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Project Guidelines **Community Livelihoods Project (CLP)**

I. Purpose

This integrated, flexible, multi-sectoral initiative will serve as the flagship project for the Mission's implementation of the 2010-2012 USAID/Yemen Strategy. This integrated, multi-sectoral program will be technically complementary to another new USAID/Yemen project, the Responsive Governance Project (RGP). This project is not a traditional development initiative, but it will rely heavily on tried and proven as well as innovative tools from transition and development environments. This project is intended to mitigate the drivers of instability in some of Yemen's most difficult areas through the facilitation and implementation of quality government service delivery, job creation, responsive local governance, and active civic participation. Rapidly responding to community-based initiatives to demonstrate USAID's and the Government of Yemen's commitment to underserved communities will be a hallmark of this project. Youth under 25 years old, representing 75% of Yemen's population, will be a particularly important demographic group throughout implementation. Activities will quickly and effectively mitigate critical threats to stability in Yemen by building trust and relationships between communities with historically difficult relations with Yemeni authorities and the citizens in targeted areas. The implementer will partner with and make extensive use of local, Yemeni organizations during the implementation of the project.

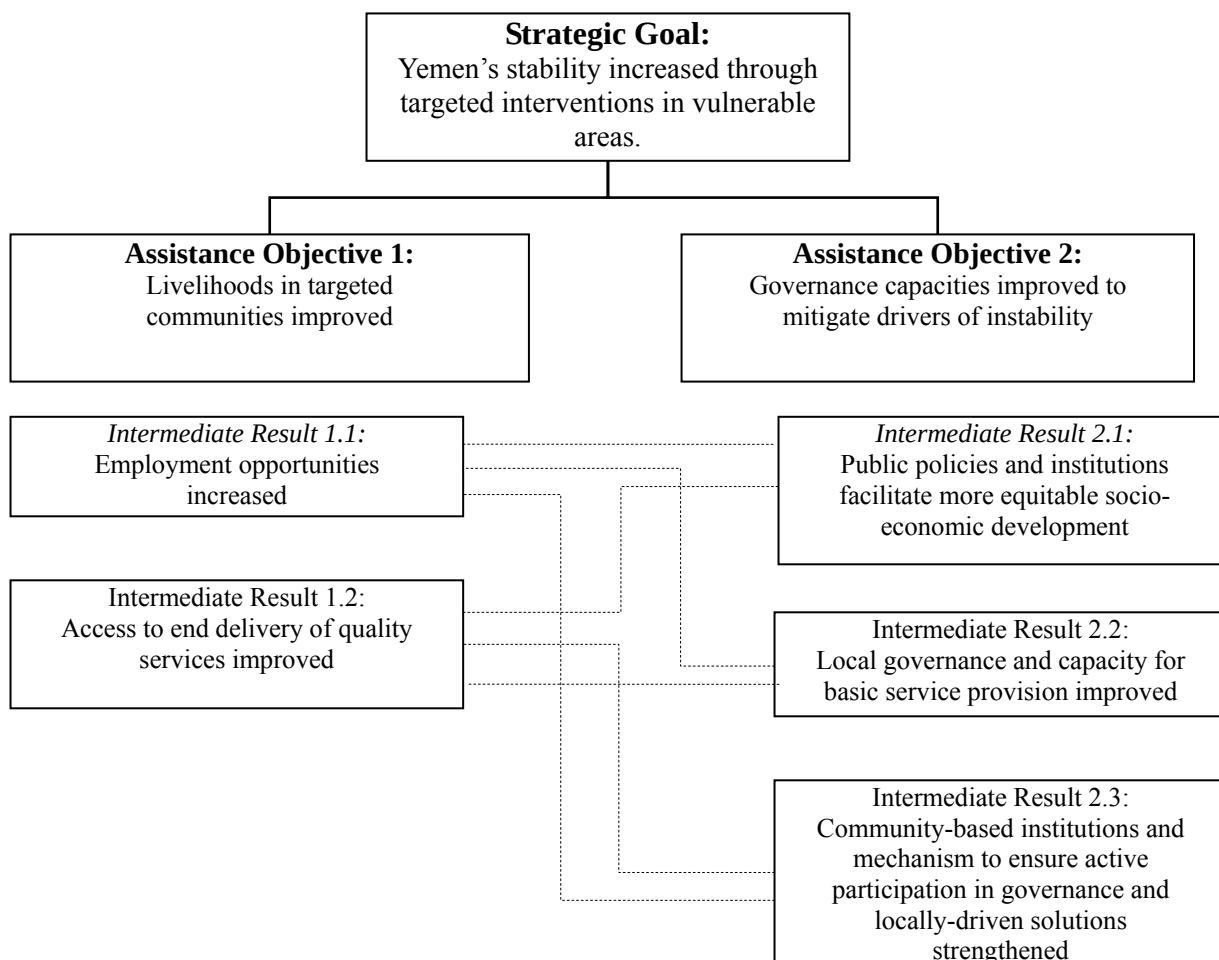
The implementers of the CLP and the RGP will make particular effort to coordinate with each other, collaborate thoroughly as appropriate, and complement each other's efforts as a way to improve conditions in Yemen's underserved, vulnerable communities. USAID/Yemen views such a close working relationship as absolutely key to the success of both CLP and RGP as their goals, objectives, and approaches are strategically integrated. Further, the CLP implementer will be responsible for measuring project impact and will coordinate closely with USAID's separate Monitoring & Evaluation Project, which will coordinate USAID's M&E efforts and track project results against overall stability measures. (USAID/Yemen's M&E Project will be procured under the Evaluation IQC (It is valued at approx \$8M for 3 base years). The award has not been made yet, though the solicitation should be released within the coming week(s).)

II. Background

The Republic of Yemen faces many serious challenges. Although it gains income from the production of rapidly diminishing oil and natural gas, Yemen's economic and social indicators are the lowest in the Middle East and North Africa. Among many other destabilizing factors, the country is threatened by armed conflict in the northern Sa'ada Governorate, a secessionist movement in the South, and the presence of violent extremist groups in the tribal areas of the East. For the purposes of USAID/Yemen's 2010-2012 Strategy and the Mission's implementation program, the drivers of instability are as follows: (i) large youth bulge and rapidly growing population, (ii) unequal development, political marginalization and repression of the disaffected, (iii) corruption, (iv) weak state institutions, (v) declining government revenues, (vi) growing natural resource scarcity, and (vii) violent Islamist extremism. A comprehensive description of the various threats to Yemen can be found in USAID's Inter-Agency Conflict Assessment Framework for Yemen, completed earlier this year (refer to Annex B). More background regarding Yemen's challenges and the U.S. Government's strategic approach can be found in the 2010-2012 USAID/Yemen Strategy, which is the guiding document for all development assistance efforts in Yemen in the coming years (refer to Annex B).

III. 2010-2012 USAID/Yemen Strategy

The results framework for USAID/Yemen's 2010-2012 Strategy is as follows:



The goal of the 2010-2012 USAID/Yemen Strategy is to increase Yemen's stability through targeted interventions in highly vulnerable areas. This will be accomplished through two assistance objectives (AOs): (1) livelihoods¹ in vulnerable² communities improved; and (2) governance capacities improved to mitigate drivers of instability. Traditional and innovative development tools and approaches will be used to achieve the objective. Implementation of the strategy, including this project, will include testing the hypothesis that targeted development interventions can positively affect stability in Yemen.

This project will contribute directly to the achievement of four of the five strategic intermediate results under the two AOs:

IR 1.1 employment opportunities increased

¹ The term "livelihoods" is defined as the collective factors in a community that have a direct impact on the quality of individuals' lives, including but not limited to infrastructure, basic government services like health and education, security, access to clean water, healthy environment, and access to and representation by local officials.

² The term "vulnerable", unless otherwise defined in this document, describes individuals, entities, or groups that are needy, poor, and/or susceptible – because of social, cultural, political, and/or economic characteristics – to being subjected to violence or extremism, or engaging in illegal and/or rebellious activities against widely accepted religious leaders or ideologies, traditional governing bodies, elected or appointed local representative bodies, local government entities, and/or the central government. Distrust of seemingly distant, disconnected central authority is a defining characteristic of this descriptor.

- IR 1.2 access to and delivery of quality services improved
- IR 2.2 local governance and capacity for basic service provision improved
- IR 2.3 community-based institutions and mechanisms to ensure active participation in governance and locally driven solutions strengthened

The project will also encompass a number of different project objectives and project areas from the US Government's foreign assistance framework, as listed below:

- *Governing Justly and Democratically*: Rule of Law/Human Rights; Good Governance; Civil Society
- *Investing in People*: Health; Education
- *Economic Growth*: Financial Sector; Infrastructure; Agriculture; Competitiveness; Economic Opportunity

IV. USAID/Yemen's Existing Program

USAID will utilize several other implementing mechanisms to achieve all the objective of the strategy. The new Responsive Governance Project (RGP), which will start around the same time as this project, will focus on IRs 2.1 "Employment opportunities increased", 2.2 "Access to and delivery of quality services improved", and 2.3 "Community-based institutions and mechanisms to ensure active participation in governance and locally-driven solutions strengthened" by analyzing obstacles to equitable development, transparent governance, stabilization, and prosperity and identify policies and projects that address them. The existing \$20.3 million Basic Education Support and Training (BEST) project aims to strengthen the capacity of communities, schools, and the Ministry of Education to sustain educational improvements for Yemeni youth. The \$8.8 million Youth Stability Initiative (YSI) is comprised of several projects aimed at increasing skills and economic opportunities of young people. The ongoing \$25 million Basic Health Services (BHS) project provides support to the Ministry of Health to provide quality health services to Yemenis in the areas of maternal and child health and family planning. In early 2010, USAID/Yemen will award an organization with an agreement to oversee the Mission's monitoring and evaluation efforts. Intended to oversee and centralize M&E information for the USAID Mission, this project will be a key partner during the course of this project's implementation. Lastly, as already noted, in early 2010, USAID/Yemen will award a cooperative agreement to implement a Responsive Governance Project (RGP). The implementers for the CLP and RGP will work closely together as their success will be inextricably linked. Further information on current USAID activities in Yemen is attached as Annex C.

V. USAID/Yemen's Development Partners

Republic of Yemen Government. On September 16, 2009, USAID signed a \$31 million bilateral assistance agreement with the ROYG through its Ministry of Planning & International Cooperation (MoPIC), with an anticipated three year assistance total of at least \$121 million subject to the availability of funds. The agreement between the two governments reflects agreement on the principles of the 2010-2012 USAID/Yemen Strategy focused on increasing Yemen's stability through community-level interventions and national level governance initiatives. The agreement reflects an explicit understanding and tacit approval by the ROYG that stabilization-type efforts are necessary at this time in Yemen's history. Though the funding level in the agreement is notional and out-years are subject to annual appropriations and the availability of funding, the assistance agreement signaled a dramatic increase in U.S. Government development support for Yemen.

The USAID-ROYG relationship is strong. Ministers are approachable and available to meet with USAID. Ministerial and other senior level officials are generally cognizant of USAID's efforts in the various sectors and appreciate the interventions implemented to date. During the strategy period, USAID and MoPIC agreed to hold quarterly coordination meetings and "performance reviews", which will allow the ROYG to maintain a

level of oversight of USAID initiatives and to ensure that USAID and its implementers maintain close ties with the ROYG's donor coordination body. Since the USAID Strategy for Yemen will be implemented principally at the local level through the CLP, this high level review process can help raise the awareness of the national government to local needs and to successful approaches contributing to USAID's intent of making the national government more responsive to the people's needs. USAID will continue to look for ways to strengthen those relationships and find new ways to coordinate USG and other donor assistance to the Yemeni people while helping the ROYG to build accountability, transparency, and technical capacity within their own institutions.

While not a current partner of USAID/Yemen, a particularly strong and well-funded development agency within the Yemeni Government is the Social Fund for Development (SFD), established in 1997 as an administratively and financially semi-autonomous agency and governed by a Board of Directors under the chairmanship of the Prime Minister. Its mandate is to improve access to basic social service for low-income groups and also to provide an example of an effective, efficient, and transparent institutional mechanism for providing social services in Yemen. It refines social service delivery approaches and empowers local communities to take charge of their local development. The SFD is generally considered as one of the most effective branches of the ROYG, in particular in the areas of community development, capacity building and small and micro-enterprise development.

U.S. Government. USAID's strategy and approach is part and parcel of a broader, integrated, USG-wide strategy. There are many agencies with which USAID/Yemen and its implementers coordinate and will continue to coordinate and plan jointly. In particular, the Department of Defense's (DOD) Special Operations Command Central (SOCCENT) office in Yemen, which manages DOD's civil affairs and community outreach projects, maintains strategic and operational approaches in line with USAID's, including community-based development activities. The goal of SOCCENT's strategy in Yemen is to counter violent extremist organizations (VEOs), particularly Al Qaeda in the Arabian Peninsula, which has established strongholds in Yemen's tribally dominated governorates, particularly Al Jawf, Marib, and Shabwa. Active dialogue with tribal leadership and civil affairs development projects are designed to improve quality of life and offer a viable alternative to violent extremist activities. SOCCENT has two teams in Yemen: the Civil-Military Support Element (CMSE) and the Military Information Support Team (MIST), and they are the primary interfaces between DOD and USAID/Yemen. CMSE oversees development and humanitarian assistance projects, and MIST implements initiatives that utilize various modes of communications, information networks, and community leaders to spread critical messages that attack drivers of instability and reinforce basic functions of civil society. The CLP must collaborate closely with DOD where feasible.

Through a combination of local and regional grants, the Middle East Partnership Initiative (MEPI) helps build the capacity of non-governmental organizations. The MEPI program supports indigenous reform movements through a grassroots approach. With MEPI's focus on economic, political, and educational reforms, the MEPI program has complementary goals to the USAID Mission's strategy. Specifically, the MEPI program targets civil society organizations with training and networking opportunities, highlighting in particular women's organizations and potential civil society and private sector leaders. While a partnership between MEPI and USAID/Yemen does not yet exist, USAID does review MEPI project proposals and coordination will continue to be key in the coming years.

The Department of Treasury, the Department of Justice, the Office of the U.S. Trade Representative, and the Department of Commerce, among other USG agencies, all maintain staff, programming, or interest in Yemen to achieve USG foreign policy objectives. USAID is called on frequently to collaborate on programming or advise these entities.

Foreign Governments and International Organizations. Yemen features a robust level of donor engagement and coordination. A range of bilateral and multilateral donors have been working in Yemen for years with the World Bank, United Nations Development Program (UNDP), European Union, Britain, the Netherlands, Germany, the Islamic Development Bank, Saudi Arabia, and Kuwait having the largest development assistance programs. Other key bilateral donors include Japan, France, Italy, and Canada. The donor agencies are fairly united in their efforts to complement rather than duplicate the work of other agencies. Noticeably absent from the donor coordination process are some of the most prosperous members of the Gulf Cooperation Council (GCC), including United Arab Emirates, and Qatar. There is a good mixture of donors active in the education, health, governance, and economic growth (including agriculture), water supply, and energy sectors. A summary of donor activities is attached as Annex E. In designing the CLP, USAID consulted closely with other foreign governments and international organizations to ensure complementarity.

VI. Geographic Focus

This project will target villages, communities, tribal areas, districts, governorates, and/or regions that are vulnerable and pose serious risk to Yemen's overall stability. It also will attempt to create buffer zones to prevent conflict from spreading into areas that are currently relatively stable. The eight governorates of greatest priority to USAID are Amran, Al Jawf, Marib, Shabwah, Abyan, Al Dhale'e, Lahj, and Aden. Importantly for this project, resources are insufficient to sustain operations in all eight governorates, but each of them has the minimal characteristics for targeting. Within each of these governorates, it will be important to focus on the most vulnerable areas, where stabilization needs are greatest, where interventions can have significant impact, where conflict drivers can be mitigated, and where government presence and legitimacy can be reinvigorated. The implementer should strive to build upon the relationships with communities that have been established by previous USAID and/or USG projects as well as to create new ones. It is extremely important that the implementer be sensitive to inter-communal and tribal dynamics as interventions in a particular community can create animosity in neighboring communities if they are excluded, possibly resulting in conflict. The implementer will also understand that political boundaries may have little application to tribal and community dynamics in targeted areas.

Prospective implementers must suggest areas of implementation as part of their applications, which will lay the foundation for work planning, processes, and rapid needs assessments. However, USAID will lead the process – to include the project implementer, the Government of Yemen, other USG agencies, and other stakeholders – to finalize the targeted areas within the first 90 days of the project. Targeting will be based on a multitude of factors, including but not limited to satisfying the criteria identified in the USAID strategy and this document, USG and ROYG interests and complementary capacities, and the results of the project's rapid assessments. Responding to the need for flexibility and in close coordination with USAID and other stakeholders, the implementer must be ready to adjust its geographic areas of operation if/as circumstances change.

The new RGP is focused on assistance to the central government and associated entities and initiatives, but it will also need to work with national networks of non-Sana'a based individuals, institutions, and organizations in order to accomplish its objectives. CLP's coordination and collaboration with the RGP will be critical.

VII. Security

Yemen is a country in the midst of several conflicts. The U.S. Embassy and USAID have implemented security measures and protocols to protect its employees during this period of increased vigilance. At this time, USAID implementers operating in Yemen under cooperative agreements are not subject to the same restrictions as Embassy staff or contractors, and they may operate freely throughout the country. However, USG-funded American citizens' travel in-country will be scrutinized more thoroughly than other staff. Regardless,

implementers operating under a cooperative agreement should plan to take security and safety measures commensurate with the level of risk associated with working in the types of areas detailed in this Project Guidelines document. Offerors may assume for the purposes of their applications that the U.S. Embassy's Regional Security Office (RSO) will share security-related information before and during the project period of performance, but offerors must include in their technical and cost application all additional security measures (that go beyond coordination and information sharing) that must be taken to safeguard staff in their work environment.

VIII. Suggested Implementation Approach

This section provides guidance to prospective implementers on what USAID believes are necessary components of the implementer's effort.

By necessity, an integrated livelihoods project requires a multi-sectoral approach at the community level that responds to targeted communities' articulated frustrations and needs. The implementer's range of assistance to targeted communities will be determined through an inclusive, community-based consultative processes, will be deployed quickly, will be mutually reinforcing, and will try to address long-standing issues resulting from years of being underserved. As an integrated initiative, each community-based initiative should be examined so that cross-sectoral links are made and efforts are complementary and build off ongoing efforts, including projects implemented by other donors and the ROYG. Coordination with existing USAID and other donor/USG implementers will be key and will likely reduce overlap and minimize costs, particularly in the water and electricity sectors where USAID's role is thin. This project must respond quickly, appropriately, inclusively, and flexibly to meet the needs of the communities it engages. Impact will be visible and tangible and communities will feel ownership of the projects being implemented.

Applications for the Community Livelihoods Project must demonstrate a thorough understanding of the underlying goals of the project, the suggested approach, use of best practices and lessons learned from other similar environments, and expected outcomes. At a minimum, successful applications to USAID will include the following aspects:

- *An integrated, inclusive, community-led approach:* An inclusive, multi-sectoral approach to addressing targeted communities' needs is an overarching goal, which will let them drive interventions and build capacity to carry out such work while putting development vision, success, and ownership into the hands of community members. Applications must demonstrate an understanding of utilizing a broad array of proven and innovative development tools and approaches while ensuring that the community-driven process and inclusivity remains paramount. The project, however, does carry specific challenges for achieving both sectoral and stability outcomes; it is important that, through integrated programming, health and education resources allocated to Yemen also achieve expected/required sectoral outcomes (relating specifically to congressional and agency earmark and indicator requirements).
- *Conducting rapid needs and viability assessments:* The first step of implementation will be to carry out rapid assessments to understand community dynamics, needs, and priorities in the eight governorates. Ultimately, this assessment phase is intended to help understand the suitability of the CLP for each targeted vulnerable community, the likelihood of meaningful impact by this project, and the potential pitfalls of working in, among, and between communities. These rapid assessments also will be the major factor in determining where, how, and when USAID and the implementer will implement this project. At the same time as the rapid assessments are being performed, the implementer is empowered

to identify obvious needs in extremely vulnerable communities that would give the implementer an opportunity to begin its rapid response projects in consultations with the communities.

- *Inclusion of rapid response, low-cost, visible, high impact activities* (short-/medium-term, beginning as soon as possible but no later than 1-3 months after identifying target communities): Stabilization is a medium- to longer-term objective, but in order to achieve these objectives in the Yemeni environment, the implementer must be able to demonstrate the intentions of USAID and the Yemeni Government as soon as possible in the implementation process. Weary of assessments and unfulfilled promises, most of Yemen's underserved, vulnerable communities are distrustful and wary of new projects and promises. As such, this project must quickly demonstrate visible impact at the community level in order to begin to build relationships and trust with community leaders and participants. Process, albeit expedited, cannot be lost during this phase as communities may value it equal to or more than the deliverable itself. The activities will respond to community-wide needs, selecting so-called "low hanging fruit" that will benefit the greatest number of people in a given community without creating resentment or conflict within and between communities. There is significant value in supporting projects that link youth with more established members/institutions of the community. The implementer will identify the most expeditious way to support rapid response projects while making sure that there is broad community interest and support. The implementer may consider developing a "toolkit" of rapid response activities, technologies, and approaches to be used for rapid response initiatives. This effort should lay the groundwork for longer-term interventions that will continue to address the stabilization objectives over several years. To the extent possible, the implementer should build upon previous experience and relationships. The implementer may consider utilizing the rapid response mechanism throughout the life of the implementer's work in the targeted communities if it serves project objectives.
- *Beneficiary targeting:* Beneficiary targeting should not create further discontent among or between communities. The implementer will need to monitor and stay apprised of, in close coordination with the M&E implementer, relationships and issues in the communities in and around those in which it is working. Also, engaging youth at every step in the process is a paramount consideration throughout this project. Also, gender considerations are an extremely important consideration for any implementation effort in Yemen; gender equity should be taken into consideration at all levels with a special focus on mitigating any interventions that may disrupt social harmony in the targeted communities. See Annex F for more information regarding gender considerations in Yemen. For instance, in particular, services to girls as they grow up are completely inadequate to ensure their equal participation in society in later years. Similarly, educational and job opportunities for boys and young men are completely inadequate for serving their social and economic needs as head of households and breadwinners.
- *Yemeni partners:* The implementer will partner with and make significant use of local Yemeni individuals and organization of all types throughout implementation. Partners may include grass-roots organizations already operating in Yemen as well as locally-registered organizations that can add value to the project's objectives. Further, non-traditional partners, such as religious leaders and tribal authorities, should be included as appropriate. In the spirit of President Obama's Cairo Speech and the USG's Global Muslim Engagement Initiative, non-traditional actors, particularly religious actors, have been identified as valuable and underutilized tools throughout the Middle East, and they will be extremely useful to mobilize in Yemen. Religious actors in Yemen possess authority, influence, and community respect as they teach traditional values and ethics. Engaging regional and American Muslim organizations may also present opportunities that otherwise would not exist in achieving the project's objectives. For all local organizations, the implementer should consider providing capacity building and

organizational development assistance to its partners as a way to increase the capabilities of Yemeni organizations and individuals over time.

- *Leveraging infrastructure and incentives:* In USAID's previous projects, there has been much effort to improve community infrastructure. Because of resource constraints under this project, USAID views infrastructure (for health, education, water, electricity, productive uses, social, etc.) as a tool by which livelihoods are improved while laying the foundation for other goals, including strengthened local governance, more jobs, better security, and greater social cohesion. Infrastructure activities can be a terrific incentive mechanism if used sparingly and appropriately, but they also can absorb significant financial resources at the expense of the other goals. Applicants must demonstrate how they will balance demands for infrastructure with the project's other activities. The approach must be based on the development and utilization of a strong and inclusive participatory process that helps build democratic processes and local capacities. The provision of community-driven infrastructure, both in process and in the ultimate deliverable, will be powerful tools in the applicants' arsenal. Other incentives that influence community and organizational behavior can be utilized as well, including awards for organizational development, partnerships, and investment.
- *Community education and mobilization:* Given the high level of poverty in Yemen, raising awareness for how families and communities can better serve their development needs is required. People understand their challenges, but it is much more difficult to construct solutions or to see why making certain decisions is beneficial for their family, community, tribe, or country. The poor tend to make decisions that serve short-term needs versus those that will better serve households or communities in the long-term. USAID anticipates that there will be a need to address community-based needs through certain kinds of awareness-raising and outreach efforts. Clearly, local groups and influential leaders (local council members, religious leaders, etc.) will be key partners in these efforts.
- *Build on plans, concepts, and strategies already endorsed by the ROYG:* The Yemeni Government has already done a great deal of work independently and with donors to establish strategies, plans, concepts, and approaches for the country's development. These include but are not limited to the National Reform Agenda, the "Ten Point Plan", and the 2006-2010 Third Development Plan for Poverty Reduction (DPPR), among many others. The implementer should make extensive use of these plans and strategies during the design and implementation of this project. The CLP implementer should be particularly cognizant of the need to maintain and/or expand upon relationships that have been built by USAID and other implementing partners during the previous and existing implementation phases.
- *Leveraging non-USG resources:* The vast majority of the implementer's activities will not be 100% funded by USAID. The implementer must consider how and from whom a portion of each project will be funded in cash, commodities, or in-kind contributions from the private sector, the ROYG, other donors, NGOs, communities, etc. The non-USG cost sharing contribution goal for each activity is 25%, though efforts should be made to exceed that goal. Similar livelihoods projects in other countries have ranged from 10-90% leverage rates, contributing substantially to the number of beneficiaries and depth of impact and sustainability. Exceptions to this guideline will be reviewed by USAID on a case-by-case basis.
- *Longer Term Projects* (medium-to-long term initiatives, beginning as soon as possible and continuing through the end of the project): Where feasible, the implementer will invest in longer-term, process-based, high-impact, community-driven activities that will build on the goodwill created by previous USAID projects and/or the rapid response phase of this component.

- *Coordination:* The anticipated resource levels to implement the proposed project for improving livelihoods in vulnerable communities is in-and-of-itself insufficient to affect significant sectoral advances and to demonstrate targeted improvements in the stability of Yemen. The project's success, therefore, will be directly dependent upon the implementing partner's ability to effectively coordinate with the other key partners. There will be several types of coordination that the application must address: cross-sectorally within the project, with the RGP and other USAID- and USG-funded initiatives, with donors and the private sector, and with governments and other implementers.
- *Work Planning:* Because of the Yemeni environment and the need for flexibility in this project, USAID will work closely with the implementer to adjust work plans frequently or as needed.

IX. Cross-Cutting Themes

The 2010-2012 USAID/Yemen Strategy emphasizes five crosscutting themes that must be fully integrated into the Community Livelihoods Project as appropriate: youth, gender, good governance, institution building, and resource conservation.

X. Project Objectives

The objective of the Community Livelihoods Project is to increase stability in vulnerable areas of Yemen. This goal will be achieved by designing and implementing a project that attempts to satisfy the intermediate results 1.1, 1.2, 2.2, and 2.3 of the 2010-2012 USAID/Yemen Strategy. To complement the strategic framework, applications should consider grouping activities under the following four component headings:

1. Employment opportunities increased
2. Access to quality basic services increased
3. Community participation and empowerment promoted
4. Local governance capacity strengthened

As already stressed, the implementers of the CLP and the RGP will make particular effort to coordinate with each other, collaborate thoroughly as appropriate, and complement each other's efforts as a way to improve conditions in Yemen's underserved, vulnerable communities. USAID/Yemen views such a close working relationship as absolutely key to the success of both CLP and RGP.

Applications that propose implementation teams comprised of a consortia of organizations will be considered.

All four objectives are interdependent, and success in achieving one objective will directly contribute to achievement of the others.

Component 1 - Employment Opportunities Increased

The objective of this project's employment generation component is to ensure that Yemenis, particularly young and male, become constructive participants in their communities through expanded employment opportunities. By providing youth with short- and long-term job opportunities, they can contribute to stabilization rather than detracting from it. The implementer will seek to address the needs of Yemen's rapidly growing and impatient youth population that is a source of the breakdown in the social fabric of some communities and who are potential candidates for recruitment to rebellious or extremist organizations and ideologies. The result is that youth are the principal threat to the stability of the ROYG, significantly pushing the envelope on the prospect of state failure. That said, the burgeoning youth population is an opportunity for the country, as long as youth are

engaged early and that working Yemenis feel their economic participation is based on traditional values that support community-based development goals. In the absence of this, a sizeable number of Yemeni youth are disillusioned and some succumb to radical ideologies that are inimical to U.S. and international interests. Early involvement of youth and providing productive opportunities is key.

USAID will focus employment generation efforts in the targeted geographic areas that challenge the authority of the Yemeni state and contribute to instability and potential conflict. The implementer should be aware that Yemen's needs in the field of economic development are substantial and that USAID will be unable to provide assistance across the entire spectrum of needs. However, the implementer will use as many or as few community-based economic development tools as appropriate and as funding permits in order to support this project's objectives. This component, integrated with the other components of this project, will tie the economic development tools utilized with other community-level interventions to create a package of assistance that is community-driven and sensitive to local conditions that contribute to stabilization.

The activities in this phase should focus on creating long-term employment opportunities in economic sectors that are traditional and/or acceptable to the vast majority of the community. However, in some circumstances and in some communities, short- or medium-term economic opportunities may be the only options for residents. Given that agricultural activities will feature prominently in employment generation initiatives in rural areas and for the sake of efficiency, the implementer should consider working in no more than 5-10 traditional, competitive crops and value chains³. A secondary objective of this phase of programming, as appropriate, is to partner selected economic development projects with (or use as a driver) community (social) or public works projects as well as those activities from other components of this project. The creation of sustainable employment opportunities is the primary driving force behind the medium-/longer-term economic development projects.

The employment generation component in both the short- and longer-terms presents the challenge of designing community-driven activities through a participative process that includes all stakeholders, including local government, citizen groups, tribal representatives, religious leaders, etc. that will create community ownership and sustainability of the initiatives. The following economic development and community engagement tools should be considered by the implementer as ways to promote employment opportunities in the short- and longer-term:

Illustrative activities:

Rapid Response:

- Microgrants
- Low-cost machinery for cooperatives
- Labor intensive repairs to road, bridges, water systems, tertiary irrigation, drainage ditches, community electrical systems
- Labor intensive construction/rehabilitation of sports fields
- Labor intensive refurbishing of community centers
- Labor intensive garbage collection and waste management

Economic Development Activities:

- Small-scale community infrastructure:

³ Including the concept of value chains in this project is not intended to emphasize the development of value chains, rather focusing on the “low-hanging fruit” within communities that would contribute to better functioning and more accessible value chains for and within communities.

- o Water conservation
- o Road improvements
- o Meeting halls
- o Construction/rehabilitation of sports facilities
- o Local government building repairs
- o Environmental improvements, e.g., tree plantings, rip rapping stream banks, water-conserving irrigation rehabilitation
- o Appropriate introduction of rural electrification systems
- o Garbage collection and waste management
- o Tertiary canal and drainage ditch repair
- o Health dispensaries/clinics
- School repairs
- Enterprise development:
 - o Strengthening network of rural business development services providers
 - o Apprenticeship projects in agroprocessing, new technologies, construction and repairs
 - o Expansion of microfinance services:
 - ~ Facilitating entry of microfinance institutions
 - ~ Promotion of and education about group lending
- Agriculture:
 - o Support 5-10 competitive traditional crops
 - o Organizational development assistance to productive cooperatives and associations
 - o “Seeds and tools”
 - o Support alternatives to qat cultivation (with focus on water conservation)
 - o Strengthening of agricultural cooperatives
 - o Rehabilitation of tertiary farm-to-market roads
 - o Renovating market places

Illustrative indicators:

- Number participants in vocational/technical training projects appropriate to existing labor market needs by sex and age
- Number of participants in on-the-job training projects appropriate to existing labor market needs by sex and age
- Number of beneficiaries of SME start-up training and technical assistance by sex and age
- Percent change in perception of local labor market opportunities by youths as measured by pre and post intervention surveys and interviews.
- Percent change in economic security indices (ILO or other appropriate) as measured by pre and post intervention surveys

Component 2 – Access to Quality Services Increased

Given demographics, topography, and general poverty levels in Yemen, provision of basic services such as quality education and health services, potable water, electricity, and a host of other services is a challenge. The objective of this component is to strengthen existing services and to create new and improved ways to better serve communities to extend access and enhance service quality in underserved, remote, and at-risk communities. The areas of focus of this component – loosely identified as health, education, and water – have commonalities in that they require similar or overlapping interventions. Applicants should be aware that the needs of the communities are great, varied, and complex, and, as such, the implementer may consider other initiatives related to citizen security, rural electrification, tertiary roads, transportation, communications, community facilities, etc.

In the education sector, USAID's previous efforts have begun to successfully build community participation and awareness for the importance of girls' education, improved teacher training, increased adult literacy, and working with government officials on ways to make better decisions about education services. There is need to continue building upon these efforts, especially in the most vulnerable communities. It is anticipated that education activities will enhance social stability. Addressing education needs can reduce the perception of inadequate educational services as a grievance among community members who often highly value education and have limited access. Over time, education can positively impact population growth and resource management, two key factors that can help mitigate vulnerabilities specific to Yemen. It is anticipated that education will be one of the larger components of the livelihoods project as it is one of the most frequent grievances and is crucial to Yemen's future.

In the health sector, USAID's past and current health programming has led to significant gains in short- and long-term health benefits. But Yemen, supported by its development partners, must find ways to build on these efforts and to effect significantly greater improvements in health and to reduce rapid population growth. Accordingly, health will be another major component of this project. Yemen has some of the worst morbidity indicators in the Middle East, many of which are as bad as some of the worst affected countries in sub Saharan Africa. With serious chronic malnutrition, high infant, child and maternal morbid-mortality rates coupled with lack of access to and availability of quality health care delivery system in many parts of the country and exacerbated by widespread poverty, corruption, and a serious youth bulge with extremely high TFRs (total fertility rates) and the need for family planning services, the amount of money requested to tackle these and other public health issues here is very important. The reason why health issues and the related public services are so important in a Yemen (stabilization/counter-extremism) environment is that the lack of adequate health services, particularly for treatable illnesses and malnutrition, decreases faith in government institutions and can work to tear apart the social fabric in communities. As these issues, among others, persist, communities move farther and farther away from recognizing the government and its services as legitimate. In fact, other non-governmental public service providers – some friendly, others not – can perpetuate communities' distancing from government authority. As communities cannot rely on government services, their loyalty and allegiance to the country are eroded. Further, healthy citizens are much more likely to participate in productive economic activities and continue schooling than unhealthy citizens, and, beyond that, unhealthiness can be perpetuated generationally, i.e., unhealthy kids grow up and raise unhealthy kids, etc. Applicants might consider including rapid-response public health tools such as those that are used during relief and humanitarian crises, focusing on food insecurity programming malnutrition, gender-based violence, and access to basic reproductive and family health services. Other needs associated with internally displaced persons, refugee camps, and vulnerable populations may be immediately applicable in certain target communities under the CLP.

Water remains a serious and widespread concern at every level of Yemen's socio-economic paradigm. While USAID does not anticipate resources to address large-scale national resource issues, the provision of water as a part of an integrated service provision effort is paramount to constructing and maintaining clinics and schools with appropriate sanitation and effective work environments. The implementer should also be active in seeking and identifying opportunities to leverage other public and private water resources and coordinating with national and local water activities to ensure an integrated approach to service delivery. Additionally, integrated service delivery activities should also examine the use of alternative sanitation technologies such as eco-latrines and cost-efficient purifiers, especially where water availability is scarce. Access to potable water is one of the most common requirements in rural Yemen and directly applicable in target communities. Flexibility and close collaboration with other donors on water issues will be key in the ability to address these emerging needs.

Illustrative activities (short-term):

- Repairing classrooms, clinics and/or other rehabilitation efforts in accordance to appropriate staffing capacity and services provided
- Repairing existing furniture, examination tables, etc.
- Building privacy walls for girls' and mixed schools
- Providing bathrooms and access to water in schools/clinics
- Small remodeling efforts to convert existing spaces to serve as "multi-purpose" centers where various community activities can be undertaken
- Health messages in schools through posters and materials (for example, a simple health message, such as why it is important to wash one's hands can be spread on school campuses by putting up posters) linked to community mobilization and behavior change campaigns
- Work with religious leaders and parents to come to schools to discuss their jobs and roles in the community
- Establish parent councils and community health boards where none exist and strengthen those that do
- Work with community groups to develop applications for accessing Public Open Project water resources
- Work with local schools, and district level administrators to organize groups around school needs, perhaps expanding upon USAID's successful work with Parent Councils
- Expand the use of mobile medical and mobile school units to provide services to the most rural populations within the target regions as a stop-gap for the lack of qualified providers in many rural health facilities and schools
- Training for health workers
- Health education training and messaging for reproductive health and family planning

Illustrative activities (medium- and longer-term):

- Identify influential male and female religious leaders in target communities and provide integrated training on the social and familial benefits of education (including girls), maternal, child, reproductive health, the positive health outcomes of birth spacing, and natural resource management (particularly water conservation and use) so that they can become advocates and agents of positive change within their communities
- Improve pre-service teacher preparation projects along with in-service projects
- Support the training of all medical providers in appropriate contraceptive technology
- Rehabilitate a classroom and/or clinic with assistance from community members in collaboration with the facility-based staff in charge of maintenance funds
- Construction/renovation of highly utilized district-level facilities (MCH centers/rural hospitals/multipurpose room centers) in target regions to support quality referral links with community-based services (elections, education/health training/libraries, etc.)
- Expand on rehabilitated health clinics in schools where staffed health facilities are proximate enough to provide adequate support and referral capabilities
- Help create and/or support parents' councils to monitor and oversee school maintenance so that the classroom renovations are appropriate to local needs and sustained by communities
- Work with parents to discuss alternatives to dropping out of school
- Organize tutoring projects for at-risk children
- Provide literacy and life-skills for out-of-school youth
- Work with necessary partners to get textbooks delivered to school on time and with the correct quantity requested and collaborate with the private sector to link to produce delivery systems to support the delivery of textbooks
- Deliver services designed to meet out-of-school youth needs so that they can engage in economic, social, and civic activities

- Scale up the application of best practices in maternal, neonatal and child health care in health facilities in the target region as appropriate and as part of improving the quality of services leading to a higher utilization by clients in need.
- Improve integrated family planning counseling and services in community facilities
- Support USAID's existing midwives network to play increasing role in the provision of essential MNCH services, including through their deployment as private business owners in all areas where their input will complement the work of the public sector and produce results for them and their clientele.

Illustrative indicators:

- Number of classrooms, clinics, and facilities repaired
- Number of parent's councils engaged in school maintenance
- Percent of teachers' trained using new pedagogy learned
- Number of new community health boards and parents' councils formed/trained
- Percent of new parents' councils who are active (or implementing at least 2 initiatives)
- Percent of medical providers using implants and other appropriate longer term contraceptive technologies/techniques
- Number of religious leaders advocating for education improvements
- Number of religious leaders advocating for healthy behaviors
- Number of beneficiaries in underserved populations in remote areas of expanded and improved basic health services provided by mobile health teams and local midwives
- Number of health care providers receiving training
- Number of low-cost, high-impact, small-scale community infrastructure projects to improve water conservation and irrigation, transport access and roads, micro power generation and electricity access.
- Percent change in perceptions of citizens that government affords an equitable distribution of needed services as measured by surveys and interviews pre- and post-intervention
- Percent change in perceptions of citizens that the quality of services has improved as measured by surveys and interviews pre and post intervention
- Number of people now receiving potable water

Component #3 - Community Participation and Empowerment Promoted

Many of the areas where USAID/Yemen's Community Livelihoods Project may work are rural with strong tribal roots and traditions. Because of the country's difficult demography, topography, climate, and economic centralization, these areas are usually remote and offer limited services and economic opportunities. This affects Yemen's significant youth population living in these areas. This component envisions improving community participation at all levels and mobilizing citizens to be active in civil society, productive, or other organizations to increase their collective voices within communities and to have more choice in bettering their lives. This should contribute to a greater sense of efficacy and improve community cohesion. Activities under this component seek to mobilize communities around self-defined, local priorities and to interface with local authorities and ROYG ministry offices and personnel who deliver key services or otherwise support community development. Local NGOs can be focal points of coordination and activities. Religious leaders can be key agents in mobilizing, informing, and engaging community members, particularly youth and women, based upon their traditional legitimacy. Gender equity and increased opportunities will be a major consideration throughout the implementation of this component.

Illustrative activities:

- Provide training and small grants to local NGOs to monitor local projects/service delivery
- Promote civic engagement and volunteerism among youth

- Support youth initiatives to address community needs, from community mapping to needs assessment to project design/implementation
- Educate community populations regarding sustainable use of natural resources
- Support formation of parent councils for schools and community boards for local health facilities
- Help organize community health worker networks
- Establish community education and mobilization campaigns involving religious leaders and youth to promote healthy lifestyles, school attendance, water conservation, etc.
- Promote creation of youth clubs, particularly for girls

Illustrative indicators:

- Number of local civil society groups supported in conducting outreach, community mobilization and advocating with governorates and local councils regarding local service needs and healthy behaviors
- Number of participants in training for youth and youth groups in leadership and civic engagement skills
- Number of boy and girl youth leaders engaging in youth-led behavior change campaigns and community mobilization causes focused around health, sanitation, and natural resource issues
- Percent change in perceptions of the participatory nature of local government as measured by interviews and surveys pre and post intervention
- Percent change in adversarial attitudes between communities and government(s) as measured by interviews and surveys pre and post intervention

Objective #4 - Local Governance Capacity Strengthened

While uneven and underdeveloped, local governance has enjoyed considerable support across Yemen as both a way to deliver better services and empower communities. While some councils are endowed with certain levels of capacity and resources, many locally elected bodies are quite weak. They often lack knowledge of their roles and responsibilities; processes and systems to do business; and financial resources to respond to local needs. Many elected representatives also assume that because they are natural leaders of their communities (i.e. tribal *sheikhs*) that they know their constituent preferences. If cultivated, more representative and effective local governance can directly and visibly serve communities, provide citizens with a greater stake in their localities, improve relations with the central government, and address grievances based on deprivation and lack of political voice.

Central government ministries at sub-national levels are not decentralized. Governorate offices of the education and health ministries, for example, serve as conduits of information from the central government to schools and clinics and also provide reporting back to the central ministries. They oversee operations, facilities and personnel within their geographic purview and exercise decision-making over hiring, firing, etc. Governorate ministry offices are charged with financial management but have no financial autonomy. Service ministries consult with governorate councils, but the consistency and quality of those interactions are uneven and likely vary greatly within and across governorates and from one ministry to another.

The implementer will work to build capacity and facilitate relationships among communities, local NGOs, and locally-elected and appointed ROYG representatives. Local councils and line ministry offices need to be engaged to be more demonstrably responsive to their communities. While many activities under this component will likely be medium-/longer-term in nature, rapid-response activities may also be feasible.

Illustrative activities:

- Train local councils from throughout the country (in a nationwide forum) in basic roles and responsibilities
- Facilitate participatory strategic planning for local development projects

- Provide technical support to local councils in budgeting, design, procurement, execution and oversight of local projects
- Promote ways for the ROYG service ministries to interface with local councils, NGOs and communities
- Improve ROYG central government tracking of basic service expenditures
- Train local councils on the importance of civil society and public/civic participation/feedback in the governance process

Illustrative indicators:

- Number of systems implemented for the tracking of basic services expenditures in targeted communities
- Number of participants in training for local councils in basic roles and responsibilities and in participatory community planning approaches.
- Number of beneficiaries of technical support to local councils in budgeting, basic design, procurement, execution and oversight of local projects.
- Improved budgetary expenditures provided to targeted communities
- Percent change in citizens attitudes in target local government units about whether local government is addressing their priority concerns) as measured by interviews and surveys pre and post intervention
- Percent change in citizens showing confidence in their local government as measured by interviews and surveys pre and post intervention

XI. Operating Environment and Lessons Learned

There are substantial security concerns in the areas where the CLP will be implemented. An operating environment in which tribal animosities, including kidnapping for ransom and tradeoffs, are endemic exacerbates political and economic deterioration and intensifies insecurity. These factors make it exceedingly difficult to undertake targeted, dedicated and consistent programming. Tribal cultures in Yemen to some extent still adhere to cyclical or seasonal views of time which makes planning for the long-term future culturally irrelevant even though tribal leaders and members may be very pragmatic in their assessment about the current needs of their communities.

Applicants must demonstrate an understanding of the working environment. Applicants are recommended to include a realistic approach for dealing with security issues and to budget for associated costs. USAID personnel are frequently unable to conduct site visits due to security restrictions. Applications also will benefit from a survey of USAID, implementer, ROYG, and other donor experiences in Yemen through an analysis of project designs, reports, and evaluations, which are highly relevant to the process of determining the best approaches to achieving the objectives of this project. For example, in a society that is divided by tribal and other loyalties, locally-sensitive recruitment has been essential to ensuring the acceptance of service providers within a community. Further, projects that are designed to ameliorate the ill effects of traditional practices must be led by Yemeni organizations with community acceptability.

XII. Budget

The award will be for a base period of three years with the potential for two one-year extensions. The estimated budget for the three year base period is approximately \$80 million and up to \$45 million for both option years, totaling up to \$125 million over five years. The technical and cost proposals should reflect the 3 year base period and the 2 option years, but the cost information would be best expressed in an annualized format. These figures are estimates only and the amount actually obligated for the agreement is dependent upon the availability of funds. The project may be funded from a variety of U.S. Government accounts including Economic Support Funds, Development Assistance and Health, and will need to adhere to the legal restrictions

and USAID policies of each funding account. In addition, funds are likely to come from several different congressional earmarks (e.g., basic education, agriculture, family planning, maternal child health, infectious diseases), each with their own guidelines on how the funds must be used. Approximately one-third of the project's funding is expected to come from the health account and approximately one-third from the basic education account. Furthermore, the project may address current and future U.S. Government initiatives with their policy guidance and priorities. The implementer will consult closely with USAID/Yemen's Assistance Officer's Technical Representative (AOTR) to ensure that funds are planned, budgeted, and expended in accordance with legal requirements and U.S. Government policies.

Cost Sharing: Successful implementation of the project will require substantial leveraging of funds from other organizations. The implementer will leverage all activities with an minimum of 25% cost sharing from non-USG sources unless otherwise directed by USAID. Cost sharing may be financial or in-kind.

As a guiding rule, the implementer should seek to have a minimum of 25% of non-USAID funding covering the costs of activities. Activities are defined as the efforts implemented under a project. The implementer may consider a 25% cost share "generated against direct program implementation funding", in other words 25% of the total value of the project, to be a reasonable interpretation of the RFA guidelines.

[END OF SECTION I]

II. Award Information

A. Estimate of Funds Available

Subject to the availability of funds, the estimated budget for the three year base period is approximately \$80 million and up to \$45 million for both option years, totaling up to \$125 million over five years.

B. Number of Awards Contemplated

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

C. Start Date and Period of Performance

The period of performance anticipated herein is for five years, through March 30, 2015. The estimated start date is on or about April, 2010.

D. Type of Award

The award will be a cooperative agreement as USAID's desire to be substantially involved in the implementation of the selected program that is consistent with USAID policy contained in ADS Chapter 303 concerning non-governmental assistance activities: <http://www.usaid.gov/policy/ads/300/303.pdf>

E. Substantial Involvement

USAID plans to negotiate and award one Cooperative Agreement to a US Non-Governmental Organization or a coalition of organizations. A Cooperative Agreement implies a level of "substantial involvement" by USAID through the Agreement Officer's Technical Representative (AOTR). The intended purpose of the AOTR involvement during the award is to assist the recipient in achieving the objectives of the agreement. USAID anticipates a close working relationship with the implementing partner. USAID's substantial involvement under this cooperative agreement will extend to:

1. **Approval of the recipient's work/implementation plan.** USAID anticipates that a draft work plan for the first 12 months of the project will be submitted as part of the application. While the draft work plan might serve as a foundation, the recipient shall submit for USAID approval a revised version of this 12-month work plan within 30 days of the date of the award.

2. **Approval of specified key personnel:** USAID will approve the personnel filling those positions considered to be essential to the successful implementation of the award.

3. **Agency coordination and collaboration with implementing partner:**

- 3.1 **Performance Monitoring and Evaluation Plan.** USAID will review and approve the recipient's monitoring and evaluation plan. An initial draft PMP inclusive of realistic and appropriate performance indicators and plans for periodic evaluation of activities shall be submitted as part of the Application. A performance monitoring plan (PMP) detailing all plans for monitoring and evaluation (M&E) will be developed in the first 45 days after award.

4. Agency Authority to immediately halt a construction activity.

USAID will include the statement “the AO may immediately halt a construction activity if identified specifications are not met” as part of the substantial involvement.

F. Key Personnel and Overall Staffing Plan

Proposed Senior Staff

Approval of Specified Key Personnel: USAID may designate as Key Personnel only those positions that are essential to the successful implementation of the award. USAID’s policy limits this 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.

G. Performance Monitoring Plan and Work Plans

Given the strategic objectives aimed at addressing Yemen’s most immediate and intransigent problems that contribute to instability, monitoring and evaluation will be among the most important aspects of the project. The implementer will be responsible for establishing a robust and thorough monitoring and evaluation program that will adequately determine if and how project goals are being accomplished. Furthermore, as noted in section IV of this document, USAID intends to award a separate project to coordinate the Mission’s monitoring and evaluation efforts. The M&E implementer will coordinate the compilation and verification of data, but collecting information and reporting on output and impact indicators will remain the responsibility of all USAID implementers. CLP indicators will be finalized during the first months of the CLP in coordination with the M&E implementer and USAID. Outreach will be another area in which the CLP implementer will need to coordinate closely with USAID’s M&E implementer as well as DOD and its implementers. Through this, USAID will work to standardize/streamline messaging to communities, enhance its effectiveness, and share USAID’s successes in Yemen and to external audiences. Further, the CLP implementer will be expected to develop a plan for collecting evidence on both of these levels and entering it into a unified database and/or MIS managed by USAID’s M&E implementer. The M&E implementer also will be required to conduct activity-level results verifications and environmental compliance field exercises. Overall, the CLP implementer will be responsible for full cooperation and information sharing with the M&E implementer.

The project implementer should be cognizant of the best data collection practices that have been developed for other regions where data availability is limited and quality is deficient. Among the techniques that should be considered are the use of a wide variety of data sources and methods and collaboration with other data collecting institutions including governments, international organizations, NGOs, and various other development partners in all sectors. Most importantly, the value of local knowledge as a source of data should not be underestimated. In initial community surveys, the assistance of religious and secular leaders, local councils, and potential beneficiaries will be invaluable and should be enlisted as much as possible for the purpose of future involvement in the process. Also, communities and beneficiaries must be made aware that data collection is designed to help USAID and its partners to keep their commitments to them.

H. Reporting

The successful Applicant will meet USAID’s minimum reporting requirements, i.e.: technical and financial reports to be submitted on a quarterly basis, to be submitted each calendar year. In addition, Applicants may be required to submit accruals on a quarterly basis. All above activities will be included in the Program Description of the selected implementation recipient and will be an integral part of the award.

[END OF SECTION II]

III. Eligibility Information

1. Eligible Applicants

Applicants must be non-governmental entities of U.S. nationality, otherwise there is no restriction. U.S. entities such as non-profit organizations, profit making concerns, faith-based and community organizations, educational institutions, etc. are eligible to apply.

USAID encourages applications from potential new partners.

[END OF SECTION III]

IV. Application and Submission Information

1. Application Contact

This RFA is being posted through www.grants.gov. This RFA and any future amendments can be downloaded from this website (www.grants.gov). It is the responsibility of the recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

The application should be prepared according to the structural format set forth below. Applications must be submitted directly to the in Regional Procurement Office of USAID/Egypt to Nevine Hindy, at YemenCLPRFA1@usaid.gov.

In the event of problems submitting the application directly to USAID, telephone Ms. Hindy at +202.2522.6907.

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

The due date and time for complete application submittals is as stated in the RFA cover letter, unless the RFA is amended to extend the deadline. Applications received after the deadline will not be considered for award, unless the agreement officer determines all similarly late applications can be considered.

2. Application Format

Applications shall be submitted electronically in two separate parts: (a) technical and (b) cost or business application.

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

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

The Standard Form 424 series can be downloaded from http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1

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

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements. **Complete copies of these Certifications, Assurances, and Other Statements may be found in Part I and II of this package**

- 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; **ADS 206.3.10**;
- 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”(see ADS 206)

- When applicable, a signed copy of “Participant Certification Narcotics Offenses and Drug Trafficking” (See ADS 206);
- Survey on Ensuring Equal Opportunity for Applicants; and
- All applicants must provide a Data Universal Numbering System (DUNS) Number.

4. Instructions for the Preparation of the Technical Proposal

The technical proposal is limited to 30 pages, not including attachments. The case study response is limited to **10 additional pages for a total of 40 pages**. Past Performance can be added as attachment(s).

Each page should be sequentially numbered. Applicants’ technical offers should address how the offeror intends to accomplish the interventions/outcomes in this Project Guidelines document. It should be kept concise and specific and contain a clear understanding of the work to be undertaken and the responsibilities of all parties involved. The technical proposal should be organized by the technical evaluation factors listed and clearly indicate how the offeror's qualifications meet project requirements. The technical proposal must be submitted to USAID in both *.doc and *.pdf formats.

In the preparing the offers and subsequently in the management of the project, prospective implementing partners shall give serious consideration to the level of accountability that USAID expects from the project’s leadership, namely the Chief of Party (COP); s/he will be expected to have considerable authority for all decision making, access to budget and financial information, and staffing. Project success, therefore, depends on a strong and skilled COP who has the requisite leadership, management, and technical skills to make decisions in the field. Considerable collaborative skills will be necessary. Outstanding interpersonal, cross-cultural, and negotiation skills are important. Arabic language skills are desirable.

To ensure that proposed COPs have been consulted and included in the design of the project they may manage in the field, prospective implementing partners must be prepared to send their proposed COP to Sana’a, Yemen or another location in the region prior to award to give a presentation to USAID/Yemen staff on the details of their application if the Mission requests short-listed organizations to do so.

The work of the long-term personnel will need to be supplemented with short-term technical assistance. Leadership by Yemeni employees and involvement and capacity building of Yemeni organizations is strongly desired. Key personnel and short-term consultants will need approval from the USAID AOTR.

5. Technical Application Format

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. To facilitate the review of applications, applicants should organize the narrative sections of their technical applications in the same order as the evaluation factors in Section (V) of this RFA.

- The application shall be written in English and typed on standard 8 1/2" x 11" paper (216mm by 279mm paper) or A4 size (210mm by 297 mm), single spaced, font to be “Times New Roman” size 12, and each page numbered consecutively. Items such as Cover pages, dividers, table of contents, graphs and charts are to be included in the **30 page** (this limitation does not include the 10 pages responding to the case study). Submitting applications not in adherence with the format directions are considered an indication of poor business practice.

Authorized attachments to the technical application which do not count against the page limitation consist of:

Resumes/CVs for key personnel; and letters of commitment of organizational partners or key personnel. A resume should be submitted for key personnel, detailing the requisite qualifications and experience of the individual and at least three references, with contact information, preferably email addressees. The applicant should also include a signed letter of commitment from the individual proposed. The letter of commitment must specify the length of the commitment to the position.

6. Guideline for Other proposal submission:

Budget submission requirements for applications submitted in response to this RFA consist of:

- Detailed/itemized budget with budget narrative for each budget object class category, including explanation how costs were estimated, for both the requested USAID funding and proposed cost share amounts.
- Similar budget detail with narrative is requested for organizational partners teaming with the prime applicant.
- Current Negotiated Indirect Cost Rate Agreement (NICRA) negotiated between the applicant and a Federal agency (if available). If a NICRA is not available, the following is required: 1) Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; 2) Projected budget, cash flow and organizational chart; 3) A copy of the organization's accounting manual.
- If program income (i.e., cost recovery or other revenues generated under the award) is anticipated, the estimated amount should be reflected in the budget, and the Budget Narrative should describe how the program income is proposed to be treated, i.e., additive, cost sharing, or deductive, or a combination thereof (See 22 CFR 226.24).

[END OF SECTION IV]

V. Application Review Information

1. Evaluation Factors

The Evaluation Factors have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application and the one that best meets the program description. To facilitate review of applications, applicants should organize the narrative sections of their applications in the same order as the Evaluation Factors. Applications will be evaluated and scored based on the factors below.

Applicants should note that these factors: (1) will serve as the standard against which all applications will be evaluated, and (2) serve to identify the significant matters which applicants should address in their applications.

The Evaluation Factors listed below serve as the standard against which all applications will be evaluated. Factor A is more important than factor B, which is more important than factor C, which is more important than factor D, which is more important than factor E. The sub factors are in descending order of importance.

A) Technical Approach:

- i. The application shows a solid understanding of the country context.
- ii. The application contains a clear and reasonable description of how the proposed interventions will be prioritized, implemented, managed, and sequenced.
- iii. The application demonstrates an approach consistent with the “Suggested Implementation Approach” section of this project guideline.
- iv. Gender considerations are addressed sufficiently.
- v. A feasible methodology for effective integration and coordination with other USAID and donor projects is clearly explained.
- vi. The importance of collaboration and coordination between the RGP and CLP is clearly articulated and considered throughout the application.
- vii. The application articulates a realistic plan for achieving quick impact.
- viii. The proposed approach shows flexibility and the capability to respond rapidly to changing circumstances and needs.
- ix. Application contains clear and sufficient identification of expected short-term and final project outputs, outcomes, and results and a detailed plan for collecting the data.
- x. The application includes plans to employ state of the art, tested community participatory and empowerment practices.
- xi. The application includes a convincing process for prioritizing and sequencing community-level activities and small projects based on a menu of best practices and innovative approaches

B) Case study:

Refer to Annex G. Given the situational characteristics and context described, the response to the case study effectively communicates how the implementer would approach, mobilize, and implement a project in the fictitious scenario. Justifications for all proposed initiatives should be built into the response. To reinforce the application of an otherwise theoretical discussion, the case study response will be reviewed by USAID using the ten criteria noted above under the technical approach. Applicants must keep their Case Study response to under 15 pages.

C) Use of Demonstrated Systems and Corporate Capability:

- i. The offeror has successfully managed projects of similar size and complexity in similar conflict/post-conflict environments, and the offeror has demonstrated that it can deploy/utilize proven, appropriate support systems from its organization to/in Yemen.

- ii. The offeror has prior experience implementing integrated development projects in unstable operating environments.
- iii. The offeror has demonstrated experience with and effectiveness in designing and implementing multi-sectoral approaches.

D) Management Structure and Proposed Senior Staff:

- i. Staffing Plan and Qualifications of Proposed Personnel: Qualifications and experience of proposed key staff; Yemenis are preferred over expatriates, so justifications for expatriates should be provided. The applicants will be evaluated on following and are in descending order of importance:
 - a. Demonstrated capability, experience, education, and qualifications (including demonstrated management, leadership and interpersonal skills) of the key personnel (both expatriate and Yemeni) for the activities listed in the project guidelines.
 - b. Demonstrated understanding of the project guidelines as evidenced by the staffing plan, including an organizational chart and level-of-effort chart and its appropriateness to achieve the results of this project.
 - c. Demonstrated capability, experience, education, and qualifications of proposed personnel in the staffing plan, including home-office staff.
 - d. Yemenis (individuals and organizations) are incorporated into the management structure to promote capacity building and support effective project implementation.
- ii. Management and Organizational Capability: Management and organizational capability shall be evaluated on the following in descending order of importance:
 - a. The proposed offeror/organization has the management skills to achieve deliverables, staffing plans, and carry out implementation/work plan. (includes capacity to recruit staff, procure equipment, provide home office support, provide for project communications, etc.).
 - b. Application effectively details how Yemeni partners and other organizations will be utilized and capacity built.
 - c. Applications provide an appropriate plan for coordinating and managing activities of the offeror and any subcontractors or other partners to ensure quality technical assistance is delivered.
 - d. The combination of expertise and experience of the primary offeror and all proposed subcontractors or other partners to achieve the objectives of this Project is structured in ways that are mutually reinforcing, i.e., it optimizes the efficient use of the technical and financial resources and avoids duplications of efforts. Yemenis (individuals and organizations) are incorporated into the management structure to promote capacity building and support effective project implementation.

E) Past Performance:

The applicant should provide evidence that it has a demonstrated, successful track record in implementing and monitoring similar or closely related activities to those contained in their program. If the application proposes an alliance with other organizations, a list of relevant contracts, grants, and cooperative agreements that demonstrate their experience for the role they will play should also be included. The applicant must include the following information for all required references: the location; current telephone numbers/e-mail address (if applicable); points of contact and a brief description of work performed.

Selection Process:

Application(s) which are deemed to offer the best overall value and meet USAID objectives will be selected for award. A panel will evaluate the technical/programmatic merit of each application as measured against the evaluation factors.

The proposed budget must be reasonable and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer “greater value” than those with higher costs. Cost-share from the applicant is viewed favorably. The technical evaluation of each proposal will take into consideration the amount of cost-share proposed. If two applications are determined to be technically equal, the one with greater cost share will be considered to be of greater value.

Once an apparent successful applicant is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer before the Agreement Officer makes the final funding decision. Award may be made without discussions.

Any recipient must a responsible entity.

Details on USAID’s pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303, section 303.3.9:

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

Other areas of review and discussion will vary according to the circumstances pertaining to the application. The following areas commonly require discussion and agreement prior to award:

1. Branding Strategy and Marking Plan. The apparent successful applicant will be requested to propose a branding strategy and marking plan which provides for appropriate acknowledgment of USAID support, and which will be required as a material element of the grant (see annex II, III and IV). Information on USAID’s branding and marking policy can be found in ADS Chapter 320. ADS Chapter 320 sections concerning “assistance” applies to this RFA. ADS Chapter 320 sections ADS concerning “acquisition” do not apply to this RFA. ADS Chapter 320 can be found on USAID website:

<http://www.usaid.gov/policy/ads/300/320.pdf>.

2. Final program and budget plans.
3. Payment terms.
4. Procedures concerning administrative reporting and logistical requirements for program including training components.
5. Cost sharing terms.
6. USAID-desired substantial involvement during the implementation of the award.
7. Other award terms including audit, special provisions and/or special award conditions.

[END OF SECTION V]

VI. Award Administration Information

Reporting Requirements

The Award(s) will stipulate deliverables and reporting requirements described in this section. The recipient shall submit each report in English in two hard copies and one electronic copy to the USAID Agreement Officer Technical Representative (AOTR) and one electronic copy to the Agreement Officer.

A. Annual Work plan:

The recipient will prepare and submit for approval by the USAID an annual work plan, which will include all activities managed and implemented by the recipient. Each annual work plan will clearly indicate specific tasks and individual responsibilities for task completion. The work plan will serve as a reference point for quarterly and annual progress reports and will permit monitoring of the award performance and costs. It will also be one of the progress performance monitoring tools for USAID.

The annual work plan will establish the timeline for objectives that indicate progress towards the tasks that need to be performed to achieve objectives. It will specify activities on a critical path and show critical performance benchmarks for the responsible parties. The work plan will include a detailed budget with a pipeline analysis of costs incurred and projections of costs for the life of award(s) implementation plan for achieving program outputs.

The recipient shall submit an annual work plan in draft to USAID/Yemen no later than sixty days after signature of the award(s). USAID/Yemen will approve the final work plan in writing once any outstanding issues are resolved. Amendments to the annual work plan may be proposed by the recipient for approval by USAID/Yemen.

B. Quarterly Progress Reports

Thirty days after the end of each calendar quarter, the recipient shall submit to USAID/Yemen a brief progress report. It will summarize progress in relation to agreed-upon benchmarks contained on the annual work plan. The report will specify any problems encountered and indicate resolutions or proposed corrective actions. The report will list activities proposed for the next quarter.

C. Annual Progress Report

The July-September Quarterly Progress Report will constitute the basis of the Annual Progress Report. It will be a comprehensive narrative report summarizing the previous year's activities and accomplishments using the annual work plan as a starting point and will serve as the tool by which USAID/Yemen monitors the performance of the recipient.

The report will include status of project activities and will summarize services delivered and progress towards achieving results identified in USAID's Program Areas. It will document both successes and failures of the interventions, and discuss reasons for shortcomings and recommend actions to overcome them. For each action, the recipient will designate responsible parties and establish a timeframe for completion.

The Annual Monitoring and Evaluation Report will be a stand-alone document, but will be included as an annex to the Annual Progress Report.

D. Accruals

USAID performs a quarterly accrual exercise at the end of each quarter; i.e. December 31, March 30, June 30, and September 30. Awardees are required to submit 4 quarterly accrual expenditures reports 15 days before the end of a quarter per year.

E. Quarterly Financial Reports

Thirty days after the end of each calendar quarter, the recipient will submit to USAID/Yemen a report on expenditures accrued during the report period and projected accrued expenditures for the next quarter. This will report against the Award(s) line items.

F. Annual Financial Reports

The July-September Quarterly Financial Report will constitute the Annual Financial Progress Report.

G. Recipient Exit Plan

Ninety days prior to the Award(s) completion date, the recipient will submit to USAID a detailed plan describing all actions to be completed to demobilize the recipient's operations. The plan will designate dates for all actions. It will include an inventory of all commodities procured under the project and a plan for disposition of the same commodities.

H. Recipient Final Report

Ninety days after the Award(s) completion date, the recipient will submit a final report to the Project Officer which will summarize implementation progress of all tasks including achievements of strategic results, shortfalls, problems, recommended solutions, and recipient's assessment of Award(s) work completed. The report shall provide quantitative representation. Accomplishments will need to be documented by data and not anecdotal reporting for the analysis and conclusions must be submitted with the final report.

I. Report of Government Property in Recipient's Custody

In accordance with AID acquisition Regulations (AIDAR) 752.245-70, the recipient is required to report all non-expendable property annually (based on calendar year) to the Agreement officer and the project officer.

J. Project Materials

The recipient shall be required to submit copies to USAID/Yemen of all materials developed under the project including but not limited to, course curricula and training materials; conference reports; and procedure and operating manuals. The materials required and the number of copies and language shall be identified in the Annual Workplans.

[END OF SECTION VI]

VII. Agency Contacts

Please send all questions or comments concerning this funding opportunity to the following e-mail addresses at the Regional Procurement Office, USAID/Egypt. Deadline for receiving any questions or comments is January 27th, 2010 COB Cairo Local Time:

Primary contact: E-mail: YemenCLPRFA1@usaid.gov.

Secondary contact: Nevine Hindy, Regional A&A Specialist, at nhindy@usaid.gov.

It is suggested that e-mail inquiries be sent to both the primary and secondary contacts, to facilitate timely receipt and action.

[END OF SECTION VII]

VIII. Other Information

Branding 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 subaward, 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 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 Mission Directors or other USAID Principal Officers, see [22 CFR 226.91\(j\)](#).

For more information, see Attachment (1) and Attachment (2)

[END OF SECTION VIII]

PART I. CERTIFICATIONS & ASSURANCES AND OTHER STATEMENTS OF RECIPIENTS

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

• **SF-424, Application for Federal Assistance; SF-424 A and SF-424C for non-construction awards and SF-424 C abd SF-424D for construction awards.**

I. CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I apply.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

4. 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 grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

Solicitation No. _____
Application/Proposal No. _____
Date of Application/Proposal _____
RFA 279-10-06
Community Livelihood Project
Page 34 of 42
Name of Recipient _____
Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	e-mail address.

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

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

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

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

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

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

DUNS:

<http://eupdate.dnb.com/requestoptions.html> <http://www.fpsc.gov/fpsc/duns-query3.htm>

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

TYPE/DESCRIPTION(Generic) QUANTITY ESTIMATED UNIT COST

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

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

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

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

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

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

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

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

6. PAST PERFORMANCE REFERENCES

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

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.

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

(a) Instructions for Certification

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

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

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

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

Solicitation No. _____
Application/Proposal No. _____
Date of Application/Proposal _____
Name of Applicant/Subgrantee _____
Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

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

10. 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.

11. 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: _____

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Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

12. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

13. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224 (REVISION 2)

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

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

has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

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

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

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

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

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

3. For purposes of this Certification.

"Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, 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://treaties.un.org/Pages/DB.aspx?path=DB/studies/page2_en.xml&menu=MTDSG); or

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

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

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

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

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

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

Signed: _____

Date

[END OF SECTION IX]

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006
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Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

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

☐ Yes ☐ No

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

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-12 ☐ over 100

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

☐ Less than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

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

☐ Yes ☐ No

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

☐ Yes ☐ No

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

☐ Yes ☐ No

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

☐ Yes ☐ No

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

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

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

Paperwork Burden Statement

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

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

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
Application ☐ Construction ☐ Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
Pre-application ☐ Construction ☐ Non-Construction			
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) -		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION		☐ A. State ☐ B. County ☐ C. Municipal ☐ D. Township ☐ E. Interstate ☐ F. Intermunicipal ☐ G. Special District ☐ H. Independent School Dist.	
☐ New ☐ Continuation ☐ Revision If Revision, enter appropriate letter(s) in box(es)		☐ I. State Controlled Institution of Higher Learning ☐ J. Private University ☐ K. Indian Tribe ☐ L. Individual ☐ M. Profit Organization ☐ N. Other (Specify) _____	
☐ A. Increase Award ☐ C. Increase Duration ☐ E. Other (specify) _____		☐ B. Decrease Award ☐ D. Decrease Duration _____	
9. NAME OF FEDERAL AGENCY			
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT	
Title:			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____	
b. Applicant		b. NO. ☐ PROGRAM IS NOT COVERED BY E.O 12372	
c. State		☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT?	
e. Other		☐ Yes If 'Yes', attach an explanation. ☐ No	
f. Program Income			
g. Total			
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

INSTRUCTION FOR THE SF424

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

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

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

- | Item: | Entry: | Item: | Entry: |
|--|--------|---|--------|
| 1. Self-explanatory. | | 12. List only the largest political entities affected (e.g., State, counties, cities). | |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | | 13. Self-explanatory. | |
| 3. State use only (if applicable) | | 14. List the applicant's Congressional District and any District(s) affected by the program or project. | |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. | |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application. | | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. | |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. | |
| 7. Enter the appropriate letter in the space provided. | | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.) | |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

-- 'New' means a new assistance award.

-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.

-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. | | | |
| 9. Name of Federal agency from which assistance is being requested with this application. | | | |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested. | | | |
| 11. Enter a brief descriptive title of the project.
If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. | | | |

BUDGET INFORMATION - Non-Construction Programs

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

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

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

INSTRUCTION FOR THE SF424A

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

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

General Instructions

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

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

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

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

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

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

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

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

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

Line 5 - Show the totals for all columns used

Section B Budget Categories

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

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

Line 6j Show the amount of indirect cost.

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

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

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

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other non-discrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard are to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Attachment 1

MARKING UNDER ASSISTANCE-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) Positioning

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

Guidelines: 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 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) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.

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

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: For example: "Be tested for HIV-AIDS" or "Have your child inoculated." 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?

Guidelines: These may include media releases, press conferences, 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

Will there be any 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 cosponsor?

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.

Attachment II

MARKING UNDER ASSISTANCE -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 landmark, 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.

Annex A – Glossary of Terms/Acronyms

AO	Assistance Objective
BEST	Basic Education Support and Training
BHS	Basic Health Services Project
CLP	Community Livelihoods Project
CMSE	Civil-Military Support Element
DOD	Department of Defense
FP	Family Planning
GCC	Gulf Cooperation Council
HA	Humanitarian Assistance
IDP	Internally Displaced Person
INTALEQ	Innovations in Technology Assisted Learning for Educational Quality
IR	Intermediate Result
LNG	Liquefied Natural Gas
MEDCAP	Medical Civic Action Project
MEPI	Middle East Partnership Initiative
MNCH	Maternal, New-born and Child Health
MOE	Ministry of Education
MoPIC	Ministry of Planning & International Cooperation
MPOHP	Ministry of Public Health and Population
NGOs	Non-Governmental Organizations
NSC	National Security Council
OMEP	Office of Middle East Projects
ROYG	Republic of Yemen Government
SMEPS	Small and Micro Enterprise Promotion Agency
SOCCENT	Special Operations Command Central
UNDP	United Nations Development Project
VEO	Violent Extremist Organization
VETCAP	Veterinary Civic Action Project

Annex B – Useful Documents & Resources

References, links, and attachments are provided for resources that may prove useful to applicants.

USAID/Yemen 2010-2012 Strategy

Attachment (3) USAID Yemen 2010-2012 Strategy

Education for All Fast Track Initiative, Mid-Term Evaluation

[http://www.camb-ed.com/fasttrackinitiative/download/FTI-Yemen_CVN_\(29June\).pdf](http://www.camb-ed.com/fasttrackinitiative/download/FTI-Yemen_CVN_(29June).pdf)

ROYG Ministry of Education: The National Children and Youth Strategy of the Republic of Yemen (2006-2015)

http://www.bankofideas.com.au/Newsletter/Downloads/Executive_Summary_National_Agenda_Yemen.pdf

USAID: Yemen Corruption Assessment

<http://yemen.usembassy.gov/root/pdfs/reports/yemen-corruption-assessment.pdf>

USAID: Livelihoods and Conflict: A Toolkit for Intervention

http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMM_Livelihoods_and_Conflict_Dec_2005.pdf

USAID: Yemen Cross-Sectoral Youth Assessment: Final Report

http://pdf.usaid.gov/pdf_docs/PNADN990.pdf

USAID: InterAgency Conflict Assessment Framework

Attachment (4) Yemen ICAF-RCAPF

Attachment (5) Yemen Conflict Assessment

Attachment (6) Yemen Background Papers

USAID: Yemen Agricultural Support Program: Final Report

http://pdf.usaid.gov/pdf_docs/PDACL668.pdf

USAID: Enhancing Government Effectiveness: Various Ministry Capacity Studies

Attachment (7) EGE Yemen Finance Ministry Assessment

Attachment (8) EGE Yemen Country Analysis

Attachment (9) EGE Yemen Agriculture Ministry Assessment

Attachment (10) Draft – EGE Yemen Education Ministry Assessment

Attachment (11) EGE Yemen Health Ministry Assessment

European Union: State Building in Yemen

Attachment (12) EU State Building Yemen Draft Final Report

Chatham House: Yemen: Fear of Failure

http://www.chathamhouse.org.uk/files/12576_bp1108yemen.pdf

Carnegie Foundation: Al Qaeda in Yemen

<http://www.carnegieendowment.org/files/0708carnegie-yemen.pdf>

USAID: (Iraq) Community Action Program (CAP) II, Final Survey

Attachment (13): Final Survey Report

USAID: (Iraq) Community Stabilization Program (CSP) Evaluation

http://pdf.usaid.gov/pdf_docs/PDACN461.pdf

USAID: Yemen Water Strategy Recommendation

Attachment (14): Yemen strategy Agriculture sector input

Brookings/Dubai School of Government: Youth Exclusion in Yemen

http://www.shababinclusion.org/files/1510_file_Yemen_final.pdf

NCUSAR: Yemen: Contemporary Myths and Empirical Realities

<http://www.ncusar.org/programs/09-video/12-10-event.html>

RUSI Journal: The State of Yemen

Need registration <http://www.rusi.org/publications/journal/ref:A4B28F323A61D4/>

Policy Brief: On the Knife's Edge: Yemen's Instability and the Threat to American Interests

http://kms1.isn.ethz.ch/serviceengine/Files/ISN/109850/ipublicationdocument_singledocument/CEA243D7-120C-401D-AC58-442B616DF71F/en/yemen_Policy_Brief_0.pdf

IFC: Doing Business (Yemen) 2010

<http://www.doingbusiness.org/Documents/CountryProfiles/YEM.pdf>

Carnegie Foundation: Yemen: Avoiding a Downward Spiral

<http://carnegieendowment.org/publications/index.cfm?fa=view&id=23809>

CRS: Yemen: Background and U.S. Relations

https://assets.opencrs.com/rpts/RL34170_20090707.pdf

ROYG: Progress on National Reform Agenda (as of Dec 2009)

Attachment (15): NAR PPT Presentation

The World Bank: Yemen Qat Survey

http://www-wds.worldbank.org/external/default/WDSPContentServer/WDSP/IB/2007/06/26/000090341_20070626112355/Rendered/INDEX/397380YE.txt

Relevant USAID Policy Guidance

USAID Assessing and Learning Directives, ADS 203

<http://www.usaid.gov/policy/ads/200/203.pdf>

USAID Performance Management Plan and Performance Management Toolkit

<http://www.usaid.gov/policy/ads/200/200sbn.pdf>

Monitoring in High Threat Environments, ADS 202.3.6.4, including Tools, Techniques and Publications for Implementing and Monitoring Projects in High-Threat Environments (January 2007)

USAID Environmental Procedures, ADS 204

<http://www.usaid.gov/policy/ads/200/204.pdf>

USAID Branding and Marking guidelines

<http://www.usaid.gov/branding/acquisition.html>

<http://www.usaid.gov/policy/ads/300/320.pdf>

ADS 201.3.9.3 Gender Analysis requirements, revised 9/23/2009

Annex C – Overview of Current USAID/Yemen Projects

- *Basic Education Support and Training (BEST)*: BEST, a \$20,320,000 cooperative agreement implemented by the Academy for Educational Development (AED), works at both the community and at the central level. BEST aims to bridge the gap between development activities and systems building by increasing the relevance of policies, especially as related to achievement of gender objectives. Its goal is to strengthen the capacity of communities, schools, and the MOE to sustain educational improvements. At the community level, BEST assesses needs and those needs drive the interventions and support provided. As the project works with local school communities and district and governorate offices of education, it is compiling the ‘issues’ and the possible interventions to address those issues into a toolkit or menu of options which can be used on a broader scale by the MOE to help school communities help themselves. The project is planned to continue through December 2012.
- *Innovations in Technology Assisted Learning for Educational Quality (INTALEQ)*: INTALEQ is a Global Development Alliance (GDA) project that aims to promote the use of digitized math and science laboratories as a way to improve teaching and learning in schools. INTALEQ selects and Yemenizes appropriate digital items from the Intel’s digital curriculum for tenth graders. While there is some capacity building at the central MOE’s sector office for Supplemental Learning Materials, the primary goal of this project is to empower teachers to use these materials for improved teaching methods resulting in better student learning. USAID’s implementing partner for this project is Educational Development Center (EDC). The project ends in February 2010.
- *Yemen Stabilization Initiative (YSI)*: Funded by a joint State/USAID/DOD funding account commonly referred to as “1207”, YSI is an initiative comprised of several projects. The aim of YSI is to address youth issues as they pertain to Yemen’s stability. The initiative focuses on the governorates of Sana’a, Aden, Taiz, Marib, and Abyan. The projects under this initiative are as follows:
 - *Youth Empowerment Project (YEP)*: The \$1.2 million YEP cooperative agreement is implemented by Save the Children and works to strengthen and empower local NGOs focused on youth programs and initiatives. Based upon the successes from the USAID/Regional Programs Office (Cairo)-sponsored *Siraj* program, YEP is engaging marginalized youth to develop community awareness and learn leadership skills. YEP, working in close collaboration with the Ministry of Youth and Sport, is establishing media centers that put youth in the driver’s seat for positive messaging. The project runs through September 2010.
 - *Small Micro Enterprise Competitiveness Project (Tomoohi)*: The \$2 million *Tomoohi* Project is developing value chains for competitive products, providing business and entrepreneurship education, establishing advisory networks, hosting exhibitions, establishing a business service center, and facilitating microfinancing for SMEs. It is implemented by the Small Micro Enterprise Promotion Service (SMEPS), which was established primarily to

support SFD's work to reduce poverty through small and micro projects and loans. The project ends in September 2011.

- *Al-Saleh Youth Development and Vocational Training Center Support Program:* This \$1.65 million project is developing the management capacity and organization development at the Al-Saleh Vocational Training Center (VTC) in Marib Governorate. The center was built with support from GTZ in an effort to provide vocational and technical training classes to young people in Marib and the surrounding area, including Al Jawf and Shabwah governorates. USAID's implementing partner is EDC and it will end in May 2011.
- *Basic Health Services (BHS):* The \$25 million BHS project is focused on health sector service delivery, quality improvements, and provider training. BHS activities include recruiting and training community midwives and community health volunteers, building the capacity of community mobilization groups to delivery multi-sectoral messages, supporting the MOPHP in delivering basic FP and MNCH services to remote areas via mobile medical teams, rehabilitating highly-utilized health facilities, and training hospital workers on Best Practices in improving FP and MNCH services. BHS also supports curriculum development, standardization of training materials, and service delivery guidelines for the integrated national curriculum for community health volunteers, engages the ROYG on the promotion of the initiative on the Safe Age for Marriage, and supports capacity-building activities with women's organizations. The project will end in December 2010.
- *Yemen Partners for Health Reform (YPHR):* The current \$1 million phase of this project provides technical assistance and training at national and sub-national levels in support of the Government of Yemen's health sector reform. It is working in the governorates of Amran, Marib, Shabwah, Sa'ada, and Al-Jawf with the Ministry of Health (MOH) and other donors to improve health information systems and utilization of data for planning and management decision-making, strengthening the availability and effectiveness of routine immunizations, and increasing the understanding of financing and resource allocations in the health sector. This project implemented by Abt Associates is scheduled to end in September 2010.
- *Ministry of Agriculture and Irrigation Support:* Through a Limited Scope Grant Agreement (LSGA) with the MOAI, USAID oversees \$650,000 of support through a team of 11 extension agents working in the governorates of Sa'ada, Amran, Al Jawf, Shabwah, and Marib. The team is dedicated to bringing best practices to rural farmers involved in competitive crops like coffee, olives, and fruit. The LSGA also supports livestock health services through mobile veterinarian teams. In late 2009, USAID also will launch two Global Development Alliances (GDAs) under this LSGA, one in coffee and the other in fisheries. Assistance ends in September 2010.
- *Decentralization and Local Development Support Program (DLDSP):* Having just ended in September 2009, the \$3.6 million UNDP-implemented DLDSP implemented was part of a larger, still active, multi-donor project operating in 28 districts in 6

governorates. The focus of the DLDSP has been on activating district administrative departments, developing their basic administrative capacities, and introducing methodologies for effective public expenditure management. USAID's support focused on two parallel, mutually-reinforcing initiatives: support for national-level policy implementation, through strengthening the capacity of Ministry of Local Administration to further advance and entrench decentralization, and local pilot activities in the target governorates of Al-Jawf and Abyan.

- *Anti-Corruption Support:* To support Yemen's initiatives to promote accountability and transparency in government, USAID and the Ministry of Planning and International Cooperation implement activities under a \$2.2 million Limited Scope Grant Agreement (LSGA). The project works with the SNACC, COCA, and HATC to provide organizational development assistance to do the activities include: (i) support implementation of current ROYG reform efforts in the procurement and tendering process, (ii) support the Tax Authority, (iii) build the investigatory capacity in the Central Organization for Control and Audit (COCA), Yemen's supreme audit institution, (iv) develop media capacity to investigate and report on corruption and anticorruption, and (v) support capacity building of the Supreme Judicial Council. One existing anti-corruption advisor will soon be joined by another advisor from the U.S. Department of Justice for the calendar year 2010.
- *Election Assistance in Yemen:* Having just ended in mid-2009, this \$1.9 million program was implemented by the Consortium for Elections and Political Process Strengthening (CEPPS), comprised of IFES and NDI. Its efforts included increasing the capacity of the Supreme Commission for Election and Referendum to implement its responsibilities efficiently and transparently, promoting women's participation in political processes, establishing campaign financing guidelines, and supporting election monitoring and system reform.
- *Enhancing Government Effectiveness (EGE):* Implemented by MSI, the EGE project is assisting the Ministry of Finance and other selected ministries (Education, Health, and Agriculture) to improve financial accountability, project tracking, and funds flow transparency. The activities focus on increasing the efficiency of disbursements of multilateral and bilateral loans and grants, enhanced monitoring and oversight of the performance of development programs, and enhanced capacity of associated staff. The \$1.3 million project ends in May 2010.

Annex D - Matrix of Donor Activities

Donor	ED	Health	D/G	EG	Water	Energy	Duration	Target Area	Comments
USAID	√	√	√	√			2003-2013	Mareb, Sadah, Al-Jawf, Amran and Shabwa. USIAD is also working nationwide starting Sept. 2007	Decentralization activities include Sanaa and Abyana Governorate.
UK (DFID)	√	√	√	√	√		2004-2013	Amran, Al Dhale, Ibb, Lahej and Taiz.	DFID works with the Social Fund for Development (SFD) to implement infrastructural projects in education, health roads, water micro-finance services and training of local development partners. DFID's project in Yemen also include activities in Humanitarian Assistance implemented through the WFP
Netherland	√	√	√		√		2008-2011	Dahmar and national level	Other activities include Gender as crosscutting activity
Germany	√	√	√	√	√			Ibb, Abyan, Al-Mahweet, Sanaa, Hajja, Amran, Hadramout, and Hodeida.	German development assistance to Yemen is implemented through GTZ, KFW, and Yemen SFD. Germany pledged additional 16 million Euro for food security
UN	√	√	√	√			2007-2011	Sanaa, Sanaa Secretariat, Al-Mahweet, Hudeida, Raymah, Al-Dahale'e, Aden and the nation level	Other activities include Gender Equality
World Bank	√	√	√	√	√	√	TBC	TBC	Project also includes Vocational Training and Several infrastructural activities such as power and flood protection
EU		√	√	√			TBC	Sanaa, Hodeida, Taiz, Shabwa, Hajja, Hodeida, Dhamar, Amran and Al-Mahweet.	Project includes food security interventions in Hodeida and Taiz governorates
Japan	√	√			√		TBC	Taiz, nationwide	Other activities include Vocational training and grant assistance for underprivileged Farmers.

Annex E – Gender Considerations

Gender Disparities and Constraints Facing Livelihoods Programming

Gender integration does not only mean targeting a portion of the activity to women, it means analyzing the social structure of the community and identifying the actual roles, power, ownership, decision-making, and status of men and women to be able answer the two ADS questions: 1) how will the different roles and status of women and men affect the work to be undertaken?; and 2) how will the anticipated results of the work affect women and men differently?

Even in interventions that are directly targeted to women, it is very important to look at the possible negative unintended results of women empowerment in a community such as divorce, domestic violence, denying access, etc. Therefore, it is important in this kind of targeted intervention to include an awareness component to the men in the community and not deal with women in isolation. Make sure there is a community blessing and buy-in to prevent resistance.

In agricultural communities, women do most of the agricultural work (planting, thinning, harvesting etc) including livestock management (milking, feeding, feeding cows by gavages, veterinary activities), post-harvest activities and food processing. Men do only plowing the land using draught animals such as donkey, bull or even a dromedary (camel), and are followed by women broadcasting the seeds at the planting time. They also take over the responsibility of irrigating the land. They may be working off-farm all year long, but do come back to work on farm with their families during peak periods of planting and harvesting. They ensure the marketing of the farm products. Women perform all the other agricultural activities consisting mainly of planting, weeding and harvesting.

Women can be empowered through group formation efforts including water users committees, participation in water management and group savings; training in literacy, leadership, gender, women's rights; and access to women friendly technologies, Equitable sharing of workloads, reduction in domestic violence and women making claims for services from government line agencies. Local women can also be trained as social mobilizers.

Generally, women employment would mean a double or triple role as men do not participate in housework or children upbringing in this region of the world. The provision of basic infrastructure such as water and electricity will free up some of the women time devoted to walking long distances to bring water. This will impact women's daily lives with regard to health and hygiene, and allow them to use their time in more learning and productive means.

The level of inequalities might differ from community to community and amongst age groups and levels of education within the same community. Women's empowerment can only be addressed in a way that is non-threatening and noncontroversial in the socio-cultural context of the community.

Women have been raised by their families in such a way that men are favored in all aspects of life, and should have the last word whenever differences in opinion arose between women and men. Women are not allowed to argue, however, few of them do. But generally, women are not used to express their opinion openly. This will require targeted questionnaires, skilled data collectors, and documented observations.

Training programs for youth should highlight the economic and social benefits of gender equality. This can be achieved through a rights-based approach by educating them on the difference between cultural inheritances and religious rules.

Microfinance can have a strong role in advancing the situation of women in Yemen. Despite significant advances in gender equality in recent years in Yemen, including record levels of girls' enrollment in education and an increased openness in society to working women, this progress has yet to translate into increasing employment opportunities for young women. Given this challenging situation, self-employment offers a viable, alternative employment option for young women in Yemen. Microfinance institutions are missing an important opportunity for social awareness and empowerment; by virtue of bringing women together they have the opportunity to be a broker in promoting networking among the women's groups and in linking clients with and drawing on the resources of other service providers. Provision of information on what opportunities are available to women through other organizations would go a long way towards promoting women's social awareness, and ultimately their rights.

Additional areas of consideration:

- Gender and ecological sustainability
- Gender needs and resource management
- Engendering community rights
- Gender, tribe and political participation: control of natural resources
- Limits of empowerment
- Women's natural resource knowledge.

Annex F – Case Study

This USAID project must be politically and practically relevant, fast, flexible, and targeted. It must also be well organized and efficient, with recognition of the interests of the various stakeholders to whom the contractor must be attentive. Offerors should illustrate their capabilities for such a program through their response to the following case study. The response to the case study should not exceed 12 pages.

Case Study:

CLP has identified Abyan Governorate as a target governorate. Based on the initial project assessments, the rural area of As Sawad has been identified as a vulnerable community. The community's education, health, and economic indicators are on par with national averages. There are 2000 residents in the area. Make reasonable and realistic assumptions about working in a place like As Sawad, Abyan.

- What process would you undertake to understand the explicit and implicit needs of the community relative to the goals of the CLP?
- What does the CLP's activity portfolio look like in As Sawad?
- What would be an example of an "immediate impact" portfolio for the area?
- How would the immediate impacts be related to longer term objectives?
- What are the systems, processes, and procedures that would be in place to manage the immediate impact activities?
- How and when would you begin planning and operationalizing longer term activities?
- What information security systems/procedures have you established?
- How would you conduct monitoring & evaluation in As Sawad?

The CLP is now approaching its one year anniversary of starting work in As Sawad, Abyan.

- What are some of the critical steps that CLP took to ensure success As Sawad? What steps can be taken to improve the prospect of the activity's outcome and impact?
- Generally, what do years two and three look like in terms of technical programming in As Sawad? What would CLP's exit strategy look like?
- How would you ensure that the results of your support are sustained beyond the life of the CLP?
- How would you measure or demonstrate results throughout the life of assistance to As Sawad? Give three illustrative indicators.

Throughout your response, be explicit about your assumptions and describe the prioritization and sequence of activities you would undertake. Further, incorporate into the response the following: How have youth been engaged in all aspects of the programming? How have gender considerations been incorporated into the programming? How would lessons from the field be transmitted to RGP for inclusion in their programming? How will CLP mitigate the likelihood of conflict between As Sawad and other neighboring communities that are not receiving CLP assistance? If a conflict were to arise with a neighboring community because it is not receiving CLP assistance, what would CLP do to help resolve problems between the two communities? How would CLP "tell its story" in terms of outreach and communications to the Yemeni public, the Yemeni Government, the US Government, and other stakeholders?