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Question Cutoff Date: May 19, 2013 - 1630 (4:30 P.M.) Kabul Time

To: All Interested Applicants

Subject: Request for Application RFA-306-13-00004, Kandahar Food Zone (KFZ)

Dear Applicants:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission, Afghanistan, is seeking application from qualified interested applicants for the program called Kandahar Food Zone (KFZ), subject to the availability of funds as described in the following Request for Applications (RFA).

USAID intends to provide approximately $20,000,000.00 in total USAID funding to be allocated over a two year period of the resultant Cooperative Agreement. USAID reserves the right to fund any or none of the applications submitted.

This RFA consists of this cover letter and the following:

1. Section I, Funding Opportunity Description.
2; Section II, Award Information.
3. Section III, Eligibility Information.
4. Section IV, Application and Submission Information.
5. Section V, Application Review Information.
6. Section VI, Award and Administration Information.
7. Section VII, Agency Contacts.
8. Section VIII, Other Information.

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter via email submission. All Applicants shall submit electronic applications to kabulaidoaamailbox@usaid.gov with a cc to Najeebullah Yousef at NYousef@state.gov.

To make sure that your applications are delivered to us, please ensure that your email attachments are not more than 10 MB in size. If they are more than 10 MB in size you may submit your technical/cost applications and any attachments in separate emails.

Any questions concerning this RFA must be submitted in writing to Ms. Ragheda Rabie, cognizant Agreement officer for this project with a cc to kabulaidoaamailbox@usaid.gov, and to Najeebullah Yousef at NYousef@state.gov, no later than 1630, Kabul Local Time, May 19, 2013.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant grant 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.

Sincerely,

Ragheda Rabie

Ragheda Rabie
Agreement Officer
Office of Acquisition and Assistance

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SECTION I – Funding Opportunity Description

A. Program Description

1. Executive Summary

The purpose of the USAID Kandahar Food Zone Program (KFZ) is to strengthen and diversify legal rural livelihoods in targeted districts by identifying and addressing the root causes and sources of instability that lead to opium poppy cultivation. This will be accomplished through stabilization and alternative livelihood activities that will encourage licit behavior on the part of targeted communities.

KFZ is one component of a multi-agency and multi-sectoral effort to address opium poppy cultivation and processing in Kandahar Province. USAID's KFZ efforts will complement additional efforts by the State Department's Bureau for International Narcotics and Law Enforcement Affairs (INL) in the areas of counternarcotics public information, governor-led eradication, and drug demand reduction.

There are two components to the KFZ program. The first component focuses on local level interventions to be implemented through a mechanism that identifies and addresses the drivers of poppy cultivation in targeted districts. This KFZ component will be achieved through a tailored package of interventions developed in close collaboration with affected communities and under the leadership of the Ministry of Counter Narcotics (MCN). The second component will support capacity building within the Ministry to improve management of its Alternative Livelihood program, including policy development, stability assessment, program design, implementation, management, and monitoring and evaluation.

The KFZ program is anticipated to support counter narcotics efforts in areas with high levels of poppy cultivation in Kandahar province. As with other short-term stabilization programs targeting contested areas, KFZ will emphasize both speed and flexibility in program mobilization and implementation to adapt to rapidly changing security environments. To optimize effectiveness, KFZ interventions will be carefully aligned with the poppy production timeline and the governor-led eradication program.

2. Background

Afghanistan is the world's largest opium producer, with 63 percent of global cultivation and 82 percent of global production of raw opium.[1] Opium poppy cultivation and production thrives in an environment where legitimate state structures are weak, security is poor, and alternative licit livelihoods are either limited or unable to support household income requirements. The opium poppy value chain in turn challenges legitimate state structures, crowds out licit economic endeavors, and provides significant financial support to insurgent and criminal activities. As international military forces continue their transition to a significantly reduced physical and geographic presence, the opium poppy economy poses a real challenge to the long-term security, development, and effective governance of Afghanistan.

[1] GIRoA Ministry of Counter Narcotics

The Ministry of Counter Narcotics has a leading role in the development and coordination of the Afghan Government's Counter Narcotics strategy. MCN's National Alternative Livelihood Policy, adopted by six government ministries[2], states the Ministry's overall goal:

To strengthen and diversify legal rural livelihoods by tackling the root causes and drivers of dependency, on the part of subsistence and marginal farmers and laborers, on cultivation of narcotic crops including chronic unemployment, poverty, food insecurity, indebtedness to narco-entrepreneurs, and inequities in access to natural resources and funding opportunities[3].

The six objectives of MCN's National Alternative Livelihood Policy include:

- *To assist farmers, laborers and rural communities affected by GIRoA's counter narcotics campaigns (Public Awareness, Law Enforcement, Eradication) with a package of comprehensive, locally-adapted and practical interventions which could alleviate poverty, food insecurity and have a lasting impact on livelihood;*

- *To assist farmers, laborers and rural communities who have consciously decided not to engage in the production of narcotics, through direct cultivation or through supply of labor, with a package of comprehensive, practical and sustainable interventions in an equitable manner, regardless of geographic location;*

- *To maintain the "poppy-free" status (i.e., prevent the resurgence of poppy cultivation) in communities which have consciously opted not to engage in, or have strived to abandon, illicit cultivation and production of narcotics (i.e., through Social Contracts) by addressing the key drivers of opium poppy cultivation;*

- *To keep the pace of further reductions in cultivation of opium poppies and production of narcotics through effecting lasting change on livelihoods of currently subsistence households;*

- *To prevent the spread of cultivation to areas hitherto unaffected by narcotics by embedding CN measures, realizing the mobility of the narco-entrepreneurs who are ready to exploit vulnerabilities; and,*

- *To achieve a steady reduction (25 % reduction after 6-years, or 5500 ha/year) of opium poppy cultivation, through alleviation of poverty and food insecurity, coupled with significant improvements in security, good governance and overall economic development, after the start of implementation of the Policy.*[4]

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[2] Ministry of Counter Narcotics; Ministry of Agriculture, Irrigation and Livestock; Ministry of Rural Rehabilitation and Development; Ministry of Energy and Water; National Environmental Protection Agency; and, Ministry of Finance.

[3] GIRoA Ministry of Counter Narcotics, *National Alternative Livelihood Policy:* A Joint Initiative of the Agriculture and Rural Development (ARD) Cluster Lead by Ministry of Counter Narcotics (2012).

[4] Ibid.

MCN's National Alternative Livelihood Policy, and KFZ itself, is based on the understanding that counter narcotics efforts must be undertaken within the context of the broader national development agenda. Current counter narcotics literature[5] shows that short-term, limited interventions are unlikely to attain sustainable change where opium cultivation and production have become integral features of the local economy and livelihoods. Backsliding in past counter narcotic efforts has been characterized by a failure to adequately and simultaneously address the *drivers* of opium cultivation and production, including (but not limited to):

- Household vulnerability to shock and economic distress;
- Limited or no agricultural alternatives;
- Absence of land tenure;
- Poor or limited agriculture infrastructure;
- Limited opportunities of off-farm employment;
- Breakdown of traditional authority and grievance resolution structures;
- Insurgency or criminal pressures enabled by insecurity; and,
- Weak governance institutions and service delivery.

3. Theory of Change

The theory of change that drives KFZ is based on a large body of evidence that informs stabilization and counter narcotics programming in general. Reducing poppy cultivation is not simply a function of crop substitution or eradication. Reducing poppy cultivation must be seen as behavior change -- social, political, and economic responses (drivers) to problems (instability) that communities face. Thus by addressing the drivers of instability that motivate communities to cultivate poppy, while at the same time introducing or linking communities to alternative livelihoods, communities will choose to pursue licit means of economic livelihoods that are permanent and sustainable means of income. Efforts to promote alternative livelihoods are complemented by more traditional narcotics supply reduction activities, including eradication and counternarcotics public information. This program will serve as a model in targeted locations, improving GIRoA's ability to continue behavior change programming beyond the life of the program.

4. Relationship to Mission Strategic and Results Framework and Support to Regional Priorities and Requirements

On September 15, 2012, the United States, acting through USAID and the Department of State Bureau of International Narcotics and Law Enforcement Affairs (INL), entered into, respectively, a Memorandum of Understanding and a Letter of Intent to support the Afghanistan Ministry of Counter Narcotics in the implementation of MCN's Kandahar Food Zone Program (MCN KFZ). The MOU directly aligns with U.S. Government policy to reduce opium cultivation and increase the effectiveness and legitimacy of the Afghan government.

The KFZ program supports the broader USG Counter-Narcotics strategy to: combat international narcotics production and trafficking; reduce the cultivation and production of drugs; prevent the resurgence of drug production; and, limit the collateral effects of the

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[5] See, for example, Mansfield and Pain, *Alternative Livelihoods: Substance or Slogan*, AREU Briefing Paper (Oct 2005).

drug trade through international drug control and demand reduction projects. The program also supports USAID/Afghanistan's Assistance Objective 7: Stability Sufficient for Basic Governance and Sustainable Development. USAID's stabilization programs seek to address and reduce key sources of instability (SOIs) by engaging and supporting at-risk populations, extending the reach of GIRoA to unstable areas, providing income generation opportunities, building trust between citizens and their government, and encouraging local populations to take an active role in their development. The majority of stabilization activities are implemented at the district and community level to address SOIs, build GIRoA capacity, and increase government legitimacy.

By addressing factors that influence livelihoods, including economic diversification, vulnerable household resiliency, human and institutional capacity, and governance, KFZ directly supports Mission objectives in Afghanistan. Mitigating or eliminating drivers of poppy cultivation and instability supports the transition toward long-term development in key poppy-growing areas of Kandahar. This is reinforced through USAID's effort to facilitate community-driven approaches that link to on-going and planned agriculture, economic growth, public health, education, and governance programs implemented by USAID and other donors. By supporting stability in targeted areas, KFZ will provide a platform at sub-national levels to support longer-term outcomes that lead to the reduction of instability. KFZ supports USAID's strategic goal of *Stable and Effective Afghan-Led Development* through an array of possible implementation interventions that in varying degrees support the following Mission Assistance Objectives (AO) and Intermediate Results (IR):

- AO1 – *Improved performance and accountability of governance*
    - IR1.3 – *Strengthened governance and service delivery at national and sub-national levels*: KFZ will support capacity building within the Ministry to improve its ability to design, implement, and manage alternative livelihood programs. Capacity building in stability assessment, program design, implementation, financial management, and monitoring and evaluation will enhance MCN service delivery at provincial and district levels.
    - IR1.5 – *Delegitimize the influence of insurgent communications*: KFZ will improve community social capital[6] through increased community-level ability to identify and address sources of instability and conflict. Providing vulnerable communities with the knowledge and tools to identify and address sources of instability and conflict helps those communities to reduce community tensions and resolve disputes without the need to rely on insurgent-driven mechanisms. Increased community social capital better enables communities to reach consensus on activities that can support development outcomes, ensure community ownership and buy-in for donor investments, and build community resilience. KFZ activities can include:
        i. Promote and train *wakeels* (community representatives) to act as community advocates before municipal and district officials;

[6] For the purpose of this program, community social capital is defined as those human and organizational resources that communities can bring to bear for community development and conflict resolution and mitigation.

   ii. Provide training to district officials on community outreach and effective communication; and,
   iii. Provide training to community development councils to identify and prioritize community-based development activities and coordinate with GIRoA and other stakeholders.

- AO5 – *A sustainable, thriving agricultural economy*
  - IR5.1 – *Increased agricultural sector jobs and incomes as a result of USG assistance*: KFZ will seek to accelerate sustainable economic development that provides alternative licit livelihoods for targeted populations in Kandahar Province. The success and sustainability of KFZ will depend in part on its ability to work through appropriate and sustainable value chains that reach vulnerable communities and households and that support appropriate agricultural and economic alternatives. Where appropriate, KFZ will identify and utilize viable and transparent cooperatives, growers' associations, and anchor firms to support community-driven efforts that link local economic activities to economically viable markets. To address the needs of those communities that cannot access agriculture or production-based interventions, KFZ will identify and support access to off- and non-farm income activities. To the extent possible, these activities will link to broader development goals that benefit the targeted community rather than being one-off interventions.
  - IR5.3 – *Improved delivery of agricultural-related public services as a result of USG assistance*: As a stabilization program, KFZ will support one of this IR's stated critical assumptions of complementing long-term sustainable development efforts. As a cross-cutting effort, MCN intends to establish direct coordinating mechanisms with the Ministry of Agriculture, Irrigation, and Livestock (MAIL). KFZ capacity building support for MCN will enable MCN to work with government agricultural extension agents to further provide agricultural services to affected farmers.

- AO6 – *Expanded, sustainable physical infrastructure*
  - IR6.1 – *More efficient use of expanded water resources*: Improved community infrastructure supports licit economic alternative development. KFZ community infrastructure activities will restore and build productive infrastructure that can have a transformative effect for communities and their ability to support or access licit economic activities. These activities will also inject cash into local economies that can offset income lost from eradication efforts. Depending on targeted community needs, small-scale community infrastructure activities can include:
    i. Irrigation and retention wall construction or refurbishment, to improve conditions to support the cultivation of crops other than poppy;
    ii. Bridge and road rehabilitation that enables farmers to access markets, children to reach schools, and security forces to access communities; and,
    iii. Construction or refurbishment of markets or bazaars, which can serve as hubs to bring together farmers and wholesalers.

- AO7 – *Stability sufficient for basic governance and sustainable development*
    - IR7.1 – *Local sources of instability in targeted areas addressed*: This is a core function of KFZ. By addressing drivers of instability in targeted opium poppy-growing districts, KFZ will create an enabling environment that supports licit income opportunities, strengthens local communities, and increases popular perception of the Afghan government.
    - IR7.2 – *Basic local governance established*: KFZ will work closely at the community level to strengthen citizen engagement of local government. KFZ, working through MCN and the provincial government, will strengthen the capacity of district government to respond to community needs for alternative livelihoods.
    - IR7.3 – *Transition from stabilization assistance to sustainable development facilitated*: Stability is a *sine qua non* for sustainable development. KFZ will link communities to sustainable licit economic opportunities and help provide a platform for increased government effectiveness.
- AO8 – *Increased management effectiveness of GIRoA institutions*
    - IR8.1 – *Core functions of selected ministries improved*: KFZ will support capacity building for MCN to improve its alternative livelihood program management, including stability assessment, program design, implementation management, monitoring and evaluation, and financial management.
    - IR8.2 – *Afghan First advanced*: Afghan First is an integral aspect and approach of KFZ's sustainability strategy. KFZ is premised on GIRoA ownership and leadership. KFZ capacity building will emphasize the development of core ministerial competencies that will enable MCN to stand up its own future food zone programs. These competencies will be established through KFZ's approach that emphasizes experiential and hands-on approaches for MCN staff. This is also a key aspect of ensuring that GIRoA is seen as the lead agency in the eyes of the Afghan public – a necessary step to increasing GIRoA's legitimacy.
    - IR8.3 – *Increased utilization of on-budget development assistance*: While not an on-budget program, KFZ will implement capacity-building activities based on the results of an organizational capacity assessment conducted by the implementing partner. The goal is to leave MCN with the capacity to manage on-budget programming in the future.

4.1 U.S Government's Strategic Approach

The *Afghanistan and Pakistan Regional Stabilization Strategy* sets forth a whole-of-government strategy to "disrupt, dismantle, and defeat Al-Qaeda and its safe havens, and to prevent their return to Pakistan or Afghanistan." In Afghanistan, this strategy focuses on developing the capacity of Afghan institutions to withstand and diminish the threat posed by extremism and to deliver high impact economic development. The regional strategy identifies six assistance objectives, of which KFZ directly supports five:

- *Rebuilding Afghanistan's Agricultural Sector*: KFZ will support licit agricultural livelihoods in targeted districts, including sustainable approaches that increase the ability of affected communities to enter into and engage within agriculture value chains.

- *Strengthening Afghan Governance*: KFZ will work with targeted communities and local government officials to increase community cohesion and improve government responsiveness to community needs.
- *Supporting Afghan-led Reintegration*: By addressing drivers of instability in targeted districts, KFZ will eliminate or mitigate pressures that force community members to support insurgent activities, namely through activities that will strengthen grievance resolution and provide licit income and employment opportunities.
- *Combating the Afghan Narcotics Trade*: KFZ will provide targeted communities with licit jobs and income in the agriculture sector by providing farmers with sustainable alternatives to opium poppy cultivation and, in turn, denying insurgents a vital income source.
- *Building an Economic Foundation for Afghanistan's Future*: KFZ will support increased stability in targeted communities, a necessary precursor for economic development. Increased stability supports the implementation of the Regional Economic Zones strategy by ensuring an enabling environment for longer-term economic investment and development.

KFZ is an integral component of USAID's draft 10-year vision for stabilization, which characterizes Afghanistan, in 2024, as "safe and stable, conditions that enable and support Afghan-led sustainable economic development." It is further envisaged that communities will have achieved a level of resiliency that enables them to address sources of instability, and will thrive through licit means, opting for livelihoods that are legal, ethical, and sustainable. By September 2015, MCN will be better equipped to continue to implement the approaches outlined in this program, positioning the ministry to achieve goals outlined in its ten year vision.

5. Relationship to GIRoA and Other Donor Programs

KFZ directly supports the Economic and Social Development pillars of the Afghanistan National Development Strategy, which defines counter narcotics as a cross-cutting issue, and the Alternative Livelihood pillars from the revised National Drug Control Strategy. This program will combine efforts of MCN, INL, and USAID, while collaborating with other donors working on development and counternarcotics, in particular. The framework of this program is based upon MCN's Kandahar Food Zone Proposal.[7] KFZ will encourage provincial and district-level coordination with the Food for Life, and Enterprise and Market Development components of GIRoA's National Priority Program 2 – National Comprehensive Agriculture Production and Market Development.[8] Food for Life, implemented by MAIL, seeks to increase agriculture production to improve rural livelihoods and contribute to increased household food security. Enterprise and Market Development, also implemented by MAIL, seeks to sustain economic growth and poppy reduction through improved employment and income opportunities for rural communities.

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[7] GIRoA Ministry of Counter Narcotics, *Kandahar Food Zone Proposal: A Targeted, Governor-Led Counter Narcotics Program* (Draft 2012).

[8] GIRoA Agriculture and Rural Development Cluster, *National Priority Program Two: National Comprehensive Agriculture Production and Market Development. (2012).*

KFZ is founded on, and a core component of, the MCN's broader CN strategy and its own Kandahar Food Zone Program. USAID's KFZ will align with the policy outlined by the Agriculture and Rural Development (ARD) Cluster. The Presidential Decree, issued in July 2012, directs MCN to collaborate with other relevant partners to address CN efforts; the KFZ will help fulfill this mandate. Other MCN partners will include respective line ministries for program components as well as the Ministry of Rural Rehabilitation and Development (MRRD), MAIL, and the Independent Directorate for Local Government (IDLG). USAID KFZ activities will be coordinated closely with the Department of State's INL Bureau as well as the regional platform located in Kandahar.

6. Implementing Background

USAID's KFZ is based on the growing realization that "illicit economic activities and drug cultivation cannot be dealt with in isolation from the wider state-building and reconstruction process."[9] Addressing the drivers of instability that lead to poppy cultivation requires multi-sectoral interventions developed through community-based participation. Recognizing budgetary, geographic, and time limitations, the program, will need to be selective in both scope and breadth of interventions. Selection will be based on MCN-identified targeted areas, district assessments, identified needs, level of community support, security, geographic access, and other variables that will be developed in the post-award coordination process

Alternative livelihood program interventions will be consistent with the MOU signed by USAID and MCN. Interventions, then, will include MCN program management capacity building and alternative livelihood activities that respond to and address the drivers of illicit poppy cultivation through approaches that shape and positively influence community behavior, as opposed to simply supporting on-farm income through crop substitution.

6.1 MCN Capacity Building

KFZ will support capacity building within the Ministry to improve its alternative livelihood program management, including stability assessment, program design, implementation, monitoring and evaluation, and financial management. INL will provide targeted provincial and central staff capacity building (under the eradication component), while USAID's capacity-building will focus on specific ministry-wide shortfalls identified by the implementing partner's Ministry-wide alternative livelihood technical capacity and organizational assessments. Training and technical assistance will emphasize a *train-the-trainer* approach to better enable MCN's replication and management of similar programs in all parts of Afghanistan.

MCN capacity building will emphasize experiential-based hands-on activities that directly support the objectives of the MCN KFZ. Illustrative activities can include (though are not limited to) training workshops, mentoring, and targeted technical assistance. Institutionalizing gender considerations will be a required approach to all activities.

[9] Mansfield and Pain, p.4.

KFZ envisions an MCN-led project management group at the provincial level. KFZ will provide technical training to build MCN capacity, allowing MCN to assume increasing levels of management responsibility and technical capacity over time. In coordination with Provincial and District governments, relevant line ministries, INL, and Platform representatives, the implementer will work with MCN and the provincial government to develop community selection criteria for communities to be targeted within selected districts, and – with community input and buy-in – design community-level interventions that are appropriate for the local environment and address the drivers of instability that lead to poppy cultivation.

6.2 Alternative Livelihood Program

Program interventions will follow implementer-led district-level assessments of the drivers of poppy cultivation, including sources of instability that lead to opium poppy cultivation. Understanding the drivers of instability and poppy cultivation will better enable MCN and the implementing partner to identify appropriate program interventions.

The success and sustainability of KFZ will depend in part on its ability to work through appropriate and sustainable value chains that reach vulnerable communities and households and that support appropriate agricultural and economic alternatives to the selected communities. Where possible and appropriate, KFZ will identify and utilize viable and transparent cooperatives, growers' associations, public-private partnerships, and anchor firms to support community-driven efforts that link local economic activities to economically viable markets. To address the needs of those communities that cannot access agriculture or production-based interventions, KFZ will identify and support access to off- and non-farm income generation activities. To the extent possible, these activities will link to broader development goals that benefit the targeted community rather than being one-off interventions.

As one component of a multi-pillar effort to reduce opium poppy cultivation and production, the Alternative Livelihoods component of KFZ will seek to accelerate sustainable economic development that provides alternative licit livelihoods for targeted populations in Kandahar Province. Three primary outputs will guide KFZ alternative livelihood program interventions and activities:

1. Improved community infrastructure that supports licit economic alternative development. Community infrastructure activities restore and build productive infrastructure that can have a transformative effect for communities and their ability to support or access licit economic activities. These activities also inject cash into local economies that can offset income lost from eradication efforts.

2. Improved community social capital through increased community-level ability to identify and address sources of instability and conflict. Providing vulnerable communities with the knowledge and tools to identify and address sources of instability and conflict helps those communities to reduce community tensions and resolve disputes without the need to rely on insurgent-driven mechanisms. Increased community social capital better enables communities to reach consensus on activities that can support development

outcomes, ensure community ownership and buy-in for donor investments, and build community resilience.

3. Increased licit economic activities appropriate for the targeted communities. Supporting increased licit economic opportunities provides alternatives to poppy cultivation and processing. Increased opportunities for households to participate in licit economic activities will relieve income pressures that force households to turn to poppy cultivation. By identifying opportunities to integrate licit economic activities through market linkages and access to credit, beneficiaries can tap into opportunities created by other USAID programs, such as USAID Agriculture activities working to strengthen value chains. This approach supports the improvement of skills that add value to value chains, thus enabling sustainability.

Major inputs will be determined following district-level assessments. This approach will ensure that foreign assistance investment is targeting the most appropriate and likely successful interventions. Illustrative inputs and illustrative activities can be categorized as follows:

- Assessments
    - District-level assessments of drivers of illicit poppy cultivation and sources of instability and appropriate economic opportunities
    - MCN financial and management capacity/Public Financial Management Risk Assessment Framework (PFMRAF)
- Supporting agriculture value chains
    - Construction or rehabilitation of marketplaces that expand available centers for exchange
    - Construction or rehabilitation of tertiary roads to link communities to markets
    - Farmers associations or agriculture cooperatives strengthened
    - Construction or rehabilitation of irrigation infrastructure that expands agricultural land utilization and promotes planting of more water-intensive licit crops
- Non-farm income generation
    - Short-term off-farm employment (linked to construction or rehabilitation efforts)
- Capacity building
    - MCN institutional capacity building (based on assessments, above)
    - Support to community-based agro-enterprises, including introduction of appropriate planting techniques and pre-harvest preparation
- Community strengthening
    - Provide training to district officials on community outreach and effective communication
    - Provide training to community development councils to identify and prioritize community-based counter narcotics development activities as well as increasing coordination with GIRoA and other stakeholders.

i. Critical Assumptions

KFZ makes two critical assumptions in its design and planned implementation. These assumptions are conditions that, if they don't happen, threaten the program's success.

1. *GIRoA inter-agency collaboration:* KFZ will cross multiple lines of effort and control within GIRoA. While MCN is GIRoA's lead ministry for its own counter narcotics effort, the success of KFZ will depend in part on MCN's ability to effectively coordinate with other line ministries, notably MAIL, and with provincial government and other sub-national entities. To facilitate GIRoA interagency collaboration, USAID has already convened coordination meetings in Kandahar with MCN and provincial government officials and will formalize coordination through the creation of a coordination committee and protocol.

2. *Targeted district access:* KFZ will operate in targeted districts where insurgent activities may be on-going. Access to these districts will depend on sufficient levels of security. To facilitate district access, USAID is actively coordinating with ISAF's Counternarcotics Working Group, MCN, and the provincial government to ensure that security considerations are adequately addressed in program planning. Additionally, USAID programs, including the Community Development Program and the Community Cohesion Initiative, have a history of working in post-clear and hold areas and are familiar with the unique programming challenges that these areas pose to program implementation.

ii. Critical Risks

KFZ recognizes that there are risks to the successful implementation of this program. Risks are conditions that, if they do happen, threaten the program's success. KFZ has identified two significant risks to program implementation.

1. *The effects of eradication:* Whether licit or illicit, farmers take risks when planting crops. For many farmers and their families, they lack sufficient assets to weather a poor harvest. Eradication removes a farmer's planned income source and increases the family's vulnerability. This vulnerability is a source of instability and has the combined effect of reducing that farmer's support for GIRoA and of increasing that farmer's willingness to support insurgent efforts. KFZ will work closely with MCN and provincial government to ensure that eradication and alternative livelihood efforts are closely coordinated to ensure that eradication's negative effects are mitigated.
2. *Insurgent influence*: Farmers in opium poppy growing districts are much like farmers the world over. Planting decisions are based on a multitude of factors including available credit, availability of farm-gate buyers, access to markets, and – importantly in Afghanistan – levels of security. Insurgents have multiple points of entry to influence farmer decisions to plant opium poppy. These include available credit, willing buyers, and security. KFZ will work at the community level to facilitate or create conditions that encourage farmer decision making toward licit endeavors. KFZ will also operate in close coordination with INL's public education campaign and will strive to link targeted communities to licit value chains.

Given these assumptions and risks, at the end of two years, USAID reasonably expects that the KFZ will have achieved the following:

- Increased capacity within MCN to manage its own future alternative livelihood programming and coordination;

- Increased stability in targeted districts supporting longer-term community development;
- Improved public infrastructure in targeted districts that supports or helps lay the foundation for value chain development and sustainable access to local, regional, or international markets;
- Increased and diverse number of small scale businesses pursuing licit economic activities; and,
- Decrease in poppy cultivated areas while increased area cultivated with other licit crops.

7. Implementation Objectives

The implementing partner, under a proposed cooperative agreement, will have two primary objectives:

1. Support MCN and build capacity within MCN to lead and manage CN programs, and
2. Under MCN's leadership, support the identification of district and community-level drivers of poppy cultivation and instability and provide appropriate programmatic alternatives to support the program's goals.

District-level assessments will provide baselines for on-going project monitoring and will support the evaluation process as well. It is expected that assessments will utilize up-to-date research on alternative livelihoods which address illict poppy cultivation. Details and other coordination needs will need to be finalized in conjunction with the development of the program workplan and final monitoring and evaluation plan as submitted by the implementing partner.

KFZ will be managed within the USAID Stabilization Unit, with the Agreement Officer's Representative (AOR) located in Kabul. Where applicable, the AOR will work closely with the Platform personnel to coordinate on-site monitoring and ensure effective collaboration with provincial and district-based stakeholders, and the implementing partner.

The design of every activity will have a well-defined component linking GIRoA with the local population, a link to longer-term line-ministry activity development, and outreach to other long-term development programs implemented by partner ministries and other organizations. The selection of beneficiary communities will be done collectively between the implementing partner, the provincial coordination committee, and district governments.

Key to the successful attainment of the program's objectives is the ability of the implementing partner to flexibly and quickly respond to local conditions. Rapidly changing security conditions, the imminent transition of ISAF forces, and limited capacity of host country ministries and sub-national governments create uncertain operating environments and reinforce the need for program flexibility. The anticipated reduction in USAID staff and field presence, along with the evolution of the U.S. foreign assistance program, imply the need for mechanisms that allow responsiveness to changing program approaches while allowing a high degree of program flexibility and initiative.

7.1 USAID's Other Programs

Internal coordination with other USAID offices, particularly the Office of Agriculture (OAG), is a key aspect of KFZ implementation. Where other USAID-funded projects, such as the Regional Agriculture Development Program-South (RADP-S) and the Commercial Horticulture and Agriculture Marketing Program (CHAMP) – both managed by OAG, are operating in targeted poppy-growing districts, KFZ intends to leverage and to complement, not duplicate or compete with these efforts. This will also ensure that geographically overlapping programs support USG alternative livelihood and counter narcotics goals, rather than inadvertently operating as destabilizing influences (e.g., program inputs that operate outside of GIRoA visibility or that support insurgent revenue collection).

7.2 Stakeholder Coordination

The Ministry of Counter Narcotics intends to create a central-level coordination mechanism that will include MCN directorates of Alternative Livelihoods, Provincial Affairs, and Procurement. The coordination committee will also include the Alternative Livelihoods directorates from MAIL, MRRD, Energy and Water, IDLG, USAID, INL, UNODC, and civil society organizations. At the provincial level, coordination will be led by the provincial Agriculture Directorate (DAIL), and will include the Rural Rehabilitation and Development Directorate (PRRD), members of the Provincial Development Council, the Directorate of Economy, MCN directorate, Energy and Water Directorate, Provincial Council members, Kandahar University, and civil society organizations.

The implementing partner will work closely with MCN to streamline a program coordination mechanism that reflects and supports MCN leadership, while working in close collaboration with the provincial government, the regional platform, and INL. In consultation with MCN, the implementing partner will develop a community-level assessment framework to identify drivers of poppy cultivation.

All infrastructure projects implemented under KFZ will have to demonstrate a sustainability plan which will include linkages with the respective technical ministry to ensure the infrastructure is part of the technical ministry's O&M support.

The implementing partner will coordinate the delivery of KFZ program-funded resources and technical assistance to support interventions. The implementing partner will also provide technical assistance to MCN to develop its internal systems to support MCN's ability to fully stand-up its own coordination, policies, and alternative livelihoods program recommendations to leverage resources from other programs, ministries, and donors.

The imminent transition of ISAF forces to ANSF, the anticipated reduction of USAID field staff, along with the evolution of the U.S. foreign assistance programs, reinforces the need for program flexibility, the need for mechanisms that allow responsiveness to program approaches and a high degree of innovative program implementation. The implementing partner must plan to operate independently but collaboratively with host country institutions at all times and have contingency plans in place.

7.3 Use of GIRoA Institutions

The program recognizes the need to work through the leadership of the Ministry of Counter Narcotics and the provincial and district government levels throughout its planned implementation period.

The implementing partner will work closely with MCN to support a streamlined program coordination mechanism that reflects and supports MCN leadership, while working in close collaboration with the provincial government, the regional platform, and INL. The implementing partner will provide technical assistance to MCN to develop its internal systems to support MCN's ability to fully stand-up its own coordination policies and alternative livelihoods programs while leveraging resources from other programs and donors.

KFZ will pursue a model of close collaboration with targeted communities and households to create an environment of local ownership of program interventions and results. Where applicable, other KFZ stakeholders will include the local Community Development Councils and District Development Assemblies, tribal and religious leaders, local civil society organizations, and local private and public enterprises.

Projects will involve community participation in project selection and management. A possible aspect of this community-MCN collaboration is the development of a Community Compact in which the community agrees to provide in-kind support, including perhaps, security commitments, in exchange for project inputs.

To increase close coordination and hands-on capacity building, the implementing partner is encouraged to locate its central office at the Ministry of Counter Narcotics. MCN has expressed interest to have the implementing partner located within the MCN compound in Kabul. The decision to locate the implementing partner at the ministry will be subject to space availability, the appropriateness of the physical infrastructure, an assessment of the security conditions, and the agreement of the implementing partner.

7.4 Illustrative Milestones and Timelines

Kandahar Food Zone Illustrative Life of Project Plan

Year	Month	Activities
2013	30 days calendar after the effective day of the Award	IP Mobilization, opening central and provincial offices
		First year workplan approved by MCN and USAID
	90 calendar days after the effective day of the Award	District and community assessments of drivers of poppy cultivation conducted.
		The provincial coordination committee and the IP identify projects and start the design and approval process
		IP first progress report due
2014	January	Assessments and the geo-spatial data results from third party sources inform discussions with MCN and local government officials on appropriate interventions.

	January-February	**The provincial coordination committee and the IP identify projects and start the design and approval process**
	March-September	**First year activity implementation on-going.**
	11 months after the effective day of the Award	**Second year workplan drafted and submitted for USAID review and approval**
		Demobilization plan drafted and submitted for USAID review and approval
	September- October	**District and community public awareness to affect the pre-planting decision making on-going**
	November-January	**Review of the first year program performance on-going and informs second year workplan adjustments if needed**
		The provincial coordination committee and the IP identify projects and start the design and approval process
2015	**February-Mid August**	**Second year activity implementation on-going.**
		District and community public information campaign on-going to affect the pre-planting decision making
	August- September	**Demobilization**
	60 calendar days after award completion	**Final report drafted and presented to USAID and MCN for comments**
	90 calendar days after award completion	**Final report due**

8. Monitoring and Evaluation

KFZ program oversight will be a closely shared responsibility between Afghan government institutions, the implementing partner, and USAID.

Underpinning KFZ program performance are measures that address the drivers of poppy cultivation. At the objective level, this is seen as the legitimacy of the government in the eyes of affected communities. These measures will be undertaken through a methodology to be defined in consultation with the implementing partner and in consultation with the existing USAID Measuring the Impact of Stabilization Initiatives (MISTI) contract, which is a third-party monitoring and evaluation mechanism specifically supporting USAID Stabilization Unit programs.

Central questions to be evaluated in KFZ final report include:

- How has the Food Zone program accelerated licit economic growth in targeted areas?
- To what extent do targeted communities see GIRoA as a legitimate government that is responsive to community needs?
- To what extent do sufficient licit economic opportunities exist to support community and household economic needs as alternatives to poppy cultivation?

Preliminary illustrative project-specific indicators include:

- The percent decrease of opium poppy cultivation in targeted districts (# ha under cultivation-UNODC/MCN data);

- Effectiveness[10] of host government institutions working on CN to coordinate and deliver services in a fair manner (MISTI);
- Legitimacy[11] of host government institutions as foundation for service delivery increase at the district and community levels (MISTI);
- The percent decrease of opium poppy-derived income for insurgents (ISAF Threat Finance Cell).

i. Third Party Monitoring

Since poppy cultivation generally takes place in remote and insecure areas, it is a challenge for USAID field staff to regularly monitor the assistance. In addition to the Afghan government institutions and implementing partner's own monitoring, it is anticipated that a third party monitoring (TPM) mechanism may be awarded, of which KFZ is one of multiple programs to be monitored. The information gathered during the TPM monitoring process will be used to understand how program implementation changes over time, adjust and improve programmatic approaches to drive changes in perception and behavior, while mitigating fraud and corruption. TPM will only be used as deemed necessary and will be subject to AOR and Agreement Officer approval.

9. Reporting

Implementing partner reporting mechanisms will include quarterly progress reports, financial reports, and monthly provincial coordination reports. The provincial monthly reports will be prepared in coordination with the Provincial Directorate of Counter Narcotics, which will serve as the secretariat of the provincial coordination committee. Additional reports will include weekly updates, trip reports, and public outreach and success stories.

i. Quarterly Progress Reports

The implementing partner shall submit to USAID a detailed quarterly progress report within 30 calendar days following the end of every quarter. The reports shall describe major accomplishments of the quarter ending, including actual versus planned results. The implementing partner will explain in writing any significant deviations from expected results.

The quarterly reports shall assess the program outcomes for the quarter and emphasize combined program outcomes for previous quarters. The fourth quarter reports shall assess the program outcomes for the quarter and emphasize program outcomes for the year. The quarterly reports shall also describe any obstacles faced and how they were (or will be) overcome. Additionally, the report will describe activities to be carried out in the next quarter. Quarterly reports must include USAID-approved success stories in the approved USAID format. The AOR will approve and coordinate report submission to GIRoA authorities and to any USG agency as appropriate.

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[10] Effectiveness in this context defined as the ability of the Ministry of Counter Narcotics to lead intra/inter ministerial design, implementation and coordination mechanisms of AL and other development policies and activities to decrease poppy cultivation.

[11] Legitimacy of the government defined as the ability to increase institutional relationship between the State (GIRoA) and the rural communities within the scope of the sub-national governance linkages to deliver services.

In addition to the quarterly reports the implementing partner's reporting will include:

ii. ***Weekly Updates***

Weekly updates are program focused and reflect the highlights of events and program progress for that week, as well as provide a "forward looking" view of important milestones or events coming up within the program. The updates should also reflect constrains faced and how they were or will be overcome.

iii. ***Monthly provincial coordination reports***

These reports are designed to keep the provincial and central committee stakeholders informed of the progress being made in all on-going activities, share information and results disaggregated by districts, and outline planned activities and focus for the next month. Additionally the monthly provincial coordination reports may be shared with relevant ministries for their continual awareness of how the program is performing.

iv. ***Joint monitoring trip reports***

These reports are designed to bring together the local stakeholders to assess activity implementation of all KFZ components and report back to the provincial coordination committee. The frequency of the visits will be determined by the provincial coordination committee and consultation with the implementing partner.

v. ***Public Outreach and Success Stories***

These stories describe community and GIRoA successes and will elevate the awareness of the counter narcotics efforts as a visible GIRoA and U.S. Government-supported effort.

vi. ***Financial Report***

Quarterly financial reports to include accruals and accrued expenditures shall be submitted to USAID following the fiscal year quarterly reporting schedule.

vii. ***Final Report***

The implementing partner shall submit a detailed final performance and financial report within 90 calendar days after completion of the Agreement, which will include:

- basic identifying information, including program name, award number, approval date, and country assisted;
- the total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- the principal implementing partner;
- a summary of activities/projects used to implement the KFZ and major outputs;
- prospects for long-term sustainability of impact, and principal threats to sustainability;
- lessons learned for application to other USAID programs, other Ministry planned Food Zones including a follow-on program in Afghanistan and similar programs in conflict affected environments;
- significant changes in the Results Framework during the life of the program, if any;

- a summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- charts and graphs that visually support evaluation of the program;
- a list and summary of evaluations and special studies conducted during the life of the program, including Performance Reports; and,
- names and contact information for individuals who were directly involved in various phases of the program (planning, implementation, and assessing and learning), and who would be good sources of additional information, if required.

B. Authorizing Legislation

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended.

C. Program Eligibility Requirement

To be eligible for assistance under the Private Voluntary Organization grant program and other programs listed in 22 CFR 203.1, both U.S. Private Voluntary Organizations and International Private Voluntary Organizations must be registered with USAID, as required by 22 CFR 203. The registration requirement does not apply to local Private Voluntary Organizations.

D. Award Administration

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S. Non-governmental Recipients will be applicable for U.S. Non-governmental Organizations. For non-U.S. organizations, the Standard Provisions for Non-U.S., Non-governmental Recipients will apply. While 22 CFR 226 does not directly apply to Non-U.S. Applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. These documents may be accessed through the world-wide-web at: http://www.usaid.gov/business/regulations/

E. Applicability of 22 CFR Part 226 (May 2005)

- The provisions of 22 CFR Part 226 and the Standard Provisions that will be attached to the Agreement upon award are applicable to the recipient and to sub-recipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a sub-recipient from coverage. The Recipient shall assure that sub-recipients have copies of all the attached standard provisions.

- For any awards or sub-awards made to Non-US organizations, the "Standard Provisions for Non-US Non-governmental Grantees" shall apply. All Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[End of Section I]

SECTION II – Award Information

A. Estimate of Funds Available

Subject to the availability of funds, USAID intends to provide $20 million in total USAID funding for the life of the two-year program.

B. Number of Awards Contemplated

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

C. Start Date and Period of Performance

The estimated start date is on or about September 1, 2013. The period of performance of the agreement anticipated herein is two years.

D. Type of Award

USAID plans to award an assistance instrument known as a Cooperative Agreement, or CA. A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer Representative, or AOR. The intended purpose of the AOR involvement during the award is to assist the Recipient in achieving the supported objectives of the Agreement.

E. Substantial Involvement

Due to the sensitivity and importance of the KFZ program, USAID/Afghanistan plans to exercise substantial involvement in the following ways:

Key Personnel

Written approval of any proposed key personnel is required by the Agreement Officer (AO). Prior to replacing any of the specified individuals, the implementing partner must notify both the USAID Agreement Officer and the Agreement Officer’s Representative (AOR) reasonably in advance and must submit written justification (including proposed substitutions if already identified) in sufficient detail to permit evaluation of the impact on the program. No replacement will be made without written consent. For KFZ, USAID defines the following as Key Personnel:

- Chief of Party
- Provincial Program Manager
- Monitoring and Evaluation Manager

Performance Management Plan

Prior approval by the AOR of a complete Performance Management Plan (PMP), which shall be submitted within 45 calendar days of the signing of the Agreement, to include an illustrative timeline for the completion of performance management tasks, plans for training staff, reporting and information sharing, and marking and branding;

The Performance Management Plan elements shall include, but are not limited to:

- Intermediate results and indicators along with targets for each fiscal year;
- Baseline data for conditions at the start of the project;
- Reporting of deliverables against PMP targets and Data Quality Assessment (DQA);

Annual Workplan

Approval by the AOR of an annual workplan, including a training plan, annual indicator targets, and budget describing all the activities to be funded under the Agreement. Planned activities shall be represented in Gantt chart format. The implementing partner must submit the first year workplan within 30 calendar days from the signing of the Agreement and cover the period of one year from the effective day of the award. The second year workplan shall be submitted 30 calendar days prior to the end of the first year from the effective day of the award. The workplan, which should be prepared in coordination with USAID, MCN and other partners, should include a budget showing key line items. If applicable, the workplan should also reflect the amount of partner contributions to be provided, whether these are cash or in-kind contributions, and what these contributions will cover. The workplan shall describe the implementing partner's planned activities for the year, including a timeline with relevant milestones indicated, and include expected results, tied to the implementing partner's PMP. Significant changes by the implementing partner to the approved annual workplans will require USAID AOR approval.

Approval of activities

The AOR will approve all activities implemented under this Cooperative Agreement.

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

A. Applicants

This is a full and open competition and all interested and qualified U.S. Non-Governmental Organizations and Non-U.S. Non-Governmental Organizations are encouraged to apply.

B. Cost Share

Cost sharing is an important element of the USAID-Recipient relationship. In addition to USAID funds, the Applicant is encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGO, local counterpart organizations, project clients, the Government of the Islamic Republic of Afghanistan (GIRoA), or other donors (not other U.S. government funding sources). This may be from program generated funds such as client savings, interest, and fees in accordance with USAID standard provisions on cost sharing.

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Point of Contact

The point of contact for this RFA is:

Najeebullah Yousef
Acquisition and Assistance Specialist
USAID/Afghanistan
US Embassy CAFÉ Compound
Great Massoud Road
Kabul, Afghanistan
Email: NYousef@state.gov
Any questions concerning this RFA must be submitted in writing to Najeebullah Yousef at NYousef@state.gov, with a cc to Ragheda Rabie, Agreement Officer at Rrabie@state.gov, no later than 1630 Kabul Local Time, May 19, 2013.

B. Required Forms

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

- SF-424, Application for Federal Assistance;
- SF-424A, Budget Information – Non-construction Programs; and
- SF-424B, Assurances Non-construction Programs.

These forms are available through the following link:

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

C. Pre-Award Certifications, Assurances and Other Statements of the Recipient

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

- For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs;

- A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);

- A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries**;**

- A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;

- A signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking;"

- Survey on Ensuring Equal Opportunity for Applicants; and

- All Applicants must provide a Data Universal Numbering System (DUNS) Number.

D. Application Preparation and Submission Guidelines:

USAID will accept applications from the qualified entities listed in Section III. A of this RFA. Applications may be submitted by institutions individually or in group. In the case of a group, the application must include only one prime Applicant, which shall enter into sub-agreements or contracts with partnering institutions. In this case, the Prime Applicant will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term "Applicant" is used to refer to the prime and any proposed partners.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the applications. Applications which are incomplete are not directly responsive to the terms, conditions; specifications and provisions of this RFA may be categorized as non-responsive and eliminated from further consideration.

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. All Applicants shall submit electronic applications to Kabul USAID OAA mailbox at kabulaidoaamailbox@usaid.gov with Cc to Najeebullah Yousef Acquisition and Assistance Specialist at NYousef@state.gov . The solicitation number must be quoted in the subject line.

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. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below. Applications that are submitted late, incomplete or are considered to be non-responsive to this RFA may be eliminated from further consideration.

Page limitations are specified below for each section; applications must be on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger in Times New Roman, and have at least one inch margins on the top, bottom and both sides. Responses are to follow the format of the RFA. Applications that do not respond following the technical application format and the evaluation criteria outline may be eliminated from further consideration.

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

E. Technical Application Format

The Technical Application shall contain the following sections:

- Cover Page;
- Application Executive Summary;
- Program Narrative;
  a. Technical Approach (Methodology and Plan)
  b. Management Capacity, Key Personnel and Staffing
  c. Past Performance
- Required Attachments (Do not count against page limitations)

1. Cover Page

A single page with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary Applicant clearly; followed by any proposed sub-grantees and/or recipients, including a brief narrative describing the unique capacities and skills being brought to the program by each institution. In addition, the Cover Page should include information about 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, e-mail address and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.

2. Application Executive Summary

A no more than two page brief description of proposed activities, goals, and anticipated quantitative and qualitative results. Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding for the proposed program.

3. Program Narrative

In 25 pages or less, the Applicant will describe the proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and the methodology to be used for achieving the KFZ objectives. The application's structure should reflect the evaluation criteria listed in Section V and will be comprised of the following sections, which are described more fully below:

- Technical Approach (Methodology and Plan);
- Management capacity and staffing; and,
- Past performance.

3.1. Technical Approach (Methodology and Plan)

a. Contextual overview that describes how the program has been designed for implementation within the Afghanistan operating environment and reflects the program purpose and objectives as described in Section I.
b. Theory of Change proposed.
c. Proposed Ministry of Counter Narcotics Strengthening Activities.
d. Proposed Alternative Livelihoods Activities.
e. Coordination Plan.

3.2 Management Capacity and Staffing

Personnel

The Applicant will present a draft, comprehensive staffing plan with a level of effort chart that includes key personnel, other long-term staff (including, for example, Agriculture Advisors, etc.), short-term staff, professional staff, and administrative staff. Applicants are encouraged to show how Afghan expertise will be incorporated into the program. Applicants will also show how they will build capacity among local staff and partners.

According to ADS 303.3.11.b, USAID’s policy limits key personnel to a reasonable number of positions, generally no more than five positions or five percent of Recipient employees working under the award, whichever is greater. The key personnel are expected to fulfill the following illustrative primary responsibilities to ensure quality programming in a fluid, complex operating environment. The following three positions are designated by USAID as key personnel:

- Chief of Party: The applicant should recommend a Chief of Party with extensive experience in alternative livelihoods development within a counter narcotics context. The Chief of Party will have overall management responsibility of the program and shall be responsible for representing the implementing partner to USAID and other stakeholders. The Chief of Party will have extensive experience managing high-profile programs, including experience in engagement with senior host government leadership. The Chief of Party will have frequent and high-level engagement with the Ministry of Counter Narcotics and will have oversight of both the MCN capacity building and the Kandahar alternative livelihoods components of the KFZ. The Chief of Party is currently envisaged to be based in Kabul and, possibly located in the Ministry headquarters, though this is not a program requirement or a selection consideration. The Applicant may propose an alternative location based on program implementation and coordination considerations.

- Provincial Program Manager: The Provincial Manager is expected to lead program implementation and manage day-to day operations in Kandahar Province. The Provincial Manager will oversee security, procurement, logistics, and personnel at the provincial and district levels. The Provincial Manager will conduct frequent project site visits, attend meetings with Kandahar provincial and district officials and with USAID officials at the Regional Platform South. The Provincial Manager should possess a demonstrated understanding of the special requirements necessary to manage counter narcotics and alternative livelihoods programs in a conflict-prone environment.
- Monitoring and Evaluation Manager: The Applicant should recommend an experienced Monitoring and Evaluation Manager to oversee all reporting, monitoring and evaluation of the program implementation. The incumbent should have the requisite training and experience, including developing baselines, structuring monitoring of remote programs that include use of host country structures, designing evaluations, and a record of conducting evidence-based monitoring and evaluation work that looks at programs at the outcome and impact level. The Monitoring and Evaluation Manager will work closely with Ministry monitoring and evaluation staff and shall have experience in training and capacity building with the goal of transferring these capacities to Ministry staff at the central and provincial levels.

USAID does not have any preference as to whether the key personnel are U.S., third-country, or Afghan staff. However, given the nature and scope, geographic reach, and complexity of this program, USAID expects these key personnel to have the appropriate qualifications and experience to work as a team to manage a complex U.S. Government program in a central and provincial context. To the extent possible, provincial level staff should be made up of Afghans with the ability to travel with minimum security requirements within Kandahar province. In keeping with Mission goals for Afghan-owned processes, applicants are encouraged to demonstrate how Afghan expertise will be incorporated into the program. The Applicant shall discuss the organization's key personnel based on their combined qualifications and experience relevant to achieving this program's objectives and results. As Attachment A, the applicant will submit resumes and letters of commitment from key personnel. Also as part of Attachment A, Applicants will provide Statements of Qualification for each proposed key personnel. The intent of the Statements of Qualification is for the applicant to clearly explain how the particular individual proposed is the best suited individual for the position, the project, and the context. The Statements of Qualification will consist of brief descriptions of key personnel illustrating their relevant experience and other qualifications for holding the position.

Organization Plan
The Applicant will provide an organization plan, as Attachment B, that demonstrates how it will make strategic and implementation decisions; monitor program performance; and, rapidly respond to emerging issues – both programmatic and security. The Applicant will submit a graphic organizational chart that demonstrates program lines of authority and reporting arrangements, including the proposed central office and field coordination reporting and program relationship.

Implementation Plan
The Applicant will present, as Attachment C, a proposed implementation plan, preferably in Gantt form, which demonstrates how proposed activities and sub-activities are timed and sequenced. The implementation plan will demonstrate how activities and sub-activities are linked with the theory of change and program approaches as described in Section 4.2.

Mobilization Plan
The Applicant shall submit, as Attachment D, a mobilization plan with proposed timeframes/benchmarks for training and deploying staff, setting up offices, procuring vehicles and office equipment, and initiating work activities at the national and sub-national levels. The mobilization plan should demonstrate and emphasize rapid program start-up and implementation.

3.3. Past Performance
Include a description of all contracts, grants, and cooperative agreements which the Applicant has implemented involving similar or related programs over the past three years with organizations (commercial, governmental, and NGOs). Include the following:

- Agreement (or grant/contract) name and award number (if any), annual amount received for each of the last three years, and beginning and ending dates;
- Performance location;
- Name and address of organization for which the work was performed;
- Current telephone number of responsible representative of the organization for which the work was performed;
- Brief description of the program activity and a summary of results achieved to include:

    1) Demonstrated knowledge and experience operating similar or related programs*;*
    2) Demonstrated experience putting in place systems and operational processes to ensure cost controls, transparency and accountability; and,
    3) Demonstrated experience collaborating with the military, host government and other relevant stakeholders.

4. Required Attachments to be Submitted with the Application
- Attachment A – Key Personnel
- Attachment B – Organization Plan
- Attachment C – Implementation Plan
- Attachment D – Mobilization Plan

- Attachment E – Security Plan (See Section V)
- Attachment F – Past Performance References (See Section V)
- Attachment G – Branding Plan (See Section V)

F. Cost/Business Application Format

The Cost/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 Agreement Officer to make a determination of responsibility. However, it is USAID's 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 awards 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 details. The budget shall be submitted in unprotected Excel worksheet format.

1. The Cost/Business Application must be completely separate from the Applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."

2. The Cost/Business Application should be for a period of up to 24 months using the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.

3. The budget to be presented under the Cost/Business Application should relate to results while also showing the inputs (see item 10, below) for each result. A matrix format will probably be most suitable.

4. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.

5. In the case of a group application, the Cost/Business Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the Applicant and its partners, including identification of the Applicant with which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

6. The required certifications should be included with the cost proposal.

7. The proposed budget should provide cost estimates for the management of the program (including program monitoring and communications and information sharing).

Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities, particularly to provide alternative to poppy cultivation in Kandahar province. Accordingly, those applications with minimal administrative costs may be deemed to offer the "best value" than those with higher costs for program administration. Additionally, if applicable, those applications with a greater proportion of cost share may be deemed to offer a “best value.”

Include a plan containing the main activities of the program. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementers; and (b) time frame, noting estimated dates of completion; and (c) the respective cost. This information would be added onto the Preliminary Annual Workplan requested under the Technical Application, but also including cost.

8. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.

9. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on line items.

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

   Fringe Benefits - If the Applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

   Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. 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

   Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.

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 the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Local institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government. Therefore no indirect costs should be included in the cost/business application submitted by local NGOs. Local institutions submitting applications should treat all indirect costs as direct costs.

Seminars and Conferences - 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.

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 or as approved by the AOR.

The awardee may fund travel, both domestic and international, for host country MCN officials under the capacity building component of this agreement, provided such travel is in line with the goals and objectives of the programs and the request clearly demonstrates the need for such travel. Such travel shall be proposed to USAID through the AOR and approved by the AO.

Source and Origin Requirements - Code 937 (any area or country including the cooperating country, but excluding foreign policy-restricted countries) is the authorized Geographic Code for procurement of goods and services.

10. Please include information on the organization's financial status and management, including:

    a. Audited financial statements for the past three years,
    b. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
    c. If the Applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the Applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

d. If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

11. The application should include information that substantiates that the Applicant:
    a. Has adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
    b. Has the ability to comply with the Agreement conditions, taking into account all existing and currently prospective commitments of the Applicant, non-governmental and governmental.
    c. Has a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the Applicant, Applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of Applicants using information from sources provided in accordance with "Past Performance" requirements referenced on page 33.
    d. Has a satisfactory record of integrity and business ethics.
    e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

    Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

12. Cost Sharing: Cost sharing is an important element of the USAID' recipient relationship. In addition to USAID funds, Applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Contributions can be either cash or in kind and can include contributions from the NGO, local counterpart organizations, project clients, the Government of the Islamic Republic of Afghanistan (GIRoA), and other donors (not other USG funding sources). This may be from program generated funds such as client savings, interest and fees in line with USAID standard provisions on cost sharing.

13. 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 artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

Technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Applicants shall organize the narrative sections of their technical submissions in the same order as the technical evaluation criteria are organized below. Applications will be evaluated based on the extent and appropriateness of the proposed implementation approaches and feasibility of achieving the intended objectives of the Kandahar Food Zone program.

While all the criteria elements are important to the evaluation of the proposals submitted, the technical approach and the management capacity will be weighted more heavily than the other sections. Applicants should understand these criteria serve to: (a) identify the significant issues which applicants should address in their proposals and, (b) set the standard against which all proposals will be evaluated. The greater the equality of proposals, the more important price becomes in selecting the best value to the U.S. Government.

If an award is not made on the initial applications, USAID may request clarification and supplemental materials from Applicants whose applications have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the Applicants with whom discussions are being held.

A. Technical Approach (Methodology and Plan)

The sections on Proposed Ministry of Counter Narcotics Strengthening Activities and Proposed Alternative Livelihood Activities are weighted equally, and more heavily than the other sections.

i. Contextual Overview: The Applicant will be evaluated on how the program has been designed for implementation within the Afghanistan operating environment and reflects the program purpose and objectives as described in Section I.
ii. Theory of Change: The Applicant will be evaluated as to how well they have offered a theory of change that illustrates how their activities will lead to a reduction of the drivers of opium poppy cultivation in targeted districts and in increase in alternative, licit livelihoods.
iii. Ministry of Counter Narcotics Strengthening Activities: The Applicant will be evaluated on their proposal to:
    - assess Ministry capabilities and capacity to plan, implement, monitor, and coordinate alternative livelihoods activities;
    - strengthen the Ministry to enable it to plan, implement, monitor, and coordinate alternative livelihoods activities nationwide; and,
    - to build capacity within the Ministry to receive on-budget assistance in accordance with USAID Public Financial Management Risk Assessment Framework (PFMRAF) standards.

iv. Alternative Livelihoods Activities: The Applicant will be evaluated on their proposed methodology to:
   - assess the drivers of opium poppy cultivation in targeted districts;
   - plan and coordinate approaches that reflect stakeholder involvement and buy-in; and,
   - identify activities that address assessment results and support realistic, appropriate, and sustainable community migration from poppy cultivation to alternative, licit livelihoods.

v. Coordination Plan: The Applicant will be evaluated as to the proposed effectiveness of the proposed plan for engagement and coordination with key stakeholders, including but not limited to:
   - USAID, INL, and other USG entities;
   - ISAF;
   - Other bilateral and multilateral organizations
   - Afghan Government, including MCN, provincial authorities, line ministries; and, Afghan security forces.

B. Management Capacity, Key Personnel and Staffing

All sections will be weighted equally and shall include:

i. Personnel: The Applicant will evaluated on:
   - the comprehensiveness and composition of the proposed staffing plan and the level of expertise of the proposed key personnel (submitted as Attachment A), and
   - how Afghan expertise will be incorporated into the program and how they will build capacity among local staff and partners.

ii. Organization Plan (submitted as Attachment B): The Applicant will be evaluated on how it will:
   - make strategic and implementation decisions;
   - monitor program performance; and,
   - rapidly respond to emerging program or security issues.

iii. Implementation Plan (submitted as Attachment C): The Applicant will be evaluated on:
   - how proposed activities and sub-activities are times and sequenced, and their feasibility in light of planned or anticipated conditions and assessments undertaken as part of the Technical Approach, and
   - how strongly activities and sub-activities are linked with the Applicant’s theory of change and program approaches.

iv. Mobilization Plan (submitted as Attachment D): The Applicant will be evaluated as to the appropriateness and realism of the proposed mobilization plan. The applicant will also be evaluated as to the extent of a rapid mobilization of program resources and personnel to support rapid program start-up and implementation.

C. Past Performance

Performance information (submitted as Attachment F) will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the Applicant. USAID will utilize existing databases of Applicant performance information and solicit additional information from the references provided in Section IV of this RFA and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an Applicant's performance. In addition each offeror will be required to facilitate the filling out and submission of the annex (5) past performance questionnaires to kabulaidoaamailbox@usaid.gov with a cc to Najeebullah Yousef at Nyousef@state.gov by the closing date of this RFA. USAID expects a minimum of five (5) submissions for each prime and one (1) for each major (20% or more) sub-awardee.

If the performance information contains negative information on which the Applicant has not previously been given an opportunity to comment, USAID will provide the Applicant an opportunity to comment on it prior to its consideration in the evaluation, and any Applicant comment will be considered with the negative performance information.

USAID will initially determine the relevance of similar performance information in terms of size, scope and complexity as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

The Applicant will be evaluated on:

i. Demonstrated knowledge and experience operating similar or related programs;
ii. Quality of product or service, including consistency in meeting program objectives and results; and,
iii. Demonstrated experience collaborating with the military, host government and other relevant stakeholders in a conflict environment

In cases where an Applicant lacks relevant performance history, information on performance is not available, or, an Applicant is a member of a class of Applicants where there is provision not to rate the class against a sub-factor, the Applicant will not be evaluated favorably or unfavorably on performance. The "neutral" rating assigned to any Applicant lacking relevant performance history is a score commensurate with the percentage of points received vs. possible points. An exception to this neutral rating provision: the non-small businesses prime with no history of subcontracting with small business concerns. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an Applicant's performance.

D. Cost Evaluation Criteria

No points are assigned for cost evaluation; however, each applicant's cost application will be evaluated separately from the technical application. The recipient should have a structure that will allow it to provide the greatest value (highest results) at the lowest cost; minimizing and/or eliminating overall administrative costs, overhead, international staff benefits, home office communications and support, and other non-value added to counter narcotics costs. Each applicant's cost proposal shall be evaluated based on the following criteria in comparison with the cost proposal of other applicants:

i. Effectiveness of proposed cost control structure including budget transparency to effectively track expenditures;
ii. Reasonableness of proposed labor cost and structure will include:
    a. expatriate salary structure and expense;
    b. local salary structure and expense; and,
    c. provincial level salary structure.
iii. Cost efficiency of proposed Other Direct Costs (ODCs):
    a. Offers market competitive pricing estimates of tangible items to be used for performance; and,
    b. Competitiveness of pricing and soundness purchase methods of international and in-country air travel and surface transportation.
iv. Cost-sharing, matching arrangements, and value of in-kind contributions, if any is proposed.
v. Reasonableness of overall proposed price.

E. Security Plan

Points will not be assessed for evaluation purposes. Security plans (submitted as Attachment E) will be reviewed in coordination with USAID's Security Office on the extent to which the plan demonstrates clarity, appropriateness, and feasibility of the proposed approach to ensure security for personnel and facilities. Plans will be assessed a pass or fail rating. If the deficiencies are deemed minor in nature, the Applicant will have an opportunity to address and correct them. The Applicant must have an acceptable plan prior to receiving an award.

F. Branding Strategy and Marking Plan

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub award, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22 CFR 226.91.
Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "Apparent Successful Applicant," as defined in the regulation. The Apparent Successful Applicant's proposed Branding and Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the Apparently Successful Applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by the Mission Director or other USAID Principal Officers, see 22 CFR 226.91(j). The applicant is to submit a Branding and Marking Plan as Attachment G.

G. Award

Award will be made to the responsible Applicant whose application offers the best value to the U.S. Government. Best value is defined as the expected outcome of a procurement that, in the U.S. Government's estimation, provides the greatest overall benefit in response to the requirement. The final award decision is made by the Agreement Officer.

The Agreement Officer's decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer's decision shall be directed to the Agreement Officer.

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

[END OF SECTION V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution.

A. Roles and Responsibilities

The Recipient shall be responsible to USAID/Afghanistan for all matters related to the execution of the Agreement. Specifically, the Recipient shall report to the USAID Agreement Officer's Representative (AOR), located within the Stabilization Unit, Kabul.

B. Activity Performance Management Plan and Reporting

- **Performance Monitoring and Evaluation System**

The recipient will maintain books, records, designs, other documents and evidences to demonstrate that funds are used in accordance with the terms of the Agreement and USAID's regulations. The Applicant to this RFA should also carefully review the USAID/Afghanistan Results Framework.

Within 45 calendar days, the preliminary PMP must be approved with relevant indicators and baseline data before major project implementation actions get underway. The PMP shall include the full set of performance indicators disaggregated; baseline values and targeted values; source of the data and method of collection; schedule for data collection; known data limitations, data quality assessment procedures, estimate of costs; possible evaluation studies; and, a calendar for the completion of each task.

- **Reporting Requirements**

The Recipient shall prepare and submit three copies of a final performance and financial report to the AOR that summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final performance and financial report shall also contain an index of all reports and information products produced under this agreement. The final report shall be submitted no later than 90 days after the estimated completion date of this Agreement, which will include but not limited to:

- basic identifying information, such as program name, award number, approval date, and country assisted;
- the total cost of the program funded by USAID, actual or estimated counterpart contributions, and the best available estimate of other host country or partner resources that contributed to results achievement;
- the principal implementing partner;
- a summary of activities/projects used to implement the KFZ and major outputs;
- qualitatively and quantitatively evaluate the design and impact of KFZ's counternarcotics value as a stabilization program in the context of the larger USG effort in Afghanistan;
- qualitatively and quantitatively evaluate the impact and effectiveness of KFZ;

- prospects for long-term sustainability of KFZ impact and principal threats to sustainability;
- distill lessons learned for application to other USAID programs, other Ministry planned Food Zones including a follow-on program in Afghanistan and similar programs in conflict affected environments;
- significant changes in the Results Framework during the life of the program, if any;
- a summary of performance indicators used and an assessment of their relative usefulness for performance management and reporting;
- charts and graphs that visually support evaluation of the program;
- a list and Attachments of evaluations and special studies conducted during the life of the program, including Performance Reports; and,
- names and contact point of individuals who were directly involved in various phases of the program (planning, implementation, and assessing and learning), and who would be good sources of additional information- if required.

- **Gender Requirements**

Congress has mandated that USAID programs address the needs and protect the rights of Afghan women and girls, including efforts undertaken to prevent discrimination and violence against women and girls; provide economic and leadership opportunities; increase participation of women in the political process at the national, provincial and sub-provincial levels; improve security for women and girls; and any other programs designed to directly benefit women and girls. As required by USAID policies, the Recipient shall integrate programming that addresses women involvement in counter narcotics into all stages of development, planning, programming and implementation as a part of this assistance program, even if such integration requires separate but equitable programming approaches. Such integration shall focus on Afghan-led programs directly aligned with any or all the three pillars of development outlined in the National Action Plan for the Women of Afghanistan (NAPWA): 1) Security; 2) Government, Rule of Law, and Human Rights; and, 3) Economic and Social Development. The Recipient shall establish the necessary accounting and management systems to separately track and report to USAID fiscal year expenditures under the Agreement supporting issues of gender equality and women and girls as beneficiaries during each fiscal year of the Agreement.

The Recipient shall establish the necessary implementation, management and reporting systems to separately track and report to USAID data on female beneficiaries and measurable impacts of activities intended to address the needs of women and girls. Project quarterly implementation reports shall specifically include information on the following, to the extent that it is applicable to the Agreement: 1) the total number of women and girls supported through the Agreement on a quarterly basis through Afghan Info; 2) number of interventions leading to increased licit employment and economic opportunities for women; and, 6) qualitative outcomes for women and girls who have benefited from the Agreement. The Recipient shall refer to USAID/Afghanistan's comprehensive Performance Management Plan (PMP) for complete list of gender indicators and may add customized indicators as needed. To the extent possible, indicators applicable to the Agreement will be disaggregated by gender.

- **Database Reporting Requirements**

The demands for performance information are constant and various in a high profile program such as Afghanistan's. The Afghan Info database, enabled to track performance indicators in addition to activity inputs and outputs, will be the basis for contributing to other regular, on-going reporting exercises and to the many ad-hoc requests for performance analysis that are a constant element of the environment of a high profile program.

The Afghan Info is a management information system to track program and project information for all mission-funded activities at the provincial, district, and village levels. The purpose of this database is to track the location of project implementation to the nearest village or geospatial coordinate, document the use of funds at the district level, and monitor the performance of development projects, while maintaining coordination between USAID/Afghanistan, USAID/Washington, Congress, implementing partners, the Government of Afghanistan, and other stakeholders. This reporting process supports the Government of Afghanistan's requirement that USAID provide information to the Ministry of Finance in order to track on-going and completed donor-sponsored development activities.

The Recipient shall provide at least a quarterly update of information on the activities under the Agreement by entering this information into the Afghan Info database. The Recipient shall enter information via an Internet website or a Microsoft (MS) Access Database; USAID will provide the URL address or Access Database, and a user ID/password. A comprehensive user manual will be provided that details on the required information and processes needed for managing the information in USAID/Afghanistan information system.

[END OF SECTION VI]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is
Ragheda Rabie
Agreement Officer
USAID/Afghanistan
US Embassy CAFÉ Compound
Great Massoud Road
Kabul, Afghanistan
Email: rrabie@state.gov

The A & A Specialist for this Award is:
Najeebullah Yousef
Acquisition & Assistance Specialist
USAID/Afghanistan
US Embassy CAFÉ Compound
Great Massoud Road
Kabul, Afghanistan
Email: NYousef@state.gov

The AOR for this Award will be designated after the signature of the Award.

[END OF SECTION VII]

SECTION VIII – OTHER

A. Branding Strategy – Assistance (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) Submission. The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the Applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) <u>Positioning</u>

What is the intended name of this program, project, or activity?

<u>Guidelines</u>: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-

brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) <u>Program Communications and Publicity</u>

Who are the primary and secondary audiences for this project or program?

<u>Guidelines</u>: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: Afghan civilians victims harmed by military operations, Secondary audience: Afghan communities and local governance structures.*

What communications or program materials will be used to explain or market the program to beneficiaries?

<u>Guidelines</u>: These include primarily word of mouth visits, pamphlets, Public Service Announcements. The program does not envision the development of communication products as significant deliverables.

What is the main program message(s)?

<u>Guidelines</u>: *For example: "Visit your local provincial office for information."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

<u>Guidelines</u>: These may include fact sheets, success stories, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

What is the direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

B. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan.

Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

A *Presumptive Exception* exempts the Applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h) (6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the Applicant ineligible for award of a grant or cooperative agreement. The Applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) The program deliverables that the recipient will mark with the USAID Identity,

(ii) The type of marking and what materials the Applicant will be used to mark the program deliverables with the USAID Identity, and

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

(3) A table specifying:

(i) What program deliverables will not be marked with the USAID Identity, and

(ii) The rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception.

Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the Applicant's cost data submissions; with the Applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

C. Marking under USAID-Funded Assistance Instruments (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or subagreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID

Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements "flow down'' to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's , other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [*Agreement Officer fill-in*] days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the Applicant uses to mark the program deliverables with the USAID Identity,

(iii) when in the performance period the Applicant will mark the program deliverables, and where the Applicant will place the marking,

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

D. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

(b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

(b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

(i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;

(ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or

(iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice
about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

(c) The following definitions apply for purposes of this provision:

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

"Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

(e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

E. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE – THE GLOBAL FUND TO FIGHT AIDS, TUBERCULOSIS AND MALARIA, THE WORLD HEALTH ORGANIZATION, THE INTERNATIONAL AIDS VACCINE INITIATIVE, AND ANY UNITED NATIONS AGENCY) (APRIL 2010)

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b) The following definitions apply for purposes of this provision:

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

"Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(c) The recipient shall insert this provision, which is a standard provision, in all subawards.

(d) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

F. Ineligible Countries (MAY 1986)

Unless otherwise approved by the USAID Agreement Officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

G. Nondiscrimination USNGO (JUN 2012)

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination on the basis of race, color, national origin, age, disability, or sex under any program or activity funded by this award when work under the grant is performed in the U.S. or when employees are recruited from the U.S.

Additionally, USAID is committed to achieving and maintaining a diverse and representative workforce and a workplace free of discrimination. Based on law, Executive Order, and Agency policy, USAID prohibits discrimination, including harassment, in its own workplace on the basis of race, color, religion, sex (including pregnancy and gender identity), national origin, disability, age, veteran's status, sexual orientation, genetic information, marital status, parental status, political affiliation, and any other conduct that does not adversely affect the performance of the employee.

In addition, the Agency strongly encourages its recipients and their subrecipients and vendors (at all tiers), performing both in the U.S. and overseas, to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees on these expanded bases, subject to applicable law.

H. 4-14.001 Information for Non-US contractors, subcontractors, and key individuals

(a) The awardee must complete and submit the “Information Form” (Annex E), for:

(i) Itself, if it is a non-U.S. entity;

(ii) Each sub-award or sub-awardee of a sub-awardee, regardless of the tier, that is a non-U.S. entity; or

(iii) Each key individual that is a non-U.S. entity.

(b) For purposes of this clause, the following definitions apply:

“Non-U.S. entity” means (1) any non-US citizen or non-permanent legal resident of the United States; or (2) any entity that is not formed in the United States or for which 50% or more of the equity is owned or controlled by persons who are not U.S. citizens or permanent legal residents of the United States.

“Key individuals” means (i) an individual or entity owning 10% or more equity stake in the organization, whether publically- or privately-held; (ii) principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of

the board of directors or board of trustees); (iii) the principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president); (iv) the program manager or chief of party for the USAID-financed program; and (v) any other person with significant responsibilities for administration of USAID financed activities or resources.
"Award" means any contract, grant, guarantee, cooperative agreement, or any other instrument that acts as any of the same awarded by USAID. Unless the context otherwise requires, an Award includes Sub-awards, as defined below.
"Awardee" means any individual or organization that receives an Award. Unless the context otherwise requires, an Awardee includes Sub-awardees, as defined below.
"Sub-award" means any grant, subgrant, guarantee, subcontract, or any other instrument that acts as any of the same awarded by an Awardee pursuant to an Award.
"Sub-awardee" means any individual or organization that receives a Sub-award**.**
(c) The requirements of paragraph (a) of this clause must be completed at prior to the Government's acceptance of the contract and following that, at the earlier of:
(i) Once a year; or
(ii) When there is a change or addition to any entity or person identified in paragraph (a).
(d) The requirements of paragraph (a) must be sent via email to Kabul_usaid_vsu@state.gov. The subject line shall include the prime award number the awardee name and the awardee's Joint Contingency Contracting Registration number.
(e) USAID reserves the right to rescind approval for a sub-award in the event that USAID subsequently becomes aware of information indicating that the sub-award is contrary to U.S. law or policy prohibiting support for terrorism, or facilitating criminal activity. In such cases, USAID's Agreement Officer will provide written instructions to the recipient to terminate the sub-award**.**

I. SUB-AWARD REQUIREMENTS (MARCH 2012)

(a) Applicability: This section limits the number of tiers of sub-awards to two tiers below the awardee for all Contracts and Cooperative Agreements. The awardee must not allow lower-tier sub-awards without the express written approval of the Contracting/Agreement Officer.

(b) Definitions: The term "award" in this clause refers to either the direct contract between USAID and the prime contractor or a direct Cooperative Agreement between USAID and the recipient. A "first-tier sub-award" is a direct award between the awardee and a sub-awardee (the "first-tier sub-awardee"). A "second tier sub-award" is a direct award between the first-tier sub-awardee and its subawardee (the "second-tier sub-awardee").

(c) USAID's objective is to promote, to the extent practicable, competitive, transparent and appropriate local sub-awards with legitimate and competent subawardees. Awardee will ensure that all sub-awardees at any tier are actively engaged in the performance of sub-awarded work. Awardee will ensure that subawardees do not engage in "brokering" or "flipping" their sub-awards under this award and that all sub-awardees at any tier self perform appropriate portions of the work. "Brokering" or "flipping" is the practice of a sub-awardee receiving a subaward and either selling such sub-award or not performing a significant percentage of the work with the sub-awardee's own organization.

(d) Should exceptional circumstances warrant sub-awards below two tiers, the Awardee will promptly request approval in writing from the Contracting/Agreement Officer, which for contracts may be done in conjunction with a request under FAR 44, provided that the additional information set forth in paragraph (e) below is also provided.

(e) Awardee's written request for approval to allow sub-awardees below the second tier will include the following information:

(i) Sub-award number and title (or a general description of the sub-award work) of the existing sub-award;

(ii) Detailed explanation regarding why the work to be performed by the lower-tier sub-awardee cannot be performed by the prime or the two levels of sub-awardees.

………….End of Section VIII…………

ANNEX 1- CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPEINT

Part I. Certifications and Assurance.

Part II. Key Individual Certification Narcotics Offenses and Drug Trafficking.

Part III. Participant Certification Narcotics Offenses and Drug Trafficking.

Part IV. Survey on Ensuring Equal Opportunity for Applicants.

Part V. Other statement of Recipient.

ANNEX 2- PARTNER INFORMATION FORM

ANNEX 3- PAST PERFORMANCE QUESTIONNAIRE

[END OF SECTION VIII]

ANNEX 1

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

Table of Contents

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

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

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

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

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

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

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

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

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and

activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

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

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

2. Certification Regarding Lobbying

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. 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 is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification -

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

b. "Terrorist act" means -

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

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

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

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

Request for Application or
Annual Program Statement No. ___________________________

Application No. ________________________________

Date of Application ________________________________

Name of Recipient ________________________________

Typed Name and Title ________________________________

Signature ________________________________

Date ________________________________

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

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

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

Signature: ______________________________

Date: ______________________________

Name: ______________________________

Title/Position: ______________________________

Organization: ______________________________

Address: ______________________________

____

Date of Birth: ______________________________

NOTICE:

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

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

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

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

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

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

Signature: ___________________________________

Name: ___________________________________

Date: ___________________________________

Address: ___________________________________

____

Date of Birth: ___________________________________

NOTICE:

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

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

Part IV – Survey on Ensuring Equal Opportunity for Applicants

Applicability: All Requests forApplication (RFAs) 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

Part V – Other Statements of Recipient

1. Authorized Individuals

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

Name Title Telephone No. Facsimile No.

____

____

____

2. Taxpayer Identification Number (TIN)

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

TIN: ________________________________

3. Data Universal Numbering System (DUNS) Number

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

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

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

(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: ____

4. Letter of Credit (LOC) Number

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

LOC: ____

5. Procurement Information

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

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

$__________________________

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

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

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

TYPE/DESCRIPTION ______________________________
QUANTITY ______________________________
ESTIMATED GOODS ______________________________
PROBABLE GOODS ______________________________
PROBABLE (Generic) ______________________________
UNIT COST ______________________________
SOURCE ______________________________

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

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

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

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

6. Past Performance References

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

7. Type of Organization

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

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

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

8. Estimated Costs of Communications Products

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

Part VI – Standard Provisions for Solicitations

1. Branding Strategy - Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

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

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

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

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

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

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

(i) USAID prefers to have the “USAID Identity,” comprised of the USAID logo and brandmark, with the tagline “from the American people” as found on the USAID Web site at transition.usaid.gov/branding, included as part of the program or project name.

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

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

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

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos.

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

segments.

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

(i) Describe the main program message.

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

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

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

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

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

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

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

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at http://transition.usaid.gov/branding.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(v) The rationale for not marking program deliverables.

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

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

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

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

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

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

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

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

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

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

(END OF PROVISION)

3. Conscience Clause Implementation (Assistance) – Solicitation Provision (February 2012)

APPLICABILITY: This provision must be included in any APS or RFA anticipated to use FY04 – FY13 funds available for HIV/AIDS activities.

CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION (FEBRUARY 2012)

a. An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

(1) Must not be required, as a condition of receiving such assistance—

   (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or

   (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

(2) Must not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

b. An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Standard Provision “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

c. In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror’s proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

ANNEX 2

Part I: Information About Proposed Activities (all parts mandatory)				
1. Name of the proposed awardee of USAID contract or assistance (Firms must include a copy of applicable licenses to do business in Afghanistan)				
2. Type of proposed award or other assistance (check one): ☐ Contract or Subcontract ☐ Grant or Subgrant ☐ Training ☐ Equipment ☐ Other				
3. US$ amount and estimated start/end date of proposed award or assistance: Dollar amount: $ Start: End:				
4. Purpose of proposed award or assistance:				
5. Organization proposed to receive award or other assistance:				
a. Name:				
b. Address:				
c. Telephone:		d. Fax:	e. Email:	
f. Tribal affiliation or clan				
6. Information on Key Individuals associated with the organization named in 5 above, or, if no organization is listed, information on each individual to receive cash or in-kind assistance (including technical assistance). Use continuation sheets as necessary. ** = mandatory information.				
A. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**		
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**		
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**		
Current employer and job title:		Occupation:		
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)		
Email:				
Part II: Contractor/Grantee/Recipient Certification:				
Potential Awardee certifies in submitting this form that it has taken reasonable steps (in accordance with sound business practices) to verify the information contained in this form. Contractor/Grantee/Recipient understands that the U.S. Government may rely on the accuracy of such information in processing this vetting request.				
Name:		Signature:		
Title/Organization:			Date:	

Part III: Submission details (to be completed by USG vetting official)	
Vetting request number	
Staff member who initiated request	
Project name	
Date submitted for screening	

(Use additional continuation sheets as necessary):

B. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:**		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)
Email:		
C. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:**		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)
Email:		
D. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)
Email:		
E. Name (As in passport or other government-issued photo ID):**		Government-issued photo ID number, type of ID and country of issuance:**
Place of birth:**	Date of birth:** (mm/dd/yyyy)	Rank or title in organization listed in #5 (if "key individual"):**
Other names used (may include nicknames, pseudonyms not listed under "Name"):**		Gender:**
Current employer and job title:		Occupation:
Address of residence:**		Citizenship(s):** (Afghans: Tribal affiliations and Father's Name)
Email:		

INFORMATION FORM INSTRUCTIONS

<u>Please provide information for key individuals of all organizations receiving funds from USAID, including grantees, sub-grantees, contractors, and vendors, who work in Afghanistan. Please do not provide information for United States citizens or permanent legal residents of the United States.</u>

<u>Part I</u>

Question 1 – Self-explanatory
Question 2- Indicate the proposed type of mechanism to be utilized by placing a check mark on the line in front of the appropriate term
Question 3 – Enter the amount of award or assistance in U.S. dollars and indicate the start and end date of the program using a mm/dd/yyyy format
Question 4 – Indicate the purpose of the award or assistance. Use additional sheets and attach to page one of the vetting form if necessary
Question 5 a-g – Self-explanatory.
Attach a copy of the relevant Afghan business license.
Question 6 - "<u>Key Individual</u>" means (i) Any large shareholder: defined as owning 10% or more of an equity stake in the organization, whether publically or privately held; (ii) Principal officers of the organization's governing body (e.g., chairman, vice chairman, treasurer or secretary of the board of directors or board of trustees); (iii) The principal officer and deputy principal officer of the organization (e.g., executive director, deputy director; president, vice president); (iv) The program manager or chief of party for the USAID-financed program; and (v) Any other person with significant responsibilities for administration of USAID financed activities or resources (while a comprehensive list is not possible, this would include any person acting in a role substantially similar to those outlined in (i)-(iv). For Private Security Companies, this would include leadership roles down to the level of field commanders). Complete for each of these four categories or indicate "N/A" if a category does not apply. Use additional pages as needed. Attach copies of photo ID for each "key individual".

Note: If a "Key Individual" is a U.S. Citizen or Permanent Residents no information is required.

<u>Part II</u>
Individual filling out form must read the Certification and print their name where indicated, sign where indicated, print their title and the name of their organization where indicated, and print the date where indicated.

<u>Part III</u>

This section is not for individual's information and will be completed by the USG vetting official.

ANNEX 3:

PAST PERFORMANCE QUESTIONNAIRE

PART ONE: INSTRUCTIONS

The company who has provided you with this form is submitting an application for a U.S. Agency for International Development (USAID) RFA. Past Performance is an extremely important part of the evaluation criteria for this application, so your input is very important. **The completed questionnaire shall be submitted by email directly to Ragheda Rabie at Rrabie@state.gov** and Najeebullah Yousef at **Nyousef@usaid.gov**. This information will not be disclosed to the applicant. The completed questionnaire is due via email **no later than 1630 (4 P.M.) Kabul Time on the date applications are due, June 5, 2013.** If you have questions, please contact Ms. Ragheda Rabie, Agreement Officer, at **Rrabie@state.gov**.

PART TWO: GENERAL INFORMATION

1. APPLICANT'S NAME AND ADDRESS

2. CUSTOMER ORGANIZATION

3. CONTRACT/AGREEMENT NUMBER:

2a. EVALUATOR

4. CONTRACT/AGREEMENT VALUE:

NAME:

TITLE:

PHONE NO:

5. CONTRACT/AGREEMENT AWARD DATE:

6. CONTRACT/AGREEMENT COMPLETION DATE:

7. CONTRACT/AGREEMENT TYPE:
(Circle All That Apply)

FP CPFF CPAF T&M CA GRANT OTHER

8. COMPLEXITY OF WORK
(Circle One Response):

DIFFICULT ROUTINE

9. BRIEF DESCRIPTION OF YOUR CONTRACT/AGREEMENT REQUIREMENTS:

PART THREE: OFFEROR PERFORMANCE RATING

Annex 3: PAST PERFORMANCE QUESTIONNAIRE

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

A. **Corporate Commitment**
B. **Quality of Service**
C. **Timeliness of Performance**
D. **Teaming Arrangements**

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

OUTSTANDING	**Contractor/Recipient's performance significantly exceeded the contract requirements.**
GOOD	**Contractor/Recipient's performance exceeded the contract requirements.**
ACCEPTABLE	**Contractor/Recipient's performance met contract requirements.**
UNSATISFACTORY	**Contractor/Recipient's performance was less than acceptable and was unable to perform contract requirements successfully.**
N/A	**Not applicable.**

A	CORPORATE COMMITMENT	Outstanding	Good	Acceptable	Unsatisfactory	N/A
1	Did contractor/recipient provide effective contract and project management?					
2	Did the contractor/recipient provide a systematic approach to provide the most current technologies, services and/or techniques in the market place?					
3	How effective has the contractor/recipient been in understanding and responding to user					
4	Did the contractor/recipient establish and maintain effective quality control standards and procedures?					
5	Did the contractor/recipient demonstrate cost efficiencies in performing the required effort and was the effort performed within the estimated cost/price?					
6	Did the contractor/recipient demonstrate an effective small/small disadvantaged business subcontracting program and met Small Business subcontracting goals?					

B	QUALITY OF SERVICE	Outstanding	Good	Acceptable	Unsatisfactory	N/A
1	Did the contractor/recipient provide quality goods/services?					
2	Did the contractor/recipient provide quality reports and documentation (i.e., accurate current and complete)?					
3	Was the contractor/recipient able to solve contract performance problems without extensive guidance from Government counterparts?					
4	Did the contractor/recipient supply professional and qualified personnel?					
5	Did the contractor/recipient respond to emergency situations to include staffing and responsiveness?					

C	TIMELINESS OF PERFORMANCE	Outstanding	Good	Acceptable	Unsatisfactory	N/A
1	Did the contractor/recipient adhere to contract delivery schedules in the					
1(a)	(a) Performance of services?					
1(b)	(b) Delivery of reports or other documentation?					
1(c)	(c) Qualified Staffing?					

D	TEAMING ARRANGEMENTS	Outstanding	Good	Acceptable	Unsatisfactory	N/A
1	Did the contractor/recipient have an effective partnership with its team members?					
2	What percentage of the contract/agreement award work was performed by the team members? (Provide Percentage)					
3	Did the Prime contractor/recipient execute a teaming arrangement? (Circle	YES	NO			
4	GENERAL TOPICS					
	Did the contractor/recipient use EVM? (when applicable)	YES	NO			
	Did the contractor/recipient comply with 508 requirements? (when applicable)	YES	NO			

1 Has this contract/agreement been partially or completely terminated for default? YES NO ___________

If yes, please explain (e.g. inability to meet cost, performance, or delivery schedules - also include contract number, name, address, and phone number of Terminating Contracting Officer - TCO).

____

2. What was the Contractor/Recipient's greatest strength in the performance of the contract?

3. What was the Contractor/Recipient's greatest weakness in the performance of the contract?

4. Would you award another contract/agreement to this Contractor? YES _______ NO __________

5. COMMENTS:

PART FOUR: EVALUATOR'S CERTIFICATION

I HEREBY CERTIFY THAT THE INFORMATION IN THIS FORM IS ACCURATE AND COMPLETE TO THE BEST OF MY KNOWLEDGE.

SIGNATURE OF EVALUATOR

TITLE OF EVALUATOR **DATE**