



# USAID | EAST AFRICA

FROM THE AMERICAN PEOPLE

**Issuance Date:** August 6, 2008  
**RFA Questions due date:** August 14, 2008  
**Closing Date:** September 8, 2008  
**Closing Time:** 4 P.M. Kenyan time  
**Place of performance:** Kinshasa, DRC

**Subject: Request for Applications (RFA) Number USAID-623-EA-08-070-RFA  
Sexual and Gender Based Violence Program**

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for Sexual and Gender Based Violence Program for Ituri District and Maniema province in The Democratic Republic of Congo (DRC) as described in Section A of this RFA. USAID anticipates awarding a three (3) year, US \$ 5 million Cooperative Agreement (CA) subject to availability of funds, resulting from this RFA process. USAID reserves the right to fund any or none of the applications submitted.

USAID/EA is seeking applications from qualified U.S. and non U.S. organizations and institutions, in the form of partnerships or consortia that include DRC organizations, interested in providing the services described in this solicitation. This is full and open competition, under which any type of organization, large or small, commercial (for profit) firms, faith-based, and non-profit organizations in partnerships or consortia from geographical code 935, are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible applications to achieve program objectives.

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

The Recipient will be responsible for ensuring achievement of the overall program objectives which are, a) to enable individuals affected by sexual and gender-based violence to resume their roles within family and community and b), to strengthen community responsiveness to sexual and gender-based violence to protect individuals against future incidents particularly at the local level.

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

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

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements

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

If an organization decides to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications.

Applications received after the closing time may not be considered except as described in section A of the RFA. The text of any application, less any essential annexes, must not exceed 20 pages and the text on its own must be entirely responsive to all aspects of the RFA.

The preferred method of distribution of USAID RFA's and submission/receipt of applications is electronically via Grants.gov, which provides a source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from that Web Site. The address is <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-472 or via e-mail at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

Receipt of this RFA through Grants.gov must be confirmed by electronic or written notification to the Agreement Officer. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

If you decide to submit an application, it should be received electronically via Grants.gov, or submitted directly to USAID by e-mail by the closing date and time indicated at the top of this cover letter. Applications must remain valid for a minimum of 120 days. Faxed applications and emailed applications will not be considered; however, applications may be modified by written, faxed or emailed notice, if that notice is received by the time specified for receipt of applications.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant whose application offers the greatest value. Please note however that, Technical proposals will be significantly more important than the Cost proposals.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the U.S Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award:

Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense-application preparation costs are not reimbursable.

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

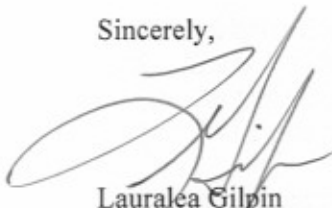
- (a) Selection Criteria;
- (b) Grant Application Format;
- (c) Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to: Lauralea Gilpin, via the following email address: [lgilpin@usaid.gov](mailto:lgilpin@usaid.gov) with a copy to [mmwadime@usaid.gov](mailto:mmwadime@usaid.gov). Prospective applicants are strongly encouraged to submit their questions or request clarifications of any part of the RFA not later than August 14, 2008, in order to receive a USAID response in form of an RFA amendment (listing all questions received and USAID answers) on or before August 22, 2008.

The extension of the RFA's closing date stated on the cover letter is not contemplated. USAID/EA will not entertain any request for information either on phone or in writing before or after the dates indicated above.

Applicants should retain for their records, one copy of all enclosures which accompany their application.

Sincerely,



Lauralea Gilpin  
Regional Agreement Officer  
USAID/EA/RAAO

Signed copy in file.

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## **SECTION A - GRANT APPLICATION FORMAT**

### **I. PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 2 of the cover letter accompanying this RFA.

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

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the Grants.gov opportunity.

### **II TECHNICAL APPLICATION FORMAT**

#### **A.II.1 Introduction**

The content of the technical application will be the most important element for evaluating the applications. The technical application will become the basis for the program description of the award. Accordingly, the technical portion should provide a clear statement of what is to be accomplished, how, by whom and on what schedule. It must be specific, complete, and concise and shall not exceed the specified number of pages.

Where consortiums are involved, the applicant should convey a clear picture of the role of each consortium member and describe how the expertise of each organization will be harnessed by the applicant to achieve the desired results. Particular attention should be given to the role of local collaborators, demonstrating how they will be integrated into the overall organizational, management and administrative systems of the project.

In accordance with USAID's policy that gender roles are important considerations for the design and execution of USAID programs, the applicant will analyze gender implications and establish a gender strategy as part of the application. Applicants should review "Women in Development", a USAID Policy Document available on the USAID web site, [http://www.usaid.gov/our\\_work/cross-cutting\\_programs/wid/](http://www.usaid.gov/our_work/cross-cutting_programs/wid/) for guidance on how to structure the gender strategy.

The applicant should designate key personnel and include the intended base location for key personnel. In addition, applicants should present a staffing plan and management structure that stipulates the personnel that implement the proposed work plan. The applicant must include as an attachment statements signed by each person proposed as key personnel confirming their present intention to serve in the stated position and their present availability to serve for the term of the Agreement. Resumes or curriculum vitae in English for each key

personnel shall be included as attachments. Specific details for the content of the technical portion of the application are described below.

Applicants should submit their technical applications according to the RFA instructions. The structure of the application format is presented below.

### **Technical Application Format**

- A. Cover sheet (Not more than 1 page)
- B. Executive Summary (Not more than 2 pages)
- C. Overview of the Applicant (Not more than 3 pages)
- D. Program Description (Not more than 14 pages)

#### **E. Attachments:**

- E.1 Signed personnel statements;
- E.2 Resumes or CVs;
- E.3 Maps (if any)
- E.4 Letter of support from host governments;
- E.4 Past performance references;
- E.5 Other attachments.

### **A. Cover Letter**

Provide the name and contact information for the lead organization. Include if any, names of the organizations in collaboration or consortia.

### **B. Executive Summary**

The executive summary should be an overview of what the applicant believes best represents the key features of its proposed program. This should include a brief description of the overall program strategic approach, a description of the intended national and collaborators, expected results as linked to the Performance Management Plan (PMP), level of funding requested and the proposed cost-share to be provided, and the names and roles of consortia partners.

### **C. Overview of the Applicant and Past Performance**

The purpose of this section is to provide USAID with an understanding of the applicant's capacity to implement the program. When providing the following information, please note that reviewers may not be familiar with the capabilities of each applicant.

- Present a brief overview of the Applicant and consortium partners mission, goals, and objectives, including how they relate to the proposed program.
- Summarize the relevant experience the Applicant and consortium partners have in relation to the proposed program including work in the host country or other countries.
- Discuss the comparative advantage of the leader and consortium partners to carry out this work, such as prior experience closely related to this program.
- Discuss the teaming arrangements of the consortia and the specific roles of each partner in the program.
- Applicants must submit a list of contracts, grants or cooperative agreements involving similar or related programs over the past five years. Reference information shall include addresses, current telephone numbers, current points of contact, award numbers if available, and brief descriptions of the work

performed. USAID may contact the named references and use the past performance data, with other information, to determine the applicant's responsibility. In evaluating past performance, USAID may contact not only references provided by the Applicant, but also other sources of information. Past performance references may be provided as an attachment to the application and will not count against page limits.

#### **D. Program Description**

Specify clearly program objectives and goals and how these will be achieved. USAID/DRC's program objectives to respond to and prevent SGBV is a critical element of USAID's overall goal of protecting vulnerable populations from physical violence and abuse and assisting the DRC in its stabilization and gradual transition from a post-conflict country to a developing one. USAID/DRC plans to collaborate with the Victims of Torture Fund on this Request for Applications for a three-year cooperative agreement to respond to and prevent SGBV in Ituri District and Maniema province. USAID uses the Victims of Torture Fund (VTF) to assist the treatment, healing and rehabilitation of individuals, families and community members who suffer from the physical and psychological effects of torture. In addition, the Applicant should note that the VTF considers mental health interventions which improve the well being and functioning of affected populations to be an essential component of treatment programs for "torture. The applicant will be expected to achieve the following results:

1. Increased access to quality services that improve functioning for individuals affected by sexual and gender-based violence. Such services should include medical, psychological, social, legal and economic interventions that address the problems that SGBV survivors encounter when they seek to reintegrate into their families and communities.
2. Improved quality of interventions for individuals and communities affected by sexual and gender-based violence. It is anticipated that a primary intervention to improve the quality of service delivery will be through capacity building of local service providers. Specific components will depend on individual and organizational needs, but should include interventions to improve the competencies of local organizations and service providers in the delivery of specialized services, financial and program management, and advocacy.
3. Improved awareness of the different types and consequences of sexual and gender-based violence (SGBV). It is anticipated that a primary intervention to build community awareness will be through the use of communications strategies that to reduce community tolerance of SGBV, particularly at the local level. Community awareness will be through the use of communications strategies that to reduce community tolerance of SGBV, particularly at the local level.

#### **III Environmental Compliance**

i) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

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

No activity funded under the resultant Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation")

- ii) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the RFA should therefore include as part of their Application their approach to achieving environmental compliance and management, to include:
  - b) The respondent's approach to developing and implementing an IEE or EA or environmental review process for the grant fund or an M& M Plan.
  - c) The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
  - d) The respondent's illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

### **III. COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

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

- A. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);
  - The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.
  - The breakdown of all costs according to each partner organization involved in the program.
  - The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
  - The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
  - Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
  - Your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).
- B. A current Negotiated Indirect Cost Rate Agreement;
- C. Required certifications and representations (as attached):
- D. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA)



from their cognizant agency shall also submit the following information:

1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID.
  2. Projected budget, cash flow and organizational chart;
  3. A copy of the organization's accounting manual.
- E. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
  2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
  4. Has a satisfactory record of integrity and business ethics; and is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- F. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.
- In addition to the aforementioned guidelines, the applicant is requested to take note of the following:
- G. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- H. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- I. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.
- J. Submission of Applications:
- Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
  - Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

K. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

- L. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within the time frame provided for in this solicitation to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

M. Grant Award:

1. Government may award one Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost applications.
2. The Government may award one on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

N. Authority to Obligate the Government:

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

- O. The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.
- P. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign government Delegations to International Conferences" [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [CO/AO/CTO].

#### IV. AWARD REQUIREMENTS

Award resulting from this RFA will be administered in accordance with the provisions in the award document, which cannot be determined until the successful applicant is selected.

- Resulting awards to U.S. non-government organizations will be administered in accordance with chapter 303 of USAID's Automated Directives System (ADS 303), 22 CFR 226, applicable OMB Circulars (i.e., A-21 for universities or A-122 for non-profit organizations, and A-133), and Standard Provisions for Non-Governmental Organizations.
- ADS 303 is available at: [http://www.usaid.gov/pubs/ads/ftpads/303\\_062600.doc](http://www.usaid.gov/pubs/ads/ftpads/303_062600.doc)
- 22 CFR 226 is available at: <http://www.usaid.gov/pubs/ads/cfr22/22cfr226.pdf>
- Applicable OMB Circulars are available at: <http://www.whitehouse.gov/OMB/circulars/index.html>
- Standard Provisions for U.S. Non-Governmental Organizations are available at: <http://www.usaid.gov/pubs/ads/300/30353m1.pdf>
- Resulting awards to non-U.S. nongovernmental organizations will be administered in accordance with ADS-303, applicable OMB Circulars (i.e., A-21 for universities or A-122 for non-profit organizations) or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for Non-U.S. Nongovernmental Organizations.
- Standard Provisions for Non-U.S. Nongovernmental Organizations are available at: <http://www.usaid.gov/pubs/ads/300/303mab.doc>
- Resulting awards to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS (ADS-308), including the Standard Provisions set forth in ADS-308.5.15.

- Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.
- ADS-308 is available at: [http://www.usaid.gov/pubs/ads/300/308\\_060600.ptf](http://www.usaid.gov/pubs/ads/300/308_060600.ptf)
- The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: <http://www.usaid.gov/oig/legal/audauth/rcapguid.pdf>

To assist applicants in preparation of their application under the RFA, the following websites are provided for reference:

ADS-303: <http://www.usaid.gov/pubs/ads/300/303.pdf>

22 CFR 226: [http://www.access.gpo.gov/nara/cfr/waisidx\\_03/22cfr226\\_03.html](http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html)

Applicable OMB Circulars: <http://www.whitehouse.gov/omb/circulars/index.html>

48 CFR 31.2: [http://www.access.gpo.gov/nara/cfr/waisidx\\_05/48cfrv1\\_05.html](http://www.access.gpo.gov/nara/cfr/waisidx_05/48cfrv1_05.html)

Standard Provisions for U.S. Nongovernmental Organizations:

<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

Standard Provisions for Non-U.S. Nongovernmental Organizations:

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

## V. FUNDING, NUMBER OF AWARDS, AND SUBSTANTIAL INVOLVEMENT

1. Funding available: Subject to the availability of funds, the total funding for activities will be \$5 million over three years. USAID anticipates awarding the funds to one Applicant.
2. Substantial Involvement: Cooperative agreements awarded will permit the "substantial involvement" of USAID in certain aspects of the supported program. Specifically, USAID substantial involvement will include :
  - Approval of annual work-plans.
  - Designation of key positions and approval of key personnel.
  - Approval of a monitoring and evaluation plan, with clear benchmarks and indicators, which shows that the Recipient Intermediate Results are being attained, as laid out in a timeframe over the course of the Cooperative Agreement
  - Collaboration and concurrence in any proposed changes in geographic focus.

## SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria stated below:

As stated in the cover letter, applicants are reminded that the main text of any application, not including the Cost proposal and less any essential annexes, must not exceed 20 pages, and the text on its own must be entirely responsive to all aspects of the RFA. The Technical Evaluation Committee will not accept any pages submitted in the text beyond the 20 pages limit OR IN A TEXT THAT IS SMALLER THAN 12 FONT; see "Special Instructions" Section B(ii) below.

### Evaluation Procedures

Applications will be reviewed jointly by USAID Staff in based on full and open competition and in accordance with the following evaluation criteria. Other USAID staff, USG agencies, USAID consultants, and other partners may also be invited to review applications provided that such participation does not create a conflict of interest, and further provided that information contained in the application shall be used only for evaluation purposes and shall not be disclosed outside USAID/DRC. Award(s) will be made to organizations whose applications offer the best value to USAID.

The four evaluation criteria and their respective weight (out of a total of 100 points) are:

(i) **Weighted Technical Criteria**-Proposals will be evaluated based upon the following criteria and earn a possible total of 100 points.

#### 1) Program Description - 40 points

The application shall be evaluated from a technical perspective in terms of:

- Appropriateness of proposed activities to addressing sexual and gender-based violence.
- Approach to identifying need(s) based on assessments or surveys using sound methodology, and the appropriateness of proposed intervention(s) to meeting those needs.
- The extent to which activities target identified SGBV needs and fill gaps in current programs.
- Consultation with targeted communities prior to submission of the application and incorporation of their concerns and needs into the application.
- Level of innovation and creativity in the program design and implementation.
- Strength and realism of the Monitoring and Evaluation plan in measuring results and impact of the program.

#### 2) Past Performance - 25 points

Applicants will also be evaluated based on their institutional capacity and past performance, specifically:

- Demonstrated results in the promotion and support of community-based groups.
- Performance record in the DRC, including relationships with other nongovernmental organizations, UN agencies, government authorities, and target populations.
- Institutional capability and/or performance competence in SGBV activities.
- Contextual knowledge of the DRC, including political, economic, cultural, social, and institutional norms.
- Gender expertise and experience implementing SGBV programs among proposed key personnel.

#### 3) Coordination - 15 points

Applications will be reviewed in terms of the described level of coordination, specifically:



- An overview of coordination in the protection sector and how the proposed activities will complement other initiatives in the DRC.
- A specific description of how the proposed project will ensure coordination of SGBV actors in the field.
- Commitment to internationally accepted processes, guidelines and policies.
- Incorporation of local institutions, organizations or beneficiary groups into the program planning and implementation.

**4) Key Personnel - 20 points**

Key personnel positions for this program are:

1. Chief of Party
2. Senior GBV Technical Advisor.

The offeror should provide resumes/curriculum Vitae for proposed Key Personnel and their roles and responsibilities in the annex. Their qualifications and past performance in similar positions related to this program will be scored. At least three references who can be contacted regarding their performance under similar type activities within the past three years. USAID reserves the right to contact others who may be familiar with recipient organizations performance. USAID will have substantial involvement as indicated in V above to work closely with the key personnel.

**5) Cost Share**

Recipients are encouraged to include a cost share under this program. 25% is considered an acceptable amount and evaluation will reflect favorable on the application.

**(ii) Special Instructions**

**Cost Proposal**

Cost proposals should be prepared separately from the technical proposals and the page limitations for the cost proposals are not included in the 20 page limit for the technical proposal. The cost proposal should identify and describe overall program costs and then identify those which are being proposed for USAID financing and those that are covered by other donors, implementing partners, Cost Share, other USAID projects, etc. The presentation should clearly identify those costs that are to be financed through the award of this cooperative agreement. All cost proposals should be accompanied with a budget narrative for all categories of costs.

Additionally, the budget should identify clearly the following cost components and provide sub-totals for these budget elements to be funded by the Cooperative Agreement:

- Cost-effectiveness: percentage of the overall budget which goes to direct assistance for beneficiaries, and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to USAID/DRC.
- Cost realism: likelihood that the program can be accomplished within the stated budget.
- Delivery costs (including grants management costs, the costs of local staff salaries, transport, communications and operating costs for the applicant's main field office and any proposed regional/field offices)
- Other Direct Costs (including salary, transportation and other support costs for expatriate staff)
- Indirect Costs

**Page Limits**

The technical proposals shall not exceed 20 pages using no less than 12-pitch font size. Not included in this limit are annexes that may contain bio-graphical data of key personnel or past performance data.

Applicants are encouraged to use short/clear narrative and use visual tools to consolidate information. Repetitious proposals will be penalized.

**Totality of Applications**

Applicants must bid on all parts to be accepted for review. Applications of more than one implementing partner will be accepted however, one lead/prime must be clearly identified in the management structure.

**(iii) Selection Procedure**

A Technical Evaluation Committee (TEC) will evaluate the technical portion of all applications in accordance with the criteria set forth above. Negotiations may then be conducted with all Applicants whose submission, after possible further discussion and negotiation, has been deemed to have a reasonable chance of being selected for award. The CA will be awarded to the Applicant whose submission is the most technically responsive.

**(iv) Substantial Involvement**

In accordance with USAID policy and standard procedures related to Cooperative Agreements (CA) and given the nature of this new program, USAID/EA desires to be engaged at the appropriate levels and times to assure the achievement of the two parties' mutual program objectives and meet the defined program requirements.

Consequently, the following are the Substantial Involvement provisions that will be included in the Cooperative Agreement. However, subject to the mutual agreement of both parties, these provisions may be amended to reflect appropriate changes as a consequence of the program's implementation and possible changes in the situation in Somalia.

Subject to possible further refinement following the arrival of the Cooperative Agreement Recipient's Chief of Party, USAID/EA will:

- Designate key personnel positions, and approve the awardee's candidates for those positions and any successors; it is envisaged that the Key Personnel positions will include the Chief of Party and the Technical Advisor, GBV Coordinators and technical Advisors. Considerations should be made for qualified local staff.
- Approve the Recipient's annual work plans, and any significant amendments thereof.
- Approve the Recipient's monitoring and evaluation plans in accordance with USAID's Performance Monitoring Plan.
- Participate in monitoring progress toward the achievement of the Recipient's program objectives.
- Concur in any sub-agreements between the Recipient and another organization intended to serve as a program implementer.
- Review and approve any deviations from standards requirements for "branding" and "marking."

**(v) Reports**

Applicants are advised that periodic performance reports will be required under any resulting grant. Requirements for periodic performance reports are contained in the Schedule of the grant document and supplement the requirements of 22CFR 226.51. Applicants are reminded to budget prudent and adequate resources for completing the required reporting.

The Cooperative Agreement Recipient will submit the following reports to USAID's Cognizant Technical Officer (CTO) with the indicated frequency. The complexity, format, timing, number of copies, etc. of the reports will be determined by the CTO and the CA Recipient's Chief of Party at the outset of implementation.

1. Comprehensive and detailed Annual Work Plans
2. Semi-annual Progress Reports

3. Annual Performance Reports to conform with USAID reporting requirements and the Program Elements' Performance Monitoring Plan as proposed in the "Results" section of the application.
4. Quarterly Financial Reports (in accordance with the CA's standard requirements)
5. Final Report (at the end of the three years plus any extended period)

The Recipient will participate in a post award conference within 30 days after the award of the CA during which timelines and expectations for the above documents will be discussed.

**(vi) Management Approach**

As part of its application, the applicant must submit a detailed Management Approach for USAID's review. The Management Approach should be limited to 3 pages. Management Approaches must, at a minimum, address the following:

- Placement of the program team within the larger organization(s).
- A clear chain of authority on the project/program team, including subawardee staff.
- A clear line of communication and reporting which allows for early identification and proposed resolution of problems by the prime awardee and provision of related information to USAID.
- A clear, regular, and concrete means of communication between program staff in the field and their backstop officers in the headquarters office that functions without creating unnecessary overlap.
- Identification of key personnel, including their technical and managerial roles and responsibilities.

## SECTION C – PROGRAM DESCRIPTION

### A. BACKGROUND

#### Country Context

The Democratic Republic of Congo (DRC) borders nine countries and is approximately the size of the United States east of the Mississippi. It is home to vast natural resources and mineral wealth but it is still one of the poorest countries in the world. Agricultural products such as coffee, palm oil, sugar, tea, and cocoa contribute about 56 percent of GDP. Although the DRC's mining industry is underdeveloped, the country has more than half of the world's cobalt, 30% of all diamonds, and 70% of coltan (a vital ingredient in mobile phones), as well as huge deposits of gold, copper, and various other minerals.

Two recent civil wars greatly reduced the country's economy, government capacity and infrastructure. Nearly 71% of the country's 65 million inhabitants live below the poverty line<sup>1</sup> and there are over 1.1 million internally displaced people in the eastern areas of the country. The DRC's vast size, poorly developed road and communication systems, and fragile stability have contributed to the low quality and small number of basic social services, including health and education, in many areas.

The Democratic Republic of Congo (DRC) has experienced 30 plus years of cumulative neglect of all sectors, except for the military and presidential security forces under the Mobutu and Laurent Kabila dictatorships. Two wars over the past decade and a volatile and unresolved national security situation have left the country in a state of a total disarray, poverty and chaos. During the conflict, the government of the DRC (GDRC) lost administrative control of its territories, mainly in the northern and eastern areas, to foreign armies and Congolese rebels. The productive capacity of the country has succumbed to the combined catastrophic economic decline of the dictatorship and forces of war. According to the World Bank the GNP for the DRC has been declining at an average of 4.4% annually since 1998. The growth rate reported by the Central Bank of the Congo was at -14% in 2000 and per capita income at \$68 per year. It has since climbed up to \$80 per year but it is estimated that it will take until 2060 for the Congolese people to recover their income from 1960. Not a single sector has been spared. Congolese people's physical access to transportation by road or water has been drastically reduced or cut altogether. They have also gradually been losing access to the most basic health, agriculture and education, and other social services. The democratic presidential and provincial elections held at the end of 2006 have provided some hope for improved government spending on social services and increased economic capacity as the situation continues to gradually stabilize. A new constitution has been adopted, leading many to hope that these are the initial steps to stabilizing and rebuilding the government.

The Congolese human rights record remains poor. Security forces were responsible for two-thirds of all unlawful killings in 2007. Armed groups active in Ituri District, North Kivu, South Kivu and Katanga provinces commit frequent human rights abuses. The DRC is rated a Tier 2 Watch list country for trafficking in persons. It is a source country for men; women and children trafficked for forced labor and/or sexual exploitation. Major violations are internal: child soldiering, forced and child labor, prostitution and child prostitution.

Insecurity and increased tensions in Eastern Congo have contributed to worsening humanitarian conditions. Approximately 1.36 million Congolese remain internally displaced persons (IDPs) in the eastern provinces, with another 329,000 as refugees in neighboring countries. Relief agencies estimate more than 533,000 have been newly displaced in North Kivu alone since December 2006. These numbers are decreasing in other areas, however. In Ituri District, more than 844,000 people have returned to their homes since November 2005, leaving approximately 167,000 displaced there. Over the period 2004-2007, approximately 150,000 Congolese refugees have been repatriated from neighboring countries, and 10,000 within the first five months of 2008.

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<sup>1</sup> International Monetary Fund, "Democratic Republic of the Congo: Poverty Reduction Strategy Paper." June 2006.  
<http://www.imf.org/external/pubs/ft/scr/2007/cr07330.pdf>



Years of neglect followed by a decade of conflict have led to a nearly complete collapse of the public health care system. Lack of equipment, trained personnel, adequate facilities, and supplies are among the obstacles preventing access to basic health care across the country. An estimated 80% of what limited care is available is provided by non-governmental organizations. Indicators for health in the DRC are among the worst in the world. Infant and child mortality rates stand at 92 and 148 deaths per 1,000 live births, respectively. HIV/AIDS prevalence among adults stands at 1.3% nationally, which translates to approximately one million people infected -- placing the DRC among the top ten countries in the world in numbers of people living with HIV/AIDS.

#### Overview of Sexual and Gender-based Violence (SGBV) in the DRC

Sexual and gender-based violence (SGBV) has increasingly been recognized as a significant problem in the DRC, encompassing such forms as rape, extreme sexual mutilation and torture, domestic violence, early and forced marriage, female infanticide and abandonment, and abduction and sexual slavery. SGBV refers to any harm perpetrated against a person that results from unequal power relationships determined by culturally defined roles of males and females. This violence is likely to affect women and girls disproportionately because of their subordinate status vis a vis men and boys.

The problem of SGBV in the DRC has come to light as a result of widespread rape and sexual violence associated with military conflict. Accurate figures on the prevalence of SGBV are not available due to lack of reliable data collection and underreporting, since many women do not report rape or other forms of sexual violence, in part due to fear of stigma and abandonment, and also because law enforcement and judicial infrastructure is extremely weak. In the first six months of 2007, there were 4,500 reported cases of rape in South Kivu, according to Yakin Erturk, of the UN Human Rights Council on Violence against Women. An October 2007 report by Medecins Sans Frontieres indicates that since 2003, 50-300 victims per month at MSF-supported facilities in Ituri district have reported sexual assault. Sexual violence against children is high, particularly in Ituri District and Maniema province, where there is also a reported increase in the cases of SGBV committed by civilians.

The rise in media coverage of the brutal nature of sexual violence in Eastern Congo has led many to conclude that incidents of rape are increasing despite a decline in conflict in some areas, such as Ituri District and Maniema. Cases of extreme sexual violence and other atrocities have been increasingly documented in Eastern Congo, where high levels of physical insecurity and population displacement continue. Such cases include gang rapes, mutilation of genitalia, and rape-shooting or rape-stabbing combinations, and other forms of torture, often with family members forced to watch. Because of the brutality of these SGBV acts, rape in Eastern Congo is largely perceived as a weapon of war used to subdue, humiliate and punish local populations. The perpetrators of SGBV in these conflict-affected areas include all armies, militias and gangs implicated in the conflict and operating in Eastern Congo, but also include local civilians.

While most of the recorded attacks have been by the various militias and the FARDC, rape by civilians is reported to be on the rise. Sexual and gender-based violence perpetrated by both members of armed groups and civilians is exacerbated by a general situation of impunity. In a recent report, the UN Human Rights Integrated Office in the DRC (UNHRO) states that despite strengthened laws on sexual violence "law enforcement personnel and magistrates continue to treat rape and sexual violence in general with a marked lack of seriousness. Consequently, men accused of rape are often granted bail or given relatively light sentences and out-of-court settlements of sexual violence cases are widespread."<sup>2</sup> Indeed very few cases are reported to the police, and fewer still result in prosecution.

SGBV is frequently perpetrated against children. Effectively, the rape of a child or an adult is generally seen to be a problem of the survivor (who may well be blamed for it, particularly if she is above the age of 12 or so) and her family. It is not seen as a community issue that requires action to improve the safety of women and girls.

Growing national and international attention to violence against women and children in Eastern Congo has created the misperception that SGBV in the DRC consists primarily of brutal rape as a weapon of war, is isolated to areas where conflict and instability persist, and is perpetrated only by men in uniform. In fact, rape existed in Congo before the Rwandan genocide and the civil wars that followed and often took the form of rape of a girl by a male "admirer" which was then resolved by marriage. The low social status of girls and women in the DRC is likely a contributing factor in the

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<sup>2</sup> Human Rights Monthly Assessment - March 2008, dated 14 May 2008, p. 11.



initial vulnerability of females to aggression and rape and plays a role in the devastating social consequences of stigma and rejection resulting from sexual victimization.

While no official data are available about the prevalence of rape in non-conflict areas, or of domestic violence in the DRC, anecdotal evidence suggests that intimate partner and domestic violence frequently occurs. The legal system provides little protection to women who experience such violence, and support networks or advocacy organizations to address this fundamental gender inequality are minimal at best. This perceived gender inequity and the related violence against girls and women provides a backdrop for the persistence of different forms of SGBV in the DRC. Until the Congolese public begins to recognize the links between girls' and women's low status and the resulting vulnerabilities to violence, efforts to address SGBV will be limited in effectiveness. True prevention efforts must go beyond an emergency response mode and focus on challenging the underlying cultural beliefs and norms that contribute to the continuation of abuses against women and children.

#### USAID Programs in the DRC

The USAID program in the DRC is fully integrated into the U.S. government's diplomatic efforts to foster peace and stability within the DRC and in the region, and complements the \$300 million annual USG contribution to the United Nations Peacekeeping Operation (MONUC) in the DRC. The goal of the USAID program in the DRC is to assist the country in its transition to a sound democracy with a healthier, better educated population benefiting from improved livelihoods. With a bilateral foreign assistance budget expected to surpass \$100 million in FY 2008, USAID has funded programs in conflict mitigation; demobilization, disarmament, and reintegration (DDR); good governance, human rights, social protection, education, food security, livelihoods, and health. The health program budget has increased to more than \$50 million in FY 2008 and includes funding for malaria, TB, family planning/reproductive health, maternal and child health, and HIV/AIDS.

USAID's Office of Foreign Disaster Assistance (OFDA) with an operating budget of \$29 million in FY 2007, continues to fund humanitarian programs in Eastern DRC to assist the displaced. Other USG humanitarian assistance programs brought the level of emergency funding in the DRC to more than \$88 million in FY 2007. USAID also houses the Central Africa Regional Program for the Environment (CARPE), which seeks to reduce the rate of forest degradation and loss of biodiversity through protected area management, improved logging policies and practices, sustainable forest use by local inhabitants, and improved environmental governance. CARPE has an annual operating budget of \$15 million.

USAID/DRC received \$15 million in FY 2007 and \$12.5 million in FY 2008 of supplemental funding, all of which has been dedicated to peace and stability programming in Eastern DRC through DDR activities, support to the current peace process, and a planned \$9 million community-based stabilization program.

USAID resources thus support a wide variety of emergency, transition, and development assistance efforts at both the national and local levels in support of a people-centered development approach that considers the needs, interests, experiences, and knowledge of both men and women, especially those from disadvantaged groups, and supports the DRC's transition.

#### USAID SGBV Programming in the DRC

Since 2002, USAID has been a lead bilateral donor to respond to severe and widespread SGBV in the DRC. USAID/DRC SGBV programming is housed in USAID's Social Protection Portfolio, which includes support for the protection of vulnerable children. Since 2002, with the use of funding from Development Assistance, Displaced Children and Orphans, Victims of Torture, and Trafficking in Persons, USAID has supported interventions to respond to SGBV through care and treatment for survivors and prevention activities. To date, USAID support has assisted close to 100,000 survivors and their families in four provinces.

USAID/DRC's SGBV program aims to improve access to care and treatment services for survivors, fight impunity for perpetrators through support for legal reform, promote community awareness of SGBV, and prevent future acts of violence. This program is complemented by efforts to promote peace and stability in Eastern DRC.

USAID/DRC implements programs in North and South Kivu, Ituri District of Orientale Province, and Maniema Province that provide capacity-building to local NGOs and community-based organizations. Local organizations then identify and deliver services to rape and abuse survivors. USAID also assists hospitals to provide fistula repair services. All programming adheres to the four main protection principles: confidentiality, security, non-discrimination, and treating people with dignity.

#### Provision of Care and Treatment Services for SGBV Survivors

The USAID/DRC supports improved access to essential services for SGBV survivors, including:

- Medical Care—Confidential medical care for SGBV survivors, including 72-hour post-rape post-exposure prophylaxis (PEP), health care provider training, and stronger referral links between health centers, particularly for fistula repair;
- Psychosocial Support—Training of counselors to provide support at “listening houses,” referral of victims who need advanced care, and family mediation and reunification;
- Social and Economic Reintegration—Vocational and literacy training, income generating activities (IGAs), and community discussion groups to reduce stigma against survivors.

#### Promoting Protection through Community Awareness and Mobilization

The USAID/DRC supports community sensitization activities and information campaigns, including:

- Community Education—Education and mobilization of local communities, including traditional leaders and women’s groups, to promote women’s rights, acceptance of rape survivors, and protection of the whole community;
- Information Sharing—Dissemination of information about the availability and importance of services for SGBV survivors and their families.

#### Fighting Impunity through Legal Reforms and Advocacy

USAID/DRC supports national and community advocacy and legal reforms, including:

- Legal reform—Advocacy and technical expertise on key draft laws, including the Law against Sexual and Gender Based Violence, passed in July 2006;
- Legal services—Assistance to NGOs that provide legal services to SGBV survivors who wish to pursue prosecution of perpetrators;
- Promotion of rights—Promotion of human rights and social protection through public awareness, advocacy, and training activities;
- Access to Justice—Mobile courts that improve access to justice for SGBV survivors and other targeted vulnerable groups;
- Support of equity for women—Radio magazine programs, radio soap operas, posters, participatory theater, and other communication approaches that condemn SGBV.

## **B. DETAILED PROGRAM DESCRIPTION**

### **B.1. Goal and Objectives of the Program**

USAID/DRC’s program to respond to and prevent SGBV is a critical element of USAID’s overall goal of protecting vulnerable populations from physical violence and abuse and assisting the DRC in its stabilization and gradual transition from a post-conflict country to a developing one.

USAID/DRC plans to collaborate with the Victims of Torture Fund on this Request for Applications for a three-year, \$5 million cooperative agreement to respond to and prevent SGBV in Ituri District and Maniema province. USAID uses the Victims of Torture Fund (VTF) to assist the treatment, healing and rehabilitation of individuals, families and community members who suffer from the physical and psychological effects of torture. Because monies from the VTF will be used to support this cooperative agreement, the Applicant should give specific attention to the use of rape and SGBV as a tool of war in the DRC and design their interventions that address this issue (although programming is not limited to this type of

response). In addition, the Applicant should note that the VTF considers mental health interventions which improve the well being and functioning of affected populations to be an essential component of treatment programs for “torture-affected” individuals and communities.

As such, USAID/DRC, intends to provide support to a qualified organization, with the capacity to work with and through local organizations and individuals to achieve the following two overall program Objectives:

1. To enable individuals affected by sexual and gender-based violence in Ituri District of Orientale Province and in Maniema Province to resume their roles within family and community; and
2. To strengthen community responsiveness to sexual and gender-based violence to protect individuals against future incidents, particularly at the local level.

Efforts towards achieving these two objectives will be clustered under three specific Results, with each Result requiring an integrated programmatic approach and set of activities.

The three Results are:

4. Increased access to quality services that improve functioning<sup>3</sup> for individuals affected by sexual and gender-based violence. Such services should include medical, psychological, social, legal and economic interventions that address the problems that SGBV survivors encounter when they seek to reintegrate into their families and communities. This can be traced to indicator showing the number of people benefiting from USG-supported social services. Number of women, Men, Vulnerable children, war victims and other targeted vulnerable people
5. Improved quality of interventions for individuals and communities affected by sexual and gender-based violence. It is anticipated that a primary intervention to improve the quality of service delivery will be through capacity building of local service providers. Specific components will depend on individual and organizational needs, but should include interventions to improve the competencies of local organizations and service providers in the delivery of specialized services, financial and program management, and advocacy.
6. Improved awareness of the different types and consequences of sexual and gender-based violence (SGBV). It is anticipated that a primary intervention to build community awareness will be through the use of communications strategies that to reduce community tolerance of SGBV, particularly at the local level.

Preliminary analysis by USAID/DRC suggests that program activities should be focused in Maniema Province and Ituri District of Orientale Province. However, the specific geographic areas selected within these two provinces by the Applicant should be defined by some logical social and/or economic boundaries, as well as by identified physical and mental health needs of SGBV survivors. The geographic reach of activities within these two provinces will depend on improved access to isolated communities, which could change during the course of the project. Focus and demonstrable impact in this program is important to USAID, so the Applicant should carefully consider the size of the population that can be meaningfully reached when selecting geographic areas. In addition, USAID/DRC believes that the program will need to take into account the different socio-cultural contexts in Maniema Province and Ituri District of Orientale Province and design innovative and creative responses.

The Applicant should demonstrate how the project would support and strengthen effective ongoing efforts that support SGBV survivors and their families, and build meaningful partnerships with ongoing programs to ensure that a strong referral system is in place to gain access to different types of specialized services. This will require the Applicant to form partnerships with national and local NGOs and community-based organizations (CBOs), as well as with governmental institutions to deliver services that meet priority needs identified by targeted communities. Partnerships with individuals, researchers, research organizations and universities are encouraged to assess the effectiveness of psychosocial

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<sup>3</sup> In the context of this RFA, ‘function’ refers to the tasks that persons in the affected communities do on a regular (daily or weekly) basis in order to care for themselves, their families and their communities.



interventions. Partnerships with human rights, professional associations and other groups, both private and public, and with community groups will be needed in order to protect individuals against future episodes of sexual and gender-based violence at the local level.

Although service delivery should be focused at the local community, the Applicant will need to develop and maintain working relationships with appropriate national governmental and non-governmental offices in Kinshasa as well as relevant district administrative units, to ensure coordination of activities in the field. In constructing the most effective way to implement this program, above all, the treatment of SGBV survivors and their families is the major aim of this project. The focus should be on improving the quality of and access to services for SGBV survivors in targeted communities within these two provinces, with a focus on improving function for individuals whose function has been reduced due to SGBV and its consequences. Assessment of the effectiveness of interventions should be built into the delivery of services to clients. Assessment findings should then be used as a basis for collaboration with local service providers and organizations to refine interventions and related training programs.

## **B.2. Results, Illustrative Activities, and Illustrative Indicators**

The program has three Results, each suggesting a distinct yet integrated set of activities. The illustrative partners, activities, and indicators listed below are not meant to be prescriptive nor exhaustive but rather to reflect appropriate examples of activities.

**B.2.1. Result 1:** Increased access to services that improve functioning for individuals and communities affected by sexual and gender-based violence. Such services should include medical, psychological, social, legal and economic interventions that address the problems that SGBV survivors encounter when seeking to reintegrate into their families and communities.

To achieve this Result, the program should implement, through local agencies, an integrated service delivery program that meets the expressed needs of SGBV survivors and the communities they live in and include interventions designed to improve the functioning of SGBV survivors and their communities in targeted areas.

**Discussion:** In areas of extreme poverty where access to specialized services for SGBV survivors is a challenge and public services may not be available, many SGBV survivors, particularly minors, frequently find themselves with little to no support, resulting in sustained psychological trauma, economic hardship, separation from husband and other family members, and physical and medical difficulties, including unwanted pregnancy. Survivors of sexual and gender-based violence often need specialized medical and/or psychological assistance to meet their unique needs (with SGBV survivors who are children requiring an even more specific medical and psychological services), but a broader range of interventions are also needed to help improve survivors' ability to reintegrate into their families and communities. In areas where sexual violence has been reported at very high levels, communities may experience a loss of trust and breakdown of community cohesion resulting from insecurity, fear of reprisals, and a culture of impunity that leaves perpetrators unpunished.

Some geographic areas may have existing services relevant to the needs of SGBV survivors. For example, government medical services may already be in place in some areas, and several NGOs and CBOs have programs that target people in need through a number of interventions including targeted medical and psychosocial support for SGBV survivors. However, very often these services may be beyond the reach of individuals living in more geographically isolated communities, particularly in these two provinces. In such cases, access to services needs to be improved, either through better referral systems, training of community workers on the consequences of SGBV and basic counseling skills, such as listening, or through mobile clinics. The combination of strategies will differ depending on the specific community context, needs, and available resources. The Applicant should suggest how the program would access the panoply of ongoing programs in a target area that can address the needs of SGBV survivors, keeping in mind that specific interventions are required to address the unique needs of pregnant survivors and minors.

While many of the needs of individuals and communities can be predicted, or may appear clear with repeated contacts with these communities, such informal data are not sufficient for determining what needs should be addressed by future

programs. Even in those communities already receiving services, a formal preliminary needs assessment should be performed. This should include a qualitative study of how local people perceive the effects of SGBV and their resulting needs, how they prioritize these needs, who are most affected, and their own suggestions about the type and nature of interventions.<sup>4</sup> The results of the qualitative study should be used to design a questionnaire for use in a quantitative assessment in order to measure the level of need for the broader target community. The results of both qualitative and quantitative methods will form a needs assessment of the community, and could be used as a basis for measuring change.

There is a widely held belief that psychosocial interventions should be an essential component of a treatment program for individuals and communities affected by SGBV. SGBV survivors are often ashamed of what has happened to them. Isolated by these experiences, SGBV survivors are frequently fearful of possible consequences or the renewal of their trauma if they speak out. If they decide to seek legal redress, they must publicly accuse the perpetrators. Victimized once, survivors may continue to feel victimized by the system as their stories are examined and challenged.

Yet, the field is challenged by the proliferation and use of approaches and methods without clear evidence of efficacy of interventions; or an understanding of the level of competencies required for such interventions. A study of the impact of services delivered will help refine current service delivery programs and future programs. In response to this RFA, the Applicant shall demonstrate that its field staff, or those of the sub grantees, possesses the skills necessary to conduct both qualitative and quantitative field assessments, as well as connections with academic or other groups with capacity to conduct field-based intervention research.

#### Illustrative Partners:

- National and local NGOs and CBOs who are connected to communities and have the capacity to provide services needed by individuals and communities affected by SGBV;
- Private and public researchers and research organizations including universities, medical schools and hospitals.

#### Illustrative Activities

- 1) In collaboration with local communities, undertake an assessment of the psychosocial, medical, and socio-economic needs of women and girls as a result of rape, women who are raising children born of rape, and the children themselves. The assessment should also explore community attitudes toward SGBV survivors and their children in order to design effective interventions. The number of men, women, children and vulnerable people may be recorded to indicate expected results of the program.
- 2) Based on needs assessment findings, implement an integrated service delivery program to meet needs of SGBV survivors in targeted communities, to include medical care and referral, psychosocial support (including family mediation), socio-economic reintegration, and legal referral, when appropriate and desired.

#### Health:

- Referral to medical care, including consultation, examination, and treatment by trained staff using appropriate protocols, with adequate equipment, supplies, and medicines. Referral to appropriate care should include treatment of injuries caused by rape and sexual violence, treatment and prevention of Sexually Transmitted Infections (STIs) for survivors and their partners, emergency contraception following rape, assessment of mental trauma and counseling for victims and their families, adequate care for women and girls pregnant as a result of rape, and provision of pediatric PEP kits.

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<sup>4</sup> The format for such a study can draw on Participatory Techniques (such as Participatory Rural Appraisal) or a variety of ethnographic methods. In any case, the study should employ qualitative research principles including in-depth interviewing techniques, (such as reducing bias by avoiding leading questions or leading responses) and the use of a variety of methods (triangulation). This study should also include a section identifying those functions that are both important to local people in performing their family and community roles and which have been most affected by SGBV.



- Referral to Voluntary testing and counseling (VCT) (when available) for HIV/AIDS for SGBV survivors, their families and communities. The number of trained service providers to these vulnerable group will also indicate favourable program achievement.
- Referral and transport to appropriate levels of care.

Psychosocial:

- Safe spaces, such as women's empowerment centers and other age-appropriate locations, created or reinforced to provide counseling services to survivors of SGBV.
- Family mediation to foster reintegration of survivors of SGBV into their families and communities.
- Specialized counseling services developed for minors, pregnant girls and women as a result of rape, and their family members.

Socio-Economic:

- Income generating activities that assist SGBV survivors to regain their livelihoods;
- Support for community-based women's groups that combine women's empowerment with income-generating activities;
- Support for CBOs that provide literacy training and vocational activities.

- 3) Assessment of the impact of services delivered on the improved functioning of SGBV survivors. Functional areas will be identified by target communities but could include the ability to perform the physical, social and emotional roles expected of men, women or children in their home communities. Data should be gathered using established data collection methods that are valid and rigorous. To achieve this objective, the program should measure the effectiveness of interventions in terms of improving function.

Indicators (see section on Monitoring and Evaluation for details):

- Percentage of identified SGBV survivors accessing relevant quality specialized services (medical, psychosocial, socio-economic, legal) in selected communities<sup>5</sup>;
- Percent increase in identified survivors who are referred to health facilities and receive medical services within 72 hours;
- Number of survivors referred to other types of services;
- Number of survivors who receive counseling;
- Number of identified survivors who receive family mediation upon request;
- Number of survivors who receive socio-economic assistance or other livelihood and empowerment support;
- Percent of identified survivors who received treatment who achieve significant recovery of their ability to perform their roles within family and community as a result of the intervention;
- Refined roles for professionals and community workers engaged in service delivery, treatment or rehabilitation based on the interventions found to be effective through a research study on impact.

**B.2.2. Result 2:** Improved quality of interventions for individuals and communities affected by sexual and gender-based violence through capacity of local service providers and service delivery organizations. Capacity building components will depend on individual and organizational needs, but should include targeted interventions to improve the competencies of local organizations and service providers in the delivery of specialized services, financial and program management, and prevention/advocacy efforts.

Discussion: It is clear that in many areas local implementing partners could be able to improve and/or expand the delivery of specialized services to SGBV survivors if they have some additional resources and technical assistance. USAID would prefer to support a referral system approach, using the specific strengths of a variety of organizations. Promoting a

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<sup>5</sup> It is expected that the selected implementing partner will reach no less than 10,000 SGBV survivors per year through one or more of the services offered.

referral system of local service providers gives USAID an opportunity to strengthen local and national organizations to deliver essential services to more targeted communities and to leave behind both stronger communities and stronger organizations. Access to ongoing programs can be strengthened through improved systems of referral and coordination of activities among different actors.

While small grants are appropriate, the Applicant should note that USAID/DRC is not interested primarily in a small grants program, but expects that support to local organizations will consist of a relationship of technical and organizational assistance that enables these institutions to deliver quality services to survivors. Partner organizations can include local clinics, general reference hospitals, CBOs, and NGOs. Capacity building should include training and support in the following areas: technical, financial, administrative, monitoring and evaluation, with a focus on the quality of support and an adequate system in place to measure the effectiveness of the support provided.

#### Illustrative Activities

- 1) Reinforce the capacity of local NGOs, CBOs, and medical facilities in service delivery, referral, and project management, through training, workshops, and regularly supervision and follow up.
- 2) Support local clinics, general reference hospitals and other health facilities through training of personnel on appropriate treatment, care, and referral for SGBV cases, in coordination with other SGBV actors.
- 3) Support women-led community-based groups to provide basic psychosocial and socio-economic support to member survivors and refer their members to other appropriate, available services.

#### Illustrative Indicators:

- Number of service delivery organizations strengthened<sup>6</sup>;
- Number of community-based organizations supported;
- Number of service providers and community members trained to identify survivors, provide quality specialized services to SGBV survivors, and refer survivors to other types of available services;
- Percentage of specialized service providers trained who demonstrate increased knowledge and skills as a result of training and assistance received.

**B.2.3. Result 3:** Improved awareness of the different types and consequences of sexual and gender-based violence (SGBV) through the promotion of communications strategies that might reduce community tolerance of SGBV, particularly at the local level.

To achieve this objective the program should 1) promote local discussions and awareness campaigns on the consequences of SGBV, 2) employ specific communications strategies that might effectively diminish community tolerance of SGBV, and 3) promote community responsibility for social protection, particularly at the community level, by involving governmental and non-governmental organizations, as well as professional associations, community leaders and other individuals.

Discussion: Awareness campaigns can play an important role in redressing some of the anguish experienced by SGBV survivors and contributing toward the prevention of SGBV. SGBV survivors and their families are often caught in a web of silence, fearful of the consequence of talking about what they have endured, and reluctant to re-live the horrors of their experience. But breaking the silence can be both therapeutic for the individual and important for society by challenging the root causes of widespread rape and other forms of SGBV. Communication strategies can thus play an important role in redressing some of the anguish experienced by SGBV survivors and contributing toward the prevention of SGBV. Community awareness interventions should seek to reduce stigma and build awareness of community members as to the needs and experiences of SGBV survivors, with the overall aim to shift community norms, increase individual and community ownership and community-held beliefs that they are empowered to act against SGBV.

<sup>6</sup> It is anticipated that the selected implementing partner will support not less than 50 service delivery organizations per year.

In the DRC, SGBV encompasses a range of behaviors and attitudes that condone harmful practices against girls and women and that varies according to the specific community context. Intimate partner violence and child sexual abuse among family members and in communities are reported at high levels. Under this Result, the Applicant should recognize the continuum of SGBV and design communications strategies to address both the acute sexual terrorism (perpetrated by both armed groups and civilians) taking place in the target regions, as well as develop messages to increase community understanding of the different forms of SGBV and the related underlying gender inequalities that perpetuate the cycle of violence against women and girls.

USAID is particularly interested in promoting initiatives at the community level which can protect individuals against future incidents of SGBV. Community awareness-raising efforts should be based on region-specific SGBV manifestations and underlying beliefs that condone those practices. Interventions should also include primary prevention efforts, focused on preventing new cases of abuse from occurring, in order to change those underlying societal norms that support the oppression of women and perpetuate violence against them. Communication strategies can contribute to shifting SGBV from a private matter to one that merits public attention thereby helping to create an environment that is conducive to change. Specifically, community education interventions at the community and individual levels set the stage for changes in attitudes and ultimately behaviors that are more gender-equitable and non-violent. In particular, USAID is interested in expanding activities to engage men in the community to speak out against SGBV and actively support those affected by SGBV. Male role models, in particular community leaders, should be recruited for community advocacy and outreach to improve community reintegration for SGBV survivors.

At an individual level, community education activities can provide information, increase awareness, and shift attitudes about SGBV and help-seeking behaviors. At the community level, these communications approaches can influence the social and political environment, generate dialogue, and spark a gradual shift in beliefs. Challenging the underlying cultural beliefs about gender and violence constitutes "primary prevention." This essential process in bringing about a longer-term and more sustainable alleviation of SGBV can promote a collective understanding that perpetrators are often community members and encourage the community at large to oppose and sanction acts of SGBV.

**Illustrative Partners:**

- Local human rights organizations
- Community groups and community leaders
- Community-based women's organizations.

**Illustrative Activities:**

- 1) Carry out community-level awareness campaigns to reduce community tolerance of SGBV and community and family rejection of SGBV survivors.  
Awareness campaigns should aim to inform local communities, with specific target groups, about Congolese law, women and children's rights, and the causes and consequences of the crime of rape and other sexual and gender-based violence;
- 2) Conduct local fora to discuss the collective and individual impact of SGBV and promote a sense of responsibility to protect individuals. Particular attention should be given to the mobilization of men, religious, and community leaders to speak out against SGBV, with the design of specific communications strategies that encourage boys and men to question and change social expectations and gender roles around male behavior with respect to sexuality, violence, and dominance;
- 3) Broadcast public radio messages in local languages about the consequences of SGBV.
- 4) Support women-led community based groups to engage community members, particularly leaders, and promote women's rights, with a focus on support for survivors by promoting messages that violence is not justified; improving women's access to services; encouraging women to seek services; and informing survivors of their legal rights;

Illustrative Indicators:

- Number of individuals (and type, i.e. community leader) participating in community education activities;<sup>7</sup>
- Number of radio messages with messages that seek to prevent SGBV and promote understanding of the different types and consequences of SGBV;
- Number of activities initiated by CBOs that promote messages to prevent and respond to SGBV;
- Percent change in increase in knowledge and awareness of types of SGBV and its consequences;
- Percent change in individual attitudes about of SGBV;
- Percent increase in community intolerance of SGBV, as measured by the number of community-led actions against SGBV or other identified means.

**B.3. Monitoring and Evaluation.**

Effective monitoring and evaluation begin with program design. Applicants should include in their submission a planning matrix (see annex) to ensure that program activities are focused on achieving the program goals and that assumptions linking activities to goals are reasonable. In particular, the Applicant should be sure to carefully link information to demonstrate how a particular set of activities will lead to the achievement of specific objectives and how achievement of these objectives will be measured. A completed planning matrix should contain:

- A statement of the overall program Objectives, as stated in this RFA;
- A statement of the overall program Results, also as stated in this RFA;
- Primary activities that will result in achievement of each stated specific Results;
- Illustrative indicators, with life-of-project targets (including benchmarks referenced in this RFA), that will measure the achievement of each specific objective, program outcomes, outputs and activities;
- Illustrative examples of measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data); and
- Statement of critical assumptions

The monitoring and evaluation section should also contain a description of the systems and mechanisms that the Applicant will put into place to monitor and document program results. This should include a description of the Applicant organization's current capacity to monitor and evaluate major activities and program performance (the Applicant should give examples of the organization's ability to document program results and impact). It should also include any changes that will be made in order to enable the organization to: (1) measure achievement of the Results; (2) monitor the implementation process to assure that the program is on track; and (3) enable the program to use performance data and lessons learned to improve program operations and management.

Indicators of the specific objective of increased access to services (Result 1) should refer to the nature and quality of services and the changes in the number of people using the services. Here 'quality' refers to evidence that such a service improves the ability of individuals affected by SGBV to perform the roles and function required of daily living and that it is provided accurately.

In assessing and monitoring Result 3, the implementer will first define the types of information that, if disseminated, could prevent future acts of rape and SGBV, particularly at the community level and the most effective ways to raise awareness. As with the other objectives, the planning matrix should link program activities to disseminating this information, and contain indicators to monitor progress and evaluate success. Possible indicators could include assessment and tracking of knowledge, attitudes and practices among the target populations and assessments of the incidence of SGBV and community response to such incidences.

The monitoring and evaluation process will monitor provision of services to ensure quality (see above), as well as use needs assessment and research findings to make program adaptations as appropriate (with the approval of USAID).

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<sup>7</sup> It is expected that the selected implementing partner would reach no less than 500,000 individuals per year through community awareness and mobilization activities.



The Applicant will also plan and budget for two evaluations—a mid-term evaluation and a final impact evaluation.

#### **A. Administration and Management**

The SGBV Project (name may be changed) will begin on/or about October 1, 2008, and is to be funded for 36 months, i.e., until on/or about September 30, 2011. Offices and activities will be located in Two (2) provinces in the DRC – Orientale (specifically the district of Ituri), and Maniema. Key personnel include:

- 1) Country Director, residing in Kinshasa, thereafter referred to as the Head Office. The Country Director will serve as primary coordinator of all activities, and will be primarily responsible for all aspects of program implementation. The Country Director acts as the major liaison with USAID, and as such is the supervisor of all other personnel.
- 2) Senior SGBV Technical Advisor, residing in one of the field offices, preferably Bunia, and serving as lead coordinator for project implementation.

#### **B. Reporting, Monitoring and Evaluation**

##### **1. Work-plans**

Applicants will be expected to submit annual work plans 30 days prior to the beginning of the USAID fiscal year (i.e., October 30) for each year of the project. The first annual work plan is due within 30 days of the award of this cooperative agreement. Its approval by USAID/DRC will serve as a reference point for subsequent reports. Changes and/or modifications thereafter must be approved by the CTO.

##### **2. Quarterly Performance Reports**

Progress reports will be submitted quarterly. This report will: summarize major actions taken during the reporting period; report on the status of achievement of the results (measurement of indicators); discuss how environmental monitoring has been performed; specify any problems encountered; and indicate resolutions or proposed corrective actions. The reports will list activities proposed for the next period, noting where they deviate from the annual work plan. Quarterly performance reports are due on the last working day of the month following the quarter (i.e., January 30; April 30; July 31; and October 30). Four copies of these reports in English shall be submitted, (2) two to the USAID/DRC office, (1) One to the Regional Acquisition and Assistance officer (RAAO), and one to the Victims of Torture Office in Washington, DC.

The Recipient will also be required to report quarterly into the on-line Performance Management Database (PMD) once it is established and running. The information and format of the on-line reports will be the same as the information and format for the quarterly progress reports. Specifically, quarterly performance reports shall include at a minimum:

- Updated data on progress toward the intermediate results;
- Measurement of required indicators or progress toward those indicators;
- Status of activities;
- A comparison of actual accomplishments with the goals and objectives established for the period;
- Explanations of deviations from the work plan;
- Success challenges encountered;
- Environmental monitoring;
- Plans for addressing problems as they surface.



- Plans for addressing problems as they surface.
3. Quarterly Financial Reports  
The Recipient(s) will be required to submit an original and two copies of quarterly financial reports. The first report will be submitted no later than 30 days following the end of the first quarter after the award and thereafter for each subsequent quarter. Financial reports shall include the 269A form with:
    - Expenditures;
    - Accrual information, including any cost-share contributions by the recipient;
    - A comparison of expenditures with budget;
    - Within 90 days of completion, the grantee will submit a final financial report.
  4. Monitoring and Evaluation  
A well designed and implemented Monitoring and Evaluation plan is essential for this program. The program will need to be very closely monitored in order to inform USAID and its partners of the achievement of this program while also informing the design of other projects. Within 60 days of submitting its first annual work plan, the grantee will be expected to set up a comprehensive monitoring and evaluation system for all components of the program. The plan should also address risks, assumptions, and results of each activity and compare data between different activity types and varying budget levels per activity.
  5. Annual Progress Report  
Annual reports shall contain the following information:
    - A summary of activities and results achieved during the year compared with the activities and results planned for the year, preferably in tabular format;
    - An explanation of why targets were surpassed or not achieved and of why activities were delayed or not carried out during the year;
    - Progress made toward achieving targets for indicators based on valid data collection and analysis;
    - Success stories including examples of synergy and collaboration with partners;
    - A draft annual work-plan including a timeline citing major activities and expected results per IR;
    - An annual budget indicating anticipated expenditures for all line items, the actual funding situation, and required funding for the year ahead;
    - Other pertinent information related to program progress and results.
  6. Final performance report  
The final performance report is due 45 calendar days after the expiration or termination of the award. The final performance report replaces the last annual report and shall contain the following information:
    - An executive summary of the recipient's accomplishments in achieving results and conclusions;
    - An overall description of actual activities and attainment of results by indicators (based on valid data collection and analysis);
    - Significance of these activities;
    - Reasons why targets were not achieved or surpassed and why activities were delayed or not carried out, if appropriate;
    - Success stories, including examples of synergy and collaboration with partners; and
    - Other pertinent information, including recommendations and lessons learned, related to overall program results. The final report shall be submitted within 30 days prior to the completion date of the assistance.

### C. Eligibility

All applicants must be legally recognized entities under the law of the country where they are incorporated.

**Table 1: Planning Matrix**

<b>Goal:</b> <i>State the overall, long-term aim of your proposed program</i>				
<b>Objectives:</b>  <i>State the specific goal oriented result your proposed program expects to achieve over its life cycle.</i>	<b>Major Planned Activities:</b>  <i>Outline sequentially, the set of major actions/tasks/operations planned for achieving the above stated objective.</i>	<b>Illustrative Indicators:</b>  <i>Describe illustrative indicators for assessing progress toward achieving the stated objective.</i>	<b>Illustrative Measurement and Data Management Methods:</b>  <i>State data sources, frequency of data collection, data collection methods and data management procedures, based on the illustrative indicators proposed.</i>	<b>Critical Assumptions:</b>  <i>External conditions which could affect the progress or success of the project, but over which the project has no direct control.</i>

**SECTION D**

**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)**

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

References:

Certifications, Assurances & Other Statements of Recipients: <http://www.usaid.gov/policy/ads/300/303sad.pdf>

Forms:

[http://www.grants.gov/agencies/approvedstandard\\_forms.isp](http://www.grants.gov/agencies/approvedstandard_forms.isp)

Standard Form 424: [www.grants.gov/techlib/SF424-V2.0.pdf](http://www.grants.gov/techlib/SF424-V2.0.pdf)

Standard Form 424 A: <http://www.grants.gov/techlib/SF424A-V1.0.pdf>

Standard Form 424B: <http://www.grants.gov/techlib/SF424B-V1.0.pdf>

**OMB CIRCULAR A-133 OR SIMILAR AUDITS**

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

Solicitation No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**PART I - CERTIFICATIONS AND ASSURANCES**

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

## II. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

### Statement for Loan Guarantees and Loan Insurance

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

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

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

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



#### IV. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature

or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

#### **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 and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**V. 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.

## VI. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

### NOTICE:

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

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

FORMATS/GRNTCERT: Rev.06/16/97 (ADS 303.6,E303.5.6a). When these certifications, Assurances, and other Statements of Recipients are used for Cooperative Agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub) contractor, and submit with its application/proposals, the Certification regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion...Lower Tier Transactions set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ads Chapter E303.5.6a, 22CFR 208, Annex 1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility and Voluntary Exclusion (March 1989) and is set forth in the grant standard provision entitled "Debarment, Suspension, and related matters" if the recipient is a U.S. non governmental organization, or in the Grant standard provision entitled "Debarment, Suspension, and Other responsibility Matters" if the recipient is a non U.S. nongovernmental organization.

## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			
<hr/>			

### II. 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: \_\_\_\_\_

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

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

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

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

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

DUNS: \_\_\_\_\_



#### IV. LETTER OF CREDIT (LOC) NUMBER

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

LOC: \_\_\_\_\_

#### V. PROCUREMENT INFORMATION

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

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

\$ \_\_\_\_\_

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

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

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

##### TYPE/ QUANTITY EST. GOODS PROBABLE GOODS PROBABLE DESCRIPTION UNIT COMPONENTS SOURCE COMPONENTS ORIGIN (Generic) COST

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

TYPE/ QUANTITY ESTIMATED PROBABLE INTENDED DESCRIPTION UNIT COST SOURCE ORIGIN  
USE (Generic)

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

TYPE/ QUANTITY ESTIMATED PROBABLE NATIONALITY RATIONALE DESCRIPTION UNIT COST  
SUPPLIER for (Generic) (Non-US Only) NON-US

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

TYPE/DESCRIPTION QUANTITY ESTIMATED PROPOSED DISPOSITION (Generic) UNIT COST

## VI. PAST PERFORMANCE REFERENCES

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

## VII. TYPE OF ORGANIZATION

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

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

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

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

### PART III - SPECIAL PROVISIONS

#### 1. SUPPORTING USAID'S DISABILITY POLICY IN CONTRACTS, GRANTS, AND COOPERATIVE AGREEMENTS (AAPD 04-07, DECEMBER 2004)

- (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. Government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of non-discrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>
- (b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID-funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal with the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities. Questions about USAID's Disability Policy can be directed to Lynne Schaberg, PPC/P at 202-712-1891 or Lloyd Feinberg, DCHA/DG, 202-712-5725.

USAID encourages Recipients to follow this policy to the maximum extent possible. By signing below, the Recipient acknowledges that it is aware of this policy and will apply it to the maximum extent practicable.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Per AAPD 02-04, dated March 20, 2002; it is mandatory to incorporate the following Standard Provision in all solicitations and awards:

#### II. PROHIBITIONS ON TRANSACTIONS WITH INDIVIDUALS OR ORGANIZATIONS ASSOCIATED WITH TERRORISM:

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

**III. DEPARTMENT OF STATE GUIDANCE ENTITLED – SECTION 579  
IMPLEMENTATION – TAXATION OF US FOREIGN ASSISTANCE**

Reporting of Foreign Taxes:

- (a) Final and Interim Reports. The contractor must annually submit two reports:
  - (i) An interim report by November 17; and
  - (ii) A final report by April 16 of the next year.
- (b) Contents of Report. The reports must contain:
  - (i) Contractor name.
  - (ii) Contact name with phone, fax and email.
  - (iii) Contract number and task order number(s).
  - (iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year. NOTE: For fiscal year 2003 only, the reporting period is February 20, 2003 through September 30, 2003.
  - (v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).
  - (vi) Any reimbursements received by the Contractor during the period in (iv) regardless of when the foreign tax was assessed plus, for the interim report, any reimbursements on the taxes reported in (iv) received by the recipient through October 31 and for the final report, any reimbursements on the taxes reported in (iv) received through March 31.
  - (vii) The final report is an updated cumulative report of the interim report.
  - (viii) Reports are required even if the contractor did not pay any taxes during the report period.
  - (ix) Cumulative reports may be provided if the contractor is implementing more than one program in a foreign country.
- (c) Definitions. For purposes of this clause:
  - (i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.
  - (ii) "Commodity" means any material, article, supply, goods, or equipment.
  - (iii) "Foreign government" includes any foreign governmental entity.
  - (iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.
- (d) Where. Submit the reports to:  
Controller's Office (RFMC)  
USAID/EA  
Unit 64102  
APO, AE 09831-4102
- (e) Sub-agreements. The contractor must include this reporting requirement in all applicable subcontracts, sub-grants and other sub-agreements.
- (f) For further information see <http://www.state.gov/m/rm/c10443.htm>."



#### IV. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer or Cognizant Technical Officer.

Please indicate below your concurrence with the above special provisions:

Signature: \_\_\_\_\_

Name: \_\_\_\_\_ Date \_\_\_\_\_

Attachment A

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

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

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

Attachment B

CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

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

\_\_\_\_\_ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

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

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

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

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

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

NOTICE:

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

**PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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



# Survey on Ensuring Equal Opportunity for Applicants

AID-EA-623-EA-08-041-RFA

OMB No. 1890-0014 Exp. 1/31/2006

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

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

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

Applicant's (Organization) Name: \_\_\_\_\_

Applicant's DUNS Number: \_\_\_\_\_

Grant Name: \_\_\_\_\_ CFDA Number: \_\_\_\_\_

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

☐ Yes

☐ No

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

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-12

☐ over 100

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

☐ Less than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes

☐ No

5. Is the applicant a non-religious community based organization?

☐ Yes

☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes

☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes

☐ No

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

☐ Yes

☐ No

## **Survey Instructions on Ensuring Equal Opportunity for Applicants**

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

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

# APPLICATION FOR FEDERAL ASSISTANCE

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier	
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>3. DATE RECEIVED BY STATE</b>	State Application Identifier	
		<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>	Federal Identifier	
<b>5. APPLICANT INFORMATION</b>				
Legal Name:		Organizational Unit:		
		Department:		
Organizational DUNS:		Division:		
<b>Address:</b>		<b>Name and telephone number of persons to be contacted on matters involving this application (give area code)</b>		
Street:		Prefix:	First Name:	
City:		Middle Name		
County:		Last Name		
State:	Zip Code	Suffix:		
Country:		Email:		
<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		Phone Number (give area code)		Fax Number (give area code)
<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>		<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types)  Other (specify)		
<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  TITLE (Name of Program): <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		<b>9. NAME OF FEDERAL AGENCY:</b>		
<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):		<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>		
<b>13. PROPOSED PROJECT</b> Start Date: Ending Date:		<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant b. Project		
<b>15. ESTIMATED FUNDING:</b>		<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>		
a. Federal	\$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON		
b. Applicant	\$ .00	DATE:		
c. State	\$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372		
d. Local	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		
e. Other	\$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>		
f. Program Income	\$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No		
g. TOTAL	\$ .00			
<b>18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</b>				
<b>a. Authorized Representative</b>				
Prefix	First Name	Middle Name		
Last Name		Suffix		
b. Title		c. Telephone Number (give area code)		
d. Signature of Authorized Representative		e. Date Signed		

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Standard Form 424 (Rev.9-2003)  
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## INSTRUCTIONS FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

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

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project.
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. <div style="display: flex; justify-content: space-between;"> <div> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District </div> <div> I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization </div> </div>	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: <div style="display: flex; justify-content: space-between;"> <div>A. Increase Award C. Increase Duration</div> <div>B. Decrease Award D. Decrease Duration</div> </div>	18.	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

## BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assist- ance Number (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.	-				
2.	-				
3.	-				
4.	-				
5. Totals					
6. Object Class Categories		Grant Program Function or Activity			
		(1)	(2)	(3)	(4)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (Sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (Sum of 6i and 6j)					
7. Program Income					

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## BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Source
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
		Total Amt 1st Year	1st Quarter	2nd Quarter
				3rd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program		FUTURE FUNDING PERIODS (Years)		
		(b) First	(c) Second	(d) Third
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:		22. Indirect Charges:		
23. Remarks:				

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Standard Form 424A

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

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

#### General Instructions

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

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

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

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

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

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

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

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

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

Line 5 - Show the totals for all columns used

#### Section B Budget Categories

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

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

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

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

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

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

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

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

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

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

Column (e) Enter total of columns (b), (c) and (d).

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

#### Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

#### Section F. Other Budget Information

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

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

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

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

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

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

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

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

- Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 14728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 14794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 1/2523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 13601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
- Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 1276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 1276c and 18 U.S.C. 1874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 1327-333), regarding labor standards for federally assisted construction subagreements.
- Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED