

Issue Date: October 14, 2015

Deadline for Questions: October 25, 2015

Closing Date: November 25, 2015

Closing Time: 8 a.m. Nairobi Time

Subject: **Notice of Funding Opportunity Number: RFA-623-16-000001**

Program Title: **Engaging Somalis in Peaceful Political Processes (ES3P)**

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified U.S. and Non-U.S. organizations to fund a program entitled “Engaging Somalis in Peaceful Political Processes (ES3P)”. Eligibility for this award is not restricted. See Section C of this NFO for eligibility requirements.

Subject to the availability of funds an award will be made to that responsible applicant(s) whose application(s) best meets the objectives of this funding opportunity and the selection criteria contained herein. While one award is anticipated as a result of this notice of funding opportunity (NFO), USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this NFO the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer". Eligible organizations interested in submitting an application are encouraged to read this funding opportunity thoroughly to understand the type of program sought, application submission requirements and evaluation process.

To be eligible for award, the applicant must provide all information as required in this NFO and meet eligibility standards in Section C of this NFO. This funding opportunity is posted on www.grants.gov, and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this notice of funding opportunity. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. It is the responsibility of the applicant to ensure that the entire NFO has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please read each section of the NFO.

Please send any questions to the point(s) of contact identified in section D. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

/s/

Maria Televantos
Agreement Officer

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ABBREVIATIONS AND ACRONYMS USED IN THIS NFO

ADS	Automated Directives System
AO	Agreement Officer
AOR	Agreement Officer's Representative
BFC	Boundaries and Federation Commission
CFR	Code of Federal Regulations
CSO	civil society organization
DfID	Department for International Development
EMB	election management body
FGS	Federal Government of Somalia
KEA	Kenya and East Africa
ICRIC	Independent Constitution Review and Implementation Commission
M&E	monitoring and evaluation
NFO	Notice of Funding Opportunity
NIEC	National Independent Election Commission
PSA	public service announcement
PSG	Peacebuilding and Statebuilding Goals
RFA	request for applications
SSG	Strengthening Somali Governance
TIS	Transition Initiatives for Stabilization
UN	United Nations
USAID	United States Agency for International Development
USG	United States Government

SECTION A: PROGRAM DESCRIPTION

1. Title of Program

The title of this program is “Engaging Somalis in Peaceful Political Processes (ES3P).”

2. Purpose and Geographic Scope

The United States Agency for International Development (USAID), Kenya and East Africa Mission Somalia Office is seeking applications for assistance to promote credible, participatory political processes in Somalia. USAID is seeking to achieve the goal of increased participation and trust in political processes among Somali citizens through the following three objectives: 1) citizens’ participation in political and electoral processes increased; 2) capacity of election management bodies (EMBs) and other relevant government bodies to administer credible elections and political processes increased; and 3) political parties promote inclusion and contribute to peaceful political processes. USAID will provide up to \$24 million, subject to availability of funds, for the five-year ES3P program.

ES3P activities will focus on political processes within Somalia, including in Somaliland and Puntland. Activities may also encompass work with emerging states and interim regional authorities as they develop electoral processes. The Recipient is expected to be based in Somalia, with primary and potentially satellite office locations that best meet program needs.

3. Background and Context

For more than two decades, the citizens of Somalia lived under statelessness or weak governments. The south central region of Somalia has borne the brunt of Somalia’s instability and humanitarian emergencies since the collapse of the central government in 1991. In 2012, Transitional Federal Institutions adopted a Provisional Constitution and selected the first permanent government since 1991, a development that brought hope to many Somalis and international partners.

To outline the required steps for achieving “a successful transition to democracy by the completion of its term of office in 2016” and realize the goals for the Federal Government of Somalia (FGS) provided in the Provisional Constitution, the FGS developed the Vision 2016: Framework for Action. Vision 2016 is a roadmap that outlines the key steps required for the FGS to put the building blocks in place for accountable governance and credible democratic institutions. It announces the FGS’s priorities as 1) review and implementation of the constitution; 2) establishment of a federal system and boundary delimitation; and 3) establishment of a functioning electoral system. These political processes are therefore the key benchmarks by which Somalis and partners are measuring FGS effectiveness.

Somaliland and Puntland have established relatively stable and functioning regional administrations that have unique and varying relationships with the recently established FGS. Somaliland claimed secession from greater Somalia in 1991, when clans from the northern

regions resolved to form a government independent of Somalia. They adopted a new constitution and formed a bicameral parliament: a House of Elders (Guurti) and a House of Representatives. Somaliland has held successive local and presidential elections since, followed by the peaceful transfer of power from one leader to another, an important milestone in the region's democratization effort.

Puntland has remained part of Somalia's federal architecture but with an autonomous administration. The administration has established its own parliament through clan representatives, which in turn elects the president. Puntland's parliament ratified its state constitution in 2012. On January 8, 2014, Puntland's parliament, selected by clan elders in December of 2013, elected the current president, Abdiweli Mohamed Ali Gas.

Upcoming Elections and Political Processes

Over the next five years, Somalia faces multiple complex political processes. At the national level, Somalia is undergoing a state-building process, including the formation of states; drafting and adoption of a new constitution via a constitutional referendum; an electoral process to facilitate a transition in parliament and of the presidency in 2016; and direct elections, likely in 2020. Somaliland plans to hold parliamentary and presidential elections in March 2017, and Puntland is also positioning itself for direct elections. As states are formed, they too are faced with developing their own representational bodies and holding state parliamentary elections, along with engaging in the national elections.

Somalia – national level

For the upcoming national and parliamentary elections, the FGS must achieve critical milestones in order to facilitate transparent, legitimate and participatory outcomes. To date, some of the key milestones outlined in the FGS's Vision 2016 Framework have been accomplished:

- The Independent Constitution Review and Implementation Commission (ICRIC) law was passed and the Commission has been formed;
- The National Security Council was formed to oversee policy decisions on security matters;
- The Boundaries and Federation Commission (BFC) law was passed and the Commission has been formed;
- The National Independent Election Commission (NIEC) law was passed and the Commission has been formed;
- Interim Regional Administrations have been formed that are on track to become Federal Member States;
- Interim and permanent district-level administrations are being established and caretaker administrations have been put in place in several districts recovered from al Shabaab.

Additional steps must be taken in the immediate future to secure legitimate participation in the 2016 federal electoral process and to build the foundation of political processes moving forward to eventual one-person-one-vote elections. Among other outstanding legislation, bills will have to be drawn up for both the 2016 electoral process – likely to be an indirect election – and a full elections law for all subsequent elections. A political parties bill has been developed but still needs to be debated and passed to facilitate transparent political representation. In addition, the formalization of the government system needs to extend outward to regional and state level governments. The extension of government must be done in the context of a federalism process that will require debate and decisions on structures for governance, constitutional revisions, and comprehensive public stakeholder consultations around the future of Somalia.

The revision and subsequent adoption of the Federal Constitution is at a critical juncture. Civic education that explains and debates the constitution process and federalism must commence so that the Somali people understand their roles and responsibilities in adopting a new Federal Constitution and can provide input through direct engagement with government officials or through civil society organization advocacy work. Many of the revisions will necessitate consultations with stakeholders at all levels of government, as well as the grassroots. Those sections related to the structure of the federal system in particular will require significant debate and consensus-building that is likely to take years to bear fruit.

Somalia faces many hurdles to conducting credible, inclusive and transparent political processes beyond the institutional and legal changes that must be brought about. In south central Somalia, few people have experience with direct elections. Low literacy hinders many people's ability to find or understand information on the provisional constitution or federalism. Media outlets are diverse and profuse, and can help distribute information, but accurate and impartial reporting is not always the norm. Violence and abduction of journalists has had a negative impact on media freedom and access, and many reporters have aligned themselves with political factions or agree to provide coverage for pay.

Additionally, political parties are nascent in south central Somalia, with little experience with key aspects of political contestation, including constituent outreach, platform development, communication strategies, campaigning, and fundraising. In this landscape, it will be of particular importance that parties do not form and campaign solely upon clan or sub-clan lines.

The UN and several other donors have expressed a willingness to provide funding for election and political processes activities. These donors are in the process of determining support to the formation of the Commissions and how they might mobilize additional funding for electoral processes. Establishing activities at this time provides a critical window of opportunity for USAID to contribute substantially to the development of a more inclusive, participatory and transparent political system.

New and interim states in south central Somalia - Federal Member State and district level
Because the Provisional Constitution mandates the current federal parliament to undertake elections only at the national level, state and local-level elections are not planned for in Vision 2016, but the FGS notes in this framework that the foundations for these processes should be laid now for completion under the next federal administration. For example, the Provisional Constitution mandates that each state parliament must determine the number and the boundaries of the districts in that state, a complex and politically fraught task. The next five years provide an opportunity to support these governments as they form and provide guidance on key political processes they may undertake, including selecting state parliamentarians, delineating district boundaries, drafting and establishing electoral laws for state and district elections, and forming regional electoral management bodies.

Puntland

Puntland has not held direct elections since it declared itself semi-autonomous in 1998. In 2013, the state attempted to hold one-person-one-vote elections for local council seats, with direct parliamentary and presidential elections to follow. Local elections were ultimately suspended amid protests and violence due to a variety of issues. The parliamentary and presidential

elections were also canceled and the government returned to the transition of power process whereby clan elders selected parliamentarians, and parliamentarians selected the president.

The 2013 process was marred by insufficient planning, inadequate civic and voter education, insufficient time for voter registration, and a lack of engagement with civil society. Puntland plans to hold direct elections in 2018. The next few years provide a window of opportunity to support Puntland in planning and carrying out a transparent and inclusive direct election process that the people of Puntland can support.

Somaliland

The semi-autonomous state of Somaliland is planning to hold parliamentary and presidential elections in March 2017. Voter registration is set to take place beginning in late 2015. Somaliland has held five direct nation-wide elections in the past, as well as a constitutional referendum. The presidential election in 2010 was delayed multiple times for both political and technical reasons, including difficulties with voter registration. For the upcoming election, Somaliland plans to institute biometric voter registration, a logistically challenging process. A group of donors is currently supporting the development of the voter registry. USAID is supporting voter education around the registration process through one of its existing programs, Transition Initiatives for Stabilization. The ES3P program will be well positioned to build on any initial donor support provided by continuing to contribute to voter education and other civic engagement, as well as to address political party strengthening and domestic observation needs as they arise.

USG and International Engagement with Somalia

Following the formation of the FGS, the international community began to more actively support political processes related to the implementation of the provisional constitution and the development of federal structures. In 2013, the FGS together with Somali civil society representatives and international donors developed the Somali Compact under the New Deal for Engagement in Fragile States, which outlines Somalia's priorities over three years (2014-2016). The Compact is based on mutual accountability and risk management between the Federal Government, Parliament, regions and people of Somalia, and the international community. The Somali Compact accepts federalism, promotes dialogue and reconciliation, and highlights the importance of strengthening cooperation between the Federal Government and the regions in this process. Additionally, the Somali Compact includes an annex that outlines the Somaliland Special Arrangement, with specific priorities and commitments for that region.

The FGS and Somali civil society have been working closely with international donors to design and engage in interventions to meet the five Peacebuilding and Statebuilding Goals (PSGs) established under the New Deal process and enshrined in the Somali Compact. Of these, PSG1: Inclusive Politics, "to achieve a stable and peaceful federal Somalia through inclusive political processes," is of most relevance to ES3P. The Somaliland Special Arrangement also has priorities organized under PSG1. The first is directly relevant to this program, as it focuses on strengthening electoral processes through "addressing gaps in representation, such as those faced by women and marginalized communities; conducting voter registration; and development mechanisms for judicial and public oversight."

USAID Objectives in Somalia

USAID's strategy for Somalia is to increase stability through targeted interventions that foster good governance and economic recovery and reduce the appeal of extremism. USAID's objectives and programming in Somalia are in line with the New Deal Compact for Somalia and the FGS's Vision 2016: Framework for Action.

The USG's Integrated Country Strategy for fiscal years 2015-2017 has three main goals: 1) A Secure and Stable Somalia; 2) Economic Recovery and Growth; and 3) Inclusive and Accountable Governance. Under Goal 3, ES3P will contribute to Objective 3.1, Established, Representative Governance. The FGS assumed office in September 2012 with a mandate to establish federal states, review and ratify its Provisional Federal Constitution, and conduct nation-wide elections by 2016. Assuming progress in securing the country, FGS success in accomplishing these important nation-building objectives would increase the internal legitimacy of the FGS, build stronger partnerships among federal, regional, and local governments, and provide greater stability to a country emerging from more than 20 years of conflict. Although the FGS has developed the Vision 2016 framework, implementation has proven slower than expected in part due to repeated political impasses. Timelines to complete the key political processes have experienced significant delays. At the same time, interim regional administrations, which are on track to become federal member states, are at various stages of establishing state-level governance structures. Somalia's federal and state governments will need additional moral, technical, and material support from the U.S. and the rest of the international community to ensure that these processes move forward.

Other Related USAID Activities in Somalia

The implementer of the ES3P program will be expected to coordinate closely with USAID and other related donor-funded activities. In particular, the Recipient should work closely with the following USAID-funded activities that include components that support democratic institutions and processes:

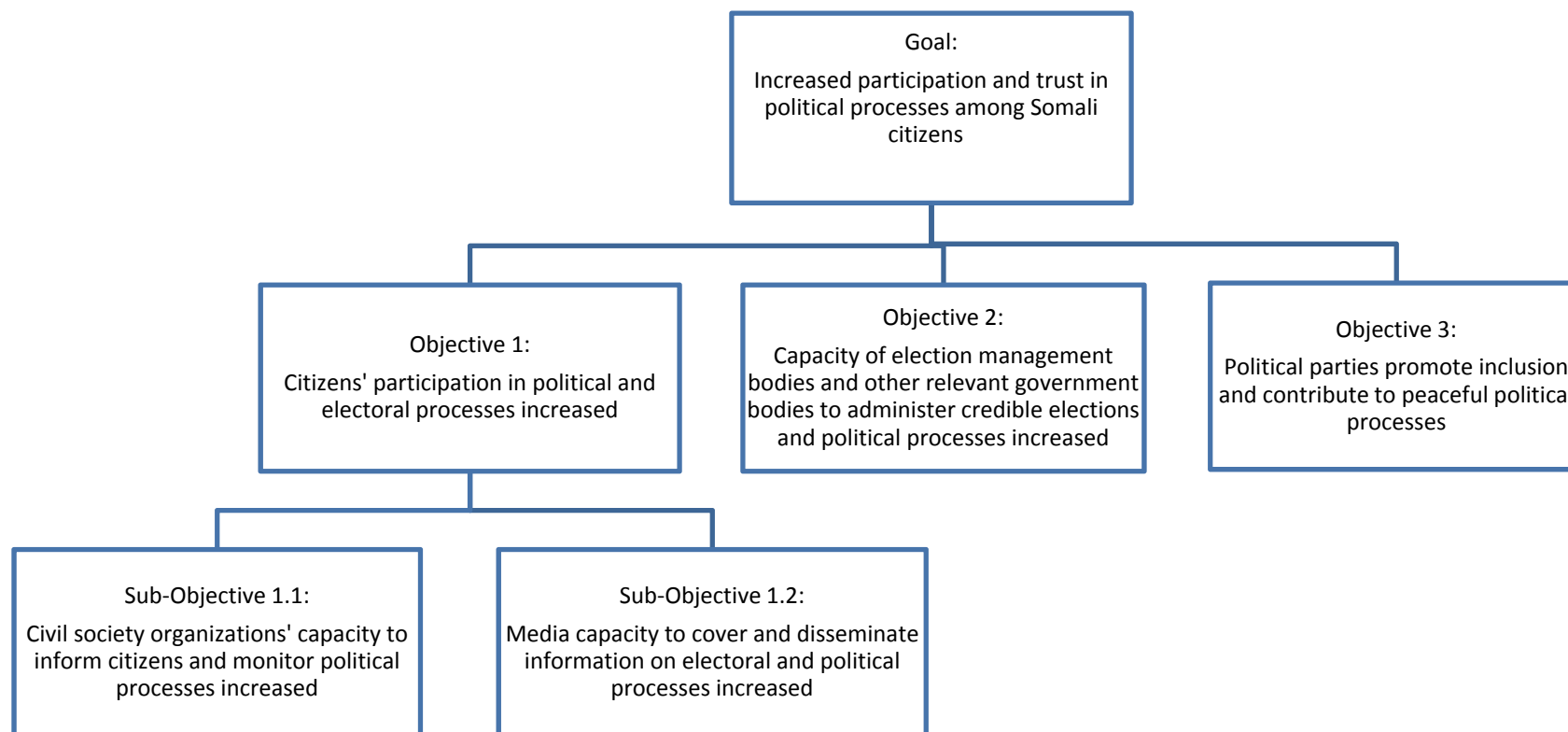
Transition Initiatives for Stabilization (TIS) and Transition Initiatives for Stabilization Plus (TIS+): The TIS program (2010-2016) seeks to increase confidence in all levels of government through targeted, strategic interventions that improve service delivery and government responsiveness. Somali government institutions, the private sector, and civil society collaborate to design, evaluate, and deliver projects with a quick and lasting impact on the lives of Somali citizens in critical risk areas in 16 of Somalia's 18 regions. TIS+ (2015-2020) will support improvements in government service delivery that demonstrate good governance and promote community cohesion. The program will support local communities with access to livelihoods, income generation, and basic community infrastructure to ease hardship. Work under ES3P to assist citizens to participate freely in political processes and support civil society organizations to educate voters and oversee electoral processes will build on the work of TIS and TIS+ with communities and civil society. Communities and organizations already working with TIS or TIS+ could be engaged as potential partners under ES3P.

Strengthening Somalia Governance (SSG): SSG (2014-2017) is a nationwide activity to support the development of effective and accountable governance. SSG supports efforts to enhance government outreach, increase citizen participation, improve the functional capacity of key government institutions, and expand women's empowerment and leadership. SSG also seeks to develop the capacity of governance institutions in Somaliland and Puntland. As part of its

objective to improve the ability of targeted government institutions to carry out essential functions, SSG is providing technical assistance and institutional capacity-building support to federal commissions, including the NIEC and BFC. ES3P should build on this work by supporting the NIEC and BFC to carry out their responsibilities. ES3P will also be able to collaborate with SSG in its work with civil society organizations and civic education.

4. Program Objectives and Expected Results

Logical Framework



Program Objectives

The overall goal of ES3P is increased participation and trust in political processes among Somali citizens. ES3P interventions need to be firmly rooted in the context of the New Deal Framework and the Peacebuilding and Statebuilding Goals (PSGs) for both Somalia and Somaliland. The program must align in particular with the objectives outlined in PSG 1, Inclusive Politics. In south central Somalia and Puntland, the program should support the constitutional review and implementation process, electoral processes at the federal and state levels, and the advancement of inclusive political dialogue to ensure that the foundations for sound democratic processes and accountable governance are established in Somalia. In Somaliland, the program should support civic engagement and voter education around electoral processes.

Objective One: Citizens' participation in political and electoral processes increased

Sub-Objective 1: Civil society organizations' capacity to inform citizens and monitor political processes increased

Under this objective, ES3P should support civil society organizations (CSOs) to conduct civic education around long-term transitional processes, including constitutional review and federalism, and voter education related to elections and the constitutional referendum. Civic and voter education efforts should be sensitive to the low levels of literacy in Somalia by using creative approaches that are culturally-sensitive. ES3P should also support civil society groups to conduct peace messaging or other activities aimed at mitigating violence that may flare up around political processes.

Additionally, ES3P should support opportunities for engagement between citizens and government bodies that allow citizens and civil society organizations to provide input on key electoral and political processes. These activities could intersect with civic education; for example, civic education on constitutional review and implementation could also involve interaction between communities and officials that would allow citizens to provide feedback.

Finally, ES3P should partner with CSOs to monitor electoral processes. Impartial citizen oversight of electoral processes is key to building citizen understanding and trust in democratic institutions. Election monitoring should include the oversight of voter registration, campaigning, counting and tabulation, and other important benchmarks in the process, rather than just election day voting.

ES3P should make a special effort to reach out to women, young people, internally displaced persons, persons with disabilities, and people from other groups that have traditionally been marginalized in Somali politics and governance. These efforts should include partnering with civil society organizations that already have strong relationships with or represent these populations. Content of all civic and voter education materials should be inclusive of these populations. Content related to sexual and gender-based violence should be considered as part of violence-prevention messaging or programming.

USAID encourages partnerships with local organizations that build on local expertise and improve the capacity and sustainability of the organizations. ES3P should support local CSOs, including through sub-awards.

Expected Results:

- Improved access to accurate, culturally-appropriate, effective civic and voter education for Somalis, including among women, youth, and marginalized groups.
- Improved understanding of key electoral and political processes and how citizens can participate in them among populations receiving voter education.
- Increased engagement between citizens and government on the constitutional review and implementation process.
- Effective monitoring of selected electoral processes by local CSOs.
- Improved capacity of partner CSOs in both technical and managerial sectors.

Sub-Objective 2: Media capacity to cover and disseminate information on electoral and political processes increased

Impartial, professional journalistic coverage of political processes is essential to building public understanding and to preventing political violence. ES3P should support capacity-building activities for independent media organizations, including print, online, and broadcast outlets. Trainings should cover, at a minimum, professional guidelines and journalistic ethics, relevant election and media laws, the rights of journalists, and conflict-sensitive reporting techniques. Other topics may be included as relevant. These capacity-building activities should include management-level staff as well as journalists, in order to promote the institutionalization of the concepts.

Additionally, ES3P should support broadcast organizations to conduct public service announcements (PSAs) with civic and voter education to promote public awareness of political processes and how citizens can engage. This sub-objective may also support PSAs with peace messaging at specific times, such as in pre-electoral periods.

ES3P should strive to include an equitable number of women journalists and media professionals in all media-related activities.

Expected Results:

- Increased accuracy and impartiality of reporting on political processes among participant media organizations.
- Greater comprehension among participating media professionals of their rights and responsibilities.
- Increased public awareness of key political processes and how citizens can participate.

Objective Two: Capacity of election management bodies (EMBs) and other relevant government bodies to administer credible elections and political processes increased

ES3P should support the development of legal and regulatory frameworks, and internal systems, that relate to political processes through technical assistance and mentoring. These should include electoral dispute resolution mechanisms and regulations concerning political party registration, funding, and operations, among other needs. ES3P can also help the NIEC to develop an electoral code of conduct for candidates and parties, as is envisioned in the provisional constitution. The development of these regulations, processes and codes should involve consultations with key stakeholders, including political parties and CSOs.

Additionally, as discussed under Objective 1, it is essential that citizens understand and engage in political processes for them to be credible. EMBs must effectively communicate decisions and plans to ensure citizens participate, as well as to promote transparency. To this end, ES3P should support EMB communications and outreach efforts, including direct engagement with citizens through public consultations. Additionally, ES3P should support EMBs to work with CSOs to develop effective civic and voter education materials.

Work under this Objective could also support other government bodies that conduct work related to political processes, such as the BFC, ICRIC, or parliamentary committees at the federal or state levels.

Expected Results:

- EMBs actively consult with civil society and the public on key decisions and processes.
- EMBs provide more accurate and timely information around voter education, election day, and election results.
- Effective electoral dispute resolution mechanisms are instituted in advance of elections at the federal and state levels.
- Political party regulations are instituted.

Objective Three: Political parties promote inclusion and contribute to peaceful political processes

Well-organized and institutionalized political parties are a key aspect of democratic governance. Parties perform roles of political representation, conflict resolution through peaceful political contest, interest aggregation, citizen mobilization, and political leadership. When political parties fulfill these functions, they serve to organize political choices for voters and to shape the policy dialogue. Strong, organized and more inclusive political parties represent a necessary condition for change and progress in several key areas: free and fair elections, peaceful political debates, citizen participation, integration of women and youth into the political sphere, conflict mitigation, good governance, rule of law, as well as fighting corruption and impunity. They can also generate public awareness on a full range of development priorities: public health, education, gender issues, agriculture, environment, economy, and commerce.

ES3P should support the formation of democratic and inclusive parties in south central Somalia by providing technical assistance and training on the above topics, as well as other issues such as

women's political participation and inclusion of youth. ES3P should also support parties to provide input to the NIEC or other federal bodies that will develop regulations regarding party registration, funding, and operations. Additionally, ES3P should support political party input into the development of a political party code of conduct by the NIEC. ES3P may also provide technical assistance and training to political parties/associations in Somaliland and Puntland.

ES3P should promote the inclusion and strong participation of women and young people in all of its party-related activities. The program should ensure an equitable number of women and youth in all trainings. ES3P may also conduct training on gender issues for male and female party members, conduct specific skills-building trainings for women or young party members, or support these groups to develop party wings or caucuses.

All activities supporting political parties will be conducted in line with the USAID Political Party Assistance Policy of 2003.¹

Expected Results:

- Participating parties develop issue-based platforms.
- Women and youth party members substantively contribute to key activities of the participating parties, including platform development and public outreach.
- Women and youth party members are encouraged and trained by participating parties to run for office.
- Somali political parties support the development of a code of conduct promoting peaceful elections.

Relationship between Objectives

The objectives of this program are mutually reinforcing by supporting key actors – EMBs, political parties, domestic monitors, civil society advocates – with technical assistance on activities and messaging that promote credible and peaceful elections.

The emphasis of each component, however, will vary depending upon the region of the country and the stage in the electoral or constitutional reform cycle. For example, work under this program at the national level will probably emphasize civic education and engagement on political processes through civil society and media. USAID currently expects that the United Nations, with the support of various donors, will provide the bulk of support to the logistics of the electoral process.

Selecting Partner Communities and Institutions

As above, partner organizations and institutions will necessarily vary depending on the region of the country implicated and the stage in the electoral or constitutional reform cycle. Awareness of partners, communities, and institutions engaged with USAID and other donor programs will also inform selection, both to seek synergies and complementarity and to respect absorptive capacity.

¹ The USAID Political Party Assistance Policy can be found online at: http://pdf.usaid.gov/pdf_docs/pdaby359.pdf

Management Plan and Governance Structure

It is expected that applicants will have continuous field presence in Somalia to ensure effective on-the-ground implementation. The applicant will designate one individual (Chief of Party) to be the liaison with USAID/Kenya and East Africa/Somalia. USAID will designate an Agreement Officer's Representative (AOR) as the counterpart to that person on the technical and management issues concerning implementation of the program.

Applicants may determine that to ensure the full range of capabilities required by this program and to strengthen collective efforts that provide assistance across sectors and geographic areas of need, they will partner with other institutions, local and regional organizations, and technical support partners. Additionally, USAID prefers that there be separation between some activities that may otherwise raise concerns about conflict of interest. For example, interventions that provide technical assistance to the EMB administering a particular election should be managed separately from interventions supporting domestic monitoring of that election.

Sub-Awards to Local Organizations

As noted under Objective 1, sub-objective 1, USAID encourages the use of sub-awards under this program to build relationships with organizations with local expertise and to develop the capacity and sustainability of these local organizations. Small grants to local organizations can further the objectives of this program by supporting inclusion in political processes and strengthening the capacity and skills of CSOs, coalitions of CSOs, women's groups, youth groups, and groups representing marginalized clans or other vulnerable populations.

Part of the budget - \$3 million - for ES3P should be reserved for sub-grants to be made to local organizations. Sub-award size can vary, based on need, technical quality of the application, past performance and past experience of the applicant on similar types of programs, and reasonable cost of the proposed interventions.

Any sub-award activities must include a budget, must be awarded based on clear criteria, and must be approved by the AO as per the guidelines included in substantial involvement.

RESOURCES

Somalia Legislative Strengthening Program Evaluation: 2010-2013 Somalia Legislative Strengthening, Elections and Political Process Program, December 2013. Found on USAID's Development Experience Clearinghouse at http://pdf.usaid.gov/pdf_docs/pa00jsxc.pdf

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability, USAID intends to provide \$24 million in total USAID funding over a five-year period. The ceiling for this program is \$24 million. Actual funding amounts are subject to availability of funds.

USAID intends to award one Cooperative Agreement pursuant to this notice of funding opportunity.

USAID reserves the right to fund any one or none of the applications submitted.

2. Start Date and Period of Performance for Federal Awards

The period of performance anticipated herein is five years. The estimated start date will be upon the signature of the award, on or about January 2016.

3. Substantial Involvement

USAID/Somalia considers collaboration with the Recipient crucial for the successful implementation of this program. Substantial involvement under the proposed award shall include the following:

- a) **Approval of Annual Implementation Plan:** On an annual basis, the Recipient shall prepare and provide for USAID's approval an annual implementation plan. USAID and relevant Somali stakeholders will be consulted during the development of the annual implementation plan and revisions. USAID will have final approval. USAID will in addition review and approve the annual risk assessment which will be prepared and delivered by the Recipient in tandem with the annual work plan.
- b) **Approval of Key Personnel:** USAID will approve the personnel filling those positions considered to be essential to the successful implementation of the award. USAID will be consulted early in the process of any proposed changes following award; and USAID will approve any changes in key personnel prior to the change.
- c) **Agency and Recipient Collaboration or Joint Participation:**
 - i. *Approval of Performance Monitoring and Evaluation Plan:* USAID will review and approve the Recipient's monitoring and evaluation plan, inclusive of realistic and appropriate performance indicators and plans for periodic evaluation of activities. USAID will also ensure site visits are conducted by third-party monitors and will make suggested modifications or recommendations for improvement which will be included in the approach in order to guarantee results.
 - ii. *Approval of Sub-Awards:* USAID shall have substantial involvement in the criteria and selection of sub-award recipients through means of collaboration and joint participation. Unless otherwise directed by the Agreement Officer, USAID

- shall concur on the selection of all sub-award recipients and substantive provisions of the sub-awards.
- iii. *Approval of Program Coverage:* USAID will have collaborative involvement in the selection of targeted geographic areas in which the program is implemented and program coverage. USAID will explicitly approve the geographic coverage of program activities.
 - iv. Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects.

4. Title to Property

Property title under the resultant agreement shall vest with the recipient in accordance with the Requirements of 2CRF200.311.

5. Authorized Geographic Code

The geographic code for this program is **937**.

6. Purpose of the Award

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the “Engaging Somalis in Peaceful Political Processes (ES3P)” project.

The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award. The Recipient using its own unique combination of staff, facilities, and experience, has the primary responsibility for employing whatever form of sound organization and management techniques may be necessary in order to assure proper and efficient administration of the resulting award.

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applicants

U.S. and non-US organizations may participate under this NFO. USAID encourages applications from a broad range of interested parties, foreign and domestic non-profit organizations, foreign and domestic for-profit companies that forego profit, faith-based organizations, individuals, foundations, academic institutions, civic groups and regional organizations. USAID welcomes applications from organizations which have not previously done business with USAID.

If the applicant proposes to partner with other organizations through sub-awards, it should present a clear structure in terms of roles and responsibilities of each sub-recipient, lines of authority, and managerial decision-making process. In preparing their applications, applicants must not enter into exclusive arrangements for labor with any local staff or local organizations.

Applicants must have established financial management, monitoring and evaluation processes, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. The successful applicant(s) will be subject to a responsibility determination assessment (Pre-award Survey) by the Agreement Officer (AO).

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

There is no cost sharing requirement for this NFO.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Ali Ali
Acquisition and Assistance Specialist
USAID/East Africa
United Nations Avenue, Gigiri
P. O. Box 629 Village Market 00621
Nairobi, Kenya
alali@usaid.gov

Maria Televantos
Agreement Officer
USAID/East Africa
United Nations Avenue, Gigiri
P. O. Box 629 Village Market 00621
Nairobi, Kenya
mtelevantos@usaid.gov

Questions and Answers:

All questions regarding this NFO should be submitted in writing to the e-mail addresses above.

Questions regarding this NFO should be submitted in writing to Maria Televantos, Agreement Officer, via e-mail at mtelevantos@usaid.gov with a copy to Ali Ali, Acquisition and Assistance Specialist at alali@usaid.gov by the date and time listed at the top on this cover letter to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this NFO will be furnished promptly to all other prospective Applicants as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

Applications must be submitted electronically. The electronic version of proposals must be sent by internet email to the following addresses: mtelevantos@usaid.gov, and alali@usaid.gov.

2. Content and Form of Application Submission

Applicants are expected to review, understand, and comply with all aspects of the NFO.

Preparation of Applications:

Each Applicant shall furnish the information required by this NFO. Applications shall be submitted in two separate parts: (a) Technical Application, and (b) Cost/Business Application.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

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

“This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, a grant is awarded to this Applicant as a result of – or in connection with – the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government’s right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers} and, mark each sheet of data it wished to restrict with the following legend:

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

Applicants should retain for their records one (1) copy of the application and all enclosures which accompany it.

3. Application Submission Procedures

It is the Applicant’s responsibility to ensure that all necessary documentation is complete and received on time.

Applicants must submit applications via email to the points of contact in subsection 1 of Section D above by the date and time specified on the cover page. Email transmittal is the only form of submission accepted.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "No. 1 of 4", etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: "[organization name], Cost Application, Part 1 of 2".

Our preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear. All applications received by the submission deadline will be reviewed for responsiveness to the NFO and the application format. No addition or modifications will be accepted after the submission date.

After you have sent your applications electronically, immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email or indicate in the file name if submitted via grants.gov that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applications must be received electronically no later than the date and time indicated on the cover letter of this NFO. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered at USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt and/or the quality of other applications received. Receipt time is when the application is received by the USAID/East Africa internet server. Paper copies of the applications are not required.

USAID does not anticipate any additional funding restrictions other than those described in applicable regulations.

Reimbursement of pre-award costs will not be allowed unless prior written approval is provided by the Agreement Officer.

Electronic submission is required. All files are to be in searchable PDF except for cost spreadsheets, which are to be provided as Excel files with cell formulas intact. Zipped files cannot be accepted due to firewall restrictions. Applicants are responsible for confirming that their complete applications were received electronically by USAID. Telegraphic or fax applications will not be considered.

Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this NFO must request it in writing. Questions should be sent by the date and time noted on the cover page of this NFO. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this NFO will be furnished promptly to all other prospective applicants as an amendment of this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

4. Technical Application Format

Technical Application Format

Technical applications should be specific, complete and presented concisely. Technical applications should take into account requirements of the program/activity and evaluation criteria

found in this NFO. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this activity.

The application must be written in English and is limited to 45 pages including required annexes. PAGES EXCEEDING THESE PAGE LIMITS WILL NOT BE EVALUATED. The application shall be typed on standard A4 sized paper, pages must be numbered consecutively, and the layout and font must be readable. All required aspects of the technical application as noted below must be combined into a single, searchable PDF, and the page limitation will be calculated by the total number of pages of the entire PDF. Information from the required appendices need not be summarized in the technical application. The technical application must be submitted by email.

The Application must follow the following format:

1. Cover Page

The Cover Page must include: the NFO Number; the name of organization(s) submitting application; the name of a contact person and title or position with the organization; the e-mail address, telephone and fax numbers (if applicable), and the postal and physical addresses of the organization(s).

Applicants should also state clearly whether the identified contact person has the authority to negotiate on behalf of the applicant, or, if not, the contact information for the appropriate person with the authority to negotiate.

2. Table of Contents

3. Acronym List

4. Executive Summary

5. Technical Application Body

The technical application body shall be organized using the same headings as the technical evaluation criteria. The sections are listed and further described below:

- i. Technical Approach
- ii. Key Personnel
- iii. Management and Staffing Plan
- iv. Experience

6. Required Annexes

- a. Illustrative risk assessment and monitoring methodology
- b. Draft monitoring and evaluation plan
- c. CVs of key personnel
- d. Summary organizational chart

- e. Sub-recipient management structure chart (if sub-recipients are proposed)

- i. Technical Approach**

The technical approach must provide a clear and succinct overview of the applicant's proposed plan for achieving the outlined objectives and results in a manner which promotes local ownership and strengthened capacity among local partners and stakeholders. A successful application will demonstrate an understanding of the political economy, and incorporate approaches and illustrative activities that are hallmarked by the integration of gender issues, innovation, feasibility considerations, synergies between stakeholders, and a focus on generating sustainability beyond the performance period. Applicants should present strategies for flexible, iterative program management to adapt and respond to changing country context and emerging needs.

The applicant should provide two annexes as part of the technical approach: 1) an illustrative risk assessment and monitoring methodology, linked to the assumptions in the logical framework, including an illustrative risk matrix that discusses key risks and mitigating factors in the current context; and 2) a draft monitoring and evaluation (M&E) plan that adequately evaluates performance and provides information for project planning. This draft M&E plan should present a Theory of Change and propose appropriate custom and standard indicators to measure progress against the expected results and objectives.

- ii. Key Personnel**

Key personnel are those considered to be essential to the work being performed under this cooperative agreement. It is expected that the key personnel will serve the full term of the agreement. Key personnel and changes to key personnel are subject to approval by the USAID AOR and AO prior to their employment under this award. Before removing, replacing or diverting any of the listed or specified personnel, the Recipient shall (1) notify the AO and the AOR in advance and (2) submit justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on this agreement.

There are five key personnel positions under this cooperative agreement. The Applicant must propose individuals for the five key personnel positions that are highly qualified to fulfill the responsibilities of the roles. This section of the application should clearly show how the proposed individuals are appropriate for supporting effective implementation and achieving the program's objectives. Key personnel must have sufficient managerial as well as technical capacity, expertise and experience to effectively manage and support the overall project and its staff. The applicant must include resumes for all proposed key personnel to be included in an annex. Each resume must include information on language skills, developing country experience, and three references with telephone numbers and email addresses.

Applicants shall propose staffing patterns and corresponding level of effort that they deem appropriate to accomplish the objectives of the program description. The applicant is encouraged to seek candidates with regional expertise and Somali language skills for key personnel

positions. At least one of the key personnel is required to have expertise in gender equality and women's empowerment to support full integration of USAID's policies on gender into implementation. Applicants are also strongly encouraged to consider gender equality in their leadership team and overall staffing plan.

There are three key personnel positions that are required: Chief of Party, Deputy Chief of Party, and Grants Manager. Required qualifications for these three positions are listed below. In addition, applicants must propose two additional key personnel positions that support their approach.

a. Chief of Party

- o Minimum ten (10) years of experience working on democracy and governance programming in developing countries, with experience in elections and political processes, governance, civic engagement/civil society, institutional development or directly related technical areas;
- o Minimum seven (7) years of progressively responsible management experience (which may be concurrent with the above ten (10) years of technical experience), with significant experience as a development professional administering donor-funded programs, preferably in Sub-Saharan Africa;
- o Demonstrated capacity to develop solid working relationships with senior government officials, local governments, non-governmental institutions, and coordination with other donors. Strong communication and interpersonal skills are required. Demonstrated record of success in politically sensitive environments;
- o Appropriate and relevant university degree;
- o Fluency in written and spoken English

b. Deputy Chief of Party

- o Minimum six (6) years of experience implementing democracy and governance programming, with significant experience in elections and political processes, civic engagement/civil society, governance, or institutional development, in a developing country context, of which two (2) years must be experience in a management role;
- o Experience in fragile or post-conflict states, preferably in Sub-Saharan Africa;
- o Demonstrated capacity to develop solid working relationships with senior government officials, local governments, non-governmental institutions, and coordination with other donors. Strong communication and interpersonal skills are required. Demonstrated record of success in politically sensitive environments;
- o Appropriate and relevant university degree;
- o Fluency in written and spoken English

c. Grants Manager

- o Minimum six (6) years of experience in a management position;
- o Minimum four (4) years of experience (which may be concurrent with the above six (6) years of experience) in managing large grants facilities in fragile contexts, preferably in sub-Saharan Africa;
- o Appropriate and relevant university degree;

- o Fluency in written and spoken English

iii. Management and Staffing Plan

The Applicant shall propose an organizational approach and staffing plan with a clear structure and lines of accountability to achieve maximum impact with the budget resources provided. The use of local rather than international personnel for both permanent and short-term positions should be maximized as much as possible to assure appropriate institutionalization and sustainability. ES3P should build national staff management and technical capacity in key technical focus areas of importance to the project through targeted training and mentoring. These focus areas could include, but are not limited to, democracy and governance, gender, English composition, computer skills, research, financial management, team management, and organizational development.

This section of the application should include a discussion of how the applicant will manage program activities, including the management of any field offices. The overall management approach should demonstrate the applicant's capacity to manage a program that will function in an environment that is subject to security challenges, as well as a changeable political context. Additionally, as an annex, the applicant should include a summary organizational chart which shows the totality of positions proposed for all components of the implementation plan, inter-staff relationships and lines of communication.

This section should also include information on the small grants portfolio the applicant will manage. As part of this, the applicant should include a brief capacity-building plan that provides information on how the applicant will support technical and managerial skills-building among the staff of local partners.

If the application includes other sub-recipients, the applicant should include as part of the management plan the proposed sub-recipients and their respective roles in relation to the program objectives. In this case, the applicant must include, as an annex, a chart that shows the structure, governance, and relationships between the prime and sub-recipients.

iv. Experience

The application must include a section that provides information on the applicant's past experience in managing elections and political processes programming, particularly in fragile contexts, and how the applicant plans to use the lessons learned from these experiences to strengthen its approach in managing the ES3P program.

5. Cost Application Format

Budget Preparation and Submission Instructions

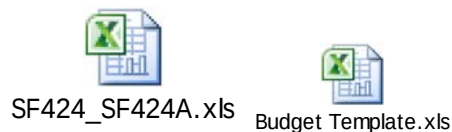
The Cost or Business Application shall be submitted completely separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

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

A Cost Application consists of:

- a. The SF-424, Application for Federal Assistance; SF-424A, Budget Information – NonConstruction Program; and SF-424B, Assurances – Non-Construction Programs.
 - b. A summary budget and a detailed/itemized budget (the required budget format is embedded below);
 - c. A budget narrative explaining costs estimated and providing the rationale and the basis on which they were derived including sufficient information to determine the reasonableness of proposed salaries, equipment, vehicles, etc.; and
 - d. Other administrative documentation as required.
- a. A budget for each program year with an accompanying detailed budget narrative which provides in detail the total cost for implementation of the program must be submitted using the Standard Form 424. The cost application should contain the budget categories as shown in the SF-424A. The Applicant must sign and submit the cost application standard form number SF-424 and SF-424A. Standard Forms can be accessed electronically at www.grants.gov.
- b. NFO Budget Template

The required budget format is embedded here (please double click on the icon) and included as an annex to this NFO:



Detailed/itemized budgets must be submitted in this Excel format, shall be unlocked and shall show ALL formulas used to derive calculations. Further instructions are included in the template.

Part of the budget - \$3 million - for ES3P has been included in the budget template for sub-grants to be made to local organizations.

The budget shall include:

- The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- The breakdown of all costs according to each partner organization or subcontractor/sub-grantee involved in the program;
- The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.

A budget narrative must accompany the detailed budget and must explain all costs estimations and provide the rationale and the basis from which they were derived. The budget narrative must include sufficient information to allow the Agreement Officer to determine the reasonableness and realism of proposed salaries, equipment, vehicles, etc. The applicant must include all estimated costs associated with branding and marking and environmental compliance in its proposed budget.

Cost Sharing or Matching: Applicants are encouraged, but not required, to provide a cost share contribution under this program. Proposed cost share will be evaluated as part of cost effectiveness.

Program Income: If it is expected that program income might be generated under this project, then program income earned under the resulting award shall be added to the project and used to further eligible project objectives as agreed upon by USAID. Applicants should describe how program income might be generated under the proposed activities and how it envisions program income being utilized to successfully accomplish project objectives.

The successful applicant will be required to progressively report earned program income and its proposed use. Program Income will be accounted for in accordance with 2 CFR 200.307 (or the Standard Provision entitled Program Income for non-U.S. organizations).

Applicants who intend to utilize contractors or sub-awardees should indicate the extent intended and a complete cost breakdown. Extensive contracts/agreement financial plans should follow the same cost format as submitted by the primary Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.

Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or sub-award (see § 200.92 Sub-award), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting proposed by the contractor, and the quality of its record of past performance for similar work. For-profit contract organizations that work under the award and do not meet the above definition of a sub-awardee are eligible for profit/fee.

NOTE: USAID will not reimburse potential applicants or the selected awardee for any pre-award costs.

Also include in the cost application:

- a) Information that confirms and ensures that proposed cost sharing, if any, will materialize.
- b) Details of sub-award arrangements to the extent they are known at the time of application development. In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact.

NOTE: If sub-awards are anticipated and not explained in the original application, the agreement officer's approval (after award) will be required before the sub-agreement may be executed.

- c) A copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.
- d) A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government, if applicable.

The Applicant must submit a Negotiated Indirect Cost Rate Agreement NICRA if the organization has such an agreement with an agency or department of the U.S. Government. If no NICRA the Applicant should submit the following:

Reviewed Financial Statements Report: a report issued by a Certified Public Account (CPA) documenting the review of the financial statements was performed in accordance with Statements on Standards for Accounting and Review Services; that management is responsible for the preparation and fair presentation of the financial statements in accordance with the applicable financial reporting framework and for designing, implementing and maintaining internal control relevant to the preparation. The account must also state the he or she is not aware of any material modifications that should be made to the financial statements; or

Audited Financial Statements Report: An auditor issues a report documenting the audit was conducted in accordance with Generally Accepted Auditing Standards (GAAS), the financial statements are the responsibility of management, provides an opinion that the financial statements present fairly in all material respects the financial position of the company and the results of operations are in conformity with the applicable financial reporting framework (or issues a qualified opinion if the financial statements are not in conformity with the applicable financial reporting framework).

- e) Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
 - Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
 - Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 - Has a satisfactory record of integrity and business ethics; and
 - Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).
- f) Required certifications and representations (as described below).

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

Unnecessarily Elaborate Applications - Note that unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NFO are not desired and may be construed as an indication of the applicant's lack of cost consciousness. In the event that an organization chooses to submit a hard copy application in addition to the required electronic submission, elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

Proprietary Information – Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

1. Mark the title page with the following legend:

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

2. Mark each sheet of data it wishes to restrict with the following legend:

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

6. Branding and Marking Plan

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, only the apparently successful applicant will be requested to submit a Branding and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded.

These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 2 CFR 700.16 or, for non-U.S. organizations, see the provision entitled “Marking and Public Communications Under USAID-Funded Assistance” and the references therein. Please note that the Branding and Marking Plan shall not be included with the original application, but shall be provided only after a written request of the Agreement Officer.

ADS Chapter 320 sections concerning “assistance” apply to this NFO. ADS Chapter 320 sections concerning “acquisition” do not apply to this NFO. ADS Chapter 320 can be found on the USAID website: <http://www.usaid.gov/policy/ads/300/320.pdf>

A helpful list of Frequently Asked Questions (FAQs) about branding and marking can also be found on the USAID website: http://www.usaid.gov/branding/marketing_faq.html.

The business section of the cost/business application should include:

1. Required assurances, certifications and representations
2. Evidence of responsibility that the Agreement Officer can use to determine the Applicant
 - a. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award;
 - b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
 - c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
 - d. Has a satisfactory record of integrity and business ethics; and
 - e. Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).
3. Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

4. Statutory and Regulation Certifications

The Applicant shall complete the certifications in Section IV, B. Required Certifications and sign

and date in the signature space provided. The signed and dated printout must then be submitted with the application as an annex to the cost application. Original signed hardcopy of the certifications will be requested from the successful applicant prior to the agreement award.

7. Potential Request for Additional Documentation

Upon consideration of award or during the negotiations leading to an award, Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. Applicants should not submit the information below with their applications! The information in this section is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:

The information submitted should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.
3. Whether the organizational travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should provide copies of the same.

8. Required Certifications

- (1) Applicants must submit budget applications using the SF-424 series which includes the:

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

- (2) Applicants must submit all the required certifications described in ADS 303.3.8 (<http://www.usaid.gov/policy/ads/300/303sad.pdf>), and listed below. These documents are also found in Annex A to this NFO.

- a. A signed copy of Certifications, Assurances, and Other Statements of the Recipient, which include:
 - Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
 - Certification on Lobbying (22 CFR 227);
 - Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206);

- Certification Regarding Terrorist Financing; and
 - Certification of Recipient
- b. Other certifications and statements found in Certifications, Assurances, and Other Statements of the Recipient, which include:
- A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, (ADS 206.3.10) when applicable;
 - A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking (ADS 206.3.10) when applicable;
 - The Survey on Ensuring Equal Opportunity for Applicants;
 - Other Statements of Recipients.

9. Unique Entity Identifier and System for Award Management

Dun and Bradstreet and SAM.gov Requirements

USAID MAY NOT award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements. Each applicant is required to:

- (i) Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient.;
- (ii) Provide a valid unique entity identifier in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

10. Funding Restrictions

USAID policy is not to award profit under assistance instruments. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award.

NOTE: USAID will not reimburse potential applicants or the selected awardee for any pre-award costs.

SECTION E: APPLICATION REVIEW INFORMATION

1. Review and Selection Process

A. Technical Evaluation

USAID will conduct a merit review of all applications received that complies with the instructions in this NFO. Applications will be reviewed and evaluated in accordance with the criteria shown in descending order of importance.

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

The initial technical applications will be evaluated in accordance with the Evaluation Criteria set forth below. Thereafter, the initial cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. An award will be made to the responsible applicant whose application offers the greatest value to the Government, cost and other factors considered. The final award decision is made by the Agreement Officer, with consideration of the recommendations of the Selection Committee.

Evaluation Criteria:

The following evaluation criteria, which are further described below, will be the basis of evaluation for all technical applications. Criteria are listed in descending order of importance.

1. Technical Approach
2. Key Personnel
3. Management and Staffing Plan
4. Experience

1. Technical Approach

The technical approach will be evaluated in terms of the extent to which it:

- Clearly articulates and justifies the proposed strategies and activities and how they will contribute to achievement of the expected results and objectives, including capacity-building of local organizations and institutions.
- Integrates flexibility and an understanding of the local context into the proposed management approach to allow the program to adjust and respond to unforeseen circumstances or unexpected results.

- Presents an illustrative risk analysis and monitoring methodology and risk matrix that are clear, relevant, and demonstrate a strong understanding of the context.
- Presents monitoring, evaluation and learning methodologies that are capable of capturing the full extent of the results and impacts and appropriate to flexible, demand-led, and complex change processes.

2. Key Personnel

In assessing this factor, the Selection Committee will consider the extent to which:

- The proposed key personnel demonstrate appropriate qualifications for the positions for which they are nominated, complement each other as a management team, and meet the requirements for Key Personnel as noted under Section D.
- The positions proposed by the applicant are appropriate for the technical approach proposed by the applicant.

3. Management and Staffing Plan

The management and staffing plan will be evaluated in terms of the extent to which it:

- Demonstrates an ability to manage multiple complex activities.
- Demonstrates efficiency and effectiveness through clearly defined organizational and management structures, including an appropriate staffing structure.

4. Experience

This factor will be evaluated in terms of the extent to which the application:

- Demonstrates experience managing elections and political processes programming, particularly in fragile contexts.
- Demonstrates how the applicant will use lessons learned in other contexts to strengthen their approach to political processes support in Somalia.

B. Cost Evaluation

While cost is less important than technical and is not weighted, the cost applications of the apparently successful technical applications will be evaluated for cost effectiveness. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured for a responsibility determination.

The application with the lowest estimated cost may not be selected if award to a higher priced technical application offers a greater overall benefit for the program. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.

Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

2. Anticipated Announcement and Federal Award Dates

The estimated start date will be upon the signature of the award, on or about January 2016.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreement contemplated by this NFO cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the Agreement Officer.

2. Administrative & National Policy Requirements

For U.S. organizations, this section must state that 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.

For non-U.S. organizations, this section must state that ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.

Please refer to ADS 303.4 and 303.5 for additional information.

3. Reporting Requirements.

The following are the plans and reports required for ES3P. All reports shall be in English, unless otherwise specified.

- A. Annual Implementation Plans
- B. Monitoring and Evaluation Plan
- C. Branding and Marking Plan
- D. Quarterly Progress Reports
- E. Quarterly Financial Reports
- F. Demobilization Plan
- G. Final Report
- H. Data Reporting Requirements

A. Annual Implementation Plan

At the beginning of each Agreement Year, the Recipient will submit an annual implementation plan outlining all ongoing activities, and benchmarks and results to be achieved over the course of the year within each of those activities. The initial implementation plan for the first year of the activity will be due 60 days after the award is made.

As part of the annual implementation plan, the Recipient shall conduct and incorporate the findings of an annual risk assessment to analyze the overall context, monitor key assumptions and risks, and identify mitigating measures that can be put in place. This assessment should consider programmatic, operational and security risks. Given the inherent risks in working on elections and political processes, particularly in transitional environments, it is expected that the Recipient will work together with USAID to reevaluate planned interventions should assumptions change in ways that might undermine programming. For example, if an EMB that the Recipient is working with ceases to be a non-partisan, independent organization, the Recipient should discuss the situation with USAID and consider mitigating measures, including redirecting activities.

The Annual Implementation plan shall incorporate a strategy for inclusion of marginalized populations within Somalia in the activity. A focus on gender equality and women's empowerment should be mainstreamed throughout all activities, as should the inclusion of youth, but the Recipient should also consider specific interventions to reach groups that have traditionally been excluded from politics, governance, or decision-making. For example, the Recipient should ensure that women are included in every training conducted with political parties, but could also consider providing specific trainings on gender for political party leadership, or trainings specifically targeted to women who are party members. The Recipient should also consider the multi-dimensional nature of identity in its analysis of marginalization.

B. Monitoring and Evaluation Plans

At the beginning of each Agreement Year, the Recipient will submit an annual Monitoring and Evaluation plan in conjunction with the annual work plan. The Monitoring and Evaluation plan for Year 1 of the activity will be due within 90 days of award. The Monitoring and Evaluation plan will include specific benchmarks and indicators for measuring progress for all interventions. The plan will specify how data will be collected and analyzed for each of the benchmarks and indicators. The monitoring and evaluation plan will also highlight how data collected will show the effectiveness and results of program approaches and methodologies employed and how the data will contribute toward enhancing understanding of best practices in the sector.

Measurement will focus on both output and outcome data as well as on higher level results, and will also track trends in the situation of vulnerable groups in Somalia that may be affected by broader factors. All data should be disaggregated by gender, disability, and age, whenever applicable. Please note that the Recipient should conduct a detailed, in-depth baseline data collection for all components of the program in order to track results over the life of the program.

In addition to monitoring the Recipient's program, the Monitoring and Evaluation plan should allow for the collection and preparation of data necessary for USAID/KEA/Somalia to report on relevant Standard Indicators for the USAID agency-wide Program Components. In the first year of implementation, the Recipient should propose baselines and performance targets for all indicators, including the Standard Indicators. In subsequent years, the Recipient should collect and present the data to enable USAID/KEA to fulfill the Standard Indicator reporting requirements.

The Recipient should anticipate an annual reporting schedule that will accommodate the collection and analysis of performance data for each fiscal year (October - September), with compilation and presentation to USAID/KEA/Somalia by October 31. The Recipient's annual performance reports must be received by USAID no later than October 31 in order to allow USAID sufficient time to integrate the results to prepare the Mission's Annual Report for timely submission to USAID/Washington in December of each year.

Additionally, the Monitoring and Evaluation Plan should prepare the implementing partner to collect data and report on results for the United Kingdom Department for International Development (DfID), which is also supporting this project.

C. Branding and Marking Plan

The Recipient shall include a branding and marking plan, due no later than 30 days after the award is made, in full compliance with ADS 320. Additionally, marking shall comply with the USAID "Graphic Standards Manual" available at: www.usaid.gov/branding, or any successor branding policy.

E. Quarterly Progress Reports

The Recipient will prepare and submit to USAID quarterly reports on January 30, April 30, July 30, and October 30 of each year. The October report shall be a cumulative annual report (i.e. the fiscal year).

Quarterly Progress Reports will summarize progress in relation to agreed targets or milestones contained in the Work Plan, and report on all indicators in the monitoring and evaluation plan. The report will also include a narrative that describes the overall impact of program activities with respect to the higher level goals of the program. The report will specify any problems encountered and indicate resolutions or proposed corrective actions (for each corrective action, the recipient will designate responsible parties and establish a timeframe for completion). The report will list activities proposed for the next reporting period, noting where they deviate from the approved Work Plan, and will provide information on accrued expenditures to date.

Each progress report will also include the following:

- At least one snapshot or success story;
- Content for social media, such as text and photos for tweets;
- Any innovative approaches supported by the program and their impact on achieving results;
- A discussion of how the program is utilizing local expertise and strengthening local capacity to achieve program results;
- Linkages with other USAID and other donor programs and their impact on the results of this program;
- The extent to which women, youth, persons with disabilities, people from minority clans, or other vulnerable groups were participants; and

- Summaries of reports by short-term consultants

Participant Training: For all training activities financed under this award, conducted in-country, in the U.S., regionally, or in third countries, the Recipient must comply with Automated Directives System (ADS) Chapter 253 – Training for development and other USAID/KEA/Somalia-specific policies and procedures governing the effective, efficient planning, design, and implementation of such training programs. For such trainings the Recipient must also comply with ADS 252, Visa Compliance for Exchange Visitors. Reports on trainings, workshops, or conferences will be included as annexes to quarterly reports.

Annual Project Reviews: Complementing the October Annual Report, the implementing partner may, at the request of the Agreement Officer's Representative (AOR), hold annual project reviews with USAID and selected stakeholders to present results, review progress, and determine adjustments to the project. Agenda for the review should be determined in collaboration with USAID.

The recipient shall submit the original and three copies as well as one CD of the October Annual Report to the AOR and the Agreement Officer (AO), respectively. In addition, the recipient will provide, in electronic form, a copy of this report to one of the following:

1. Via E-Mail: docsubmit@dec.cdie.org <<mailto:docsubmit@dec.cdie.org>>;
2. Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA;
3. Via Fax: (301) 588-7787; or
4. Online: <<http://www.dec.org/index.cfm?fuseaction=docSubmit.home>>.

F. Quarterly Financial Reports

The Recipient shall submit an original and two copies. Financial Reports shall be in keeping with 2 CFR 200. The SF 425 must be submitted electronically to the AOR. Also included will be a report on expenditures, accrual information, and a comparison of expenditures with budget, and a forecast of expenditures for the next reporting period.

G. Demobilization Plan

Ninety days prior to the completion date of the Cooperative Agreement, a demobilization plan will be submitted for approval to the AOR and the AO. This plan should describe all actions to be completed to demobilize the Recipient's operations, including steps taken to transfer capacity and knowledge to sub-grantees and local stakeholders. The plan will provide dates for all actions and an inventory of commodities procured under the project with a disposition plan.

H. Final Report

The final report that covers the entire five-year period of the award will be submitted 60 calendar days after the expiration of the award and will include:

- a description of the cumulative results achieved;

- final data compared to baseline data for all indicators included in the monitoring and evaluation plan;
- an assessment of the impact of the program, disaggregated by gender and age, and potentially highlighting vulnerable groups; summary of problems/obstacles encountered during the implementation; and how those obstacles were addressed and overcome if appropriate;
- a presentation of life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact on the development and strengthening of electoral and political processes in Somalia;
- recommendations regarding unfinished work and/or future needs and directions for further strengthening electoral and political processes in Somalia as well as recommendations for what issues no longer require donor assistance;
- a summary of lessons learned, and any particularly important success stories.

The recipient shall submit the original and three copies as well as one CD of the program final report to the AOR and the AO, respectively. In addition, the recipient will provide, in electronic form, a copy of this report to one of the following:

1. Via E-Mail: docsubmit@dec.cdie.org <<mailto:docsubmit@dec.cdie.org>>;
2. Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910, USA;
3. Via Fax: (301) 588-7787; or
4. Online: <<http://www.dec.org/index.cfm?fuseaction=docSubmit.home>>.

All of the evaluation findings, conclusions, and recommendations shall be documented in the Final Report. All written deliverables shall also be submitted electronically to the AOR.

I. Data Reporting Requirements

The Recipient must submit to the Development Data Library, at www.usaid.gov/data, in a machine-readable, non-proprietary format, a copy of any Dataset created or obtained in performance of this award, including Datasets produced by a sub-grantee. This report must also be distributed to the AOR, AO, and the Performance Monitoring, Evaluation, and Learning Specialist.

Other Monitoring and Evaluation Requirements for Somalia

Because access to Somalia is limited for USG, USAID relies extensively on a third-party implementing partner to provide continued, on-the-ground performance monitoring, verification and evaluation of program impact, output and activities. This is not a substitution for the role of the Recipient with regard to monitoring and evaluation of this activity. The Recipient is required to work closely with the third-party monitors. The specific requirements will be discussed in detail once the award is made.

Environmental Compliance

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

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

USAID prepared and approved an Initial Environmental Examination (IEE) that reviewed the activities under this program (IEE file no. [Somalia PS GJD IEE 03082015](#)). The IEE covers activities expected to be implemented under this grant. USAID has determined that a Categorical Exclusion applies to this program.

As part of its initial Implementation Plan, and all Annual Implementation Plans thereafter, the recipient, in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

SECTION G: FEDERAL AWARDING AGENCY CONTACT(S)

- (1) See cover letter for appropriate contacts within USAID. Please note: Only the Agreement Officer is authorized to make commitments on behalf of USAID.
- (2) Section VII, Agency Contacts, must include points of contact (POC) for questions while the funding opportunity is open. In addition to the name and address of the POC, USAID may establish a generic e-mail address for inquiries.

SECTION H: OTHER INFORMATION

Flexibility

USAID recognizes that shifts in the local context can have implications for the achievements of results. Significant shifts may trigger adaption of the approach and indicators to better reflect the context. The Recipient, in close collaboration with USAID, shall undertake risk analyses not only to measure progress, but to test whether or not the assumptions continue to hold, providing USAID and the Recipient with information to make key management decisions regarding the project. The Recipient shall conduct an annual risk assessment as part of the yearly work plan that will assist the Recipient and USAID in monitoring critical assumptions and risks and responding to changes. USAID will coordinate with the Recipient if any programmatic changes are required as a result of programmatic or other shifts.

Gender

The Recipient must integrate gender considerations into all planning and implementation of this program. The program should incorporate an approach that ensures the equal participation of women to the greatest extent possible. Men's gender roles must also be considered, including a clear assessment of the different challenges and opportunities that male and female actors face and how the program will take this into account. Interventions need to balance differences in levels of education and skills between men and women, as well as respond to existing cultural norms, while providing opportunities to promote the equitable status of women and men.

To ensure women are empowered politically and in leadership roles, the project should support female politicians and civil servants, as well as women's organizations, to represent, advocate, and develop strategies for enhancing the social, cultural, and economic status of Somalia's women.

Some other actions this program can take to promote women's participation and empowerment include:

- Supporting activities and policies that impact gender equality and women's rights;
- Seeking out CSO partners that are women-led and/or that support women's and human rights;
- Providing training and mentoring to CSO partners and sub-grantees on gender sensitivity and women's empowerment;
- Training both male and female facilitators and trainers in gender-sensitive facilitation and encouraging the respectful participation of all participants;
- Engaging boys and men in gender sensitization; and
- Treating women as full participants and not solely as beneficiaries.

The AOR will work with the Recipient to incorporate USAID standard and custom indicators that assess the program's impact on gender into the M&E Plan. Some gender-specific standard indicators that may be appropriate for this program include:

- GNDR-1: Number of laws, policies, or procedures drafted, proposed or adopted to promote gender equality at the regional, national or local level
- GNDR-3: Percentage of females who report increased self-efficacy at the conclusion of USG supported training/programming (disaggregated by age)
- GNDR-4: Percentage of participants reporting increased agreement with the concept that males and females should have equal access to social, economic, and political opportunities (disaggregated by sex)
- 2.3.3-6: Number of USG-assisted political parties implementing initiatives to increase the number of candidates and/or members who are women, youth and from marginalized groups (disaggregated by sex, marginalized status)

Special Somalia Conditions

The recipient and its implementing partners have sole responsibility and discretion to determine the appropriate level of due diligence and procedures so as to prevent accidental, unintentional, or incidental payments or benefits to excluded parties (as defined below). Further guidance relating to this matter, as well as updates, is available in the Department of Treasury's Office of Foreign Assets Control (OFAC) regulations at title 31, chapter V of the Code of Federal Regulations and/or on OFAC's web site at <http://www.treasury.gov/about/organizational-structure/offices/Pages/Office-of-Foreign-Assets-Control.aspx>

The recipient agrees to submit informational copies of its due diligence implementation plans to the Agreement Officer.

The parties agree that the following Special Conditions will apply to this award:

1. Consistent with the September 10, 2009, memorandum from the Department of State (State) to the Department of Treasury's OFAC, and with the September 16, 2009, memorandum from OFAC to State, both relating to State/USAID Somalia Programs (such memoranda attached hereto at Tab 1), the recipient agrees that it and/or its implementing partners (including contractors, grantees, sub-contractors, and sub-grantees) will not knowingly and voluntarily make payments or provide any other benefits to al Shabaab, or to entities controlled by al Shabaab, or to individuals acting on behalf of al Shabaab (collectively, "excluded parties"). Such prohibited payments or other benefits would include:

- (a) cash facilitation fees or other similar fees at roadblocks, ports, warehouses, airfields or other transit points to excluded parties;
- (b) purchases or procurement of goods or services from excluded parties; and
- (c) payments to excluded parties as the de facto municipal authority.

2. The recipient and its implementing partners (including contractors, grantees, sub-contractors and sub-grantees) agree to exercise enhanced due diligence when providing assistance to Somalia under this award to avoid the accidental, unintentional, or incidental provision of such payments or benefits to excluded parties.

3. In the event that the recipient or its implementing partners (including contractors, grantees, sub-contractors and sub-grantees) becomes aware that it made a payment or provided a benefit to excluded parties, the recipient shall, in accordance with 2 CFR 200.328 (d) and within ten days after becoming aware of such payment or provision of benefit, notify the Agreement Officer in writing, with a copy to the AOR, of such payment or provision of benefit. This notification shall include the following information:

- a) Factual description of each such event;
- b) Amount of funds expended or other benefit provided for each such event;
- c) Safeguards and procedures, including management and oversight systems, that were in place to help avoid the occurrence of such event; and

Explanation of the reasons for each such payment or each such benefit provided, including whether it was made or provided knowingly, voluntarily, accidentally, unintentionally, incidentally, or forced.

ANNEX A – CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS

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

PART I – CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient

establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement

will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.”

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

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

Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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.

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

3. For purposes of this Certification -

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

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

5. Certification of Recipient

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

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

Request for Application or
Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III – PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV – SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

[Survey on Ensuring Equal Opportunity for Applicants](#)

PART V – OTHER STATEMENTS OF RECIPIENT

1. Authorized Individuals

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

Name	Title	Telephone No.	Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

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

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

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.

- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

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

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

\$ _____

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

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

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

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

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

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

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

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

6. Past Performance References

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

7. Type of Organization

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

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

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

8. Estimated Costs of Communications Products

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the

costs associated with preparation and execution of the product. Use a continuation page as necessary.

[END OF ANNEX A]