

## **SECTION IV – APPLICATION AND SUBMISSION INFORMATION**

### **A. Application Package**

The federal grant process is now web-enabled. Beginning November 1, 2005, the preferred method of distribution of USAID RFAs and submission/receipt of applications is electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from [www.grants.gov](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 1-800-518-4726 or via e-mail at [support@usaid.gov](mailto:support@usaid.gov) for technical assistance. Applicants may upload applications to [www.grants.gov](http://www.grants.gov). It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Potential applicants may also request a copy of the RFA application package by sending a fax to USAID/Russia, Attn. Contracting Office, at (7-495-960-2141 or 2142), referring to USAID-Russia-DI-09-0001-RFA “Mainstreaming of Human, Social, and Civil Rights Project.”

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

- (1) Section V.B - Evaluation Criteria;
- (2) Section IV.D – Submission of Applications
- (3) Section IV.E - Content and Form of Application Submission; and
- (4) Section I - Funding Opportunity Description

### **B. Point of Contact**

Donella J. Russell, Agreement Officer  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation

### **C. Questions**

Any questions concerning this RFA must be submitted in writing to Donella J. Russell, via internet at [drussell@usaid.gov](mailto:drussell@usaid.gov) and to Alexander Borzov at [aborzov@usaid.gov](mailto:aborzov@usaid.gov) or via facsimile at (7-495) 960-2140 by 1700 hours local Moscow time on February 27, 2009. Oral explanations or instructions given before award 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.

## **D. Submission of Applications**

**Applications must be submitted no later than 1700 hours local Moscow time on April 6, 2009.**

Applications may be submitted using any one of the following methods:

**1. Submission through [www.grants.gov](http://www.grants.gov):** Applicants are encouraged to up-load applications to [www.grants.gov](http://www.grants.gov). Please go to <http://www.grants.gov> for application instructions. For Grants.gov technical support, call 1-800-518-4726. Applications will be considered received by USAID on the date and time when the application has been submitted to Grants.gov for validation. Grants.gov will certify and electronically stamp applications upon receipt.

**2. By Email Submission:** Applicants e-mailing submissions shall forward them to the following e-mail address: [Russia-Applications@usaid.gov](mailto:Russia-Applications@usaid.gov) with the e-mail SUBJECT line to read: "Application for Mainstreaming of Human, Social, and Civil Rights Project." Applicants submitting electronic applications are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the usaid.gov e-mail server. USAID servers may automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. Acceptable file formats are Word, Adobe Acrobat and Excel.

**3. Hard Copy Submissions:** Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. Hard copy submissions must in MS Word and/or Excel on letter or on A4 paper and single-spaced, using 10 or 12 font. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

Donella J. Russell, Agreement Officer  
American Embassy Moscow  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation  
Tel: (7-495) 728-5000

**4. Faxed Applications:** Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

## **E. Application Preparation Guidelines**

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. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the technical and cost application format.

All applications must be submitted in English in two separate parts: (a) technical and (b) cost or business application.

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.

## **1. Technical Application Format**

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section V.

Technical applications should not exceed 25 pages in length, exclusive of the two annexes. The technical application shall consist of the following:

- Cover Page (1 page)
- Application Summary (2 pages)
- Narrative (22 pages)
  - Technical Approach (12 pages)
  - Illustrative First Year Implementation Plan (2 pages)
  - Illustrative Monitoring and Evaluation Plan (2 pages)
  - Project Team (3 pages)
  - Management & Institutional Capacity, including Management Plan (3 page)
- Annexes
  - Resumes
  - Past Performance References (3 pages)

**To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated.**

Technical applications shall include:

**Cover Page:** A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person

for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. 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. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

**Application Summary:** The Application Summary **shall not exceed two pages** and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.

**Narrative (22 pages or less):** The narrative should contain the following elements:

**a. Technical Approach (12 pages or less)**

i. The Program Approach must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed and must reflect a thorough understanding of human rights issues in Russia; a description of the target population (including geographical target regions, rationale for the selection of the target regions and proposed number of beneficiaries); identify mechanisms to ensure ongoing coordination with other donors, implementing agencies, and related projects; outline specific, focused activities; describe the strategy for collaborating and getting buy-in from Russian organizations; include a well-articulated strategy for replication and long-term impact; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the lower level and intermediate results identified in the Project Results Framework (Page 7). Applicants are encouraged to propose innovative programs designed to reach the desired outcomes/results.

ii. Applications shall discuss how resources will be organized to obtain expected results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

iii. Applicants must provide a description of any partnerships and sub-recipient relationships planned with partners. The Applicant should detail any existing relationships with partner organizations and/or the methods proposed to establish new relationships. In this regard it is necessary to describe how elements of the grant will be implemented with non-government organization partners and other types of partners.

iv. **Gender equality:** In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. The Recipient should address gender concerns in a fundamental way. USAID encourages all applicants to provide additional or alternative recommendations on how to address gender equality in this project.

**b. Illustrative First Year Implementation Plan (2 pages or less)**

The application must provide an illustrative First Year Implementation Plan for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the annual and end-of-program results. This plan will be considered illustrative for the purposes of evaluating proposals; however, once the award is made, finalizing the implementation plan will be a key activity.

**c. Illustrative Performance Monitoring and Evaluation Plan (2 pages or less)**

As part of the program approach, Applicants shall submit a Performance Monitoring and Evaluation Plan (PMEP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). The Applicant shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting.

Indicators: There are two types of indicators that will be used to measure performance under this award: 1) impact indicators to measure the annual and end-of-project results which are to be developed by the Applicant and 2) USAID Operational Plan output indicators which must be reported annually (please see below).

Depending on the nature of the Applicant's technical approach, one or more of the following Operational Plan indicators must be included in the PMEP Plan:

1. Number of domestic human rights NGOs receiving US Government support;
2. Number of people receiving legal consultations (disaggregated by sex);
3. Number of community members completing civic education programs (disaggregated by sex);
4. Number of advocacy campaigns supported by the US Government.

**d. Project Team (3 pages or less)**

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Chief of Party must have a proven track record working on similar programs, with a preference for individuals who have worked in Russia or the former Soviet Union. The Chief of Party should preferably also be able to use both Russian and English languages in professional settings. Applicants must propose which positions should be Key Personnel (no more than five positions or five percent of recipient employees employed under the award). In an annex to the technical application, applicants should provide resumes for the candidates

proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

Applicants must provide evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in addressing similar relevant programs and issues in the past.

**e. Management & Institutional Capacity (3 pages or less)**

As part of the technical application, applicants must submit a ***Management Plan***. The applicant should specify the organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project, and describe how each of the components will be managed. “Implementing partners” are organizations that will have substantial implementation responsibilities. The management plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the proposed results and the unique capacities/skills they bring to the program. Please note that documentation that reflects an “exclusive” relationship between implementing partners is not requested and should not be submitted.

Applicants must also offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following information:

- a. Brief description of organizational history and experience
- b. Examples of accomplishments in developing and implementing similar programs
- c. Relevant experience with proposed approaches
- d. Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas
- e. Sub-recipient or subcontractor capabilities and expertise, if applicable;
- f. Proposed field management structure and financial controls;
- g. Home office backstopping and its purpose.

**Annexes:**

**Resumes:** Resumes are to be included as an Annex for each individual who is proposed as key personnel and/or long-term staff on the program, for both the Applicant and proposed key subgrantees. Resumes should use a common format, not exceed two pages and should include at least three references with telephone numbers and e-mail addresses for each reference. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is not requested and should not be submitted.

**Past Performance References:** Describe all contracts, grants and cooperative agreements which the organization, both the primary Applicant (as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. Past performance information should not exceed 3 pages.

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

## **2. Cost Application Format**

The Cost or Business Application is to be submitted in English 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 Cost Application shall consist of the following:

- Cover Page
- SF-424, SF-424A and SF-424B (U.S. organizations only)
- Mandatory Certifications and Assurances
- Acknowledgement of any amendments to the RFA
- Budget
- Budget Narrative
- Current Negotiated Indirect Cost Rate Agreement (NICRA)
- Teaming documents (if any)
- Documentation from applicants who do not have a current NICRA or who have never received an award from the U.S. government as explained more fully below.

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

**Cover Page:** A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person

for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. 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. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

**SF-424, SF-424A and SF-424B (U.S. organizations only)**

U.S. Applicants must submit their applications using the SF-424 series which includes:

- SF-424 Application for Federal Assistance
- SF 424A Budget Information – Nonconstruction Programs, and
- SF 424B Assurances – Nonconstruction Programs

The SF 424, SF 424A and SF 424B documents are not included in this RFA but can be found at the following website:

[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**Mandatory Certifications and Assurances**

Applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
  - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
  - Certification Regarding Lobbying
  - Certification Covering Terrorist Financing
  - Certification of Compliance with standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”
- PART II – Other Statements of Recipient

These certifications and assurances are attached as Annex A to this RFA.

**Acknowledgement of Any Amendments to the RFA**

Applicants shall acknowledge receipt of all amendments, if any, to this RFA by signing and returning the amendment as part of the cost application. The Government must receive the acknowledgement by the time specified for receipt of applications.

## **Budget**

Applicants must submit an overall summary budget as well as a detailed annual budget defined by result area or component. Stated another way, the budget should relate to results while also showing the type of cost for each result. The budget must clearly display:

- 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 Grant; and
- the potential contributions of non-USAID or private commercial donors to this Grant.

## **Budget Narrative**

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. The combination of the cost data and breakdowns specified above and the budget narrative must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs. Please note that applicants are **not** required to present their costs in the budget or budget narrative in the format or order below.

i) Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

ii) Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.

iii) Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

iv) Equipment – Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

v) Materials and Supplies – Specify all materials and supplies expected to be purchased, including type, unit cost and units.

vi) Communications – Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of this types of costs.

vii) Subcontracts/Subwards/Consultants – Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.

viii) Allowances – Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.

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

x) Other Direct Costs - This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

xi) Indirect Costs - The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

### **Current Negotiated Indirect Cost Rate Agreement (NICRA)**

A current Negotiated Indirect Cost Rate Agreement must be submitted, if the applicant has one.

### **Other Documentation**

**a. Teaming:** If the applicant is a group of organizations that has actually formed a separate entity – *i.e.* a joint venture -- for the purposes of this application, then the cost application must include a copy of the documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the cost application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated and how work will be organized and managed. The Budget Narrative described above should discuss which team member is bearing a particular cost where appropriate and justify and explain the cost in question.

**b. Financial and Other Resources:** The cost application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there has been approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application.

Organizations that have never been awarded a U.S. government contract or grant must present the following documentation:

- (a) Audited financial statements for the past three years;
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- (c) Copies of the applicant's accounting, personnel, travel and procurement policies. Please indicate whether any of these policies have been reviewed and approved by any agency of the U.S. government. If so, provide the name, address, email and phone number of the cognizant reviewing official. **Similar information should be submitted for all partner organizations.**

**c. Responsibility:** 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
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations.

An award shall be made only when the Grant Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey.

## **F. Disclosure of Data**

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."