Responsibilities matrix, timeline, resources, expected results and how those will be measured. The GESI Plan will be approved by the AOR and updated as necessary.

This activity is consistent with the USAID Gender Equality and Women's Empowerment Policy (2023) that guides the Agency's work to advance gender equality and the empowerment, protection, and participation of all women and girls, men and boys, and gender-diverse individuals in their societies. More about the policy and its objectives can be found in Section A.3. on Gender Equality and Social Inclusion.

As noted there as well, USAID regards inclusion as critical to the effectiveness of international assistance, and promotes a nondiscriminatory development approach that ensures that all people can fully participate in and benefit from development activities. USAID has formalized this commitment to inclusive development in a range of policies including, but not limited to, the Gender Equality and Women's Empowerment Policy; the LGBTQI+ Inclusive Development Policy; the Disability Policy; the Youth in Development Policy; the Democracy, Human Rights and Governance Strategy; and the Nondiscrimination for Beneficiaries Policy.

To operationalize these policies, the USAID/Senegal/Sahel Regional Office requires all of its activities to prioritize gender equality and women's empowerment by undertaking the following actions. First, an activity level Gender Equality and Social Inclusion (GESI) Analysis must be conducted during the first 90 days after award, and the findings should inform an action plan describing how gender and social inclusion will be integrated into all phases of the work plan and the Activity Monitoring, Evaluation and Learning Plan. The GESI Plan is due within 90 days of the start date of the award, and should include a matrix of roles and responsibilities, planned activities and related timeline, resources, expected results and how those will be measured. The GESI Plan will be approved by the AOR and updated as necessary.

Secondly, the Activity is expected to adopt any one of the nine standard output and outcome indicators, as applicable, on gender equality, women's empowerment, and gender-based violence as provided in the USAID Gender Policy, and in USAID's Automated Directives System 205 (Integrating Gender Equality and Women's Empowerment in the Program Cycle), or develop custom indicators appropriate to projects/activities. All people-level indicators must be disaggregated by age, sex, groups and related narrative included in all activity reports.

Sustainability Plan

The recipient will be expected to submit a sustainability plan incorporating key sustainable principles during activity implementation. These principles include, but are not limited to, ensuring institutional level ownership of activity interventions, building broad-based community consensus on strategic approaches and actions, enforcing mutual accountability, increasing targeted capabilities of key stakeholders, ensuring financial sustainability, and promoting autonomous and self-sustaining principles. This should be attached to the first annual work plan.

Close-out Plan

The Implementer must submit a close-out plan that details all equipment and provides a proposed disposition plan according to USAID regulations. The Close-out Plan must also specify actions that will be taken to hand over or transition activities to other partners, including local communities and governments. The Plan must specify sequencing of the closure of offices (if applicable), discuss sequencing of staff reductions, and include a communications strategy, activities, and products to highlight accomplishments

Environmental Compliance and Climate Risk Management

Section 117 of the Foreign Assistance Act of 1961, as amended, 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 ADS 201 Program Cycle Operational Policy and ADS 204 Environmental Procedures, 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. 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 will govern.

No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE) or Initial Environmental Examination (IEE) duly signed by the Bureau Environmental Officer (BEO).

The PRL has received Programmatic Initial Environment Examination (PIEE) activities under the resulting LWA.

Furthermore, in accordance with ADS 201mal Climate Risk Management for USAID Projects and Activities, a climate risk screening must be done at the activity level stating how climate risk will be addressed during the implementation phase.

As part of its 3-month Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID AOR and Mission Environmental Officer (MEO), Regional Environmental Advisor (REA) or Bureau Environmental Officer (BEO), as appropriate, shall review all ongoing and planned activities under this LWA 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, if the life of activity funding ceiling will be eclipsed, or if a time extension is required, 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.

USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Applicants shall include as part of their application their approach to achieving environmental compliance and management, to include:

- The applicant's approach to developing and implementing an Environmental Mitigation and Monitoring Plan (EMMP);
- The applicant's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities; and
- The applicant's illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicants should reflect illustrative costs for developing the EMMP and environmental compliance implementation and monitoring in their cost proposal.

Branding Strategy and Marking Plan (BSMP)

Branding Strategy

Standard USAID branding and marking will apply to this activity. Branding and marking requirements for cooperative agreements are explained in 2 CFR 700. In accordance with the requirements discussed in ADS 320, the recipient will acknowledge USAID as the activity donor both verbally and in writing in all documents and media, as well as during meetings, public events and technical assistance sessions with government stakeholders, local partners, and beneficiaries.

Marking Plan

The Marking Plan may include requests for approval of presumptive exceptions.

Required communications materials

In addition to a Branding Strategy and Marking Plan, the recipient will be required to submit the following communications materials on a timeline specified by USAID, using guidance explained in the USAID Graphic Standards Manual and Partner Co-Branding Guide. The following timelines will be adhered to:

A. Within two weeks of the award:
    1. Press release - announcement of the award in English and French - with feedback from USAID.
B. Within 60 days of the award:

1. A Communications Strategy submitted and completed with feedback from USAID and revised as necessary.
2. Activity Fact Sheet (in English and French) completed with feedback from USAID, which will be updated annually.

C. Quarterly Updates may include:
   1. Links to media coverage of the program and activities.
   2. Content for social media, with text and captions for photos.
   3. Forecast press events, social media coverage and communication products (newsletter, video, etc.).
   4. Monthly Event plans (in coordination with USAID).
   5. Post-event write up and social media analysis with photos.

D. The Annual Report will include:
   1. One or two success stories submitted with photos (success stories could be submitted also at any time) to be edited with USAID feedback.
   2. A pool of selected high-resolution photos showcasing program milestones and beneficiaries (all photos with identifiable people will have consent forms signed and submitted to USAID).

E. Biannual communications products:
   1. One public closeout event where main results, achievements, findings, successes are shared.

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SUMMARY OF REPORTS/DELIVERABLES		
Report/Deliverable	**Due Dates**	**Submission Requirements**
Draft 3-month Work Plan (including environmental considerations)	Submit with the technical application as Annex E	Covering 3 months period.
Final 3-month Work Plan (including environmental considerations)	Due 30 days before the completion of the 3-month period	Submit electronically to AOR.
First Annual Work Plan (including Sustainability Plan and including environmental considerations (EMMP))	Developed through co-creation during the 3-month work plan period. Draft due within 70 days after award and final due within 90 days after award	Submit electronically to AOR.
Subsequent Annual Work Plan (including environmental considerations)	Draft AWPs due no later than September 1st of each year after Year One; AOR comments due in two weeks after receipt of draft AWP; final AWP due no later than October 30th of each year	Submit electronically to AOR.
Activity Monitoring, Evaluation, and Learning Plan (AMELP)	Draft due with the technical application as Annex D and final within 60 days after award	submit draft electronically with technical application, and final to AOR.
Branding Strategy and Marking Plan (BSMP)	- Before award: the apparently successful applicant will be asked to provide a BSMP for approval before award - Within two weeks of the award: Press release - announcement of the award - with feedback from USAID/DOC - Within 60 days of the award: (1) An activity communications strategy submitted and completed with feedback from USAID/DOC and revised annually as program matures; (2) Activity Fact Sheet completed with feedback from USAID, which will be updated annually.	Submit BSMP electronically as required by the AO, and subsequent documents to AOR.

Security Plan	Recipient must make it available at USAID's request	Submit electronically to AOR.
Geographic Information System (GIS) data	One year after the start date of the award and on or before October 30th of each subsequent year - Digital spatial data according to Federal Geographic Data Committee (FGDC) Level 1 metadata standards capturing GIS at the regional, administrative, commune, and village level for their zones of intervention; - Digital copies of spatial data with accompanying metadata; and - Make spatial data available to the public at the cost of reproduction.	Submit through DIS.
Development Experience Clearinghouse (DEC) documentation	Submission required pursuant to the Standard Provision entitled "Submissions to the Development Experience Clearinghouse and Publications (June 2012)"	Submit through DEC submissions and electronically to AOR.
Quarterly Financial Reports	Within 30 days after each calendar quarter	Submit SF-425 to the Department of Health and Human Services, with a copy to AOR and OFM.
Final Financial Report	90 days after the completion date of award	Submit the original and three copies of the final SF-425 to: (a) USAID/Washington, M/CFO/CMP-LOC Unit; (b) the Agreement Officer, (c) Agreement Officer's Representative (AOR). The electronic version of the final SF-425 will be submitted to the U.S. Department of Health and Human Services.
Quarterly Performance Reports	Within 30 days after each calendar quarter	Submit electronically to AOR.
Annual Performance Reports	To be submitted within 90 calendar days following the end of the reporting period. Indicator data due via DIS system by October 15 each year.	Submit electronically to AOR, and indicator data through DIS.

Final Performance Report	1. 90 days after completion date 2. Comply with DEC submission requirement, and submit a copy to Agreement Officer and AOR	Submit a copy electronically to AOR, and follow DEC guidance to upload the report.
Gender Analysis and Gender and Social Inclusion Action (GESI) Plan	Within 90 days after award	Submit electronically to AOR, and AO.
Closeout Plan	No later than 180 days before the end of the award	Submit electronically to AOR and AO.

1. Other Requirements:

This solicitation and any resultant award(s) are subject to the requirements of section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Pub. L. 115–232).

[END OF SECTION F]

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SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

1. **Refer to the cover letter for names and email addresses of contacts.**

2. **Acquisition and Assistance Ombudsman**

The A&A Ombudsman helps ensure equitable treatment of all parties who participate in USAID's acquisition and assistance process. The A&A Ombudsman serves as a resource for all organizations who are doing or wish to do business with USAID.

The A&A Ombudsman may be contacted via: Ombudsman@usaid.gov

[END OF SECTION G]

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SECTION H: OTHER INFORMATION

1. Other Information:

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Additionally, the Applicant must mark each sheet of data it wishes to restrict with the following:

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

2. Post-award Co-Creation

According to *USAID's Discussion Note: Co-Creation Additional Help*,

> "co-creation" is a technique that brings people together to collectively produce a mutually valued outcome using a participatory process, which can be used at various points throughout the Program Cycle.[7] Based on findings from the initial 3-month start-up period, the Awardee will co-create with USAID and other relevant stakeholders to develop the initial work plan and the AMELP. This process should also be repeated on an annual basis, building off the Pause and Reflect sessions, to develop each subsequent work plan. Co-creation may take various forms, but USAID anticipates in-person oral discussions and strategic planning sessions with relevant activity team members, other USAID specialists and activities, and key stakeholders, among others.

3. Procedures for Issuing an Associate Award: ADS 303.3.26.f

After the AO awards the Leader Award, the AO notifies all Agency AOs that the Leader Award is in ASIST. The Leader Award must include necessary guidance or instructions regarding issuance of Associate Awards. AOs may issue Associate Awards for activities within the programmatic scope of the Leader Award. Leader Awards are also posted on the USAID Business and Acquisition and Assistance Intranet site (https://pages.usaid.gov/M/OAA/assistanceresources).

The selection of countries and substantive areas by USAID for the Associate Awards will be based on demand from USAID Missions, Bureaus, and offices. The length of activities may vary from a few weeks to many months or longer. Activities may be within the scope of the Leader Award.

According to regulations regarding the Length of Awards in ADS 303.3.26(e), associate awards:

- May be awarded for up to an initial five-year period;
- May be issued at any time during the period of performance of the Leader Award;

- May be extended for a cumulative period of up to ten years using a determination to restrict eligibility based on 303.3.6.5, but not more than five years beyond the expiration of the Leader Award; and
- May not be extended more than five years into the future at any given time.

4. List of Attachments:

A - Program Description
B - USAID Branding and Marking Template
C - Standard Provisions
D - SAM Quick Start Guide For New Foreign Registration
E - SAM Quick Start Guide For New Grantee Registration
F - Past Performance Information
G - Illustrative Budget Template

[END OF SECTION H]

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ATTACHMENT A - PROGRAM DESCRIPTION

GOAL

The USAID Protecting Rights and Lives in the Sahel Activity (PRL or Activity) is a regional activity designed to counter trafficking in persons (TIP) and protect the human rights of the most marginalized and vulnerable groups in Sahel countries. The goal of the PRL activity is to ensure that the governments of affected countries effectively address TIP and protect vulnerable people. The Activity will achieve this goal by applying a holistic and multi-sectoral approach taking into consideration the priorities across the four pillars of the USG counter-trafficking strategy, the USAID Trafficking in Persons Policy and the recommendations for Sahel countries as stated in the U.S. Department of State (DOS) Trafficking in Persons Reports, as well as the USAID, Democracy, Human Rights, and Governance Strategy and the DOS Human Rights reports by country. Counter trafficking in persons (CTIP) interventions under this activity will be complemented by other CTIP interventions in the region, supported by USAID, DOS, and other donors, and will support improved coordination across borders. At the same time, the PRL activity will address other urgent human rights concerns affecting the most vulnerable in the region.

PROGRAM OVERVIEW

1. BACKGROUND AND CONTEXT

Trafficking in persons is a core human rights concern and a massive development challenge that affects an estimated 25 million people around the globe at any given time. Addressing the scourge of trafficking has long been a USG priority, and there are a number of legislative and policy frameworks, which guide the USG response. This includes the Trafficking Victims Protection Act (TVPA) which guides the overall USG response to trafficking, the annual DOS's Trafficking in Persons report, which highlights key issues by country, and the USAID updated CTIP Policy, released in December 2021, which outlines the Agency's approach to combating trafficking in persons.

Under these frameworks, the USG defines TIP as a crime that uses force, fraud, or coercion for the purpose of exploiting an individual for profit through forced labor or sexual exploitation. The State Department's annual Trafficking in Persons Report recognizes all major forms of human trafficking, including forced labor, sex trafficking, bonded labor, debt bondage, involuntary domestic servitude, child labor, the recruitment and deployment of child soldiers, and child sex trafficking. Within the Sahel region, it is believed that all forms of trafficking exist, although information on the extent and manifestations of these different forms is inconsistent.

Trafficking in Persons in The Sahel
USAID incorporated CTIP in its Regional Development Cooperation Strategy (RDCS) for West Africa and the Sahel (2020-25), particularly under Regional Development Objective (RDO) 4, Vulnerability of Targeted Populations Reduced. Trafficking is identified as a problem that can benefit from a regional approach because of its cross-border nature. The RDCS notes that a regional approach on cross-border issues complements bilateral interventions by “promoting shared learning among partners and governments; facilitating the linkages between regional, national and local policies; taking advantage of economies of scale to efficiently use U.S. taxpayer dollars; and providing long-term stability in programs and staffing” (p. 35-36). TIP is identified as a key transnational threat under IR 4.1: Resilience to Shocks and Stresses Strengthened, and as a particular threat to women and youth under IR 4.3 Lives and Livelihoods Saved. RDO 4 recognizes trafficking as one way that women’s relative disempowerment manifests in the Sahel region, and addressing trafficking is integral to fulfilling the RDCS commitment to “enhancing the social, economic, and political agency of women and youth” throughout RDO 4.

RDO 4 also recognizes the importance of respect for human rights writ broadly, noting the need to support governments to prevent human rights abuses particularly in the framework of preventing violent extremism. Support for human rights, and the organizations and activists that expand rights, is also a key part of RDO 1, Democracy, Peace, and Stability Enhanced. Here, USAID envisions “assisting civil society and government partners to advance civil and political rights, including freedoms of expression, association, and peaceful assembly” (IR 1.1, page 22).

Internal and international trafficking occurs in the Sahel. While movement is not necessary to define a trafficking case, movement between communities and across borders in the Sahel tends to be a common issue that exacerbates this crime. Given the frequently transboundary nature of trafficking cases, changes in trafficking networks or the counter-trafficking response in one country can have an unseen ripple effect on the trafficking situation across the region.

Women and girls, as well as men and boys, are exploited across the region through forced labor, sex trafficking, and hereditary slavery, depriving large proportions of the Sahelian population of basic human freedom and autonomy. Within the Sahel region, due to high levels of intra-regional migration, as well as the proximity of the region to Western Europe, most countries in the region are considered to be trafficking destination, transit, and origin countries, although the data mostly describes the experiences of trafficked persons within each countries’ borders. The different manifestations of trafficking in the region include:

- *Forced child begging,* whether formally organized through structures such as Koranic schools, or informally organized using refugee children, is pervasive in all countries. There are reports that both *talibe* children[1] in Koranic schools and refugee children travel within and between countries for begging. Transnational movement of children for forced begging seems to occur both among refugee/internally displaced persons (IDPs) populations and/or when the market for forced begging changes in different communities. There are anecdotal reports that former forced child beggars are particularly vulnerable to labor exploitation and/or are key targets for recruitment into violent extremism as they grow up because they have not received adequate education and therefore have difficulty finding work. This form of trafficking is highly visible and is easier to identify.

- *Forced domestic labor/servitude* exists in all countries, although the manifestations to secure forced domestic labor varies. In some countries, hereditary slavery functions as a practice to provide forced domestic labor. International awareness of this practice is starting to put pressure on countries to dissolve the use of slavery. However, even where anti-slavery advocates have had success, there has often been an unintended impact, in which households which previously relied on slave labor instead turn to vulnerable refugees to work under conditions that mimic forced domestic servitude. To varying degrees across the Sahel, large numbers of internally displaced persons become easy prey for forced domestic servitude, either employed directly by households or hired by a placement agent. The practice of *confiage*, whereby children from rural areas are sent to live with families in more developed areas, is widespread in the Sahel. The children's parents usually expect them to benefit from this practice, by receiving schooling or better living conditions. However, it can easily develop into a situation where children are forced to work under exploitative conditions and are denied their basic rights. These forms of trafficking tend to be less visible and difficult to identify and address.

  Persons from the Sahel are also trafficked internationally, usually to Western Europe or the Gulf States, for forced domestic labor. This form of trafficking tends to be identified through sporadic efforts to screen for forced labor cases or by domestic workers who have been able to contact NGOs in response to awareness campaigns on their rights.

- *Hereditary slavery* is common in certain countries in the region and targets persons in particular ethnic groups or castes. Hereditary slaves are primarily exploited in domestic labor; however, they may also be exploited in other forms of forced labor and forced sexual abuse. Because this practice has been so deeply embedded in the culture of these places, it is extremely difficult to disrupt. People born and raised into hereditary slavery often grow up with the conviction that they were born to serve others for free. In

[1] The term *talibe* refers to boys who attend Koranic schools, or *daara*, in West Africa and the Sahel. In most cases these boys leave their homes in order to study at the *daara*. For hundreds of years, a tradition has existed of *talibe* children begging for food for the *daara*. More recently, there has been increasing concern about *talibe* enduring forced begging as well as abuse or neglect at the hands of *marabouts*, or religious teachers.

addition, there is inadequate restitution for former slaves. As a result, this group remains vulnerable to other forms of exploitation and human rights abuses.

- *Forced and child labor* is believed to be present in all countries and is particularly prevalent in at-risk sectors that tend to be either highly unregulated or that offer high profits for unskilled labor. At-risk sectors include agriculture, construction, extractive industries, and fishing. In some countries there are reports of forced labor particularly around artisanal gold mines or informal operations in the extractive sectors; some reports indicate that up to 30-50 percent of the mining work force in the Sahel regions of Burkina Faso and Niger is made up of children.[2] In some countries there are reports that former child beggars and individuals who have been freed from hereditary slavery are still subject to caste norms which makes them highly vulnerable to forced/exploitative labor in other economic sectors. The identification of these cases is mostly reactive and sporadic.

- *Sex trafficking* appears more limited and concentrated primarily around tourism areas and/or around popular night clubs in urban areas. There are reports that sex trafficking is also prevalent near industrial mining sites in the region. Sahelian women are trafficked within the region, into other countries in the region, and into Western Europe, North Africa, and the Gulf. Many of the women trafficked into Sahel countries are from other West African countries, including Nigeria and Cote d'Ivoire. In most reported cases in the region, the women believe they are going to work in legitimate jobs and are exploited along the route and/or are led to believe they owe an increasing debt to the smuggler. There does not seem to be a proactive screening of cases, with most cases identified by individuals who are able to seek assistance from NGOs.

- *Forced labor by non-state extremist groups* is noted mostly anecdotally. This includes reports that children are abducted or forced into labor (either for labor around camp maintenance or, according to allegations, are forced into providing sex) to support extremist camps. There is little to no formal discussion on the use of child soldiers, however some believe that former child beggars and refugees are prime candidates to be recruited by violent extremists. There is almost no screening of potential TIP victims in this area.

The problem of trafficking in persons is amplified by the challenges facing the region, including conflict and climate change, which increase the number of people susceptible to exploitation.
The skyrocketing number of IDPs in Burkina Faso over the past few years alone has created extensive needs for TIP prevention and response, separate from the previously existing risks presented by seasonal and economic migration. TIP can also fuel instability to some extent, as

[2] U.S. Department of Labor. List of Goods Produced by Child Labor or Forced Labor. Retrieved at: https://www.dol.gov/agencies/ilab/reports/child-labor/list-of-goods-print?tid=All&field_exp_good_target_id=5803&field_exp_exploitation_type_target_id_1=All&items_per_page=10&combine=&page=2

armed groups recruit vulnerable people, including IDPs, women, and children, into combatant and non-combatant roles. Human trafficking networks are also often linked to other illicit trafficking networks, including that of gold, fuel, arms, and pharmaceutical and narcotic drugs, which have flourished in the region due to increasing insecurity and porous borders.

Many of the countries in the region are not adequately addressing the root causes of demand for cheap, exploitative labor. There is some evidence that as the exploitation of one group is addressed, the incentive to profit from forced labor still exists and markets turn to engage in the exploitation and abuse of other groups.

The lack of a coordinated counter-trafficking response within and between countries creates opportunities for human trafficking networks to move into communities with a poor response, allowing perpetrators to flourish. A weak counter-trafficking response also makes it harder for existing counter-trafficking stakeholders to provide a coordinated response to identify victims and provide a systemic, long-term coordinated response to reintegrate survivors. The lack of a strong stakeholder response to combat trafficking can limit the quality and quantity of verifiable data that is collected about the crime. This lack of reliable data exacerbates misunderstanding about where CTIP resources should go and the specific types of interventions that would strengthen a holistic CTIP response. Furthermore, a lack of reliable data can exacerbate mistrust between CTIP stakeholders who may believe that other actors are either downplaying the extent of the crime or that other actors are exaggerating the issue.

The lack of a coordinated systemic response leaves trafficked persons vulnerable to various forms of exploitation and abuse throughout their lifetime. At the community level, the prevalence of human trafficking can have serious impacts on the security and socio-economic stability of communities. The lack of a strong response to international organized crime syndicates leaves persons in the Sahel vulnerable to trafficking outside the region.

Trends in Government Responses as Described by the DOS TIP Reports

Trafficked persons, whose fundamental human rights have been violated, face profound needs related to being protected from further harm and having their violations remedied, to the fullest extent possible. The continued unchecked existence of trafficking-related crimes, in all their various manifestations, stunts and denies human development in the region.

While Sahelian states have often been slow to acknowledge the extent of the problem – which has often been entangled with complex cultural traditions – there is increasing recognition by government actors of the need to respond, particularly as instability, migration, and internal displacement across the region underscore the urgency. The establishment of national government-led coordinating bodies and national action plans to address trafficking-related issues creates an important opportunity for states to demonstrate their commitment to human rights. USAID technical assistance seeks to help states make tangible progress implementing their own obligations to protect the most basic human rights of people living within their borders. This is an essential step towards demonstrating their legitimacy in a region racked by increasing extremism and open challenges to the value of democratic governance.

There are also significant practical consequences for states' continued failure to address trafficking in terms of how that impacts broader U.S. assistance and partnership efforts. The TVPA mandates that the Department of State prepare an annual Trafficking in Persons report which categorizes each country into one of four tiers based on the extent of government efforts to meet the TVPA's minimum standards for the elimination of human trafficking. Countries that are rated as Tier 3 may be subject to restrictions on foreign assistance, particularly assistance that may benefit the government. Thus, lack of sufficient attention by governments to TIP threatens development assistance in these countries more broadly.

In the 2023 report, the State Department has assessed that several countries in the region took concrete steps to address trafficking and were therefore upgraded to Tier 2, including Burkina Faso, Mauritania, Senegal, and Mali. Continued support is needed to maintain the momentum in these countries. Two countries in the region are on Tier 3, Chad and Guinea-Bissau, and are now eligible for sanctions against their non-humanitarian, non-trade development assistance. Both countries' governments must begin to make significant efforts to bring themselves into compliance with the minimum standards to eliminate human trafficking, as outlined in the TVPA or they are at risk of remaining on Tier 3. Just two countries in the region were categorized as Tier 2 before the 2023 report: Niger and The Gambia. The Gambia was elevated to Tier 2 in 2022 after being on the Tier 2 watchlist for two years. Niger has been categorized as Tier 2 since 2019.

The report assesses government responses across three main factors, Prosecution, Protection, and Prevention. In addition, the USG has identified a fourth element, partnerships, as critical to the success of the "3P" framework. Trends in the region across these four parameters are provided below in brief:

Prosecution

In most of the countries that SRO covers there are adequate laws in place, but enforcement is often lacking and investigations of reported crimes are limited. Some of the common obstacles include lack of adequate training of law enforcement, judges, and other key officials; corruption and complicity of officials in the crimes themselves or in hindering investigations or prosecutions; and lack of centralized reporting structures. Across all of the countries, there is a need to increase the number of prosecutions and successful convictions.

Protection

All of the countries at issue support some shelters for victims of crime - including TIP - but these are not adequate in any of the countries in the region. While some countries make legal aid available for victims of TIP, these resources are underused. Some, but not all, of the countries have developed National Referral Mechanisms (NRMs) for victim identification and referral but these systems are not robust or flexible enough to identify the different types of trafficking that occur in the region. Most NRMs are focused on internal trafficking and are insufficient to address the identification and referral needs in transnational cases. Protection can be uneven, with certain groups overlooked. Almost all countries in the region struggle to systematically identify and respond to cases where their nationals have been trafficked abroad.

Prevention

Most countries have a National Action Plan that is funded, as well as a designated committee to coordinate TIP response, although not all of them are fully staffed. All of the countries SRO covers are running preventive campaigns or training targeted at specific groups. For example, several countries have provided anti-trafficking training to their peacekeeping troops going to other countries in the region or in West Africa. Labor-related TIP is a major gap in terms of government prevention or response across the region. Countries across the region face challenges to address the pervasive root causes of vulnerability to trafficking. The ability of CTIP stakeholders to identify and respond to persons at-risk of being trafficked are inconsistent and need to be strengthened.

Partnerships

The introduction to the 2023 TIP report highlights the importance of this factor, noting: "A comprehensive approach to human trafficking requires governments to prioritize multiple layers of cooperation, including internally between government agencies and externally with other governments, international organizations, the private sector, academia, media, community leaders, NGOs, survivors, and survivor-led organizations."

The TIP reports highlight partnerships that exist in the region, as well as gaps and opportunities. For example, the Burkina Faso report for 2023 notes that the transition government has law enforcement cooperation agreements with a number of neighboring countries to combat human trafficking; however it also indicates that there were no reports of any collaboration between law enforcement actors during 2022. The reports also detail cooperation and partnerships between governments and civil society in a number of cases, but there are many opportunities for further engagement.

Protection Needs for Marginalized and Vulnerable Populations

In addition to helping Sahelian states fulfill their obligations related to countering trafficking in persons, there are a number of other human rights challenges in the region where supporting state action to respect and protect human rights and remedy violations is critically needed, as is working with non-state actors to protect those at-risk. While some Sahelian states have often been indifferent to human rights violations–or have even acted as perpetrators themselves–their ability to protect their citizens or individuals living within their borders is an opportunity to distinguish themselves from violent extremist organizations (VEOs) or other challengers. This ability to distinguish themselves is critical in a context where Sahelian governments increasingly struggle to demonstrate their legitimacy.

In Burkina Faso and in other parts of the Sahel, civilians are often caught in the crossfire between VEOs and defense forces. In Burkina Faso, the transition government's heavy-handed response to VEOs has led to wide scale human rights violations (HRVs), including mass extrajudicial killings of civilians, expropriation, and forced displacement. The vast majority of these HRVs have impacted members of one ethnic group, the Fulani, or Fulbe. The massive internal displacement within Burkina Faso has created a large group that is more vulnerable to trafficking.

Women and girls in the region experience widespread violence and violation of their rights. There are high rates of child, early, and forced marriage; female genital mutilation/cutting (FGM/C); and domestic violence, as well as legal discrimination. Burkina Faso, Niger, and Mali are all in the top six countries in terms of prevalence of child, early, and forced marriage. A 2020 report noted that in Burkina Faso, early marriage and FGM/C have both increased with rising physical and food insecurity. The report also noted that women and girls named trafficking in persons, violence at the hands of armed actors, and traumatization due to witnessing violence among their concerns. It should be noted that insecurity and economic shocks have only increased since this report was published.

Discrimination and violence against LGBTQI+ persons is common and widespread. The law criminalizes same-sex sexual conduct in every country in the region. LGBTQI+ people are therefore subject to police harassment and imprisonment, as well as discrimination related to housing, employment, and access to health and other services. Most LGBTQI+ persons live closeted lives for self-protection. The small numbers of the community who live openly report verbal and physical aggression as well as discriminatory treatment. LGBTQI+ people who experience a crime may not approach police or other authorities for fear of further harassment or arrest, leaving them vulnerable to exploitation and abuse.

Other communities and groups also experience human rights violations. Persons with disabilities experience violence and abuse at higher levels, and do not have equal access to basic services, including education and health care, leading to reduced economic opportunities. These factors, as well as stigma, also often impact on their ability to exercise civic and political rights. Intersecting identities play a role in the ways individuals experience the world. For example, girls with disabilities experience disproportionate barriers to accessing schooling. One study by the World Bank states that literacy among women with disabilities in Burkina Faso is as low as 1%.
USAID's primary focus on this award will be to address TIP given the regional nature of the problem and the opportunities for strengthening collaborations and partnerships. However, PRL may also work to address other priority human rights issues or work with non-state actors (e.g., human rights defenders) to address urgent needs.

2. THEORY OF CHANGE

The goal of this activity is Sahelian States effectively addressing trafficking in persons and protecting the rights of vulnerable people.

The theory of change is that: **IF** assistance to survivors is bolstered, **IF** support to institutions responsible for CTIP and responding to other human rights violations is increased, and **IF** coordination is improved, **THEN** the States will be better able to address TIP and protect the rights of vulnerable people.

3. OBJECTIVES AND ANTICIPATED RESULTS

The Activity will achieve the goal stated above by applying a holistic and multi-sectoral approach taking into consideration the priorities across the four pillars of the USG counter-trafficking strategy – prosecution, prevention, protection, and partnerships. Additionally, the specific interventions will be shaped by the USAID CTIP Policy's guiding principles, including promoting survivor-centered approaches; measuring effectiveness and adapting successful program approaches; promoting strategic partnerships; and safeguarding marginalized and vulnerable populations.

Objective 1: Improved capacity of responsible authorities and key stakeholders to counter trafficking in persons and protect vulnerable people

While a number of Sahel countries have made positive steps over the last year, the ability of key institutions to identify TIP victims and respond to their needs is generally weak. Objective 1 focuses on strengthening the initial elements of CTIP systems response to improve identification and referral to critical services. Interventions should target key government institutions mandated to conduct CTIP response – such as coordinating bodies, border control, and law enforcement and the judiciary – as well as civil society organizations (CSOs), including survivor-led organizations and service providers, that have engaged on the issue. USAID encourages support of multi-disciplinary teams that bring together government agencies and CSOs to address important response needs, to improve the quality of CTIP response by building trust between government and civil society actors and increasing the accountability of government to civil society and citizens more broadly.

Sub-Objective 1.1: National anti-trafficking authorities provided with capacity building support to implement strategic priorities outlined in their National Action Plans

In many countries, the foundation of a robust counter-trafficking approach is built on the development and implementation of a National Action Plan (NAP) which outlines the role of all counter-trafficking actors who contribute to prosecution, prevention, and protection within a country. The use of National Action Plans (NAPs) throughout the Sahel varies by country. Some countries, including Burkina Faso, The Gambia, and Mauritania, have NAPs which require different levels of support to operationalize. Other countries, such as Chad and Guinea-Bissau, both categorized as Tier 3 countries by the State Department, do not currently have National Action Plans that guide the government's counter-trafficking response. Activities under this sub-objective should propose how to conduct a tailored approach in each of the initial target countries to work with stakeholders to develop, revise, or operationalize a NAP, as appropriate for the context.

Sub-Objective 1.2: National Referral Mechanisms strengthened to improve national level identification and referral of trafficked persons

Almost all countries in the region have either a formal National Referral Mechanism (NRM) or have preliminary Standard Operating Procedures that outline the process to identify and refer trafficked persons to services. However, despite the procedures that exist on paper, the systematic identification of TIP victims and referral to protective services lags behind in all countries targeted by this Activity. Activities under this sub-objective should work with the relevant Responsible Authority (RA) institutions to develop or operationalize and strengthen NRMs in the target countries. This may include the development of Standard Operating Procedures, capacity building of the RA, and/or coordination of stakeholders. In particular, efforts should be made to ensure that the NRMs are expanded to identify and assist a wider range of trafficked persons, regardless of the trafficking typology, or age or gender of the victim. Activities should be inclusive of the stakeholders most likely to encounter victims – particularly in law enforcement and border control, social workers, shelters, and the judiciary, but this could include a wider range of actors – to understand TIP, identify victims, and refer them to services.

Sub-objective 1.3 National Referral Mechanisms coordinated at the transnational level to strengthen CTIP efforts at the regional level

While identification and referral processes need to be strengthened throughout the region, many of the existing nascent processes focus on identifying and assisting trafficked persons within a country's borders. Most countries in the region have very limited resources (or ability) to assist their nationals trafficked abroad; similarly, stakeholders face a number of limitations when trying to engage CTIP stakeholders in other countries when foreign victims are identified. There is a need to expand opportunities for both formal and informal transnational coordination in the region so that as foreign victims are identified there will be an improvement in the continuum of care they receive. Additionally, most countries in the Sahel are limited in their ability to detect and respond to instances where their nationals may be trafficked abroad (particularly outside the African continent). As a result, their nationals may become more vulnerable to international trafficking schemes that are shifting to find new sources of trafficked labor. Interventions under this sub-objective will build connections between RA institutions across borders with the aim of strengthening their capacity to respond to victims who have been trafficked across these borders.

Sub-Objective 1.4 Increased regulation of targeted labor markets reduces demand for trafficked labor

To complement efforts aimed at strengthening the capacity of stakeholders to combat trafficking, there is also a need to address the ongoing challenge of demand for cheap labor in the region - with a focus on forced labor. Activities under this sub-objective should focus on the development or strengthening of relevant labor regulations, such as regulatory controls over recruitment, or supporting improvements to labor inspections procedures.

<u>Anticipated Results for Objective 1</u>:

- National Action Plans (NAPs) are in place and implemented effectively.

- National Referral Mechanisms are in place and strengthened.
- Increased understanding and use of tools necessary to detect and identify human trafficking victims by frontline service providers.
- Increase in the number of trafficking victims identified.
- Increased transnational or regional cooperation among RA institutions to respond to TIP victims.
- Regulatory environment for CTIP and protection of human rights is enhanced.
- Business community is engaged and is using tools to detect human trafficking in its supply chains.
- Improved accountability of key institutions responsible for combating TIP and responding to human rights violations.

Objective 2: Increased assistance to victims and survivors

Once identified and released from an exploitative situation, TIP survivors face numerous obstacles accessing essential services. Preliminary research shows that in the Sahel, survivors of one form of TIP may become vulnerable to other forms of exploitation and abuse, given the dearth of protective reintegration services. PRL should help strengthen the capacity of local service providers who support the immediate and longer term reintegration of survivors. Services provided by this activity should be accessible to all survivors, regardless of age, gender, and immigration status. There should be an increase in the variety of reintegration services offered, beyond the traditional shelter models. Trafficked persons generally require housing, safety/security support, medical and psychological treatment, family reunification, legal services, economic support, and access to livelihood opportunities. Given the regional nature of this Activity, it is also well-placed to support repatriation activities.

Sub-Objective 2.1 Increase in the quality and quantity of basic services provided for TIP survivors and victims of human rights violations

Interventions under this sub-objective can facilitate improved access to basic services directly and indirectly. Direct support could include support to organizations managing safe shelters, or to local organizations providing appropriate medical, social and psychological care, and legal services in non-residential locations. Indirect support could include promoting collaboration and linkages between government responsible authorities who identify trafficking cases and civil society organizations that provide care to survivors; or support to development and maintenance of a directory of resources available to survivors and first responders. Activities under this sub-objective must be coordinated with activities under sub-objective 1.1.

Sub-Objective 2.2 Access to justice increased for TIP survivors and victims of human rights abuses

Trafficking offenses are difficult to prosecute, conviction rates are low in proportion to the scope of the problem, and criminal sentences are often not commensurate with the seriousness of the crime. This sub-objective will support legal assistance for TIP survivors. In some contexts, it could also include provision of technical assistance and training to judicial actors, including judges, magistrates, and prosecutors, on the issues of trafficking and forced labor.

Sub-objective 2.3 Voluntary repatriation and reintegration processes available to TIP survivors in line with international standards
Trafficking survivors may be most vulnerable immediately after removal from the trafficking situation or escape. Those who have been trafficked to a foreign country are vulnerable to deportation back to their country of origin as well as arrest. Survivors of sex trafficking, in particular, may not be accepted back into their communities due to social stigmas. Many have neither the documentation nor the resources to return home and therefore exist in a state of limbo. Absent repatriation and reintegration procedures complying with international standards, trafficking survivors are prone to further victimization and re-trafficking.

This sub-objective can support work with appropriate government agencies to develop (or strengthen) and implement rights-based procedures in destination countries to ensure that survivors are not inappropriately deported to their country of origin; assist countries of origin and destination to mutually employ practices for safe and voluntary repatriation, reintegration, and reunification of trafficked persons; establish reintegration procedures in countries of origin to protect trafficked persons against further exploitation and re-trafficking; and support local initiatives that reduce social and cultural stigmas associated with being a TIP survivor.

Anticipated Results for Objective 2:

- Increased number of human trafficking victims provided with comprehensive and durable victim-sensitive protection services.
- Linkages strengthened between RA institutions, private sector, and civil society to support trafficked persons and provide care and services, both within countries and across borders.
- Improved understanding of forced labor and trafficking issues among justice sector actors.
- Increased number of TIP survivors provided with legal services.
- Increased number of TIP survivors accessing safe and voluntary repatriation and reintegration services.
- Improved regulations and procedures covering the processing of TIP cases.
- Increased cooperation between countries on safe and voluntary repatriation of TIP survivors.

Objective 3: Strengthened coordination through data collection and reinforced stakeholder relations

Effectively countering TIP requires sustained commitment to prevent future occurrences, protect victims, and prosecute perpetrators. Strengthening the response inside any specific country will necessarily involve coordinated action among a wide range of ministries as well as local and regional government actors. Civil society, student groups, media, and the private sector also play critical roles in collaborating with national and local governments. Relatedly, TIP is a regional problem that requires significant coordination across borders to adequately address. This objective aims to foster collaboration and coordinated action between actors within countries, as well as between countries. Importantly, this objective will support improved data collection and sharing, which allows RAs and stakeholders to develop a shared understanding of the scope of the problem and more accurately track progress over time.

Sub-Objective 3.1 Improved TIP data collection, reporting, and sharing by key stakeholders
This sub-objective will focus on improving the collection and sharing of practical data on TIP, including TIP cases, at the domestic level. Currently, data collection is weak, not standardized, and inconsistent in the region. Often, data is not shared with the mandated government institutions responsible for reporting at the national level, and the data that each organization collects may not align. Within institutions there may be limited resources or infrastructure to capture data, and weak incentives for capturing robust data on trafficking cases. Between institutions there are a variety of challenges including mistrust between institutions regarding data validity, highly individualized data systems within institutions that make it difficult to impossible to aggregate data, and concerns about data security. Improved collection and sharing of reliable data is intended to improve trust between stakeholders in the CTIP community and will support an improved understanding of the problem, which is the first step to a strengthened response.

Sub-Objective 3.2 Improved coordination across borders by key CTIP stakeholders and human rights actors
This sub-objective will also support greater collaboration by governmental and non-governmental actors across countries to strengthen TIP response. This can include development of agreements or legal mechanisms by origin and transit or destination countries on TIP response. This could also support the development of partnerships and sharing of data and information involving governments, international organizations, civil society, and the private sector to strengthen CTIP efforts. Finally, this objective can also support gatherings of survivor-led groups, human rights groups, and other civil society groups or activists across borders to share information and resources and strengthen cross-border networks for victims and survivors.

Sub-Objective 3.3 Increased ability to leverage and coordinate existing stakeholder efforts through political economy analysis.
Although there are many opportunities to strengthen the CTIP response throughout the Sahel, many countries in the region do have well-established, if not well-resourced, CTIP stakeholders. Any initiatives under this activity must be based on an initial political economy analysis (PEA) of the primary stakeholders that leverages existing initiatives and builds on past lessons learned. The implementing partner will conduct PEAs in focus countries at the start of the activity, as discussed under section A.6. As activities in new countries or contexts are added, PEAs should also be conducted for those contexts.

Anticipated Results for Objective 3:

- Improved reporting on TIP statistics and response by host country governments.

- Reliable data on TIP effectively collected and shared among interested governmental and non-governmental parties.
- Improved coordination between government institutions and civil society at the national and local levels on TIP and human rights response.
- Improved cross-border coordination of TIP response by responsible authorities.
- Increased information- and experience-sharing by survivor-led groups, human rights groups, and activists across borders and within the region.

Objective 4: Effective response to other urgent human rights violations

While helping states effectively address TIP is the core focus of this activity, PRL will also be responsive to other urgent and unforeseen human rights issues in the Sahel, including threats facing vulnerable and marginalized populations (e.g., extrajudicial killings of ethnic minorities or targeted violence and discrimination against the LGBTQI+ community). Given the dynamic nature of the region, growing instability, and the trend of coups d'etat across the region, it is critical that the award remain flexible to those challenges and opportunities. As a part of this activity, USAID will provide targeted assistance to both state and non-state actors as they respond to significant human rights concerns, urgent crises, or limited windows of opportunity. At least some of this assistance will be in the form of short-term "rapid response" activities that can be activated quickly in response to emergency situations. At least $3 million of the Leader Award will be set aside for such activities. Associate awards can also address crises involving other human rights violations. Support can take many forms and be for various purposes, including but not limited to: supporting human rights documentation; technical assistance to quasi-state actors such as National Human Rights Institutions (NHRIs) to help fulfill their roles of holding state actors accountable; helping human rights defenders undertake security audits and improve the physical and digital security of their operations in response to increasing threats; supporting strategic litigation or legal aid in response to proposed or enacted legislation; or supporting mentoring and experience-sharing by organizations experiencing similar challenges.

<u>Anticipated Results for Objective 4</u>:

- Activists and survivors of human rights violations have access to protection services and legal advice.
- Human rights groups and activists are able to draw on resources to increase their security.
- Human rights groups and activists are able to draw on networks of peers for support and solidarity.

A.1. GEOGRAPHIC SCOPE

PRL is intended to support counter-trafficking in persons efforts and support for human rights activities in the Sahel. The initial Leader award will be implemented in countries covered by USAID's Sahel Regional Office in Dakar: Burkina Faso, Chad, Guinea-Bissau, Mauritania, and The Gambia. Understanding that this activity does not have unlimited resources, it is expected that PRL will provide more intensive support in three selected countries, while interventions in the other two countries will be lighter-touch or focused on regional cooperation. Engagement with the three selected target countries may be staggered over time, with the activity launching in two countries in Year 1, and a third country in Year 2. “Lighter-touch” engagements might prioritize support to drafting National Action Plans for those countries that do not have them in place, or support to repatriated survivors.

It is not expected that efforts will be identical or even comparable across countries. Instead, the activity is expected to target interventions to the areas of greatest need where it is determined that USAID can make a significant impact, and to take advantage of windows of opportunity in each context. It is also expected to leverage its regional structure to create linkages across borders that will increase its overall impact.

Additional Associate Awards made under this LWA may also address human rights and TIP violations in other countries in the broader Sahel region.

A.2. OPERATIONAL PRINCIPLES

To achieve the expected results of this activity, the following operational principles should be applied:

- **Locally-led development** – Communities and local partners have a leadership role in driving implementation, setting priorities, and co-creating specific interventions;
- **Systems strengthening** - Analyze and seek to strengthen formal and informal systems that build resilience and improve well-being;
- **Bolster good governance** - Improving the effectiveness and legitimacy of national and subnational government structures is a key component of long-term resilience and stability; and
- **Inclusive targeting** - Support the most vulnerable by responding to their specific needs, enhancing their aspirations, and strengthening their ability to access resources and services.

Locally-led development: As USAID states in its strategy for measuring localization, “When USAID shifts power to local actors—and our efforts are responsive to local priorities, draw upon local capacities, diverse networks, and resources, and are accountable to local communities—results are more likely to be sustained by local communities, organizations, and institutions.” While a clear priority for USAID is to provide as much direct funding as possible to local partners, there are many other things we can do to shift power dynamics and enable locally-led development, many of which can be done under this Activity. This Activity should maximize every opportunity to use participatory processes to help local stakeholders explore their collective challenges and opportunities, identify and implement actions, evaluate their effectiveness, and iteratively adapt their approach as they search for greater effectiveness. The activity should also consider establishing Local Advisory Councils, composed of local stakeholders with different perspectives and interests to help guide and shape implementation and assess activity progress. Members of such councils should not be direct activity participants, but rather those who can offer candid and constructive feedback to shape implementation. If such councils are developed, they should include opportunities for anonymous and voluntary feedback from survivors and program participants receiving project services.

Systems strengthening: Vulnerable populations need well-functioning systems, be they social, ecological, economic, governmental, or political, to support them as they work toward their own development goals. If systems are resilient to shocks and if system actors have the capacity to learn and adjust in response to opportunities or challenges, the systems will help sustain development impacts over the longer term. Enhancing systems requires a facilitation approach, where USAID acts from outside the system to stimulate change and build capacities. This should result in self-driven actions by system actors that continue to occur after USAID support ends.

Encouraging good governance: According to the U.S. Regional Strategy for the Sahel, "one of the key drivers of instability in the Sahel is the long-standing crisis of state legitimacy." As such, USAID's broader investment in the region should maximize opportunities to both strengthen national institutions and policy reforms as well as improve and decentralize service delivery to regions and areas outside of the capitals.

Inclusive targeting: USAID's investment in the Sahel region should be pro-poor, with a special emphasis on the most vulnerable, women, and youth. Inclusiveness means that the poor, vulnerable, women, and youth must ultimately benefit and have enhanced agency and engagement in decisions affecting their lives.

A.3. GENDER EQUALITY AND SOCIAL INCLUSION

The U.S. government's Women's Entrepreneurship and Economic Empowerment (WEEE) Act underscores the importance of gender equality and empowering women to participate fully in the formal economy, which leads to more peaceful and prosperous societies. The WEEE Act requires that (1) USAID strategies, projects, and activities are shaped by a gender analysis; (2) standard indicators are used to assess such strategies, projects, and activities, if applicable; and (3) gender equality and women's empowerment are integrated throughout the Agency's program cycle and related processes for purposes of strategic planning, project design and implementation, monitoring, and evaluation.

USAID launched an updated Gender Equality and Women's Empowerment Policy in 2023 that guides the Agency's work to advance gender equality and the empowerment, protection, and participation of all women and girls, men and boys, and gender-diverse individuals in their societies. The Policy presents the following overarching strategic objectives:

- reduce gender disparities in who accesses, controls, and benefits from economic, social, political, legal, educational, health, and cultural resources, as well as wealth, opportunities, and services;

- strive to eliminate gender based violence (GBV) and mitigate its harmful effects on individuals and communities, so all people can live free from violence;
- increase the capability of women and girls to fully exercise their rights, determine their life outcomes, assume leadership roles, and influence decision-making in households, communities, and societies; and
- advance structural changes that address the root causes of gender inequality and promote equitable gender norms.

Additionally, USAID believes that inclusion is key to aid effectiveness, and promotes a nondiscriminatory, inclusive, and integrated development approach that ensures that all people, including those who face discrimination and thus may have limited access to a country's benefits, legal protections, or social participation are fully included and can actively participate in and benefit from development processes and activities. USAID has detailed this commitment to inclusive development in a range of policies including, but not limited to, the Gender Equality and Women's Empowerment Policy; the LGBTQI+ Inclusive Development Policy; the Disability Policy; the Youth in Development Policy; the Democracy, Human Rights and Governance Strategy; and the Nondiscrimination for Beneficiaries Policy.

To operationalize these policies, the USAID/Senegal/Sahel Regional Office (SRO) requires all of its activities to prioritize gender equality and women's empowerment by undertaking the following actions. First, an activity level Gender Equality and Social Inclusion Analysis must be conducted during the first 90 days after the award, and the findings should inform an action plan describing how gender and social inclusion will be integrated into all phases of the work plan and the Activity Monitoring, Evaluation and Learning Plan.

Secondly, the Activity is expected to adopt any one of the nine standard output and outcome indicators, as applicable, on gender equality, women's empowerment, and gender-based violence as provided in the USAID Gender Policy, and in USAID's Automated Directives System (ADS) 205 Integrating Gender Equality and Women's Empowerment in the Program Cycle, or develop custom indicators appropriate to projects/activities. All people-level indicators must be disaggregated by age, sex, groups and related narrative included in all activity reports.

SRO conducted a gender analysis during the design of this activity. This analysis found that women and girls in the Sahel currently face an extreme level of discrimination in laws, social norms and practices. While wide variation exists across the countries supported by SRO, in all of them there are high levels of discrimination in terms of intra-household dynamics and caregiving roles, access to information and opportunities, and the working environment, as well as pervasive GBV. Along with the fact that these inequalities demonstrate widespread violation of women's and girls' human rights, they also create specific risks for women and girls when it comes to TIP. For example, lack of equal access to economic opportunities and jobs makes women vulnerable to false job offers that are created to lure them into sex trafficking or domestic servitude. Gender considerations also create vulnerabilities for men and boys. *Talibe* children who are exploited in forced begging schemes, for instance, are boys. This Activity is expected to draw from its own gender equality and social inclusion (GESI) analysis to understand how gender dynamics may underlie or interact with risk factors for different groups and address specific risks and vulnerabilities facing women, men, girls, and boys. This activity must also ensure the participation and leadership of women and girls, and women's organizations, across all activity objectives.

A.4. EFFECTIVE YOUTH INTEGRATION

USAID promotes a "positive youth development" (PYD) approach in its programming. PYD engages youth along with their families, communities and/or governments so that youth are empowered to reach their full potential. PYD approaches build skills, assets and competencies; foster healthy relationships; strengthen the environment; and transform systems. See the following site for more information: http://www.youthpower.org/positive-youth-development.

For many, the PYD approach is a paradigm shift in the way that they think about youth, education, employment, leadership, health, and environment and its resources. The Activity will include concrete and practical approaches that will not only address the challenges that youth face to accomplish the Activity results, but will also involve and support young people in the decision-making, management and leadership of this activity in line with the Agency's Global Leadership and Education for Advancing Development initiative (Global LEAD).

A.5. ACTIVITY MONITORING, EVALUATION, AND LEARNING PLAN (AMELP)

The Activity will contribute vital information on development results, strategies, and approaches to enhance individual, household, community, and institutional resilience in a dynamic environment. The AMELP should use USAID's Collaboration, Learning, and Adapting (CLA) principles (see ADS 201.3.5.19 and the following section) to effectively collaborate with other implementing partners and integrate real time monitoring and learning back into the project strategy and program implementation and ensure that knowledge is shared with the broader community.

Applicants must develop a comprehensive AMELP that outlines how the activity will track progress, identify learning opportunities, and effectively adapt programming to anticipate and respond to challenges and opportunities that arise. The AMELP must demonstrate how the Activity will routinely assess the quality of data; the status of activities; whether these activities are resulting in their intended outcomes; if those outcomes are leading to the desired objectives; whether critical assumptions remain valid; and whether course corrections should be made. The AMELP should clearly support the RDCS monitoring, evaluating, and learning plan. It must be updated regularly, prioritize gender equality and youth inclusion, and include a data management plan. The plan must explain how indicator data will be collected, analyzed, submitted, published and re-used, including any specific software that may be necessary for analysis. This is also an opportunity for the applicant to ensure a consistent data analysis approach among multiple partners, and the applicant will have an opportunity to consult with USAID/Senegal/SRO's Monitoring, Evaluation and Learning (MEL) contract for feedback.

The monitoring system must include both performance and context monitoring. Implementing partners are responsible for collecting baseline data for their performance indicators. Performance monitoring refers to monitoring the quantity, quality, and timeliness of activity outputs within the control of the implementer, as well as the monitoring of activity outcomes that are expected to result from the combination of these outputs. Performance monitoring includes operational monitoring such as checking back later to see if completed activities still function. For example, if a well is drilled, is it still functioning a year later, or if an individual is trained, do they apply the training properly, or if a loan is extended, is it repaid?

In anticipation of any potential shifting environment (insecurity, climatic or health shock, etc.) that may lead to inaccessibility of the activity zone of intervention, the applicant should also develop an alternative MEL system capable of regularly and accurately gathering and analyzing verifiable monitoring data safely, to check whether activity's interventions are being implemented as planned, with tools and methods that adapt to changing context. Depending on the contextual factors, remote monitoring methods can be developed, including phone/video partners meetings, informal partner reporting, mobile phone surveys/feedback mechanisms, virtual site visits, virtual internal data quality assurance (DQA), geographic information system (GIS)/remote sensing monitoring, etc.

The recipient will be required to report MEL data directly into USAID's Development Information Solution (DIS) system. USAID will provide the recipient with DIS access. USAID implementing partners benefit from training sessions to ensure effective qualitative, quantitative, and GIS data reporting in DIS.

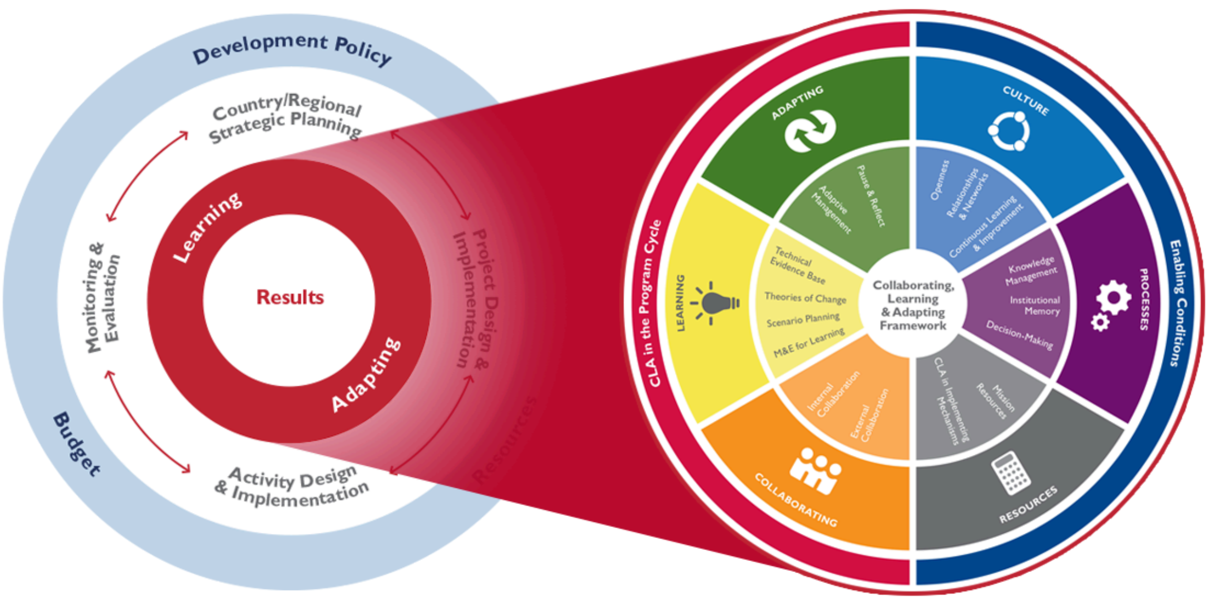
Context monitoring is the monitoring of local conditions that may directly affect implementation and performance (such as non-USAID projects operating within the same sector as USAID projects) or external factors that may indirectly affect implementation and performance (such as macro-economic, social, political conditions, or game-changers). Context monitoring should be used to monitor assumptions and risks identified in the activity logic model.

In order to have a sound monitoring system, applicants will propose performance and context indicators, determine ways to set baselines, realistic targets (only for performance indicators), and effective procedures for internal data quality control.

The Activity must develop a preliminary learning agenda that identifies a limited number of questions (one to three) related to the activity theory of change. Close and systematic collaboration with other USAID implementing partners, the host country government, decision-makers, and institutional bodies among the target communities, and other key stakeholders will be critical to maximize the use of learning and ensure that monitoring and evaluation systems are as cost-effective as possible and do not create a parallel system. The activity will be expected to collaborate closely with USAID's coordination mechanism, which has a strong learning component. It must include participation at workshops and learning-related activities into its work plan, identify a CLA point of contact on staff, and budget for the attendance of learning events hosted by USAID's coordination and communication mechanism, other partners, as well as implementation of sector-specific learning events with partners and local stakeholders.

A.6. COLLABORATING, LEARNING, AND ADAPTING (CLA)

According to USAID's Program Cycle guidance (ADS 201.3.5.19), "Strategic collaboration, continuous learning, and adaptive management link together all components of the Program Cycle." Integrating CLA into our work helps to ensure that our programs are coordinated with others, grounded in a strong evidence base, and iteratively adapted to remain relevant throughout implementation. The systematic application of CLA approaches, led by people who have the knowledge and resources to carry them out, enables USAID to be an effective learning organization and thereby a more effective development organization.



Collaborating

Collaboration enables cross-sector integration, convergence, and effective interventions to maximize development resources and enhance development results. The recipient must explore opportunities to collaborate with relevant USAID-supported activities in common regions of operation and engage with stakeholders (defined collaboratively with the USAID Agreement Officer's Representative (AOR)) to deliver integrated services to target populations.

Learning

Learning is intentional, systematic and resourced. Sources for learning include data from monitoring, portfolio reviews, findings of research, evaluations, analyses conducted by USAID or third parties, knowledge gained from experience, stocktaking exercises, and other sources. Any such documents produced by USAID will be shared with the recipient by the AOR for consideration in the learning phase of CLA.

These sources should be used to develop and implement plans, manage adaptively, and contribute to the USAID knowledge base in order to improve development outcomes. A collaborating, learning, and adapting focus helps to ensure that programming is coordinated, grounded in evidence, and adjusted as necessary to remain relevant and effective throughout implementation.

Knowledge generated by learning should be applied throughout programming to implementation approaches, processes, and stakeholder engagement. Knowledge generated by learning should also be disseminated to activity stakeholders, partners, and collaborators in an appropriate forum and format so that it may be translated into decisions and actions that enhance the success of approaches and interventions designed to achieve common intermediate results.

The recipient should share information and knowledge generated by monitoring data, portfolio review results, research findings, evaluations, analyses, and experiences with other USAID implementing partners. Recipients should apply actionable information and knowledge gained from collaborating partners to implementation to improve results.

USAID implementing partners should convene on a periodic basis to reflect on actions taken, exchange analysis, and pending decisions that affect implementation.

Adapting

As stated in ADS 202.3.1.2 under the core program cycle principle of *Manage Adaptively through Continuous Learning*, "USAID must be able to adapt programs in response to changes and new information as it emerges." To do this, the Agency must create an enabling environment that encourages the design of more flexible programs, promotes intentional learning, minimizes obstacles to modifying programs, and creates incentives for learning and adaptive management.

The operating environment in the Sahel is extremely fluid and even the most sound activity designs may face unanticipated situations that necessitate pivots during implementation. As such, this activity should be structured in a way that enables continuous adaptive management. As noted in USAID's Discussion Note on Adaptive Management, such an approach "is not about changing goals during implementation, it is about changing the path being used to achieve the goals in response to changes."

The recipient should demonstrate a commitment to adaptive management that is informed by knowledge gained through learning and implementation and recognize behaviors and incentives necessary to create change. Knowledge gained through learning must influence decision making, resource allocation, and adaptation to contextual shifts. Application of new knowledge to implementation decisions should be reflected in the Annual Work Plan and AMELP. Decisions to adapt may be based on, but not limited to the following:

- Extraneous changes in the operating environment (i.e., emergency or natural disaster; national policy changes)
- Financial and human resource constraints
- Evidence that targets are unmet
- Emerging evidence that interventions are not working or could work better if adapted

3-month start-up/inception period: USAID recognizes that there is often a substantial amount of time from when the original technical application was designed and drafted to the issuance of an award, during which new information or changes in context may occur. Further, the recipient–especially if working in new geographic areas–may benefit from additional time to establish partnerships, test initial assumptions, and further refine their implementation approach. As such, USAID has planned for this award to include an "inception period," not to exceed three months after the outset of the award. During that time, the activity will engage with USAID, partner governments, and other implementing partners to (1) refine its theory of change, approach, and interventions, (2) consider opportunities for collaboration with other initiatives, (3) conduct necessary analyses, including the Political Economy Analyses discussed under sub-objective 3.3, and (4) develop a learning agenda. Near the end of three months, the Activity should co-create an annual work plan with USAID and other key stakeholders. In the application, applicants should present their work plan for this three-month inception period, including milestones for all key actions.

A.7. COORDINATION

In order to be effective, PRL will coordinate with other USAID and USG-supported activities in Sahel countries, particularly those related to CTIP and vulnerability to CTIP, to identify areas for coordination, collaboration, and learning opportunities. The recipient will be expected to proactively reach out to other USAID implementing partners to ensure strategic and sustained coordination and collaboration, where appropriate. The recipient will also be expected to coordinate closely with other USG-funded activities in the region that focus on CTIP, such as those managed by the Department of State. PRL will also be expected to coordinate with other donors and organizations working on counter-trafficking in persons in the region.

A.8. PROGRAM STRUCTURE

1. General Information

This Leader with Associate (LWA) award will provide leadership for regional activities and for subsequent Associate Awards by USAID Missions or other operating units. No further competition or waiver of competition is required for any Associate Award within the terms of the Leader Award. Each Associate Award is a separate Assistance Agreement funded by a USAID

Mission or other USAID operating unit and awarded to the Leader Award recipient to support a distinct local or regional activity that fits within the scope of the broad worldwide program description in the Leader Award. An Associate Award may be a grant or a cooperative agreement. If an Associate Award is a cooperative agreement, it must spell out the terms of any substantial involvement. Under individual Associate Awards, the need for cost-sharing will be individually determined by each Mission or Bureau for their respective programs. Associate Awards will not contain separate standard provisions. Instead, they will be subject to the standard provisions of the Leader Award. Associate Awards may be awarded for up to an initial five-year period. Associate Awards may be issued until the Leader Award expires. Associate Awards may be extended for a cumulative term of up to ten years, but in no event may Associate Awards extend for more than five years past the expiration of the Leader Award. The Leader Award made subsequent to this NOFO will include the following estimates, as more fully described in the sections below:

2. Anticipated Budget:

- Total Estimated Amount (TEA) of the Leader Award plus the combined Associate Awards: $50,000,000.00
- Leader Award: $20,000,000.00 ($17,000,000.00 core component plus $3,000,000.00 Rapid Response Supplemental)
- Associate Awards: $30,000,000.00

USAID anticipates that the core component of Leader activities will not exceed $17,000,000.00, with the remaining $3,000,000.00 ceiling available for rapid response needs. Upon award, USAID will immediately make available $500,000.00 for rapid response activities. Additional funds will be made available for rapid response based on historical usage and anticipated need, pending funds availability. The $3,000,000.00 rapid response supplemental is subject to the availability of funds. USAID reserves the right not to exercise the full amount, and if not exercised, the amount will not be rolled into the core component of the award.

These figures are an estimate only. There is no guarantee regarding the magnitude of Associate Awards in dollars or the number of awards. The actual total award amounts of all Associate Awards cannot exceed this estimate.

A.9. LEADER AWARD

The Leader award will serve as the primary implementing mechanism to advance the objectives of this activity. It will also include a rapid response function as described under Objective 4 of the Program Description.

Table 1. Distinguishing the roles of the Leader Award and Associate Awards under this program	
Leader Award	*Associate Awards*

● Single award, regional in nature ● Prime mechanism for advancing the objectives of PRL in countries covered by SRO: Burkina Faso, Chad, Guinea-Bissau, Mauritania, and The Gambia ● Focus on rapid response to urgent human rights needs as described under Objective 4 ● TEA of $20,000,000.00, of which the core component is $17,000,000.00, plus up to $3,000,000.00 for rapid response interventions	● Multiple awards, country-specific or regional ● Prime mechanisms for advancing PRL Objectives in other countries in the broader Sahel region; they can also address specific needs in one or more SRO countries ● TEA of $30,000,000.00 for all Associate Awards combined

The Leader Award was designed to address the cross-border problems of trafficking in persons and human rights violations via a holistic and multi-country approach to implementation. SRO therefore intends for the Leader Award to implement activities in the countries under SRO's purview, i.e., Burkina Faso, Chad, Guinea-Bissau, Mauritania, and The Gambia. All activities will achieve results in support of the objectives outlined above.

The Leader Award will also be responsible for a rapid response component as described under Objective 4. This program component will respond to unanticipated needs and emergency situations in which human rights are threatened. Rapid response activities can enable a startup of activities in a time-sensitive and rapidly evolving situation. Rapid response activities will be no more than $500,000.00 in size and supported with funding under the Leader Award, and responsive to specific criteria (to be co-created with Leader and USAID).

Finally, the Leader Award will have overall oversight and ownership of critical functions including collaboration, learning and adaptation, and relatedly, monitoring, evaluation, and learning. The Leader Award will support learning and adaptation across partners and between the Leader Award and Associate Awards. It will also take a leadership role in coordination and collaboration with other USAID implementing partners and other relevant stakeholders.

Given the complex challenges facing the region and the limited funding available, it is imperative that activities carried out under this LWA are the result of a comprehensive design and development process, drawing on the full capabilities and perspectives of consortium members, if applicable. To advance this objective, the Leader Award is expected to propose a management approach and specific process for responding to Associate Award solicitations that is inclusive of all relevant consortium members, if applicable, fosters creative innovation, and results in sound and streamlined designs and partnerships.

A.10. ASSOCIATE AWARDS

An Associate Award is a separate assistance agreement funded by a USAID Mission, USAID Bureau, or USAID office and awarded to the Leader Award recipient to support a distinct local or regional activity that fits within the scope of the program description in the Leader Award. The LWA allows for potential additional Associate Awards for unforeseen purposes, as long as these additional Associate Awards do not exceed the LWA's maximum ordering ceiling and fall within the general scope of the LWA as determined by the LWA's AO.

Associate Awards may be awarded in order to implement bilateral programs. Associate Awards will usually focus on technical development assistance and will support one or more of the program objectives listed in this program description. A total of up to $30 million (cumulative of all Associate Awards) may be awarded over the life of this agreement. The selection of countries and substantive areas by USAID for the Associate Awards will be based on demand from USAID Missions, USAID Bureaus, and USAID offices as well as the regional area of expertise of the recipient. The length of activities may vary from a few months to five years. The recipient will likely be programming simultaneously in multiple countries.

[END OF ATTACHMENT A]

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ATTACHMENT B - USAID BRANDING AND MARKING TEMPLATE

Marking Plan & Branding Implementation Plan/Strategy *(for grants and cooperative agreements)*

Instructions
All text in blue color and in italics is for your guidance only; please delete it from your final version. *The text aims to give you guidance about designing your Marking Plan and the Branding Implementation Plan/Strategy.*

Please consult with USAID [ADS Chapter 320](), USAID's [Graphic Standards Manual](), and other resources available via USAID's [Branding Page](). It is recommended that you consult these resources regularly as you plan for and implement public outreach components of your activity. The ADS Chapter 320 applies to all programs, projects, activities, public communications, and commodities funded by USAID, including through subcontracts.

The overall purpose of the Branding Implementation Plan and Marking Plan is to lay out how existing or prospective contractors and implementing partners will promote the activity to beneficiaries, stakeholders, and various other audiences - and how you will connect these back to the American government and people.

This document should address the following:
- *How will you incorporate the message "This assistance is from the American people" in communication and materials directed to target audiences?*
- *What is the overall approach and strategy that will guide the project's outreach and communication effort?*
- *What types of communication products will be developed, and how will these be distributed among which audiences?*
- *How will you create and acquire professional and high-quality content for your communication products?*
- *What kind of events and outreach activities, if any, will be implemented to achieve your communication and outreach goals?*
- *How will you monitor and evaluate the success of your outreach and communication activities?*
- *What will be the key project milestones or opportunities anticipated to generate awareness that the activity is being made possible thanks to the generosity of the american people?*

It is not our aim to receive from you formulaic responses; rather, we're interested in hearing how you will concretely give visibility to your work, results, and successes among target audiences.

You may use co-branding and co-marking in accordance with ADS 320.3.3.1 for visual, textual and verbal materials and communications, which may be translated into host-country languages as appropriate.

Feel free to add additional text or sections to accommodate your ideas or needs. Also, feel free to change our standard text (i.e. text in black and not in italics) within reason as necessary.

Presumptive exceptions will be outlined in the Marking Plan (below) and if/when a situation arises that is not considered in the Marking Plan, it will be evaluated on a case-by-case basis by the Agreement Officer's Representative (AOR) and Agreement Officer (AO).

Award Title: *(Name of the activity as it appears in the award/agreement.)*
Agreement Number:
Period of Duration Activity: *(Month/Year to Month/Year)*
Award Budget Amount:
Implementing Organization Name:

Activity Title in English and Local Languages
This is the official name of the project. This is the name that will be used to designate the project among all audiences, including government counterparts, the general public, and the media.

The standard naming structure is the "USAID insert name Project/Activity/Initiative/Program/etc." Please make sure that the name selected is short, understandable, and translates well into local languages. It is recommended that the project name is translated into local languages.

The name of the activity should not be a project description. It does not need to explain what it is doing, why, or how. The name can be evocative of what the project is about or to what topic/sector it relates to.

Other organizations to be acknowledged
You may propose to acknowledge other organizations during project activities such as host country government counterparts. The proposed Marking Plan may also outline these situations as well. Situations that arise that are not considered in the Marking Plan, will be evaluated on a case-by-case basis by the Agreement Officer's Representative (AOR) and Agreement Officer (AO).

Desired level of visibility
Select high, medium or low visibility determined by considerations for each project and its communication strategy.

Audiences
Explain who your audiences are and what it is that you want them to know. In the communication material section below, you may explain how you will reach these audiences. You may break down your audiences into primary, secondary, and tertiary groups. Typically, for a USAID project, it should be something like this:

- ***Direct beneficiaries or aid recipients**, so they know where the assistance is coming from, and that it is being made possible by the generosity of the American people. This could include recipients of technical assistance, training, conference participants, etc.*
- ***Indirect beneficiaries or stakeholders**, such as local government officials who may not be directly involved, but will be required to allocate access to facilities, equipment, people, etc. for the smooth implementation of the project. It could include the media, local NGOs, specific private entities/businesses, etc.*
- ***The general public** in the host country so it understands what is the activity and why it is being implemented in the country. This should be done in partnership with USAID's who share this audience with a view to informing the public about what is the nature of the agency, why it is in the country, what kind of work it is doing, and nurture a favorable opinion of it.*
- ***Host Government**, for which there are plenty of reasons to inform about your activity*
- ***Other Donors**, to help USAID publicize its technical leadership, etc.*

- ***Washington Stakeholders**, such as USAID HQ, the U.S. State Department, the National Security Council, Congressional Committees - so they are aware of the great work done by USAID, support financing its activities in the sector where your activities are involved, elevate the profile of your team/organization, etc.*
- ***Local Media** can relay project information to the public using mass media platforms and reach large segments of the population.*
- ***Other audiences may include** religious leaders, artists/famous people, academics, influencers, opinion leaders, businesses, entrepreneurs, youth clubs, professional associations, and many others. It is better to have fewer audiences than more because reaching them can require a lot of resources.*

Main Activity Message

Describe the intended message(s) of the activity – if you had to sum up the purpose of your activity in one brief statement, addressed to its key audiences, what would it be?

Messaging should answer questions. For example: what is the problem that the project will work on? What is the solution? How will it work? What are the main targets/objectives? Please refer to the USAID Message Manual to create messages that answer What, Why, and How questions relating to your activity.

Consider breaking down messaging by audiences. For example, for direct beneficiaries, the key is that they understand that the assistance is coming from USAID and made possible with the generosity of the American people. For secondary audiences whose support is important for the successful implementation of the project, then you might want to have messages that answer questions pertaining, as explained above, to the what/why/how of the project. For USAID and US-Based audiences, messaging might be designed in a way that explains how the project fits into a broader narrative or how it helps achieve large/regional development or security or policy objectives.

It is expected that USAID's logo will be adequately visible and that USAID will be mentioned, acknowledged, and credited across all outreach and communication efforts. However, in a context where there can be hundreds of donors, projects, NGOs, agencies, platforms, etc. how will we know if that will be enough to ensure that audiences know what is USAID? What we mean is that it is very possible that if we ask a random beneficiary "what is USAID" they might respond "it is an American charity", or "It is a European NGO", etc. For this reason, aspects of messaging might be designed with a view to explain to beneficiaries that USAID is a US Government Agency, funded by US taxpayers, with an investment portfolio with X dollars in the country, in sectors ABC, etc.

Communications Materials

Guidelines: This section covers what materials, communications products or tools will be used to explain or market the activity to beneficiaries, such as training materials, posters, pamphlets, public service announcements, billboards, websites (note: websites to be created by an activity require prior USAID approval), e-invitations, or other emails sent to group lists, or any other communications channels you have in mind.

The modern media and communication landscape is increasingly digital, diverse, and competitive. As a result, audiences tend to limit their attention to highly attractive, engaging, and professional-looking content. For this reason, it is important to create or acquire high-quality, original, and compelling content and distribute it on modern platforms. In addition to this, most donors/NGOs/agencies/projects tend to use the same type of content (photos, videos, text) that all look and feel the same, which makes it hard for audiences to tell USAID apart from other organizations.

To ensure that communication tools meet USAID's standards and expectations, please consider the text below for this activity. Feel free to adapt, remove, or add items as needed.

<u>Between 100 and 200 photographs per year that illustrate, document, or are evocative of the project's work, objectives, and results.</u>

- *These photos should be created by professional photographers selected in coordination with USAID. Ideally, the photographers should be trained and/or experienced documentary photographers or photojournalists with publishing experience with international news outlets or are associated with reputable photography agencies.*
- *The photos will be acquired through 4 to 6 different field-based assignments to avoid that they are all depicting the same thing.*
- *Photography will be created along outreach and communication principles promoted by USAID. As such they will focus on how people are concretely benefitting from the project. The location of photography should be the everyday places where people live, work, study, etc. Therefore, photo submissions will avoid images of workshops, training, conferences, roundtables, official events, meetings, speeches, etc.*
- *The photography will follow the guidance presented in the USAID Video and Photography Shooting Guide*
- *A USAID Standard Release Form will be filled and signed by every person appearing in the photos delivered to USAID.*

<u>Between 1 and 4 short videos per year.</u>

- *Each video will have two versions. The first one will be between 30-60 seconds and the other one, about 3 minutes.*
- *Videos will be produced by a professional media or PR company with a portfolio that includes content created with international organizations and donor agencies. The videos will be created to explain to a wide public what the project is doing and highlight its work and achievements.*
- *The videos will focus on documenting how people are concretely benefitting from the activity. The location of video production will be the everyday places where people live, work, study, etc. Therefore, video submissions will not include workshops, official events, training, conferences, roundtables, meetings, speeches, etc.*

<u>Photo-Stories</u>

- *At least 2 digital publication packages per year for USAID's publication platforms (Medium, Exposure, or Storytelling Hub). Each package will include one gallery of professional photographs acquired as per the guidelines detailed under the "photography" section. These photographs can be counted against the annual 100 to 200 photos per year requirement as detailed above. The package will also include text with a target length of 600-800 words.*

Opportunities and challenges

Describe the communication opportunities that you will use for your communication and outreach efforts. Please be specific with regards to the area where the project will be implemented. This can include, for example, deep social media penetration, excellent press relations, a safe environment with good infrastructure, a legacy or history of project recognition that helps beneficiaries associate the USAID logo with positive development outcomes, good relations with local government, etc.

Do the same with constraints/challenges and explain how you will address them.. For example, in a context where there is insecurity or an acute COVID-19 outbreak, how will you access the field to document your activities with photos or video? If most of your training is online through Zoom, Webex, Google Meet, etc. then how will you ensure adequate marking and branding?

Promotion of the activity among host country citizens
Guidelines: Please include a brief description of your overall approach to outreach efforts: what will the focus be, what media (online, regional or national, print or TV, or radio) you will primarily engage, etc. – and only then discuss specifics as suggested below. Please note the creation of activity logos is not permitted.

Please specifically describe the following:

- *What key anticipated milestones or opportunities the activity will use to generate awareness about the activity (or a specific intervention). Such milestones may be linked to specific points in time, such as the beginning or the end of an initiative, or an opportunity to showcase various publications. These may include launching the activity, announcing research findings, publishing reports or studies, highlighting success stories, featuring beneficiaries as spokespeople, showcasing before-and-after photographs, marketing agricultural products or locally produced crafts or goods, securing endorsements from ministries or local organizations, promoting final or interim reports, communicating activity impact/overall results, etc.*

You may consider conveying this information via a table such as the one that follows. If you wish, you may include a marking column and move it to the Marking section below.

Communication Product or Tool, Event or Milestone	**Start/End Date**	**Frequency**	**Audience**	**Dissemination mechanisms**
Activity Launch and Close-Out Events	*November 1, 2014 -September 2017*	*Twice*	*NGO Community, local government, USAID target audiences in the host country*	*Local media*
Activity Fact Sheet and Brochure	*December 1, 2014*	*Revised twice a year*	*Government, USAID, USAID target host country audiences*	*Given to beneficiaries, other groups at meetings and events, included in material packages for all events*
Community Launch Ceremonies	*March 1, 2015*	*80 grants across the region*	*Local community, local government, media, community members*	*Local press invited to each, press release prepared and disseminated*
Success Stories	*December 1, 2015*	*At least 2 per year*	*NGO community, government counterparts*	*Translated into local languages and sent to local media, included in information packages for relevant training and other events*
T-shirts to promote the activity (500)	*January 1, 2015*	*Annually*	*USAID target audiences in the host country*	*Disseminated at all public events*

PSAs on programmatic issues (5)	*October 2014*	*One for each country*	*Mothers with children under 5*	*Disseminated through TV channels in each country*
Leaflets on health issues (50,000)	*June 2015*	*Annually*	*Mothers with children under 5*	*Disseminated at activity events*
Banners, Folders, Pins, and Other Products	*January 1, 2015*	*Ordered as necessary*	*USAID target audiences in the host country*	*Disseminated at all public events*

Conveying the Message "From the American people" through Public Communications
Guidelines: Please indicate how the activity will incorporate the message, "This assistance is from the American people" in communications and materials directed to beneficiaries as well as to other host country audiences, or provide an explanation if this message is not appropriate or possible.

At each public event, including *(please include appropriate examples such as conferences, seminars, training events, and other events)*, USAID branding will be appropriately displayed and the support from the American people will be verbally acknowledged in language laid out in the accompanying Marking Plan. In addition, (*implementing partners*) will ensure that all staff can speak about the activity and explain USAID and the American peoples' role in the process.

Please be sure to add your additional ideas about effective communications. Will you develop videos? Host roadshows? Pursue a weekly radio show? There is not a predetermined right answer here, just be sure to think through what will make your activity's communications most effective.

The activity will use the USAID Identity in all public communications. Additionally, all publications will include the following note in the relevant language:

All public printed, video and audio materials will also include a disclaimer (text included in the accompanying Marking Plan) to identify parties responsible for publication contents. USAID reserves the right to request a pre-production review of USAID-funded public communications materials.

Design of Publicity Materials and the Use of the USAID Identity:

For all printed matter, including publications, official and/or public activity communications, banners and other signs, and promotional products developed to increase the visibility of the activity among its target audiences, the activity will use guidance laid out in the USAID Graphic Standards Manual. This includes the use of the USAID Identity, color scheme, design, and typeface for any outreach materials.

The activity will submit all public communications materials to the AOR for preproduction review for branding and content before costs are incurred or designs are finalized. All costs associated with branding and marking are included in the overall activity budget.

Please note that newspaper or other media ads recruiting staff or administrative announcements for grants/tenders should not include the USAID logo. Rather, they can reference the USAID-funded activity. Also, activity personnel business cards should not include the USAID logo.

Acknowledgment of Other Organizations

Guidance: Please explain how you will acknowledge governmental partners and other cooperating organizations or partners, including those (if any) listed in the Marking Plan. It is perfectly acceptable and often encouraged to "co-brand" interventions with host country ministries or other organizations.

Will there be any direct involvement from a host-country government ministry or other organization? If yes, please indicate which one/ones. Are there any other partners whose logo or identity the recipient will use on program materials and related communications? Please specify how these organizations will be acknowledged.

Other program partners *(please identify who they are/might be)* will be mentioned in written documents that are related directly to them, and their logos will be displayed during events in which they are participating (*please adjust this sentence as appropriate*). USAID policy is that all programs, projects, activities, public communications, and commodities, partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's or any other third party's identity or logo. USAID reserves the right to require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that cooperating country government's identity be larger and more prominent if circumstances warrant; any such requirement will be on a case-by-case basis depending on the audience, program goals, and materials produced.

Coordination with USAID on Outreach and Communications
The activity will clear any press releases, media events, and media interviews with USAID (COR and DOC in the relevant country office). *Note, Mission communications guidance requests notification on and materials related to events that will include press and/or USAID senior participation up to 4 weeks before any public event.*

In the event of changed circumstances for implementation of this Branding Implementation Plan, (*implementing organization*) will submit to USAID via the COR a request to modify this plan and/or other related documents, such as the Marking Plan.

Marking Plan

With reference to ADS 320.3.3 and 2 CFR 700, below is the required Marking Plan.

The table below outlines the types of materials and activities that may be produced under the USAID *[Name]* Project. Any materials and activities that are not anticipated below, but are produced under the initiative, will also be subject to branding guidelines and AOR approval, as appropriate.

All materials, activities, and deliverables marked with the USAID logo for the [Name] Project will follow design guidance for color, type, and layout in the USAID Graphic Standards Manual and Partner Co-Branding Guide as related to equipment, reports, studies, events, and public communication (including printed products, audio, visual, and electronic materials), etc. The USAID logo will be used for programmatic correspondence. The recipient's letterhead will be used for administrative correspondence and will not have the USAID logo. Business cards will not show the USAID logo but may use text: USAID Recipient.

Please provide graphic examples of visual marking of materials, activities, and deliverables using the USAID logo and project name in situations of co-branding and no-branding, in both English and French.

There are two criteria used to determine when the disclaimer provision must be used:

- *As per 2 FR 700.16(c) (1) Studies, reports, publications, Web sites, and all informational and promotional products not authored, reviewed, or edited by USAID;*
- *As per the discretion of the AOR and Recipient's consideration of a specific situation.*

The provision is as follows in English and French:

This study/report/Website (specify) is made possible by the support of the American People through the United States Agency for International Development (USAID). The contents of this (specify) are the sole responsibility of (name of organization) and do not necessarily reflect the views of USAID or the United States Government.

Cette étude / Ce rapport / Ce site Web (préciser) est possible grâce au soutien du peuple américain par l'intermédiaire de l'Agence des États-Unis pour le Développement International (USAID). Le contenu de ce (préciser) est la responsabilité exclusive (nom de l'organisation) et ne reflète pas nécessairement les points de vue de l'USAID ou du gouvernement des États-Unis.

Please note the creation of activity logos is not permitted.

Category/Material	Type of Marking	Visual, Verbal, Textual	Disclaimer
Administrative			
Program-related stationery products	*The USAID logo will be used.*	*Visual Textual*	*NA*
Contract Deliverables: documents, publications, studies, reports, papers, technical assistance consultant reports	*Follow guidelines for exclusive marking. Use specific language for deliverables when submitted to USAID for review.*	*Visual Textual*	*NA*
Program Communication			
Technical reports, publications, documents, studies	*The USAID logo will appear on the cover; the design follows guidelines for exclusive branding unless co-branding is acceptable or an exemption is provided for no branding.*	*Visual Textual*	*Consider Disclaimer*
Training materials, manuals, and sessions	*The USAID logo will appear on the cover of documents and verbal branding will be used at training sessions; design follows guidelines for exclusive branding unless co-branding or an exception for no marking is indicated.*	*Visual, Textual, Verbal*	*Consider Disclaimer for Visual & Textual*
Audiovisual: Video, CDs-ROM, Animated Infographics	*The USAID logo will be printed on CD labels, splash screen/menus, and packaging; design follows guidelines for*	*Visual*	

	exclusive branding unless co-branding or an exemption is indicated for no marking.		
PowerPoint presentations	*The USAID logo is required as per the USAID presentation template; design follows guidelines for the exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated. Templates available at usaid.gov/branding/resources*	*Visual*	
Posters, banners, exhibition booth signs, event signage	*The USAID logo will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.*	*Visual*	
Program public awareness, advocacy, and behavior change materials and activities	*The USAID logo will appear on each material based on the purpose and type of material, target audience, and how to be used. Design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.*	*Visual, Textual or Verbal*	
Web portal and social media platforms (Facebook, Twitter, Flickr, blogs, others)	*Follow guidelines in ADS 558 for appropriate branding and marking.*	*Visual Textual*	
Program Communication			
Photographs, Infographics, Illustrations	*The USAID logo or "USAID" in-text will appear on the material; design follows guidelines for exclusive branding unless co-branding or an exemption for no branding is indicated.*	*Visual Textual*	*Consider Disclaimer on Infographics*
Collateral, print information material (i.e., success stories, fact sheets, articles, feature stories, others)	*The USAID logo will appear on printed materials; the design follows guidelines for exclusive branding*	*Visual Textual*	*Consider Disclaimer*
Commodities and Equipment			
Items	*The USAID logo will appear on items; exclusive branding unless co-branding is acceptable or an exemption for no branding is indicated.*	*Visual*	

Exceptions to Marking Requirements

Presumptive exceptions should be outlined in this marking plan - please fill the table below. Exceptions should also be requested if/when a situation arises and evaluated on a case-by-case basis by the Agreement Officer's Representative (AOR) and Agreement Officer (AO).

The following exceptions summarize USAID's usual, non-emergency practices in not marking certain communication materials. The AO, in consultation with the Activity Manager/AOR, has the authority to determine that marking in accordance with the ADS Chapter 320 is not appropriate:

- *Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is inherent.*
- *Diminish the credibility of audits, reports, analyses, studies, or policy recommendations.*
- *Undercut host-country government ownership.*
- *Impair the functionality of an item, such as sterilized equipment or spare parts.*
- *Incur substantial costs or be impractical*
- *Offend local cultural or social norms*
- *Conflict with international law*
- *Deter achievement of program goals*

Category/Material for Exception	Explanation/ADS 320 Reference	Text, Visual, Audio, etc.
Administrative		
Program Communication		
Institutional Communication		
Commodities/Equipment		

Other		

ATTACHMENT C - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at [ADS 303maa Standard Provisions for U.S. Nongovernmental Organizations] and [ADS 303mab Standard Provisions for Non-U.S. Nongovernmental Organizations]. The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

Please note that the resulting award will include all standard provisions (both mandatory and required as applicable) in full text.

2024 Interim Standard Provisions for Non-U.S. Nongovernmental Organization

M1. ALLOWABLE COSTS (AUGUST 2024)

M2. ACCOUNTING, RECORD RETENTION AND ACCESS, AND AUDITS (AUGUST 2024)

M3. AMENDMENT OF AWARD, REVISION OF BUDGET AND PROGRAM PLANS (AUGUST 2024)

M4. NOTICES (JUNE 2012)

M5. PROCUREMENT POLICIES (AUGUST 2024)

M6. USAID ELIGIBILITY RULES FOR PROCUREMENT OF COMMODITIES AND SERVICES (MAY 2020)

M7. TITLE TO AND USE OF PROPERTY (AUGUST 2024)

M8. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND DATA RIGHTS (JUNE 2012)

M9. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (DECEMBER 2014)

M10. AWARD SUSPENSION AND TERMINATION (AUGUST 2024)

M11. RECIPIENT AND EMPLOYEE CONDUCT (OCTOBER 2023)

M12. DEBARMENT AND SUSPENSION (JUNE 2012)

M13. DISPUTES AND APPEALS (DECEMBER 2022)

M14. PREVENTING TRANSACTIONS WITH, OR THE PROVISION OF RESOURCES OR SUPPORT TO, SANCTIONED GROUPS AND INDIVIDUALS (MAY 2020)

M15. TRAFFICKING IN PERSONS (AUGUST 2024)

M16. VOLUNTARY POPULATION PLANNING ACTIVITIES - MANDATORY REQUIREMENTS (MAY 2006)

M17. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2024)

M18. NONDISCRIMINATION (AUGUST 2024)

M19. USAID DISABILITY POLICY - ASSISTANCE (JUNE 2012)
M20. LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2023)
M21. USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE (JULY 2014)
M22. ENHANCEMENT OF GRANTEE EMPLOYEE WHISTLEBLOWER PROTECTIONS (AUGUST 2024)
M23. SUBMISSION OF DATASETS TO THE DEVELOPMENT DATA LIBRARY (OCTOBER 2014)
M24. PROHIBITION ON REQUIRING CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS (MAY 2017)
M25. SAFEGUARDING AGAINST EXPLOITATION, SEXUAL ABUSE, CHILD ABUSE, AND CHILD NEGLECT (OCTOBER 2023)
M26. MANDATORY DISCLOSURES (AUGUST 2024)
M27. NONDISCRIMINATION AGAINST BENEFICIARIES (NOVEMBER 2016)
M28. CONFLICT OF INTEREST (AUGUST 2024)
M29. PROHIBITION ON CERTAIN TELECOMMUNICATION AND VIDEO SURVEILLANCE EQUIPMENT OR SERVICES (AUGUST 2024)
M30. EXCHANGE VISITORS VISA REQUIREMENTS (DECEMBER 2022)
M31. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (AUGUST 2024)
M32. OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT (OCTOBER 2023)
M33. SYSTEM FOR AWARD MANAGEMENT (SAM.GOV) AND UNIQUE ENTITY IDENTIFIER (UEI) REQUIREMENTS (AUGUST 2024)

2024 Interim

MANDATORY STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS 5

M1. APPLICABILITY OF 2 CFR 200 and 2 CFR 700 (AUGUST 2024) 5
M2. INELIGIBLE COUNTRIES (MAY 1986) 5
M3. NONDISCRIMINATION (AUGUST 2024) 5
M4. AMENDMENT OF AWARD (JUNE 2012) 6
M5. NOTICES (JUNE 2012) 6
M6. SUBAWARDS AND CONTRACTS (AUGUST 2024) 6
M7. OMB APPROVAL UNDER THE PAPERWORK REDUCTION ACT (OCTOBER 2023) 7
M8. USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (MAY 2020) 8
M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (AUGUST 2024) 9
M10. DRUG-FREE WORKPLACE (AUGUST 2024) 10
M11. EQUAL PARTICIPATION BY FAITH-BASED ORGANIZATIONS (JUNE 2024) 10

M12. PREVENTING TRANSACTIONS WITH, OR THE PROVISION OF RESOURCES OR SUPPORT TO, SANCTIONED GROUPS AND INDIVIDUALS (MAY 2020) 12

M13. MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (DECEMBER 2014) 13

M14. REGULATIONS GOVERNING EMPLOYEES (OCTOBER 2023) 15

M15. CONVERSION OF UNITED STATES DOLLARS TO LOCAL CURRENCY (NOVEMBER 1985) 16

M16. USE OF POUCH FACILITIES (AUGUST 1992) 17

M17. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014) 18

M18. OCEAN SHIPMENT OF GOODS (JUNE 2012) 20

M19. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006) 21

M20. TRAFFICKING IN PERSONS (AUGUST 2024) 21

M21. SUBMISSIONS TO THE DEVELOPMENT EXPERIENCE CLEARINGHOUSE AND PUBLICATIONS (JUNE 2012) 27

M22. LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2023) 28

M23. USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE (JULY 2014) 29

M24. ENHANCEMENT OF RECIPIENT EMPLOYEE WHISTLEBLOWER PROTECTIONS (AUGUST 2024) 31

M25. SUBMISSION OF DATASETS TO THE DEVELOPMENT DATA LIBRARY (OCTOBER 2014) 32

M26. PROHIBITION ON REQUIRING CERTAIN INTERNAL CONFIDENTIALITY AGREEMENTS OR STATEMENTS (MAY 2017) 34

M27. SAFEGUARDING AGAINST EXPLOITATION, SEXUAL ABUSE, CHILD ABUSE, AND CHILD NEGLECT (OCTOBER 2023) 35

M28. MANDATORY DISCLOSURES (AUGUST 2024) 39

M29. NONDISCRIMINATION AGAINST BENEFICIARIES (November 2016) 39

M30. CONFLICT OF INTEREST (AUGUST 2024) 40

M31. PROHIBITION ON CERTAIN TELECOMMUNICATION AND VIDEO SURVEILLANCE EQUIPMENT OR SERVICES (AUGUST 2024) 41

M32. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2022) 41

M33. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (AUGUST 2024) 42

M34. EXCHANGE VISITORS VISA REQUIREMENTS (DECEMBER 2022) 44

M35. SYSTEM FOR AWARD MANAGEMENT (SAM.GOV) AND UNIQUE ENTITY IDENTIFIER (UEI) REQUIREMENTS (AUGUST 2024) 46

Below are certain Mandatory Provisions from [ADS 303maa Standard Provisions for U.S. Nongovernmental Organizations] in full text to emphasize their importance:

M12. PREVENTING TRANSACTIONS WITH, OR THE PROVISION OF RESOURCES OR SUPPORT TO, SANCTIONED GROUPS AND INDIVIDUALS (MAY 2020)

a. In carrying out activities under this award, except as authorized by a license issued by the Office of Foreign Assets Control (OFAC) of the U.S. Department of Treasury, the recipient will not engage in transactions with, or provide resources or support to, any individual or entity that is subject to sanctions administered by OFAC or the United Nations (UN), including any individual or entity that is included on the Specially Designated Nationals and Blocked Persons List maintained by OFAC (https://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx) or on the UN Security Council consolidated list (https://www.un.org/securitycouncil/content/un-sc-consolidated-list).

b. Any violation of the above will be grounds for unilateral termination of the agreement by USAID

c. The Recipient must include this provision in all subawards and contracts issued under this award.

[END OF PROVISION]

M20. TRAFFICKING IN PERSONS (August 2024)

(a) The recipient, its employees, contractors at any tier, subrecipients under this award, and subrecipient and contractor employees must not engage in:

(1) Severe forms of trafficking in persons during the period of this award;

(2) Procurement of a commercial sex act during the period of performance of this award;

(3) Use of forced labor in the performance of this award; or

(4) Acts that directly support or advance trafficking in persons, including the following acts:

(i) Destroying, concealing, removing, confiscating, or otherwise denying an employee access to that employee's identity or immigration documents;

(ii) Failing to provide return transportation or pay for return transportation costs to an employee from a country outside the United States to the country from which the employee was recruited upon the end of employment if requested by the employee, unless:

(A) exempted from the requirement to provide or pay for such return transportation by USAID under this award; or

(B) the employee is a victim of human trafficking seeking victim services or legal redress in the country of employment or a witness in a human trafficking enforcement action;

(iii) Soliciting a person for the purpose of employment, or offering employment, by means of materially false or fraudulent pretenses, representations, or promises regarding that employment;

(iv) Charging recruited employees a placement or recruitment fee; or

(v) Providing or arranging housing that fails to meet the host country housing and safety standards.

(b) USAID may terminate this award, without penalty, or take any remedial actions authorized by 22 U.S.C. 7104b(c), if the recipient under this award:

(1) Is determined to have violated a prohibition in paragraph (a); or

(2) Has an employee that is determined to have violated a prohibition in paragraph (a) through conduct that is either:

(i) Associated with the performance under this award; or

(ii) Imputed to the recipient or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, "OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Nonprocurement)," as implemented by USAID at 2 CFR 780.

(c) USAID's right to unilaterally terminate this award as described in paragraph (b)(1) implements the requirements of 22 U.S.C. chapter 78, and (2) is in addition to all other remedies for noncompliance that are available to USAID under this award.

(d) The recipient must immediately notify the Bureau for Management, Office of Management Policy, Budget, and Performance, Responsibility, Safeguarding, and Compliance Division (M/MPBP/RSC) at disclosures@usaid.gov, the AO, and the USAID Office of Inspector General immediately of any information it receives from any source that alleges credible information that the recipient, any subrecipient, contractor, or subcontractor of the recipient, or any agent of the recipient or of such a subrecipient, contractor, or subcontractor, has engaged in conduct described in paragraph (a). The recipient must fully cooperate with any Federal agencies responsible for audits, investigations, or corrective actions relating to trafficking in persons.

(e) If the estimated value of services required to be performed under the award outside the United States exceeds $500,000, the recipient must certify annually that:

(1) The recipient has implemented a plan to prevent the activities described in paragraph (a) of this provision, and is in compliance with this plan;

(2) The recipient has implemented procedures to prevent any activities described in paragraph (a) of this provision and to monitor, detect, and terminate any subrecipient, contractor, subcontractor, or employee of the recipient engaging in any activities described in paragraph (a) of this provision; and

(3) To the best of the recipient's knowledge, neither the recipient, nor any subrecipient, contractor, or subcontractor of the recipient or any agent of the recipient or of such a subrecipient, contractor, or subcontractor, is engaged in any of the activities described in paragraph (a) of this provision.

(f) Any plan or procedures implemented pursuant to paragraph (e) must be appropriate to the size and complexity of the award and to the nature and scope of the activities, including the number of non-United States citizens expected to be employed. The compliance plan must include, at a minimum, the following:

(1) An awareness program to inform recipient employees about the U.S. Government's policy prohibiting trafficking-related activities described in paragraph (a), the activities prohibited, and the actions that will be taken against the employee for violations. Additional information about Trafficking in Persons and examples of awareness programs can be found at the website for the Department of State's Office to Monitor and Combat Trafficking in Persons at http://www.state.gov/j/tip/.

(2) A reporting process for employees to report, without fear of retaliation, activity inconsistent with the policy prohibiting trafficking in persons.

(3) A recruitment and wage plan that only permits the use of recruitment companies with trained employees, prohibits charging of recruitment fees to the employees

or potential employees, and ensures that wages meet applicable host-country legal requirements or explains any variance.

(4) A housing plan, if the recipient, subrecipient, contractor, or subcontractor intends to provide or arrange housing, that ensures that the housing meets any host-country housing and safety standards.

(5) Procedures to prevent agents, subrecipients, contractors, or subcontractors at any tier and at any dollar value from engaging in trafficking in persons, including activities in paragraph (a) of this provision, and to monitor, detect, and terminate any agents, subawards, or subrecipient, contractor, or subcontractor employees that have engaged in such activities.

(g) The recipient must provide a copy of the plan to the AO upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace.

(h) The AO may direct the recipient to take specific steps to abate an alleged violation or enforce the requirements of a compliance plan.

(i) For purposes of this provision:

(1) "*Abuse or threatened abuse of law or legal process*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means the use or threatened use of a law or legal process, whether administrative, civil, or criminal, in any manner or for any purpose for which the law was not designed, in order to exert pressure on another person to cause that person to take some action or refrain from taking some action.

(2) "*Coercion*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means:

(i) Threats of serious harm to or physical restraint against any person;

(ii) Any scheme, plan, or pattern intended to cause a person to believe that failure to perform an act would result in serious harm to or physical restraint against any person; or

(iii) The abuse or threatened abuse of the legal process.

(3) "*Commercial sex act*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means any sex act on account of which anything of value is given to or received by any person.

(4) "*Debt bondage*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means the status or condition of a debtor arising from a pledge by the debtor of his or her personal services or of those of a person under his or her control as a security for debt, if the value of those services as reasonably assessed is not applied toward the liquidation of the debt or the length and nature of those

services are not respectively limited and defined.

(5) "*Employee*" means either:
(i) an individual employed by the recipient or subrecipient who is engaged in the performance of the project or program under this award; or
(ii) another person engaged in the performance of the project or program under this award and not compensated by the recipient including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing requirements.

(6) "*Involuntary servitude*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), includes a condition of servitude induced by means of:

(i) Any scheme, plan, or pattern intended to cause a person to believe that, if the person did not enter into or continue in such condition, that person or another person would suffer serious harm or physical restraint; or

(ii) The abuse or threatened abuse of the legal process.

(7) "*Recruitment Fee*" means fees of any type, including charges, costs, assessments, or other financial obligations, that are associated with the recruiting process, regardless of the time, manner, or location of imposition or collection of the fee.

(i) Recruitment fees include, but are not limited to, the following fees (when they are associated with the recruiting process) for:

(A) Advertising;

(B) Obtaining permanent or temporary labor certification, including any associated fees;

(C) Processing applications and petitions;

(D) Acquiring visas, including any associated fees;

(E) Acquiring photographs and identity or immigration documents, such as passports, including any associated fees;

(F) Accessing the job opportunity, including required medical examinations and immunizations; background, reference, and security clearance checks and examinations; and additional certifications;

(G) An employer's recruiters, agents or attorneys, or other notary or legal fees;

(H) Language interpretation or translation, arranging for or accompanying on travel, or providing other advice to employees or potential employees;

(I) Government-mandated fees, such as border crossing fees, levies, or worker welfare fund;

(J) Transportation and subsistence costs:

(1) While in transit, including, but not limited to, airfare or costs of other modes of transportation, terminal fees, and travel taxes associated with travel from the

country of origin to the country of performance and the return journey upon the end of employment; and

(2) From the airport or disembarkation point to the worksite;

(i) Security deposits, bonds, and insurance; and

(ii) Equipment charges.

(i) A recruitment fee, as described in the introductory text of this definition, is a recruitment fee, regardless of whether the payment is:

(A) Paid in property or money;

(B) Deducted from wages;

(C) Paid back in wage or benefit concessions;

(D) Paid back as a kickback, bribe, in-kind payment, free labor, tip, or tribute; or

(E) Collected by an employer or a third party, whether licensed or unlicensed, including, but not limited to:

(1) Agents;

(2) Labor brokers;

(3) Recruiters;

(4) Staffing firms (including private employment and placement firms);

(5) Subsidiaries/affiliates of the employer;

(6) Any agent or employee of such entities; and

(7) Subcontractors at all tiers.

(8) "*Severe forms of trafficking in persons*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means:

(i) Sex trafficking in which a commercial sex act is induced by force, fraud, or coercion or in which the person induced to perform such act has not attained 18 years of age; or

(ii) The recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage or slavery.

(9) "*Sex trafficking*," as defined at section 103 of the TVPA, as amended (22 U.S.C. 7102), means the recruitment, harboring, transportation, provision, obtaining, patronizing, or soliciting of a person for the purpose of a commercial sex act.

(10) Terms not defined in this provision have the same meaning as provided in 2 CFR part 200, subpart A.

(j) The recipient must include in all subawards the requirements of paragraph (a) of this award term, this paragraph (j), and a notification requirement to the recipient similar to that described in paragraph (d). The recipient must forward such notifications as required in paragraph (d).

[END OF PROVISION]

M27. SAFEGUARDING AGAINST EXPLOITATION, SEXUAL ABUSE, CHILD ABUSE, AND CHILD NEGLECT (OCTOBER 2023)

(a) Definitions for the purposes of this provision.

“Agent” means any individual, including a director, an officer, or an independent contractor, authorized to act on behalf of an organization.

“Child” means a person younger than 18 years of age.
“Child abuse” means emotional, physical, sexual, or any other ill-treatment carried out against a child by an adult.

“Child neglect” means a failure to provide for a child's basic needs in the absence of the child's parent or guardian when the care of the child is associated with the award activities.

“Emotional child abuse or ill-treatment” means injury to the psychological capacity or emotional stability of the child caused by acts, threats of acts, or coercive tactics.

“Employee” means an individual who is engaged in the performance of this award as a direct employee, consultant, or volunteer of the recipient or any subrecipient.

“Exploitation” constitutes any actual or attempted abuse of a position of vulnerability, differential power, or trust, including for the purposes of profiting monetarily, socially, or politically. When carried out for a sexual purpose this constitutes sexual exploitation.

“Physical child abuse” means acts or failures to act resulting in injury (not necessarily visible) or unnecessary or unjustified pain or suffering without causing injury, harm, or risk of harm to a child’s health or welfare, or death.

“Sexual abuse” constitutes any actual or threatened physical intrusion of a sexual nature toward another person whether by force or under unequal or coercive conditions. When carried out against a child by an adult, such conduct is considered sexual abuse even in the absence of force or unequal or coercive conditions.

(b) Requirements. In the performance of this award, the recipient must have and implement a set of publicly available standards, policies, or procedures to prevent, detect, address, and respond to allegations of exploitation, sexual abuse, child abuse, and child neglect that:

(1) Prohibit employees, agents, interns, or any other person provided access or contact with beneficiaries, from engaging in any exploitation, sexual abuse, child abuse, and child neglect of any person during the period of performance, supporting or advancing these actions, or intentionally ignoring or failing to act upon allegations of these actions;

(2) Are consistent with the Inter-Agency Standing Committee's Six Core Principles Relating to Sexual Exploitation and Abuse, as amended, available at https://psea.interagencystandingcommittee.org/update/iasc-six-core-principles and the Keeping Children Safe Standards, available at https://www.keepingchildrensafe.global/accountability/;

(3) Require reporting of suspicions or concerns related to violations of the prohibitions in paragraph (1) to the recipient;

(4) Require a "survivor-centered approach" for responding to alleged violations of the prohibitions. Such an approach must ensure the survivor's dignity, experiences, considerations, needs, and resiliencies are placed at the center of the process;

(5) When a child is involved, require a "best interest of the child determination" for responding to alleged violations of the prohibitions. This determination considers the best possible outcome for a vulnerable child who has been exposed to violence, abuse, exploitation, or neglect;

(6) Include remedies for violations;

(7) Monitor subrecipients, employees, agents, interns, or any other person provided access or contact with beneficiaries;

(8) Details the actions that may be taken against subrecipients, employees, agents, interns, or any other person provided access or contact under the award who commit exploitation, sexual abuse, child abuse, and child neglect of any person or who fail to take reasonable steps to prevent it; and

(9) Provide transparency on hiring, screening, and employment practices, including on rehiring or transfer and referencing for subsequent employers.

(c) Compliance Plan. For awards exceeding $500,000, the recipient must develop, implement, and maintain a compliance plan, either in conjunction with or separate from the Trafficking in Persons Compliance Plan, that details risk analysis and mitigation measures that will be implemented during the period of performance of the award to prevent and address exploitation, sexual abuse, child abuse, and child neglect of any person, consistent with the requirements in paragraph (b) of this provision.

(1) The recipient's compliance plan must be appropriate to the size and complexity of the award and to the nature and scope of the activities, including the particular risks presented by the operating context. The plan must include, at a minimum, the following:

(i) Reasonable measures to reduce the risk of exploitation, sexual abuse, child abuse, and child neglect. Where implementation of projects under this award may involve children, this includes limiting unsupervised interactions with children and complying with applicable laws, regulations, or customs regarding harmful image-generating activities of children;

(ii) An awareness program to inform employees, agents, interns, or any other person provided access or contact with beneficiaries about the requirements of this provision, including the activities prohibited, the action that will be taken in response to violations, and the mechanism(s) for reporting allegations;

(iii) A description of how beneficiaries and local community members:

A. Are made aware of the prohibited activities,

B. How they may report allegations, and

C. How (A) and (B) are carried out in a manner that is inclusive, culturally appropriate, and sensitive to the context;

(iv) Safe, accessible, and publicly available reporting mechanism(s) that may be integrated with any existing or similar such mechanisms, for anyone to confidentially report exploitation, sexual abuse, child abuse, and child neglect, with appropriate safeguards to protect whistle-blowers and survivors, including express protection against retaliation for reporting, and documented procedures for protecting personally identifiable information (PII) from unauthorized access and disclosure; and

(v) Appropriate measures to protect survivors of or witnesses to activities prohibited in paragraph (b)(1) of this provision and not prevent or hinder cooperating fully with U.S. Government authorities.

(2) The recipient must provide a copy of the compliance plan to the Agreement Officer upon request

(d) Notification.

(1) The recipient must immediately inform, in writing, the Bureau for Management, Office of Management Policy, Budget, and Performance, Responsibility, Safeguarding, and Compliance Division (M/MPBP/RSC) at disclosures@usaid.gov, with a copy to the Agreement Officer, and the USAID Office of Inspector General (OIG) whenever the recipient receives credible information from any source that alleges the recipient, subrecipient, employee, agent, intern, or any other person provided access or contact with beneficiaries under the award has engaged in activities prohibited in paragraph (b)(1) of this provision; and

(2) As soon as practicable, the recipient must provide in writing, as specified above: (i) additional information on any actions planned or taken in response to the allegation; and (ii) any actions planned or taken to assess, address, or mitigate factors that contributed to the incident.

(3) The Agreement Officer authorizes M/MPBP/RSC to correspond with the recipient for further information relating to the notification.

(4) In providing any notifications under this subsection, the recipient should not share PII, unless specifically requested by the Agency or USAID OIG.

(e) Remedies. In addition to other remedies available to the U.S. Government, the recipient's failure to comply with the requirements of paragraphs (b), (c), and (d) of this provision may also result in the Agency initiating suspension or debarment proceedings.

(f) Subrecipients. The recipient must insert the terms of this provision, including this paragraph (f), in all subawards except to require subrecipients to notify the recipient. The recipient must forward such notifications as required in paragraph (d).

[END OF PROVISION]

M28. MANDATORY DISCLOSURES (AUGUST 2024)

(a) Consistent with **2 CFR §200.113**, applicants,recipients, and subrecipients of a Federal award must promptly disclose whenever, in connection with the award (including any activities or subawards), it has credible evidence of any violation of Federal criminal law involving fraud, conflict of interest, bribery, or gratuity violations found in Title 18 of the United States Code or a violation of the civil False Claims Act (31 U.S.C. 3729-3733). Applicant and recipient disclosures must be made in writing to the USAID Office of Inspector General (OIG), with a copy to the cognizant Agreement Officer. Subrecipient and contractor disclosures must be made in writing to the USAID OIG, with a copy to the prime recipient (pass-through entity).

(b) Recipients and subrecipients are also required to report matters related to recipient integrity and performance in accordance with the Standard Provision "Award Term and Condition for Recipient Integrity and Performance Matters (AUGUST 2024)."

(c) Failure to make required disclosures can result in any of the remedies described in 2 CFR §200.339 Remedies for noncompliance, including suspension or debarment (See 2 CFR 180, 2 CFR 780 and 31 U.S.C. 3321).

(d) The recipient must include this mandatory disclosure requirement in all subawards and contracts under this award.

[END OF PROVISION]

M31. PROHIBITION ON CERTAIN TELECOMMUNICATION AND VIDEO SURVEILLANCE EQUIPMENT OR SERVICES (AUGUST 2024)

(a) In accordance with the cost principles in 2 CFR § 200.471, obligating or expending costs for covered telecommunications and video surveillance equipment or services as described in 2 CFR § 200.216 are unallowable. Recipients and subrecipients are prohibited from using award funds, including direct and indirect costs, cost share and program income, for such equipment or services.

(b) Except as provided by paragraph (c), the recipient or subrecipient understands and will comply with the prohibition on certain telecommunication and video surveillance equipment or services. The recipient affirms the understanding of this prohibition by accepting this award and by submitting payment requests and financial reports, as applicable.

(c) This provision implements temporary waivers granted to USAID under Section 889(d)(2) that allow the recipient to use award funds for costs incurred on or after October 1, 2022, through September 30, 2028, for covered telecommunications and video surveillance equipment or services as described in 2 CFR § 200.216, only if the recipient has determined that there is no available alternate eligible source for such equipment or services.

(d) After September 30, 2028, in accordance with 2 CFR § 200.471 costs for all covered telecommunications and video surveillance equipment or services as described in 2 CFR § 200.216 will be unallowable.

(e) The recipient must include this provision in all subawards and contracts issued under this award.

[END OF PROVISION]

2024 Interim REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1.NEGOTIATED INDIRECT COST RATES - PREDETERMINED (August 2024)
		RAA2.NEGOTIATED INDIRECT COST RATES – NONPROFIT PROVISIONAL & FINAL (AUGUST 2024)
		RAA3.NEGOTIATED INDIRECT COST RATE – FOR-PROFIT PROVISIONAL & FINAL (AUGUST 2024)
		RAA4. INDIRECT COSTS – DE MINIMIS RATE (AUGUST 2024)
		RAA5. Reserved
		RAA6. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA7. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
		RAA8. CARE OF LABORATORY ANIMALS (MARCH 2004)
		RAA9.TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (AUGUST 2024)

		RAA10. COST SHARING (August 2024)
		RAA11. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
		RAA12. INVESTMENT PROMOTION (NOVEMBER 2003)
		RAA13. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)
		RAA14. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA15. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA16. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA17. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
		RAA18. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
		RAA19. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
		RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA23. RESERVED
		RAA24.REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (AUGUST 2024)
		RAA25. PATENT REPORTING PROCEDURES (NOVEMBER 2020)
		RAA26. ACCESS TO USAID FACILITIES AND USAID’S INFORMATION SYSTEMS (AUGUST 2013)
		RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2022)
		RAA28. Rserved
		RAA29. RESERVED

		RAA30. PROGRAM INCOME (AUGUST 2024)
		RAA31. NEVER CONTRACT WITH THE ENEMY (AUGUST 2024)

2024 INTERIM REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (AUGUST 2024)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (AUGUST 2024)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATES PROVISIONAL & FINAL (AUGUST 2024)
		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (AUGUST 2024)
TBD		RAA5. INDIRECT COSTS – DE MINIMIS RATE (AUGUST 2024)
TBD		RAA6. RESERVED RAA7. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (AUGUST 2024)
		RAA8. SUBAWARDS (AUGUST 2024)
		RAA9. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
		RAA10. OCEAN SHIPMENT OF GOODS (JUNE 2012)
		RAA11. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2022)

		RAA12. PATENT RIGHTS (DECEMBER 2022)
		RAA13. RESERVED
		RAA14. INVESTMENT PROMOTION (DECEMBER 2022)
		RAA15. COST SHARING (AUGUST 2024)
		RAA16. PROGRAM INCOME (AUGUST 2024)
		RAA17. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
		RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
		RAA19. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
		RAA20. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (June2012)
		RAA21. ELIGIBILITY OF SUBRECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
		RAA22. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
		RAA23.VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
		RAA24. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
		RAA25. RAA25. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
		RAA26.PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)

		RAA27. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
		RAA28. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2022)
		RAA29. RESERVED
		RAA 230. RESERVED
		RAA31 NEVER CONTRACT WITH ENEMY (NOVEMBER 2020)

[END OF STANDARD PROVISIONS]

ATTACHMENT D - SAM QUICK START GUIDE FOR NEW FOREIGN REGISTRATION

SAM
SYSTEM FOR AWARD MANAGEMENT

Quick Start Guide For New Foreign Registrations

Helpful Information

SAM is the official **free, government-operated website – there** is NO charge to register or maintain your entity registration record in SAM.

What is an Entity?

In SAM, your company / business / organization is referred to as an "Entity." You register your entity to do business with the U.S. Federal government by completing the registration process in SAM.

What do I need to get started?

1. **DUNS Number:** You need a Data Universal Numbering System (DUNS) number to register your entity in SAM. DUNS numbers are unique for each physical location you want to register.
2. **NATO Commercial and Government Entity (NCAGE) Code:** Foreign entities must obtain a NCAGE code for each DUNS number they plan to register in SAM before you start the registration process.

How do I get a DUNS number?

If you do not have one, you can request a DUNS number for free to do business with the U.S. Federal government by visiting Dun & Bradstreet (D&B) at http://fedgov.dnb.com/webform

It takes up to 5 business days to obtain an international DUNS number.

How do I get an NCAGE code?

For instructions on obtaining a NCAGE, visit: http://www.dlis.dla.mil/Forms/Form_AC135.asp Make sure the name and address information you provide to get your NCAGE code is the same as what you used to get your DUNS number. It takes up to 3 business days to obtain a NCAGE code.

What about a Taxpayer Identification Number (TIN)?

You only need a TIN if your entity pays U.S. taxes. If you are a foreign entity that does not pay taxes in the U.S., do not enter a number in the TIN field during registration.

Steps for Registering

1. Type www.sam.gov in your Internet browser address bar.
2. Create a SAM Individual User Account (be sure to validate your e-mail address to activate the user account), then Login.
3. Select "Register New Entity" under "Register/Update Entity" on your "My SAM" page.
4. Select your type of Entity, most likely "Business or Organization." Definitions are in the Content Glossary on the right side of the page.
5. Tell the system why you are registering in SAM. This determines what information you have to provide.
   - Are you interested in bidding on Federal contracts? If you say "Yes," you will complete all four sections in SAM.
   - Are you just interested in becoming eligible to apply for grants or other Federal financial assistance? If you say "No" to the contracts question and "Yes" to the grants question, you will only have to complete the grant-related information.

6. Complete your registration. On each page, required information that you must provide has a red asterisk (*) next to the name of the field. Here are a few helpful hints:
   - On the Business Information page, you will create a Marketing Partner Identification Number (MPIN). Write your MPIN down. It is used as a password in other government systems.
   - If you do not pay U.S. taxes, do not enter a TIN or select a TIN type. Leave those fields blank.
   - Only use the NCAGE code you got for your DUNS number. Remember, the name and address information must match on the DUNS and NCAGE records.
   - Make sure to select "Foreign Owned and Located" on the General Information page.
   - As a foreign entity, you do not need to provide Electronic Funds Transfer (EFT) banking information on the Financial Information page. If you do choose to provide this electronic banking information, it must be for a U.S. bank; SAM cannot accept foreign banking information. The remittance name and address are the only mandatory information for you on this page.
   - In the "Points of Contact" section, list the names of people in your organization who know about this registration in SAM and why you want to do business with the U.S. Federal government. These are called "Points of Contact" or POCs.

7. Make sure to hit [Submit] after your final review. You will get a Congratulations message on the screen. If you do not see this message, you did not submit your registration. What happens next?
   - Once approved by the IRS (if you entered a TIN) and the Commercial and Government Entity (CAGE) system, you will get an email from SAM.gov when your entity registration is active.

Please give yourself plenty of time before your contract or grant application deadline. Allow up to 10 business days after you submit before your registration is active in SAM, then an additional 24 hours for other systems such as Grants.gov to recognize your information.

For help registering in SAM, contact the supporting Federal Service Desk (FSD) at https://www.fsd.gov/

IAE

ATTACHMENT E - SAM QUICK START GUIDE FOR NEW GRANTEE REGISTRATION

SAM
SYSTEM FOR AWARD MANAGEMENT

Quick Start Guide For New Grantee Registration

Helpful Information

What is an Entity?

In SAM, your company / business / organization is referred to as an "Entity." You register your entity to do business with the U.S. Federal government by completing the registration process in SAM.

SAM is the **official free, government-operated website** – there is NO charge to register or maintain your entity registration record in SAM.

What do I need to get started?

DUNS Number

You need a Data Universal Numbering System (DUNS) number to register your entity in SAM. DUNS numbers are unique for each physical location you are registering.

If you do not have one, you can request a DUNS number for <u>**free**</u> to do business with the U.S. Federal government by visiting Dun & Bradstreet (D&B) at http://fedgov.dnb.com/webform

It takes no more than 1-2 business days to obtain a DUNS number.

Taxpayer Identification Number

You need your entity's Taxpayer ID Number (TIN) and taxpayer name (as it appears on your most recent tax return). Foreign entities that do not pay employees within the U.S. do not need to provide a TIN. Your TIN is usually your Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS).

Sole proprietors may use their Social Security Number (SSN) assigned by the Social Security Administration (SSA) as their TIN, but are strongly encouraged to obtain a free EIN from the IRS by visiting: http://www.irs.gov/Businesses/Small-Businesses-&-Self-Employed/How-to-Apply-for-an-EIN

Allow approximately two weeks before your new EIN is ready for use when registering in SAM.

Steps for Registering

1. Type www.sam.gov in your Internet browser address bar.
2. Create a SAM Individual User Account (be sure to validate your e-mail address), then Login.
3. Select "Register New Entity" under "Register/Update Entity" on your "My SAM" page.
4. Select your type of Entity. Definitions are in the Glossary to the right.
5. If you are registering in SAM.gov so you can apply for a Federal financial assistance opportunity on Grants.gov, and are <u>not</u> interested in pursuing Federal contracts, you will have a much shorter registration path. To chose this "grants only" path:
   - Select "No" to "Do you wish to bid on contracts?"
   - Select "Yes" to "Do you want to be eligible for grants and other federal assistance?"
6. Complete the "Core Data" pages:
   - Validate your DUNS information.
   - Enter Business Information (TIN, etc.) This page is also where you create your Marketing Partner Identification Number (MPIN). Write the MPIN down as it will serve as a password for you in other government systems. You will need it for your Grants.gov registration.
   - Enter your CAGE code if you have one, but remember, CAGE codes are tied to DUNS numbers and cannot be reused. Don't worry if you don't have a CAGE code for the DUNS number you are registering: one will be assigned to you after your registration is submitted. Foreign registrants must enter their NCAGE code before proceeding.
   - Enter General Information (business types, organization structure, etc.) about your entity.
   - Provide your entity's Financial Information, i.e. U.S. bank Electronic Funds Transfer (EFT) information for Federal government payment purposes. Foreign entities do not need to provide EFT information.
   - Answer the Executive Compensation questions.
   - Answer the Proceedings Details questions.
7. Complete the "Points of Contact" pages:
   - Your Electronic Business POC is integral to your Grants.gov registration and application process. Your Government POC will be used by other government systems, such as CAGE, when they contact you. List someone with direct knowledge of this registration for both of those POCs.
8. Make sure to hit [Submit] after your final review. You will get a *Congratulations* message on the screen. If you do not see this message, you have not submitted your registration.
   - There are two external validation steps, one with the IRS and another with CAGE, after you submit. You will receive an email from SAM.gov when your registration is active.

Please give yourself plenty of time before your grant application submission deadline. Allow up to 7-10 business days <u>after you submit</u> before your registration is active in SAM, then an additional 24 hours for Grants.gov to recognize your information.

For help registering in SAM, contact the supporting Federal Service Desk (FSD) at https://www.fsd.gov/

IAE

ATTACHMENT F - PAST PERFORMANCE INFORMATION

1. Award Number:
2. Contractor/Recipient (Name and Address):
3. Type of Award:
4. Complexity of Work: Difficult ___________Routine ________
5. Description, location, and relevancy of work:
6. Dollar Value of Work : _____________________ **Status: Active _________Completed __________**
7. Date of Award: _______________ **Award Completion Date (including extensions): ______________________**
8. Type and Extent of Subawards:
9. Name, Address, Telephone Number, and E-mail Address of the Awarding Contracting/Agreement Officer and/or the Contracting/Agreement Officer ’s Representative (and other references as applicable):

ATTACHMENT G - ILLUSTRATIVE BUDGET TEMPLATE

Below is an illustrative budget format:

	Summary Budget					
Cost Elements	**Year 1**	**Year 2**	**Year 3**	**Year 4**	**Year 5**	**Total**
1. Salaries and Wages						
2. Fringe Benefits						
3.Travel, Transportation, and Per Diem						
4. Equipment						
5. Supplies						
6. subawardees /or subcontractor						
7. Other Direct Costs						
8.Total Direct Costs (sum line 1 to						
Line 7)						
9. Indirect Costs						
TOTAL ACTIVITY BUDGET						

ATTACHMENT H-2024 INTERIM CERTIFICATIONS,ASSURANCES,REPRESENTATIONS AND OTHER STATEMENTS OF RECIPIENT

2024 Interim Certifications, Assurances, Representations, and

Other Statements of the Recipient

Partial Revision Date: 08/07/2024

Responsible Office: M/OAA/P

NOTE: When these Certifications, Assurances, Representations, and Other Statements of Recipient are used for cooperative agreements, the term “Grant” means “Cooperative Agreement.”

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination 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 assistance award 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 disability 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 (22 CFR 227)

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.

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."

3. 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 (see Part II below) or Covered Participants (see Part III below).

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.

4. Certification Regarding Support to Terrorists

(1) The undersigned represents, to the best of its knowledge, that:

Except as otherwise disclosed to the Agreement Officer in writing and included with this application, the applicant did not, within the previous three years, knowingly engage in transactions with, or provide material support or resources to, any individual or entity who was, at the time, subject to sanctions administered by the Office of Foreign Assets Control (OFAC) within the U.S. Department of Treasury pursuant to the Global Terrorism Sanctions Regulations (31 CFR Part 594), and the Foreign Terrorist Organizations Sanctions Regulations (31 CFR Part 597), or sanctions established by the United Nations Security Council, collectively, "U.S. or U.N. sanctions." Note: USAID intends to retain the information disclosed to the Agreement Officer pursuant to this paragraph in any award file and use it in determining whether to provide the applicant with an assistance award. USAID will not make such information available publicly unless required by law.

(2) The representation in paragraph (1) does not apply to:

(a) Transactions entered into or material support and resources provided pursuant to an OFAC license;

(b) The furnishing of USAID funds, or USAID-financed commodities or other assistance, to the ultimate beneficiaries of USAID-funded humanitarian or development assistance, such as the recipients of food, non-food items, medical care, micro-enterprise loans or shelter, unless the applicant knew or had reason to believe that one or more of these beneficiaries was subject to U.S. or U.N. terrorism-related sanctions; or

(c) The procurement of goods and/or services by the Recipient acquired in the ordinary course of business through contract or purchase, such as utilities, rents, office supplies, or gasoline, unless the applicant knew, or had reason to believe, that a vendor or supplier of such goods and services was subject to U.S. or U.N. sanctions.

This certification includes express terms and conditions of the award, and any violation of it will be grounds for unilateral termination of the agreement by USAID. This certification does not preclude any other remedy available to USAID.

(3) For purpose 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) “Entity” means a partnership, association, corporation, or other organization, group, or subgroup.

5. 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 applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision “Trafficking in Persons” and is in compliance with that plan;

2. 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, subrecipient, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and

3. To the best of the representative’s knowledge, neither the applicant/recipient, nor any employee, contractor, or subrecipient of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subrecipient, is engaged in any of the activities described in section (a) the Mandatory Provision “Trafficking in Persons.”

6. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination 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 which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in 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/MPBP Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) <u>Applicant Representation</u>:

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 – 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 non-Federal 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).

Part VI – 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. Unique Entity Identifier/SAM (2 CFR 25**)

Applicants must obtain a Unique Entity Identifier (UEI) and be fully registered in the System for Award Management (SAM.gov) before submitting an application for USAID's consideration. See the "System for Award Management (SAM.gov) and Unique Entity Identifier (UEI) Requirements" standard provision for more information.

USAID may exempt certain applicants and recipients from the UEI and SAM.gov registration requirements, in accordance with 2 CFR 25.110.

An applicant must include its UEI in each application it submits to USAID, unless an exception applies.

Applicant's UEI: ________________________________

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 award, and not to assistance provided by the recipient (i.e., a subaward) to a subrecipient in support of the subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

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

$______________________________

(b) Equipment. If the recipient plans to purchase equipment that requires the approval of the Agreement Officer, indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Equipment for which the Agreement Officer's approval to purchase is required is any article of tangible personal property charged directly to the award.

Equipment means tangible personal property (including information technology systems) having a useful life of more than one year, and a per-unit acquisition cost that equals or exceeds the lesser of the capitalization level established by the recipient for financial statement purposes, or of $10,000.

i) *General purpose equipment* means equipment that is not limited to research, medical, scientific, or other technical activities. Examples include office equipment and furnishings, modular offices, telephone networks, information technology equipment and systems, air conditioning equipment, reproduction and printing equipment, and motor vehicles.

ii) *Information technology systems* means computing devices, ancillary equipment, software, firmware, and related procedures, services (including support services), and resources.

iii) *Special purpose equipment* means equipment that is used only for research, medical, scientific, or other similar technical activities. Examples of special purpose equipment include microscopes, x-ray machines, surgical instruments, spectrometers, and associated software.

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.

[END OF NOFO #72068524RFA00014_ Amendment#1]