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RFA Issuance Date: **January 31, 2013**
Pre-Application Conference: **February 15, 2013, 09:00 AM, Local Time (Juba, South Sudan)**
Questions due date and time: **February 22, 2013, 05:00 PM, Local Time (Juba, South Sudan)**
Responses Due: **March 08, 2013**
RFA Closing date and time: **March 28, 2013, 05:00 PM, Local Time (Juba, South Sudan)**

**SUBJECT: Funding Opportunity - Request For Applications (RFA) No. RFA-668-13-000001
USAID South Sudan Safer Schools Support (5S) Project**

Dear Prospective Applicants:

Pursuant to the authority of the Foreign Assistance Act of 1961, as amended, the United States Government, represented by the Agency for International Development (USAID), Mission to South Sudan is seeking applications from qualified U.S. Non-Governmental Organizations (NGOs), Non- U.S. Non-Governmental Organizations (Non U.S. NGOs), and U.S. for profit firms (provided they forgo profit) to implement a program entitled “USAID South Sudan Safer Schools Support (5S) Project”, as fully described in this funding opportunity. Applicants are encouraged to utilize local expertise and local institutions whenever possible in implementing the program.

The 5S Project looks to: 1) Improve and expand safer education services for children and youth¹; 2) Enhance relevance² and promote learner well-being; 3) Strengthen quality and management at the payam level to support basic education; and 4) Respond to crisis affecting the primary education sector (*Program Modifier/Rapid Response Mechanism*). The USAID South Sudan Safer Schools Support Project is also referred to as the 5S project.

Subject to the availability of funds, USAID/South Sudan intends to provide approximately \$105 Million in total USAID funding for this activity to be allocated over a five-year period.

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

In accordance with ADS 304.3.1 (b), the principal purpose of the relationship with the Applicant under the subject program is to transfer funds to accomplish a public purpose of support or stimulation, which is authorized by Federal statute. Substantial involvement is anticipated between USAID and the Applicant during the performance of the “5S Project”.

The successful Applicant will be responsible for ensuring the achievement of the program objectives. Please refer to the Program Description in Section I of this RFA for a complete statement of goals and expected results.

¹ Learning environments that are secure and safe are defined for the South Sudan context in the [South Sudan Minimum Standards for Education in Emergencies](#), p. 21, (also see [ANNEX A](#))

² Education that is relevant is designed in and around students. Efforts to make education relevant address education needs within the context of the learner, her/his community, country, and history. It is context specific and culturally appropriate and refers to the applicability of what is taught in schools to the needs and interests of students and society. For the case of South Sudan, this may include (but is not limited to) both basic education content and supplementary curricula that addresses protection, safety, emergency preparedness, life skills, psychosocial well-being, conflict resolution, and building peace. It is also free of ethnic, political, and gender, bias, violence, and inflammatory or disturbing visuals. It includes materials that are age appropriate, accommodate learners from various backgrounds/language groups, and utilizes a unifying language of instruction, inclusive instructional methods and plans for distributing materials equitably. See *South Sudan Minimum Standards for Education in Emergencies*, p. 25

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

This funding opportunity is posted in Grants.gov, the U.S. Government-wide portal for grant and cooperative agreement opportunities. This RFA, complete with the application package, can be downloaded by interested applicants from www.grants.gov. The RFA package consists of this cover letter and the following:

Section I	– Funding Opportunity Description;
Section II	– Award Information;
Section III	– Eligibility Information;
Section IV	– Application and Submission Information;
Section V	– Application Review Information;
Section VI	– Award and Administration Information;
Section VII	– Agency Contacts; and
Section VIII	– Other information Annexes.

To be eligible for award, Applicants must provide all required information in their application, including the requirements found in any attachments to this RFA on www.grants.gov. Applications that are submitted late, incomplete or are non-responsive will not be considered. Award will be made to the responsible Applicant whose application best meets the requirements of this RFA.

The preferred method of distribution of USAID Requests for Application (RFA) is electronically via Grants.gov. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. It is the responsibility of the recipient of the application document to ensure that it has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion process. All interested parties are encouraged to register on <http://www.grants.gov> to receive automatic notification of amendments to this RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

In addition, award of the agreement contemplated by this RFA 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. Thus, Applications are submitted at the risk of the Applicant, should circumstances prevent award of a cooperative agreement, and all preparation and submission costs are at the Applicant's own expense. USAID reserves the right to fund any or none of the applications received.

If your organization decides to submit an application in response to this funding opportunity, it must be received via email and by the stated due date, time and place designated below for receipt of Applications. Applications and amendments thereto, must be submitted with the name and address of the applicant and the RFA number inscribed thereon to:

USAID/South Sudan/Office of Acquisition and Assistance
Attn: Dennis Fuentes, Agreement Officer
RFA-668-13-000001
4420 Juba Place
Washington, 20521-4420
Ph: +1.202.216.6279

All Applications must be sent to the following email account: 5SSouthSudan@usaid.gov

Hard Copy and Facsimile submission of applications is not authorized and will not be accepted.

Applicants may upload applications to <http://www.grants.gov>; however, USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Therefore, USAID/South Sudan requires that applications be submitted electronically (e-mailed) to 5SSouthSudan@usaid.gov as further detailed below no later than Thursday, March 28, 2013, 05:00 P.M., Local Time, Juba, South Sudan.

All applications must be in the English language and must be received by the Office of Acquisition and Assistance, USAID/South Sudan and not at the USAID offices in Washington, DC or any other location. Applicants should take account of the expected delivery time required by the application transmission and are responsible to ensure that applications are received at USAID by the due date and time stated no later than the deadline date and time indicated at the top of this cover letter and in accordance to the instructions contained in this RFA.

Applicants must submit via email one (1) copy of the technical application, and one (1) copy of the cost application. Technical and cost applications must be kept separate and identified as such, with the name and address of the applicant, and the title and number of the RFA inscribed thereon. Late or incomplete applications will not be considered in the review process.

Any questions on the information contained in this RFA must be sent to 5SSouthSudan@usaid.gov with subject line: "RFA-668-13-000001 Questions on 5S RFA from *Name of Organization+" by the specified due date above. If it is determined that the answers to any questions are of sufficient importance to warrant notification to all applicants, a Questions and Answers document, and/or if needed, an amendment to the RFA will be posted at www.grants.gov

Questions, comments and requests for clarifications must be sent to 5SSouthSudan@usaid.gov no later than Friday, February 22, 2013, 5.00 P.M. Local Time, Juba, South Sudan as stated on the cover letter of this RFA.

A pre-application conference will be held on February 15, 2013, 9:00 am at USAID Office in Juba, South Sudan. Interested applicants who wish to attend the pre-application conference must send an email with the names of representatives and their position titles to 5SSouthSudan@usaid.gov with the subject line: "Interested Applicant – *Name of Organization+". Since space is limited, only two representatives from each organization will be allowed.

The issuance of this RFA does not constitute an award commitment on the part of USAID, nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Applicants who come under consideration for an award that have never received USAID funding will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls, and establish an indirect cost rate (if applicable). While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Thank you for your consideration of this USAID initiative. We look forward to your organization's participation.

Sincerely,

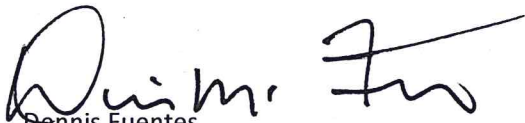

Dennis Fuentes
Agreement Officer

TABLE OF CONTENTS

COVER LETTER	1
ABBREVIATIONS AND ACRONYMS USED IN THIS RFA	6
SECTION I - FUNDING OPPORTUNITY DESCRIPTION	8
A. GENERAL DESCRIPTION	8
B. PROGRAM DESCRIPTION	9
C. AUTHORIZING LEGISLATION	29
D. PROGRAM ELIGIBILITY REQUIREMENTS	29
E. AUTHORIZED GEOGRAPHIC CODE	29
F. AWARD ADMINISTRATION	29
SECTION II AWARD INFORMATION	31
A. ESTIMATE OF FUNDS	31
B. START DATES AND PERFORMANCE PERIODS	31
C. TYPE OF AWARD	31
SECTION III ELIGIBILITY INFORMATION	33
A. APPLICANTS	33
B. NEW PARTNERS	33
C. COST SHARING	34
SECTION IV – APPLICATION AND SUBMISSION	35
A. POINT OF CONTACT (POC)	35
B. REQUESTS FOR CLARIFICATIONS	35
C. PRE-APPLICATION CONFERENCE	35
D. ELIGIBILITY DOCUMENTS	35
E. REQUIRED FORMS	36
F. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER	36
G. EVIDENCE OF U.S. FEDERAL CONTRACTOR REGISTRATION	36
H. PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT	36
I. APPLICATION AND SUBMISSION INSTRUCTIONS	37
J. PREPARATION GUIDELINES	38
K. TECHNICAL APPLICATION FORMAT	38
L. COST/BUSINESS APPLICATION FORMAT	46
M. ELECTRONIC PAYMENT HORTATORY LANGUAGE FOR ASSISTANCE SOLICITATIONS	48
N. FUNDING RESTRICTIONS	49
SECTION V – APPLICATION REVIEW INFORMATION	51
A. TECHNICAL EVALUATION CRITERIA	51
B. COST EVALUATION	53
C. BEST VALUE DECISION	53
D. BRANDING STRATEGY AND MARKING PLAN	54
E. COST EFFECTIVNESS AND COST REALISM	54
F. PRE-AWARD RESPONSIBILITY DETERMINATION	54
G. AWARD CONSIDERATIONS	55
SECTION VI – AWARD AND ADMINISTRATION INFORMATION	56
A. NOTIFICATION TO APPLICANTS	56
B. STANDARD PROVISIONS AND DEVIATIONS	56
C. GENERAL INFORMATION ON REPORTING REQUIREMENTS	56
SECTION VII – AGENCY CONTACTS	61

SECTION VIII – ANNEXES	62
ANNEX A – MODELS FOR DELIVERY OF PROTECTION AND WELL-BEING COMPONENTS	63
ANNEX B – PROPOSED DFID AND EU EDUCATION PROGRAMS: SUMMARY DESCRIPTIONS	65
ANNEX C – EVIDENCE BASE	67
ANNEX D - STANDARD FORM 424 SERIES	69
ANNEX E – OBJECT CLASS CATEGORY	87
ANNEX F - PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATION STANDARD PROVISIONS	89
PART I – CERTIFICATIONS AND ASSURANCES	89
PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING	93
PART III – PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING	94
PART IV – SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS	95
PART V – OTHER STATEMENTS OF RECIPIENT	96
PART VI – STANDARD PROVISIONS FOR SOLICITATIONS	100
ANNEX G - LOCAL COMPENSATION POSITION DESCRIPTION GUIDELINES GENERAL GRADE LEVEL GUIDES ..	107
ANNEX H - PAST PERFORMANCE QUESTIONNAIRE	111

ABBREVIATIONS AND ACRONYMS USED IN THIS RFA

5S	USAID South Sudan Safer Schools Support Program
ADS	Automated Directives System of USAID
AES	Alternative Education Systems of MOGEI
AMURT	Ananda Marga Universal Relief Team
AO	Agreement Officer
AOR	Agreement Officer's Representative of USAID
BEO	Bureau Environmental Officer of USAID
BOG	Boards of Governors
BRAC	Bangladesh Rural Advancement Committee (not currently represented by the acronym)
BSMP	Branding strategy and Marking Plan
CA	Cooperative Agreement
CCR	Central Contractor Registration
CFR	<i>Code of Federal Regulations</i>
CMG	Community Mothers Groups
CV	Curriculum Vitae
CPA	Comprehensive Peace Agreement
CSO	Civil Society Organization
DFID	Department for International Development/UK
DO	Development Objective of USAID
DUNS	Dun and Bradstreet Number
DUNS	Data Universal Numbering System
D&B	Dun and Bradstreet, Inc
EA	Environmental Assessment of USAID
ECS	Episcopal Church of Sudan
EFA	Education For All
EMIS	Education Management Information System
EMMP	Environmental Mitigation and Monitoring Plan of USAID
EPA	U.S. Environmental Protection Agency
EU	European Union
FAR	Federal Acquisition Regulation
FO	Funding Opportunity
FFP	Office of Food for Peace of USAID
FY	Fiscal Year of the US Government
GESP	General Education Sector/Strategic Plan of GoSS
GIS	Geographic Information System
GoSS	Government of the Republic of South Sudan
GPE	Global Partnership for Education
HEAR	Health Education and Reconciliation
IASC	Inter-Agency Standing Committee
IEE	Initial Environmental Examination of USAID
IMED	Improved Management of Education Delivery Project of the EU
INEE	Inter-Agency Network for Education in Emergencies
IPR	Implementing Procurement Reform of USAID Forward
IRC	International Rescue Committee
LOC	Letter of Credit
LOE	Level of Effort
M&E	Monitoring and Evaluation

MIUSA	Mobility International USA
M/OAA	USAID/Washington's Office of Acquisition and Assistance
MOGEI	Ministry of General Education and Instruction
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Agreement
NRC	Norwegian Refugee Council
OCHA	Office for the Coordination of Humanitarian Affairs of the UN
OFAC	Office of Foreign Assets Control
OFDA	Office of Foreign Disaster Assistance of USAID
OMB	Office and Management and Budget
OTCM	Office of Transition and Conflict Mitigation of USAID South Sudan
OTI	Office of Transition Initiatives of USAID
PD	Program Description
PMEP	Performance Monitoring and Evaluation Plan of USAID
PMP	Performance Management Plan of USAID
PRM	Bureau for Population, Refugees, and Migration of the US Department of State
PTA	Parent Teacher Association
RCE	Request for Categorical Exclusion of USAID
RFA	Request for Applications of USAID
RMG	Rebel Militia Group
RSS	Republic of South Sudan
SAM	System for Award Management
SC	Save the Children
SMC	School Management Committee
SPLA	Sudan People's Liberation Army
SRGBV	School-related Gender-based Violence
SSHIELD	South Sudan Higher Education Initiative for Equity and Leadership Development
SSTEP	South Sudan Teacher Education Project
TAP	Technical Assistance Project
TEA	Total Estimated Amount
TIN	Tax Identification Number
TLM	Teaching and Learning Materials
TOT	Training-of-Trainers
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
USCIS	United States Citizenship and Immigration Services
USG	United States Government

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. GENERAL DESCRIPTION

Summary

USAID is requesting applications from eligible organizations to implement the USAID South Sudan Safer Schools Support Program (5S), as described below. At the culmination of the cooperative agreement, USAID South Sudan expects implementer(s) to have achieved the following results:

- Improve and expand safer education services for children and youth³
- Enhance relevance⁴ and promote learner well-being
- Strengthen quality and management at the county and payam level to support basic education
- Respond to crisis affecting the primary education sector (*Program Modifier/Rapid Response Mechanism*)

Project Goal: Education opportunities in South Sudan are expanded, inclusive and promote social cohesion.

The geographic scope for 5S includes the following five states: Warrap, Jonglei, Upper Nile, Northern Bahr El-Ghazal, and Unity State.

The 5S program is located within the strategic development frameworks of the United States Government (USG) and the Government of the Republic of South Sudan (GoSS). It also responds to lessons learned and best practices of USG programming, both in South Sudan and elsewhere.

The USAID/South Sudan education development assistance program supports the implementation of the GoSS General Education Sector Plan (GESP), particularly strategic goals 1, 2, 4 and 5.

The 5S project will improve equity of quality education resource distribution while increasing access to formal and non-formal education services for South Sudanese learners at the primary school level. The project will integrate conflict sensitivity approaches by applying a conflict-sensitive lens across the project life cycle and at all stages in the conflict continuum, and by using instruments that are specific to gaining an understanding of conflict, to doing no harm and to contributing to building peace (See [ANNEX C](#)). The 5S project will work closely to support South Sudan's educators, communities and education authorities as appropriate to provide a comprehensive package of opportunities to expand education services ranging from formal to non-formal education. Efforts will be focused at the community level in order to ensure the expansion and continuation of delivery of education services.⁵ The rationale for strengthening and increasing education at the community level is that the government will depend for many years on partnership with communities and CSOs to provide good quality basic education to all.

Concurrently the project will expand enrolment numbers in primary education targeting underserved groups,

³ Learning environments that are secure and safe are defined for the South Sudan context in the [South Sudan Minimum Standards for Education in Emergencies](#), p. 21, (also see [ANNEX A](#))

⁴ Education that is relevant is designed in and around students. Efforts to make education relevant address education needs within the context of the learner, her/his community, country, and history. It is context specific and culturally appropriate and refers to the applicability of what is taught in schools to the needs and interests of students and society. For the case of South Sudan, this may include (but is not limited to) both basic education content and supplementary curricula that addresses protection, safety, emergency preparedness, life skills, psychosocial well-being, conflict resolution, and building peace. It is also free of ethnic, political, and gender, bias, violence, and inflammatory or disturbing visuals. It includes materials that are age appropriate, accommodate learners from various backgrounds/language groups, and utilizes a unifying language of instruction, inclusive instructional methods and plans for distributing materials equitably. See *South Sudan Minimum Standards for Education in Emergencies*, p. 25

⁵ References to community groups to represent the community structure around education; this can include Parent Teacher Associations (PTA), School Management Committees (SMC), Boards of Governors (BOG), Community Mothers Groups (CMG), or others

including former child soldiers, girls, returning populations, and pastoralists. At the same time, 5S will enhance the safety of both the physical and learning environments through grants to community structures and other effective community-led approaches to delivery of education services. Program features that promote safety will be generated from a school/community based model that outlines priority school needs, which may include improvements to the physical learning environment, such as increasing or refurbishing classrooms or learning spaces, adding latrines, providing teaching and learning materials, addressing learner and teacher well-being, emergency preparedness, ensuring child protection, and addressing conflict prevention through education-related activities. The [South Sudan Minimum Standards for Education in Emergencies](#), have been approved and endorsed by the Ministry of General Education and Instruction (MOGEI) and provide context-specific, simple and clear definitions on key elements of the 5S project.

In addition, 5S will identify and apply strategies that enhance equitable education-related decision-making, through education mapping and systematic capacity building particularly at the county and state levels in order to ensure accountability of community groups, education authorities and local government. Equity issues including gender, ethnic, geographical, language group, and others will be assessed and addressed through focused education services. While the principal focus under this goal will be on access, it is expected that the program will provide the best quality education possible under the particular circumstances. In addition, USAID development assistance programs in conflict and post-conflict areas will need to closely coordinate and collaborate with humanitarian assistance providers, including recipients of OFDA and PRM funding, to provide quality education.

Finally, in order to ensure adaptability to emerging challenges and opportunities the project will incorporate rolling assessments into the monitoring and evaluation framework. This will include a monitoring framework that: a) maps out worst, best, and most likely scenarios and how the project will operate within those scenarios in order to achieve the proposed outcomes; as well as b) plans for systematically and routinely assessing program assumptions to check if they remain valid, and respond appropriately.

B. PROGRAM DESCRIPTION

1. CONTEXT

Although the January 2011 referendum solidified South Sudan's efforts for nationhood, decades of destruction, neglect, and years of civil war and inter-communal violence left the country with a devastated infrastructure and generations of children and youth who have never had the opportunity to attend school. Statistically, South Sudan is one of the most impoverished nations in the world, with more than half the population living on income levels below the national poverty line.

Weak security, ongoing violence and a mobile population further complicate efforts to improve education quality and increase equitable access. Currently, South Sudan faces multiple crises: armed conflict has displaced 260,000 people, including 110,000 civilians from Abyei, inter-communal violence continues with a number of rebel militia groups (RMG) emerging, sparking a counter-insurgency campaign by the Sudan People's Liberation Army (SPLA) and the country is subject to flooding and famine. Since October 2010 more than 350,000 southerners have arrived from the Republic of Sudan and thousands more are expected in coming months.⁶ South Sudanese are returning ready to rebuild their new country but frequently find many rural locations lacking basic education services.

⁶ Data regarding returnees from [UNOCHA](#), [IOM](#), and SSRRC verified figures

In early 2012 South Sudan cut off its entire supply of oil through the pipeline that runs through Sudan. In effect, this decision resulted in major shocks to South Sudan's economy, including reduced flows of education supplies and uncertain prospects for its teachers, nearly all of whom generally expect to be paid through government resources. The current environment may necessitate an alternative optic on provision of education services where the government is unable to maintain the development and delivery of teaching and learning materials, as well as the expected levels of support and supervision of teachers. At present, the contingency applicants need to address in their planning and proposal is what can and should be done through this program should another crisis strike the education sector. In addition to traditional methods, it is still of the highest priority to work through community-driven support and mechanisms in order to ensure that teachers continue to come properly equipped to work. As a major new drive toward resiliency takes hold in USAID's policy environment, the 5S project dovetails with this direction. Specifically, community engagement through mobilization of parents (and especially mothers) is viewed as more than a mere contribution—but rather as the critical lynchpin of the system itself.

While the Transitional Constitution of 2011 guarantees “free and compulsory education at the primary level,” the peace settlement is under threat and ensuring learners their right to education remains a monumental challenge. On the one hand the demand for education is increasing, yet several cultural and structural barriers remain. South Sudan's schools continue to suffer from an ability to influence positive beliefs and norms or to impart constructive social skills as individuals learn to live in mixed ethnic communities within the post-war or ongoing conflict environment.

The country's fragile security and low resilience to shocks make the population more vulnerable than ever. With so few children and youth accessing education, a robust plan for expanding access and relevance is necessary that includes alternative, innovative, and flexible approaches and builds on effective efforts. In order to be sustainable—but most of all to take advantage of the opportunity and support for delivering the Education For All (EFA) pledge—South Sudan's educational challenges must be addressed through a conflict-sensitive approach that tackles the most pervasive cultural and structural barriers currently limiting access within this fragile peace.

Increasing access requires action on a number of fronts. Volume of learning spaces contributes to access for girls and reducing migration to urban areas that is a result of lack of educational opportunities in rural communities. Extension and completion of existing schools, including expansion of the majority of schools that only accommodate primary grades 1-4, will complement the creation of additional learning spaces. Inequity of access to social services—including education—along identity lines such as ethnic and geographic factors, is another key risk factor of social unrest; flashpoints in the South Sudanese education sector, particularly in relation to student strikes regarding language of instruction, choice of examinations, and inadequate levels of service of provision are ongoing.

At the same time, concrete developments in the sector, with a focus on equity, have the potential not only to impact public perceptions around peace, but also to increase through inclusive curriculum and policies to encourage a population with a shared identity and the foundation of a cohesive society.

2. PROGRAM LINKAGES

2.1. USAID's Strategy

As the largest bilateral donor to education in South Sudan since 2002, USAID has contributed to the building blocks of the new country's education system through curriculum development, in-service and pre-service teacher development, interactive radio instruction, girls' education, and health education, and has also been a leader in donor and sector coordination.

In addition to these activities, USAID continues to support humanitarian relief through the Office of Foreign Disaster Assistance (OFDA). Further, USAID's Food for Peace (FFP) programs provide emergency food assistance and supplies, targeting refugees and internally displaced people, reaching millions of beneficiaries. USAID also collaborates with the Department of State's Bureau for Population, Refugees and Migration (PRM), which provides education services in underserved areas with high influxes of refugee and returnee populations. Finally, the U.S. Government (USG) is investing in natural resources management, economic growth, conflict mitigation, livelihoods, health, water and democracy and governance.

2.2. USAID's Education Strategy

The [USAID Education Strategy 2011-2015](#) and its [Implementation Guidance](#) requires missions to focus on one or more of three key goals, which are:

1. Improved reading skills for 100 million children in primary grades by 2015;
2. Improved ability of tertiary and workforce development programs to produce a workforce with relevant skills to support country development goals by 2015; and
3. Increased equitable access to education in crisis and conflict environments for 15 million learners by 2015.

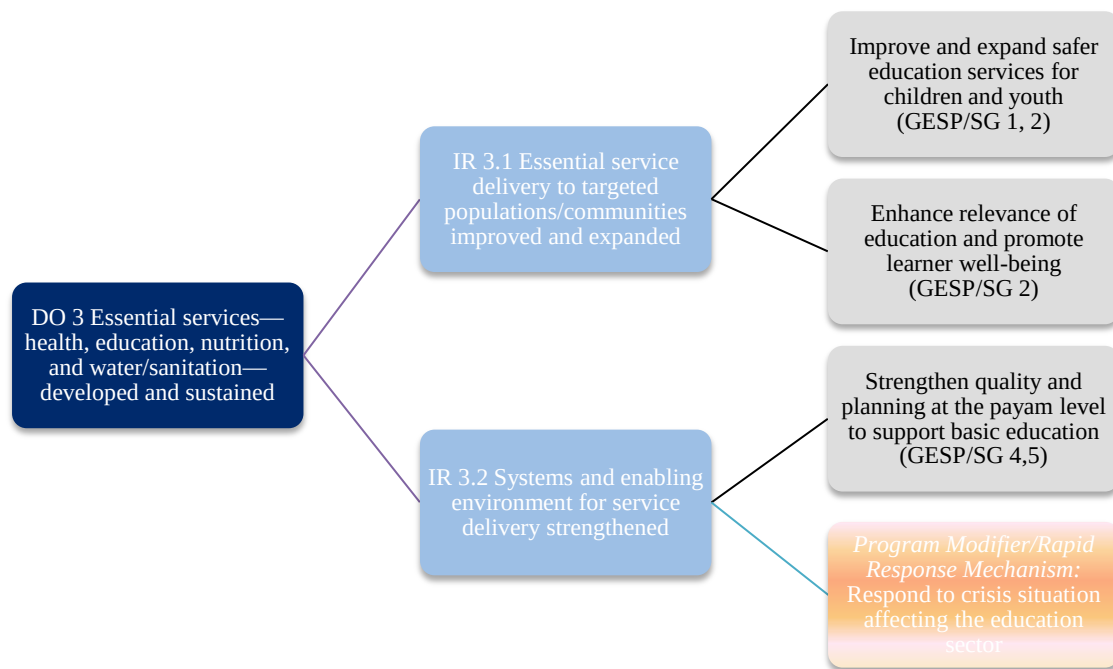
This program will contribute to the third goal of the strategy, which aims to *increase equitable access to education for learners in crisis or conflict-affected environments*, integrating a conflict-sensitive approach across program elements. In addition, this program will pilot activities on a limited scale to improve learning outcomes in literacy at the primary grades, generating lessons learned and evidence that will inform future efforts in similar contexts.

Worldwide, more than one-half of the out-of-school children live in conflict-affected and crisis contexts. The United States Government (USG) recognizes the link between its national security and the need to show leadership in promoting global peace and security. Research has shown that inequitable, poor quality education can directly contribute to factors that cause conflict in countries, such as in Rwanda, Kosovo or Nepal. For South Sudan, education provides a pathway to peace.

2.3. USAID/South Sudan's Transition Strategy

The overall goal of the USAID/South Sudan Transition Strategy (2011-2013) is an increasingly stable South Sudan post-CPA. Within the strategy, Development Objective (DO) 3 focuses on the relationship between essential services and stability. The development hypothesis underpinning DO 3, essential services—health, education, nutrition, and water/sanitation—developed and sustained, is that stable political conditions are achieved when people feel that their governance institutions effectively address critical needs.

Figure 1: 5S Linkages to USAID/South Sudan Results Framework and to the General Education Strategic Plan (GESP)



To achieve the stated development objective, USAID/South Sudan has identified three major program components. These include: 1) Education services for learners in South Sudan are expanded and improved; 2) Education is relevant and promotes well-being; and, 3) The quality and management of school guidance and supervision is improved.

The development hypothesis underlying 5S is that **strengthening education at the community level in target locations by making education more relevant, inclusive, and safe will increase access for the most vulnerable learners thus meeting the populations’ needs and promoting stability**. A vast range of children and youth remain underserved and unreached. By creating a magnet for services that are of higher quality, more reliable, and relevant to people’s lives, the education system will experience larger inflows of pupils and students. In other words, relevant and inclusive education serves as a catalyst towards peace.

2.4. Policy Frameworks

The project’s overall strategic approach is rooted in a number of frameworks and policy documents developed by the MoGEI and by the USG, and will complement the goals expressed in each:

1. *General Education Sector Plan (GESP) 2012-2017*. Ministry of General Education and Instruction. This document lays out the MoGEI plan to establish and build a system that ensures the delivery of education services to the population of South Sudan.
2. *General Education Bill 2012*. Passed in August 2012. The Education Bill provides the legal framework regulating the delivery and management of education services in South Sudan.
3. *USAID/South Sudan Transition Strategy 2011-2013*. Describes USAID’s priority intervention areas over the specified time period.

4. *USAID Education Strategy 2010-2015*. The USAID Education Strategy provides guidance to field missions on the rationale and considerations for the design and programming of education interventions at the global level.

As a new nation, South Sudan continues to develop and finalize policies; thus, during the life of the project, there may be additional policies that will provide guidance to project activities. Further, as a number of policies are still in draft form, some of the guidance provided may change over time, and the project will be expected to be responsive to these policy shifts. In particular, USAID South Sudan's Transition Strategy was written prior to the oil pipeline shutdown, thereby rendering certain assumptions untenable.

2.5. Evidence Base

Arguments that support prioritizing equitable access to education in conflict-affected settings, and particularly using a conflict-sensitive and gender-sensitive⁷ community-based approach can be made on the basis of the evidence listed in [ANNEX C](#). This is being provided at the request of potential applicants due to the fact that the global USAID Education Strategy is still at a nascent stage.

This project will incorporate lessons learned from previous USAID South Sudan education programs:

- Locate schools and classes in close proximity to where children live. In rural areas, this translates into the critical need for multi-grade and even one-room schools.
- Develop and use training materials that reflect the realities of schools and the methodological needs of teachers. Offer opportunities for ongoing follow-up and continuing training for teachers.
- Decouple training for head teachers from PTA training and recalibrate as "training-of-trainers" (TOT) focusing on school leadership, records management, community relations, completion of school development plans, and the ability to facilitate teacher training for new or untrained teachers as well as school-based refresher trainings.
- Systematically improve gender equity when working to support PTAs/SMCs. PTAs/SMCs in South Sudan are primarily composed of men, who frequently dominate the decision-making process. Integrate gender equity issues into all training of teachers as well as the PTA selection process so as to increase the representation and subsequent participation of women.

3. DETAILED PROGRAM DESCRIPTION

3.1. Problem Statement

This Request for Applications (RFA) addresses the current need to ensure children and youth have access to relevant and inclusive education in South Sudan. The specific problems that this RFA seeks to address include various barriers to education as a result of the compounded issues of war, displacement, scarce resources for education, and cultural norms. A combination of supply and demand side constraints underlies the large numbers of out-of-school children and youth, most of whom are girls and young women.

3.1.1. Access and retention

With only half of school-age children enrolled in primary school, and only 17 percent of schools offering full primary level education, access is severely restricted. Out-of-school children and youth result in a high number of youth who are overage for schooling but unemployable, and an increased number of children and youth on the streets, some of whom resort to violence, particularly in urban areas.⁸

⁷ In 2012, USAID released a new [Gender Equality and Female Empowerment Policy](#)

⁸ INEE Working Group on Education and Fragility, [Consultative Workshop on Education and Fragility in South Sudan](#), Juba, 2011

3.1.2. *Learning Outcomes*

The challenges in terms of curriculum result in lack of quality, for example in terms of learning materials, and lead to high drop-out rates. It must be recognized that in many cases teachers are wholly unable to read, or are new to the English language because they were educated in Arabic. The ability to read is the foundational skill for accessing modern knowledge and becoming a lifelong learner. Children, youth, and young adults in South Sudan have been denied access to schooling and access to learning for many decades.

3.1.3. *Physical Infrastructure*

With much of the learning infrastructure destroyed during the war—and with the influx of returnees—the demand for safe learning spaces is high. Since the CPA, the number of classrooms has increased but school infrastructure remains an overwhelming need, even at the most basic levels. Despite recent investments by a few key donors 3/4 of learning is done under tents, in the open air, or in semi-permanent structures. The *permanent primary* classroom to learner ratio is 248:1 with around one-third of South Sudan's schools lacking safe drinking water, and half are without access to latrines.

3.1.4. *Girls' Education*

Girls are kept out of school for a range of reasons from the practical—including security, domestic chores, school-related GBV⁹, and lack of latrines at learning facilities—to the social and cultural, such as perceptions about girls' roles and cultural views of girls as a source of wealth via dowries. Girls are less likely to enter school, and more likely to drop out. The absence of female teachers reinforces gender inequalities at school, with just 12% of teachers in primary schools being female.

3.1.5. *Pastoralists*

The formal education system needs to be more responsive to pastoralist livelihoods. Literacy rates among pastoralist populations are some of the lowest in the country. Providing relevant education opportunities which allow learners to participate in the system is critical.

3.1.6. *Returnees*

An estimated 300,000 children and youth have been displaced and are in need of education services.¹⁰ The massive population of returnees from the north starting in late 2010 has exceeded expectations. These additional students put even more pressure on the overloaded education system, with demands tending to be justifiably higher than that of the existing population.

3.1.7. *Sector Management*

While resources to deliver Education for All are low, the commitment and will to succeed is quite high. Key challenges include vast operational difficulties with relation to the delivery of education services in remote and difficult environments.

2. **Program Overview**

The focus of the project's activities will be in Warrap, Jonglei, Upper Nile, Northern Bahr El-Ghazal, and Unity states. It is expected that the majority of the level of effort of the implementing partner will be focused at the *community level* in those five states, with the remainder spent working with local education authorities. In order to make education safer, improvements are needed in both the physical and learning environment.

USAID expects the project to coordinate closely, and on a regular basis, with other donors and development partners also supporting education efforts in South Sudan over the next five years. Donor coordination is critical

⁹ See [USAID Guide To Programming Gender-Based Violence Prevention And Response Activities](#)

¹⁰ Brown, G. *Education in South Sudan: Investing in a Better Future*, 2012

to avoid duplication and maximize the impact of USAID funding under this program. However, USAID likewise recognizes that given the limited amount of education services currently being provided, overlap is less of a concern than it would be in other contexts.

3. Program Goal and Results

The program will support the overarching goal of USAID South Sudan’s Transition Strategy to increase stability in the immediate post-CPA period through a combination of strengthening core governance institutions at the payam (district) level, making schools more inclusive, responding to the expectations of the population for essential services and improved livelihoods, as well as containing the conflicts that are likely to erupt and addressing the grievances behind them. Specifically, this program will contribute to USAID South Sudan DO 3: *Essential Education Services Developed and Sustained*.

Goal: Education opportunities in South Sudan are expanded, inclusive and promote social cohesion

The following are USAID’s projected measurable results. It is encouraged that applicants state specific results they feel can be accomplished in a cost-effective manner using the funding estimates and timeframe of the program as indicated in the cover letter, and the approach that will be used to achieve the targets and initial performance measurements. Initial baseline assessment and analysis may be needed before implementation of activities begins. This will be included in the proposal and the work plan, which requires USAID approval. For example, “Organization X will increase access by X# of learners (X in primary formal schools and X in primary non-formal schools) by doing X, Y and Z.” The Recipient will be expected to provide data to USAID and partners contracted by USAID to conduct both monitoring and evaluation.

Applicants are expected to develop a project that will achieve the following results: (See ANNEX D for 5S Results Framework)

- IR1. Improve and expand education services for children and youth
 - Increase community engagement in school improvement and the promotion of safer schools
 - Improve school conditions and infrastructure
 - Promote gender equity
 - Increase access to education for underserved groups and alternative delivery methods
- IR2. Enhance relevance of education and promote learner well-being
 - Promote student and teacher well-being
 - Improve capacity of teachers and head teachers to support instruction delivery
 - Develop and provide relevant instructional materials for learners
 - Improve reading outcomes for primary grades
- IR3. Strengthen payam capacity to deliver and monitor education services
 - Enhance accountability of local government and community organizations to education
 - Strengthen ministries’ departments to manage delivery of services
 - Establish policy framework that promotes equitable access

- | | |
|------|---|
| IR4. | Respond to crisis affecting the primary education sector (<i>Program Modifier/Rapid Response Mechanism</i>) |
| | <ul style="list-style-type: none"> • Identify and implement innovative approaches to sustaining teaching at the classroom level • Ensure the delivery of education materials continue to reach school level |

4. Program Components and Results

Component 1: Improve and expand safer education services for children and youth

Various non-governmental organizations, church-based groups, and community-supported organizations have worked to provide education to children and youth. The project will build on current programs that already provide support to schools at the community level. Current and ongoing education programs have helped communities build and operate schools, and built teachers' skills. Programs have developed supplemental teaching and learning materials, and delivered important materials to schools including chalkboards, chalk, books, and pens. These efforts demonstrate the critical importance of community level initiative to support basic education, especially when the government is unable to provide the full range of resources needed to provide high quality education. The project will support continuation of existing efforts as well as the expansion of programs to additional schools and learners.

The scope of this component will include, but not be limited to the following:

- **Assess supply and demand issues around access to quality education and school safety.** Conduct GIS school mapping that builds on current Education Cluster and OCHA 2009 maps to identify vulnerable areas with large number of out-of-school youth and current locations for learning spaces, include an analysis of equitable resource distribution (human, material, financial). Identify gaps and needs. Integrate data from rapid assessment into GIS school mapping that can become available to a wide range of users through OCHA's Mapping Unit.
- **Increase community engagement in school improvement and the promotion of safer schools.** Strengthen community efforts to restore access and to provide safety from violence, especially for underserved groups. Systematically build capacity for school management and governance through the development of School Improvement Plans and awareness raising. This includes building the capacity of head teachers in school management and coordination, as well as galvanizing active community groups and mobilizing communities where they are lacking women's participation in school governance and decision-making, ensuring at least 50% women's participation in school management committees and other school-related support and governance structures. Fund communities with schools to repair existing facilities and create other safer spaces for education.
- **Improve school conditions and infrastructure.** Evaluate school conditions with community groups to develop School Improvement Plans. Grants can be made available to these community groups to implement their school improvement plans, which will focus on making school safer and less prone to violence.¹¹ Review, train and monitor teachers on code of conduct. Enable head teacher, teachers and community groups to plan and prepare for emergencies and increase protection for children.
- **Increase gender equity.** Address various barriers to education for girls, including but not limited to safety, domestic chores, lack of latrines at learning facilities, perceptions about girls' roles, and views of girls as a source of wealth via dowries.
- **Increase access to education for underserved groups.** Extend basic education services to out-of-school children and youth, girls, pastoralists, and former child soldiers. Not all primary age learners demand formal education. In many cases, older children unable to attend primary school will want an accelerated learning program or flexible hours of instruction. This project will support and expand opportunities for Alternative Education Systems (AES) where appropriate.

Illustrative Results for Component 1

- Structure and support for increasing capacity of community involvement in education is developed

¹¹ Note that grants to local education officials associated with government functions are not permitted.

- Equitable standard approach and structure for school improvement plans is developed and used
- Community groups are trained and supported to develop School Improvement Plans
- School conditions are improved (new classrooms, latrines, gardens, sports equipment) based on SIPs
- Enrollment rates for out-of-school children increased
- Increase in number of students accessing AES
- Gender equity in schools increased
- Education is inclusive through awareness raising
- Perceptions of safety, equity and cohesion increased

Requested for applications on Component 1

The applicant shall describe an approach to achieve the objectives under this component that include: strengthened capacity and related action of community groups to provide sustainable support to making schools safer and inclusive (community prioritization of education will have to be addressed), developed modes of cooperation between community groups and schools and local government, a strategy to organize community groups for education planning, and work with groups to identify education-related needs. In addition, a strategy to first identify and then extend education services to underserved groups and out-of-school children and youth, a mechanism to hold community groups accountable for grants for school improvements.

The strategy should be based on a reasonable and accurate assessment of the particular needs of the proposed service area and describe modalities to work with the MOGEI or other entities on addressing the necessity for more teachers. The strategy will indicate what a minimum package of support might include for an average school and how the varying needs among communities would be addressed. It is not expected that every community program would include all community support measures indicated above. While USAID would expect that every community needs some kind of school improvement support, it will be adapted to the needs of the schools. Applicants are encouraged to propose measures that either in the minimum package or selected communities are not mentioned here. All available evidence may be considered in light of the South Sudan context and adapted to ensure a simple, focused, highly effective approach to achievement of the objectives under this component.

Component 2: Enhanced relevance of education and promotion of learner well-being

A learning space can lack many concrete structural elements, however without a meaningful teaching and learning environment, the core elements of the personal growth process would be lacking.¹² Several local and international NGOs have been working to ensure children and youth in South Sudan have access to education. Many of the approaches utilize a context specific approach and include innovative ways to increase access through both formal and non-formal education opportunities. Program elements generally include life skills, psychosocial well-being, school timing flexibility, community mobilization about education, child friendly learning environment, female teaching assistants, and supplementing school-related costs.

In order for the education domain to serve as a venue for fostering unity and improved social relations, it is necessary to be deliberate in the approach and related content to adding curriculum elements. The breakdown of social fabric during war necessitates recreating an inclusive society and relevant form of education that encourages the acquisition of constructive social skills. In particular, if the school is considered too dangerous for a girl to attend by her parents once she reaches age of maturity, half of the population will continue to be lost in the system and the nation risks lacking half of its human capital. Education and psychosocial support have a mutually reinforcing relationship, and in many areas of South Sudan one cannot be provided without the other, whether it is in the context of in-service or pre-service teacher training, through ad hoc workshops, learning environment improvements or curriculum development.

¹² [IASC Guidelines on Mental Health and Psychosocial Support in Emergency Settings](#), 2007

The scope of this component will include, but not be limited to the following:

- **Promote student and teacher well-being.** Improve teacher capacity to deliver relevant education to learners that addresses their well-being, including but not be limited to activities that support psychosocial development through social interaction such as cooperative games, female-inclusive sports, recreational activities, and discussion. Teachers may be trained to recognize signs of physical and psychosocial stress among other teachers. Beyond the classroom, education stakeholders will advocate against gender-based violence and ensure learners know their rights. There are several models being delivered for addressing learner well-being and also ways to integrate well-being into the daily curriculum. This includes content and materials, as well as teaching pedagogy. Proposals should identify, pilot, and scale-up an approach that includes teacher training, materials development, and support and supervision, while improving capacity of teachers and head teachers to support instruction delivery.
- **Develop and provide relevant instructional materials for learners.** Identify, develop and pilot key curricular and material elements that reflect relevance for South Sudanese, including identity and conflict prevention. These elements may include psychosocial support, life skills, peace education, emergency preparedness for schools and communities, and other elements that will enhance the learning environment. Develop locally made supplemental learning materials (where possible) that are relevant and promote social cohesion. Develop training, guidance and support mechanisms for teachers and other education personnel. The project will work in coordination with MoGEI as well as other stakeholders including the Education Cluster to consolidate and produce a package of standardized competencies and models regarding psychosocial support and learner well-being. In the longer-term spectrum, the project will work with education authorities at all levels to institutionalize and integrate this model into the national curriculum.
- **Improve reading outcomes for primary grades.** Given the complexity of the context, USAID expects a variety of approaches to providing reading instruction. A key principle of the program is that students of all ages and backgrounds will be provided evidence-based, context-sensitive instruction. Instruction will be provided in languages students speak and understand to the extent possible and all efforts will be made to increase the provision of home language instruction over the life of the project. Emphasis will be on developing simple-to-use standards for early reading competencies, training teachers in instructional routines that are embedded in the lessons; supporting teachers (who may be certified teachers, volunteers or literate community members) to use the lessons and routines in their instructional settings (which may be actual classrooms, accelerated learning program sites, or other community settings); and supporting teachers and supervisors to use simple assessment tools to track student progress towards achieving standards.

Illustrative Results for Component 2

- Life skills instruction/activities incorporated in instructional processes/school activities
- Standardized integrated model developing teacher capacity in learner well-being
- Skills of head teachers/school administrators on school management and instructional leadership improved
- Teachers and other education personnel trained in psychosocial well-being
- Supplemental teaching and learning materials provided
- Psychosocial support services/processes provided or made available to students and teachers
- Reading fluency and comprehension at early grades improved
- English language proficiency of teachers enhanced to support delivery of curriculum instruction

Requested for applications in Component 2

The applicant shall describe an approach to achieve the objectives under this component that include: developing and delivering key curricular components that reflect relevant education for South Sudan, address how the project will work to consolidate and standardize current materials and build capacity of teachers,

community groups, and local education authorities in all target states to provide relevant education and instructional experiences/environment that promote learner well-being. Applicants are encouraged to think creatively about ways to develop and implement programs in these settings, to use all existing resources, to think about ways to increase non-instructional practice time, while developing models that can be sustained by South Sudanese communities in extremely low resource contexts. This project is not expected to train teachers in curricular subjects.¹³ However, engagement with the MoGEI is necessary in order to integrate key elements around teacher and learner well-being, emergency preparedness of schools and communities around education and emerging lessons learned related to the early grade reading pilot. All available evidence may be considered in light of the South Sudan context and adapted to ensure a simple, focused, highly effective approach to achievement of the objectives under this component. Applicants will also present ideas for the design of a pilot and a study on improved reading and numeracy intervention.

Component 3: The quality of management of the education system is improved through local education authorities

Sector management at the local level has been unable to cope with the increasing demands on system expansion. Not enough funds are generated at the same level and below to finance education adequately. While the project makes strides at the community level in increasing equitable access and improving safety, while mobilizing communities to value and promote education, it will concurrently work to improve the quality of management with local education authorities. This will contribute to sustained gains and return on the initial investment at the ground level while avoiding the institutional disharmony that could arise if they were to be left out of learning planning strategies.

The scope of this component will include, but not be limited to the following:

- **Enhance accountability of local government and community organizations in education.** Systematically mobilize community groups to enhance accountability in education, strengthen education authorities to deliver services. Develop and implement policy reforms to ensure equity and transparency of management of education services. Develop effective modes of cooperation between community groups and local government.
- **Strengthen education departments to manage delivery of services.** Assess the capacity and human resource needs of education authorities to deliver education and increase access to underserved groups.
- **Establish policy framework that promotes equitable access.** Analyze extent of equitable resource distribution (human, material, financial). Analyze the extent of integration or segregation of social groups within the education system. Assess whether climate-related risks – such as floods and drought – could give rise to increased tension/violence.

Illustrative results for Component 3

- Model for community and government accountability developed
- Community groups are engaged in monitoring education accountability
- Education authorities develop effective modes of cooperation with community-school groups to deliver education and increase access to underserved groups are assessed and met
- Supervisors engaged in education (compared to baseline)
- Community groups hold education authorities accountable for education
- A policy framework for standardizing and recognizing project elements such as community-based education and learner well-being is developed and adopted

Requested for applications in Component 3

The applicant shall describe an approach to achieve the objectives under this component that includes: mobilize local government and community organizations to enhance accountability in education, strengthen payam

¹³ Applicants are encouraged to review the scope of the South Sudan Teacher Education Project (SSTEP) by viewing their website: www.sstep.info

education departments to manage delivery of services, develop modes of cooperation between community groups and local government. The applicant will describe how they will address the lack of operational budgets and high recurrent costs not being met at the state level and below.

The applicant will also describe how it could build on and support policies and practices of the nation to enhance and standardize accountability of local government and community groups in education provision. Of high importance is the promotion of the MoGEI support for, recognition of, and linkages with community groups at the national level to address policy and program issues. However, the locus of support, training, and resources is expected to be at the school and community level.

Component 4

Program Modifier/Rapid Response Mechanism

Escalating political tensions between South Sudan and its northern neighbor, Sudan, led to a shutdown of the oil pipeline in January 2012, freezing 98% of South Sudan's revenue. This decision resulted in major shocks to the country's economy, including reduced flows of education supplies, difficulties in moving salaries beyond the level of state transfers, and uncertain prospects for the continued payment of teacher salaries—particularly for "volunteer teachers," who are especially vulnerable under current circumstances.

As a result of the fluid and volatile programming context, USAID/South Sudan expects its partners to propose an agile approach to refocus its activities, realign budgets, and to support continued delivery of assistance in changing circumstances. If teachers' salaries continue to be hampered due to the current situation of reflow not taking place, USAID/South Sudan would explore creative options to provide motivation or in kind resources for sustaining teaching activity, and to ensure that basic scholastic materials are provided, such as chalk and boards. Such efforts shall not involve a monetary supplement to teacher salaries.

In the event that significant conflict erupts in specific geographic locations, USAID may redirect the Recipient to shift implementation of activities to other areas. The scope, deliverables and required resources expected from any realignment, redirection and scope expansion (or delimitation) will be mutually agreed by USAID/South Sudan and the Recipient. If conditions in Abyei should stabilize and it was considered in USAID's interest to resume development assistance activities, the implementer of the 5S program could be requested to expand geographic areas of operation to include the Abyei area.

Under these scenarios the implication is that the Total Estimated Amount (TEA) of the Award may also be adjusted, as further addressed in Section 5.1.

Illustrative results for Component 4

- Mobilize school-community groups to plan and address needs of teachers
- Identify, train and provide ongoing support for Female Teaching Assistants
- Others to be specified further at a later date

The fourth component of the project is included as a program modifier in the event of a crisis affecting the primary education sector and targeted schools under this activity. In order to allow the program to effectively and swiftly respond to any sudden change in the budget or operating environment in South Sudan, these pre-planned actions would be in place to address the situation. However, this component may not be utilized or implemented if the situation in South Sudan is stable. In any case, if this component is to be used or implemented at any time, USAID will notify applicants or the awardee at a later stage of the procurement or implementation process.

Requested for applications in Component 4

Respond to crisis affecting the education sector

- Identify and implement innovative approaches to sustaining teaching at the classroom level
- Ensure delivery of education materials continue to reach school level

5. Key Principles to Consider in 5S Design

- 3.5.1. Integrate a conflict-sensitive approach. This requires gaining a sound understanding of the interaction between education-related activities and the context in South Sudan and acting to minimize negative impacts and maximize positive impacts. Education is inherently linked to a country's social, economic, and political spheres. It can help promote social cohesion and contribute to identity formation. It can build peace and bridge the gap between humanitarian assistance and sustainable development. However, education can also undermine these processes. When it is not provided responsibly, education can be exclusionary, oppressive, exploitative and corrupt, and it can propagate extremism. Inequitable service provision and biased curricula and teaching methods are likely to reinforce stereotypes and exclusion.
- 3.5.2. Build and expand on what works. For the past 40 years, education in South Sudan was buttressed by a handful of notable NGOs and church-based organizations, many of which use a community school model.¹⁴ While the model varies, there are certain similar features. Ultimately, the demand-driven community-based approach establishes a dynamic that boosts pressure for education and helps mobilize additional resources and enhances accountability for improved education outcomes. While school infrastructure has been a major part of these endeavors and continues to be a suitable priority when delivered through contextually appropriate methods, the main thrust has been on quality inside the learning space.¹⁵
- 3.5.3. A community-based model. As the MoGEI embarks on their ambitious plan to build the education system, community-based models will continue to provide education services to some of the most vulnerable and disadvantaged learners.
- 3.5.4. Make learning spaces safer. Sexual violence, psychosocial difficulties, humiliation, and corporal punishment are highly prevalent. Also, a substantial number of enrolled students in primary schools are over-age, and many are returnees and demobilized soldiers.
- 3.5.5. Address educational needs of underserved groups, including out-of-school children and youth, girls, pastoralists, and returning populations. For the over 350,000 people returning to South Sudan from the north and neighboring countries, the communities to which they are returning are ravaged by war. The locations where they are settling often lack basic resources to support the existing population, let alone additional returnees. The project will work to ensure education for returned refugees, internally displaced people and vulnerable host communities to address critical education needs.
- 3.5.6. Balance of short-term service delivery with longer-term reconstruction and institution building. Supporting policy dialogue and capacity building of local education authorities together with parent-community-school groups that addresses core issues related to expansion of education services.¹⁶

¹⁴ Including BRAC, Episcopal Church of Sudan, InterSOS, NRC, AMURT, Save the Children, and others

¹⁵ Theunynck, S. [School Construction in Developing Countries: What do we Know?](#) N.D.

¹⁶ Note that the 5S project is not specifically focused on PTAs, per se. Rather, broader parental involvement is the ideal that is sought. This is deliberately brought to the fore due to the fact that most PTAs are at present unrepresentative of pupils' families, i.e. mothers/women are almost entirely uninvolved and many PTAs are functioning as an executive grouping rather than a mass movement.

- 3.5.7. Preserve flexibility to adapt to changing circumstances during implementation of the activity. The monitoring and evaluation framework must include elements that ensure adaptability and flexibility.

4. MONITORING AND EVALUATION STRATEGY

The application will include a monitoring and evaluation (M&E) strategy. The M&E strategy should propose a sound approach to measure the quality, effectiveness, and outcomes of implementation of the 5S project. The strategy will include a preliminary Performance Management Plan (PMP) which describes the planned monitoring approach to improve project management and to measure progress towards the program goal. The PMP will address data collection and reporting on relevant indicators shown in the Results Framework of the South Sudan Mission's Education Development Objective and the Agency's Education Strategy. The PMP may include sub-intermediate results and outputs that could be tracked to provide indications of progress (or lack of) towards the achievement of high level results of the Development Objective and/or Goals 1 and 3 of the Agency Education Strategy. For each result on all indicators, the PMP will indicate targets and plans for the determination of baseline values and include a proposal that assures the reliability and validity of data reported on all indicators to USAID.

It is encouraged that the M&E strategy further describe how the applicant will work together with community groups and MoGEI to ensure collaboration and partnership success through a results-based management and monitoring approach. The monitoring and evaluation strategy will clearly communicate how partners will collect and analyze performance data, both quantitative and qualitative, through a systematic process of monitoring

throughout the duration of the project. The application will describe how the M&E strategy will increase the capacity of community groups and payam education officials to utilize monitoring and evaluation data and processes to strengthen institutional management.

In addition, the M&E strategy will offer one or more performance and/or impact evaluation questions to be considered for overall evaluation of the partnership effort. As described in the USAID Evaluation Policy¹⁷, two types of evaluation can be considered:

- Performance Evaluation – Focus on descriptive and normative questions linked to program design or management decisions: what a particular project or program has achieved; how it is being implemented; how it is perceived and valued; whether expected results are occurring. Qualitative and quantitative methods are appropriate.
- Impact Evaluation – Measures the change in the development outcome attributable to a given intervention. Requires a credible and rigorously defined counterfactual, or comparison group, to control for factors other than the intervention that might account for the observed change.

It is anticipated that an initial baseline study will then be followed by a midterm Performance Evaluation and a final Impact Evaluation to be completed by the culmination of the project.

The M&E strategy will detail how the Applicant will carry out the initial project assessment, which is expected to be done in the first two months of project implementation to inform project design focusing on the following questions:

1. Assess and analyze **the out-of-school children/youth population** with a focus on the composition of the group, and major barriers to education;
2. Assess and analyze **key issues around school safety**, what is the definition of a safe school in the South Sudan context, how do communities recommend schools are made safer;

¹⁷ Visit www.usaid.gov/evaluation for more information on the USAID Evaluation Policy.

3. Assess and analyze **the will and capacity of local** education authorities and their abilities to perform their roles in delivering education to the population.

The proposed strategy will ensure the adaptation of “rolling assessments,” a systematic crucial reflection process, typically used by USAID’s Office of Transition Initiatives (OTI) in complex and fluid environments through which project partners are enabled to use monitoring and evaluation data for critical decision making and course correction. Given the transitional and often uncertain nature of the operating environment in South Sudan, and the need for a flexible and adaptable program approach, 5S will include these tools for ongoing analysis, response and evaluation in order to ensure multiple feedback loops. This approach reflects the need to respond to evolving critical events and review initial program assumptions for current validity. This involves systematically and routinely assessing program assumptions to check if they remain valid. This process can be included in the project monitoring and evaluation framework and be conducted at least every six months or as advised by USAID. At a minimum the process will focus on critical events that can make or break the transition. The team review process will be focused on emerging issues in target areas and review the following questions: What are the emerging issues in target areas? What are the critical events planned in the next six months? What events are predictable? Map out best-, worst-, and most likely scenarios. What conclusions can be drawn? Do activities or approaches need to be adjusted?

In addition to the illustrative indicators below, applicants are invited to propose additional custom indicators in order to measure project impact particularly related to measuring relevance, well-being, inclusion, and perceptions around education.

1. Illustrative Indicators

Component 1

Number of learners enrolled in primary schools or equivalent non-school based settings with USG support
Number of PTAs or similar school governance structures supported
Number of textbooks and other teaching and learning materials (TLM) provided with USAID support
Number of classrooms built or repaired with USAID assistance
Number and proportion of USAID supported schools or learning spaces meeting criteria for safer schools program
Perceptions of increased safety and equity (establish baseline and progress)
Number of Female Teaching Assistants trained and placed
Number of functional PTAs (define functional along SDP)

Component 2

Number of teachers in USAID-supported programs trained on how to support learners’ psychosocial well-being
Number of teachers/educators/training assistants who successfully completed in-service training or received intensive coaching or mentoring with USG support
Number of administrators successfully trained with USG support
Total number of person hours of teachers/educators/training assistants who successfully completed in-service training or received intensive coaching or mentoring with USG support
Total number of person hours of administrators/officials successfully trained with USG support
Number of standardized learning assessments supported by USAID
Number of learners receiving reading interventions at the primary level
Number of impact evaluations conducted
Proportion of students who, by the end of two grades of primary schooling, demonstrate that they can read and understand the meaning of grade level text

Proportion of students who, by the end of the primary cycle, are able to read and demonstrate understanding as defined by a country curriculum, standards, or national experts

Establish baseline and measure progress of teacher well-being

Establish baseline and measure progress of student well-being

Component 3

Number of laws, policies, regulations, or guidelines developed or modified to improve primary grade reading programs or increase equitable access

Number and outcomes of consultations across states/counties and community groups (measure perceptions of engagement) as evidenced through successful grants to community-school groups

Dollar amount of USG funds implemented through community-school groups after completion of School Improvement Plans

Number of host country organizations successfully managing USG grants

Roadmap developed that details how education sector will build on current CSO and NGO strengths and service delivery

Component 4

These will be determined if deemed necessary.

5. OTHER CONSIDERATIONS

1. Gender

The program will take particular care to promote gender sensitivity and empowerment through all aspects of the project. Traditionally, girls and young women face social and structural barriers—such as forced early marriage, as well as school related gender-based violence—which prohibits them from participating in education. Education can also play a protective and empowering role, especially for girls and women. Specific strategies to promote girls' empowerment and equal opportunities for girls and young women must be reflected in the proposal.

Gender equality is essential for achieving USAID's development goals. The new USAID Policy advances equality between females and males, and empowers women and girls to participate fully in and benefit from the development, through the integration of gender in the entire program cycle – from design and implementation to monitoring and evaluation and reporting. This integrated approach focuses on achieving three overarching outcomes: 1) Reducing gender disparities in access to, control over and benefit from resources, wealth, opportunities, and services – economic, social, political, and cultural; 2) Reducing gender-based violence and mitigate its harmful effects on individuals and communities, so that all people can live healthy and productive lives; and 3) Increasing the capability of women and girls to realize their rights, determine their life outcomes, and influence decision-making in households, communities, and societies.

To operationalize these overarching outcomes, the 5S program is expected to adopt any one of the seven output and outcome indicators, as appropriate, on gender equality, female empowerment and gender-based violence in USAID's Policy. The program shall also develop a strategy for ensuring the integration of gender considerations into the work plan and the M&E Strategy, and for reporting on how the program benefited men and women. Progress of all related activities will be measured and verified using gender-sensitive performance indicators that will be part of the PMP. All people-level indicators must be disaggregated by sex, and included in project reports.

To provide greater focus on gender equality in the project, a Gender Action Plan will be prepared by the project that will include the following considerations:

- Conduct of training for project staff and partners on gender awareness, gender analysis and gender-responsive planning;
- Collection of sex-disaggregated data for baselines and monitoring of all people-level indicators and use of gender analysis tools to identify potential gender gaps and constraints;
- Conduct gender-responsive consultations to encourage the active participation of all to ensure that the voices of both men and women are heard and reflected in project plans and activities.

The preparation of the Gender Action Plan should be guided by the USAID Gender Equality and Female Empowerment Policy.

2. Sustainability

USAID/South Sudan is committed to ensuring that the activities under the 5S program are sustainable. Sustainability has been important for USAID's work over the 52 years of its existence and it is now a core part of U.S. Global Development, the Quadrennial Diplomacy and Development Review, and the USAID Policy Framework FY 2011-2015 all recognize the critical importance of emphasizing sustainability in development cooperation.

For the purposes of integrating sustainability into USAID's project design process, sustainability is achieved when host country partners and beneficiaries are empowered to take ownership of development processes, including financing, and maintain project results and impacts beyond the life of the USAID funded project. Sustainability is fundamental across USAID's Program Cycle and involves a multi-faceted set of issues including economic, financial, social soundness, cultural, institutional capacity, political economy, technical/sectoral, and environmental.

Sustainability is fundamental to USAID Forward Implementation and Procurement Reform (IPR) objectives. For the IPR objective of enhancing local capacity through implementation arrangements that strengthen local organizations' skills, incentives, motivations and opportunities, sustainability can be achieved because those organizations will have the ability to maintain project results and processes after USAID's support is ended. Moreover, the conjunction of government and local organization capacity, supported jointly by IPR objectives, promotes checks and balances inherent both to project sustainability, and more broadly, to healthy and sustainable societies.

The recipient shall ensure that all institutional strengthening activities address both short- (during activity implementation) and long-term (post activity) perspectives; opportunities for sustainability are carefully and regularly assessed; problem areas are dutifully highlighted and addressed; substantive issues beyond the management influence of the recipient and its proposed solutions are flagged for timely intervention by relevant parties; and the recurrent cost implications (i.e. likely costs, sources and commitment of funds and other resources) of achieving targeted sustainability, as defined above, are periodically assessed and the results of such assessments are documented and shared with all relevant decision-makers; considerable degree of flexibility, while demonstrating a definite ability to achieve targeted results, as approved. The recipient must demonstrate:

A recognition of and ability to operate within and respond to the pressures identified above:

- A program structure and approach that has the ability to respond quickly and adapt rapidly to any changes in the environment; and
- An ability to assess, identify, propose and justify cutting relatively non-performing aspects of the project in favor of well-performing aspects in order to maximize use of available resources and potential impact.

3. Inclusive Development

USAID is committed to the inclusion of people who have physical and cognitive disabilities and to provide support to organizations that advocate and offer services for people with disabilities (PWDs). USAID focuses on improving access of PWDs to development programs and on removing barriers that cause exclusion. All its grants, cooperative agreements, and contracts, have provisions on the inclusion of people with disabilities. *The 5S project Recipient shall include a minimum of 5-10% children and adults with disabilities in all activities, which must be specifically outlined in the budget.* In line with the [USAID Disability Policy](#), the 5S program will promote the participation and equalization of opportunities of individuals with disabilities, increase awareness of issues of PWDs within USAID programs and in host countries: foster a climate of nondiscrimination against people with disabilities; and support advocacy for people with disabilities.¹⁸

4. Partnering, Linkages and Coordination

Ensuring collaborative linkages and partnerships among USAID-funded implementing partners, other donors (particularly DFID and EU – see Annex B for a summary description of programs proposed), and within the wider education sector community, especially with the MoGEI, will be an important principle throughout the performance period of the award. Support and commitment from the host government is essential to the success of this program and the recipient shall develop and maintain collaborative relationship to ensure ownership and support throughout all phases of program planning, implementation, monitoring and evaluation and reporting. Applications should demonstrate how synergies and/or common implementation approaches with key development partners including DFID and EU will be pursued to extend and maximize expected 5S program results.

The Recipient will be expected to build upon successes and lessons learned from past and present USAID-funded activities, and leverage new activities to the extent appropriate, including: South Sudan Teacher Education Program (SSTEP), South Sudan Higher Education Initiative for Equity and Leadership Development (SSHIELD), Health Education and Reconciliation (HEAR), US BPRM, and USAID Office of Transition and Conflict Mitigation (OTCM) education-related initiatives.

USAID/South Sudan works closely with a number of key partners, and participates in donor coordination at the national level. While USAID is the prime point of contact for a number of stakeholders at a national level, the 5S project will also work closely with key partners to ensure that activities are well aligned and coordinated.

Key partners include:

- *The Ministry of General Education and Instruction (MOGEI)* is responsible for provision of education services that are of good quality, equitable, accessible, sustainable, gender sensitive, and responsive to the needs of South Sudanese learners. Responsibilities include the formulation of education-related policies and the provision and oversight of schools, as well as teacher training institutes. At the same time, each state's Ministry of Education is empowered to take on a broad-based range of services in the ways it sees fit, including deploying and paying public service teachers¹⁹.
- *The [South Sudan Education Cluster](#)*, co-led by UNICEF and Save the Children, coordinates emergency and humanitarian response in the education sector throughout the country. It works on the following key areas:

¹⁸ Additional guidance can be found through [Mobility International USA](#).

¹⁹ Note that some teachers in South Sudan are not paid by the government, though the majority have historically been so, even to the point of including church-based schools.

capacity development; advocacy and resource mobilization; information management, monitoring and reporting; planning and strategy development; and action on priority cross-sectoral & cross-cutting issues. In 2012, a standardized package was brought forward for psychosocial well-being, as well as a variety of other tools and resources which applicants will need to fully utilize.

- *The UK Department for International Development (DfID)* is funding programs on textbook production and distribution, accelerated learning, and is also considering funding a girls' education program that are closely aligned with USAID priorities in the education sector.
- *The European Union* proposes to fund a three-year Improved Management of Education Delivery (IMED) aimed at strengthening education service delivery and management in South Sudan.
- *Civil Society*, including both local and international NGOs, plays a critical role in supporting the expansion and access to education, and is a key partner in achieving a nationally driven, sustainable, and comprehensive national response to priority education issues.
- *The Global Partnership for Education (GPE)* is intending to be a major partner in the global education arena and is planning to fund the education sector in South Sudan in the coming year.
- *The United Nations Children's Fund (UNICEF)* supports education sector policy and planning, improved quality of education through the creation of safe learning spaces that are inclusive and gender sensitive, and targets out-of-school children and youth with both formal and non-formal education.
- *UNESCO and UNICEF* have provided technical assistance to the MoGEI for the development of the GESp, and are also engaged in demobilization and recovery activities for youth. They are working with UNICEF on education in emergencies, life skills, and supplementary materials.

The Recipient is responsible for accomplishing the activities/tasks and achieving the results as described in the program description above. The Recipient will, however, obtain the input of key stakeholders, beneficiaries and partners in finalizing the details of the work plan, including MoGEI. This includes obtaining a consensus on the school improvement plan templates and grants application, disbursement and reporting processes. These partnerships do not, however, relieve the Recipient of its responsibilities for performance.

6. ENVIRONMENTAL CONSIDERATION

6.1. 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 the 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. Applicant's environmental compliance obligations under these regulations and procedures specified in the following paragraphs of this RFA.

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

6.3. No activity funded under this Cooperative Agreement will be implemented unless an environmental

threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

6.4. An Initial Environmental Examination (IEE) is pending approval for 5S funding. The IEE covers activities expected to be implemented under this CA. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The applicant/recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

6.5. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer’s Representative (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.

6.6. 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.

6.7. 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.

6.8. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness; integrate a completed EMMP or M&M Plan into the initial work plan; and integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

6.9. USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the RFA should therefore include as part of their application their approach to achieving environmental compliance and management, to include:

6.9.1. The respondent’s approach to developing and implementing an environmental review process for a grant fund and/or an EMMP or M&M Plan.

6.9.2. The respondent’s approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.

6.9.3. The respondent’s illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

C. AUTHORIZING LEGISLATION

The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended and the Federal Grant and Cooperative Agreement Act. The award is subject to 22 CFR 226 – Administration of Assistance Awards to U.S. Non-Governmental Organizations.

D. PROGRAM ELIGIBILITY REQUIREMENTS

Qualified U.S. Non-Governmental Organizations (NGOs), Non- U.S. Non-Governmental Organizations, and U.S. for profit firms (provided they forgo profit) are eligible to apply. Any locally registered South Sudan organization meeting the criteria in Sub-section III.A of this RFA is eligible to apply.

E. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for this award is 937 defined as the United States, the Cooperating Country (South Sudan), and developing countries other than advanced developing countries, and excluding prohibited sources.

For accurate identification of developing countries, advanced developing countries, and prohibited sources, please refer to Automated Directive System (ADS) 310 entitled “Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID”.

F. AWARD ADMINISTRATION

Award: The Government anticipates awarding one Cooperative Agreement for a five year term resulting from this RFA to the responsible Applicant whose application conforms to the requirements of this RFA (see also Section V of this RFA for evaluation criteria) and offers the greatest value to the Government. 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.

The Government may make an award on the basis of initial applications received, without discussions. Therefore, each initial application should contain the Applicant’s best terms from a technical and cost standpoint.

Award Administration: The resultant award and sub-awards will be administered in accordance with U.S. Federal regulations, USAID policy and the USAID Mandatory Standard Provisions for U.S. Non-governmental Organizations and Non-U.S. Non-governmental Organizations as well as other Applicable Standard Provisions. While for-profit firms may participate, it is USAID policy not to award profit under assistance instruments, such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations) may be paid under assistance agreements.

Standard Provisions for U.S. Nongovernmental Organizations
(<http://transition.usaid.gov/policy/ads/300/303maa.pdf>)

Standard Provisions for Non-U.S. Nongovernmental Organizations
(<http://www.usaid.gov/policy/ads/300/303mab.pdf>)

OMB Circulars (<http://www.whitehouse.gov/omb/circulars/>) Federal Acquisition Regulation (FAR) Part 31 (<https://www.acquisition.gov/far/html/FARTOCP31.html>)

22 CFR 226 Administration of Assistance Wards to U.S. Nongovernmental Organizations
(<http://www.gpo.gov/fdsys/pkg/CFR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml>)

OMB Circulars
(<http://www.whitehouse.gov/omb/circulars>)

Federal Acquisition Regulation (FAR) Part 31
(<https://www.acquisition.gov/far/html/FARTOCP31.html>)

Authority to Obligate the Government: The Agreement Officer is the only individual authorized to commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

USAID Management of Activities: The Agreement Officer (AO) shall serve as the primary agreement contact between USAID and the Recipient. The Agreement Officer Representative (AOR) will serve as the primary technical contact between USAID and the Recipient.

Program Income: Program income is not expected to be generated by the Recipient implementing the Cooperative Agreement. However, any program income that is generated under the resulting award shall be in accordance with 22 CFR 226.24 and shall account for Program Income earned under this award and shall be added to the project as follows:

In accordance with 22 CFR 226.24 (b) "Except as provided in paragraph (h) of this section, program income earned during the project period shall be retained by the recipient and, in accordance with USAID regulations, other implementing guidance, or the terms and conditions of the award, shall be added to funds committed by USAID and the recipient to the project or program, and used to further eligible project or program objectives."

END OF SECTION I

SECTION II AWARD INFORMATION

A. ESTIMATE OF FUNDS

Subject to the availability of funds, USAID intends to provide approximately \$105,000,000 in total funding for the USAID South Sudan Safer Schools Support (5S) Project. Funds will be provided in increments subject to availability of funds, successful implementation and continued relevance to USAID. Pending the availability of funds USAID expects to award one cooperative agreement as a result of this RFA.

B. START DATES AND PERFORMANCE PERIODS

Activities pursuant to this RFA will be for a five (5) year period. The estimated start date is on or about July 1, 2013 through June 30, 2018.

C. TYPE OF AWARD

USAID anticipates award of a cooperative agreement. A cooperative agreement implies a level of “substantial involvement” by USAID in certain programmatic elements during the performance of the activity. In accordance with ADS 303.3.11 for grants and cooperative agreements, USAID will retain substantial involvement in this 5S Project, anticipating a close working partnership in the Recipient’s management and administration of the transition grants.

This substantial involvement will be through the Agreement Officer, except to the extent that he/she delegates authority to the Agreement Officer’s Representative (AOR) in writing. On behalf of USAID, the AOR will provide collaborative oversight of the Project to help the implementing partner achieve the agreement objectives. Elements of substantial include:

a. Approval of the Recipient's Implementation Plans

If at the time of award, the program description does not establish a timeline in sufficient detail for the planned achievement of milestones or outputs, USAID may delay approval of the recipient’s implementation plan for a later date. USAID will not require approval of implementation plans more often than annually. If the AO has delegated authority to the AOR to approve implementation plans, the AOR should review the agreement’s terms and conditions to ensure that he or she does not inadvertently approve a change to them.

b. Approval of Specified Key Personnel

USAID may designate as key personnel only those positions that are essential to the successful implementation of an award. USAID’s policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

The following positions are designated as Key

- Project Director
- Senior Education Advisor
- Grants Advisor
- Community Mobilization Specialist
- Senior Monitoring and Evaluation Specialist

c. Agency and Recipient Collaboration or Joint Participation

When the recipient's successful accomplishment of program objectives would benefit from USAID's technical knowledge, the AO may authorize the collaboration or joint participation of USAID and the recipient on the program. There should be sufficient reason for Agency involvement and the involvement should be specifically tailored to support

identified elements in the program description. When these conditions are met, the AO may include appropriate levels of substantial involvement such as the following:

(1) Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

(2) Concurrence on the substantive provisions of sub-awards. [22 CFR 226.25](#) already requires the recipient to obtain the AO's prior approval for the sub-award, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for sub-awards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

(3) Approval of the recipient's monitoring and evaluation plans.

(4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

d. Agency Authority to Immediately Halt a Construction Activity

USAID may include the statement "The AO may immediately halt a construction activity if identified specifications are not met." In such cases, the AO must also attach the identified specifications to the award when it is being executed. Any material changes to the specifications must be treated as an amendment to the award.

END OF SECTION II

SECTION III ELIGIBILITY INFORMATION

A. APPLICANTS

USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this RFA, any U.S. or Non-U.S. organization, non-profit, or for-profit entity (provided they forgo profit) is eligible to apply.

USAID welcomes applications from organizations which have not previously done business with USAID.

Applicants must have established financial management, monitoring and evaluation, 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.

USAID encourages applications from potential new partners.

All eligible local organizations may apply. Applicants may be local non-governmental organizations (NGO) and local private for-profit companies willing to forego profit. Potential local private for-profit applicants should note that the payment of fee/profit to the prime recipient under grants and cooperative agreements is not allowed. Universities and colleges that fit the criteria are also eligible to apply.

To be considered eligible to apply under this RFA, the local organization must satisfy all conditions below:

- Be organized under South Sudanese laws;
- Have its principal place of business in the South Sudan;
- Be majority owned by individuals who are South Sudanese citizens or lawful permanent residents of South Sudan or be managed by a governing body, the majority of whom are South Sudan citizens or lawful permanent residents of South Sudan; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of South Sudan. Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are included in the above definition of local organization. USAID will not accept applications from individuals.

B. NEW PARTNERS

In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new local partners.

When considering making an award to a potential local partner with limited or no previous USAID experience, USAID will undertake necessary pre-award reviews³⁵ to determine the organization's "responsibility" as discussed below. The resultant award to this organization may take some time. The applicant should take this into account and plan their implementation dates and activities accordingly.

"Responsibility" of applicant: In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is "responsible". A positive responsibility determination means that:

1. The applicant has the ability to meet the award terms and conditions, considering all existing prospective commitments.
2. The applicant has adequate financial resources or has the ability to obtain such resource, as required during the performance of the award.
3. The applicant has a satisfactory record of performance.
4. The applicant has a satisfactory record of business integrity, and
5. The applicant is otherwise qualified to receive an award under applicable laws and regulations.

Should the pre-award reviews show the applicant organization does not fully meet the conditions stated above, the Agreement Officer may make an award that will contain special award conditions and/or provide for technical assistance to the Recipient to allow it to fully meet the required conditions.

C. COST SHARING

Cost share is defined by USAID as contributions, both cash or in-kind and can include contributions from the Applicant, local counterpart organizations, project clients, and other donors (but not other U.S. government funding sources). Cost sharing will be subject to USAID Standard Provision entitled “Cost- Sharing (Matching)” for non-U.S. non-governmental recipients and applicable OMB cost principles.

USAID requires cost sharing from the Recipient of this project award. However, sub-grantees will be required to have a cost-sharing component of the amounts of which will be determined based on the needs or purposes of the sub-grants.

USAID has established a suggested cost share of 5% of the Award’s projected value of \$105 million for the recipient of the award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. Organizations which apply to this solicitation provide a cost-sharing plan. The purpose of cost-sharing is to increase the impact of USAID-supported development activities and to demonstrate a solid partnership between USAID and the recipient in achieving shared objectives. For guidance on cost sharing in grants and cooperative agreements, please see 22 CFR 226.23 at <http://ecfr.gpoaccess.gov> and search under Title 22 Foreign Relations.

END OF SECTION III

SECTION IV – APPLICATION AND SUBMISSION

A. POINT OF CONTACT (POC)

The application package can be downloaded from www.grants.gov. Potential applicants may communicate with the POC regarding the application requirements.

Dennis Fuentes
Agreement Officer
Office of Acquisition and Assistance
USAID/South Sudan
4420 Juba Place
Washington, D.C. 20521-4420
Email: dfuentes@usaid.gov
Tel.: +1.202.216.6279 Extn. 341

Applicants must submit their communication no later than February 22, 2013, 5.00. P.M. Local Time, Juba , South Sudan to: 5SSouthSudan@usaid.gov

B. REQUESTS FOR CLARIFICATIONS

Applicants are responsible for requesting any question/clarification on the information contained in the RFA. Requests for question/clarification shall be made in writing and sent by email addressed to Dennis Fuentes, Agreement Officer at 5SSouthSudan@usaid.gov with subject line: “Questions on 5S RFA from *Name of Organization+”. The deadline for submission of questions/clarifications is February 22, 2012, 5.00p.m.Juba Time. If it is determined that the answers to any questions are of sufficient importance to warrant notification to all applicants, a Questions and Answers document, and/or if needed, an amendment to the RFA will be posted at www.grants.gov

C. PRE-APPLICATION CONFERENCE

USAID will hold a pre-application conference on February 15, 2013, 9:00 a.m. at the USAID Office in Juba, South Sudan. All potential applicants are welcome to attend.

The purpose of the pre-application conference is to ensure an understanding of the RFA. It will include a short presentation of the RFA’s program description which is intended for informational purposes only. At the conclusion of the presentation, attendees will have the opportunity to ask questions about the RFA. See Annex F for more details.

Interested applicants who wish to attend the pre-application conference must send an email with the names of representatives and their position titles to 5SSouthSudan@usaid.gov with the subject line: “Interested Applicant – *Name of Organization+”. Since space is limited, only two representatives from each organization will be allowed.

D. ELIGIBILITY DOCUMENTS

Subject to the conditions for eligibility provided in Sub-section III.A of this RFA, the applicant will submit official documentation of its organization’s formal legal status, as follows:

1. South Sudan NGO Certification for non-profit organizations, if available;
Note: An NGO certification is not a required eligibility document. However, if a non-profit organization applicant is NGO certified, it is encouraged to submit the certification along with its application.
2. For a Government-owned and Government-controlled organization, appropriate equivalent legal document/s.
3. Business issued by the city or municipality where the principal place of business of the applicant is located.

4. Articles of Incorporation and By-Laws.

E. REQUIRED FORMS

Applicants must submit their applications using the Standard Form 424 series attached to this RFA. See Section VIII, Annex D.

F. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

All U.S. Government recipients and contractors are required to secure a Data Universal Numbering System (DUNS) Number before an award can be made to them. The DUNS is a 9-digit number assigned by Dun and Bradstreet, Inc. (D&B) that uniquely identify the recipient's name and address. It can be obtained from D&B at <http://fedgov.dnb.com/webform>.

Applicants may submit applications under this RFA without DUNS numbers. However, the selected applicant will be required to submit its DUNS number before it can receive an award. Therefore, applicants are encouraged to obtain a DUNS number early so that, if selected, award will not be delayed.

G. EVIDENCE OF U.S. FEDERAL CONTRACTOR REGISTRATION

All U.S. Government recipients are required to be registered with the U.S. Federal Contractor Registration, formerly Central Contractor Registration (CCR), which was the U.S. Government repository into entities must provide information required for the conduct of business with the Government. The CCR is now incorporated into the System for Award Management (SAM) www.sam.gov website. Information about registration procedures may be found at the U.S. Federal Contractor Registration website: <https://www.uscontractorregistration.com/>

Applicants may submit applications under this RFA without U.S. Federal Contractor Registration.

However, the apparently successful applicant will be required to register and must submit evidence of registration to USAID. Therefore, applicants are encouraged to register with U.S. Federal Contractor Registration early so that, if selected, award will not be delayed.

H. PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the Standard Form 424, Applicants **must** submit the following certifications, assurances, and other statements as part of the application:

1. A signed certification and assurance which includes:

Part I – Certifications and Assurances:

- a. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs;
- b. Certification Regarding Lobbying;
- c. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals;
- d. Certification Regarding Terrorist Financing, Implementing Executive Order 13224;
- e. Certification of Recipient;

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking, when applicable;

Part III - Participant Certification Narcotics Offenses and Drug Trafficking, when applicable;

Part IV - Survey on Ensuring Equal Opportunity for Applicants; and

Part V - Other statements of Recipient:

- a. Authorized Individuals;
- b. Taxpayer Identification Number (TIN);
- c. Data Universal Numbering System (DUNS) Number;
- d. Letter of Credit (LOC) Number;
- e. Procurement Information;
- f. Past Performance References;
- g. Type of Organization;
- h. Estimated Costs of Communications Products;

Part VI – Standard Provisions for Solicitations:

- a. Branding Strategy - Assistance (June 2012);
- b. Marking Plan – Assistance (June 2012);
- c. Reporting Subawards and Executive Compensation (October 2010); and
- d. Central Contractor registration and Universal Identifier (October 2010).

Complete copies of these certifications, assurances, and other statements of the recipient can be found at <http://transition.usaid.gov/policy/ads/300/303mav.pdf> and as Annex F of this RFA. Please note that completion of Part IV of the Certifications, Assurances, and Other Statements of the Recipient, entitled “Survey on Ensuring Equal Opportunity for Applicants” is not a requirement under this RFA.

I. APPLICATION AND SUBMISSION INSTRUCTIONS

Applications in the English language must be received no later than March 28, 2013, 5.00 P.M. Local Time, Juba, South Sudan at the address indicated below.

Applicants must submit one copy (1) of the technical application and one (1) copy of the cost application. Technical and cost applications must be kept separate, with the name and address of the applicant and the RFA Title and number “RFA-668-13-000001” inscribed thereon.

USAID/South Sudan/Office of Acquisition and Assistance
Attn: Dennis Fuentes, Agreement Officer
RFA-668-13-000001
4420 Juba Place
Washington, 20521-4420
Ph: +1.202.216.6279

Applicants must take into account the expected delivery time required by application transmission and are responsible for ensuring that their applications are received at USAID/South Sudan Office of Acquisition and Assistance on or before the time specified on the cover of the RFA. Late or incomplete applications will not be considered in the review process. Applicants are encouraged to obtain confirmations of receipt of their applications. USAID will not be held responsible for incomplete or lost applications. Applicants should retain one copy of their complete application package for their records.

All applications must be submitted via email to 5SSouthSudan@usaid.gov

Applications with attachments must be compatible with Adobe Acrobat (PDF) and Excel MS Office 2010. Each email must not exceed 5mb in size and all files are to be in PDF except for cost spreadsheets which are to be provided as Excel

files with cell formulas unlocked. All emails containing application files should, in the address line state RFA-668-13-000001 Technical or Cost Application email no. “X

J. PREPARATION GUIDELINES

The following are general instructions for what constitutes an application and how applications shall be formatted. Applicants are expected to review, understand and comply with all aspects of this RFA.

Failure to do so may result in the applicant’s application may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition.

A complete application will consist of a technical application and a cost application submitted in separate volumes. The technical application must not include any cost information.

All information must be presented in English language.

Applications must be received no later than the date and time indicated in the cover letter of this RFA, at the address indicated on the previous page.

All applications received by the deadline will be reviewed for completeness and responsiveness to the RFA. Incomplete submissions risk not being considered in the review process.

Under USAID regulation, submission of a Branding Strategy and a Marking Plan by the apparently successful applicant is required. The apparently successful applicant’s proposed Branding Strategy and a Marking Plan must be consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” contained in the Standard Provisions for Non-U.S. Nongovernmental Organizations and ADS 320.

Please note that the Branding Strategy and Marking Plan is not a required to be submitted with the application. Only the apparent successful applicant will be requested to submit them by the Agreement Officer. Failure to submit or negotiate a Branding Strategy and Marking Plan will make the apparent successful applicant ineligible for award.

K. TECHNICAL APPLICATION FORMAT

K.1 TECHNICAL APPLICATION – GENERAL

Applications must be specific, complete and presented concisely. Background information provided in this RFA should not be repeated in the application. Applicants should rather build on that information, using the application as an opportunity to explain how the Applicant will achieve the results USAID seeks. Detailed information should be presented only when required and should be appropriately organized and referenced as attachments. All applications should include a table of contents and page numbers.

The technical application prepared in response to this RFA should be divided into sections corresponding to, and following the order of, the primary technical evaluation criteria set forth in Section C of this RFA. Each section of the technical application should be clearly identified, using the title of the appropriate primary technical evaluation criterion. The technical application should also be divided by sub-criterion. This requirement is not intended to prohibit or discourage Applicants from submitting technical data in addition to the primary technical evaluation criteria, but merely to facilitate a uniform approach to application preparation. The relative order of importance of the technical evaluation criteria is indicated by approximate weighting, so that Applicants will know which areas require emphasis in the preparation of applications.

USAID requests that applicants provide all required information by following the format described below.

The technical applications, including the Executive Summary are limited to 40 pages, OVER 40 PAGES WILL NOT BE EVALUATED, and shall be written in English and typed on standard 8 1/2" x 11" paper (216mm by 297mm paper), 11-point Times New Roman font, single-spaced, with a minimum of 1 inch margins all around) with each page numbered consecutively. Items such as graphs, charts, cover pages, dividers, table of contents, annexes and attachments (i.e. key personnel resumes, table summarizing qualifications of proposed personnel, past performance summary table and past performance report forms) are not included in the 40-page limitation.

Applications must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of the 5S Project. The applications should take into account the technical evaluation criteria found in Section V.

K.2 TECHNICAL APPLICATION FORMAT

The prescribed format for the technical application is:

- i. COVER PAGE [not included in page limit] shall contain only the following information:
 - The RFA number: RFA-668-13-000001
 - Project Title: USAID Support (5S) Project
 - Applicant name
 - Applicant address
 - Tax Identification Number
 - DUNS Number, if available
 - Point of contact information for the technical and cost applications (names, titles, email addresses, mobile/telephone numbers)
- ii. TABLE OF CONTENTS listing all page numbers and attachments [not included in page limit]
- iii. LIST OF ACRONYMS [not included in page limit]
- iv. EXECUTIVE SUMMARY [One page maximum]

This section should allow technical evaluators to quickly understand the critical elements of the application including the most salient features of the applicants' technical vision and approach, the key personnel and management plan proposed, and the capabilities of the partners to accomplish the desired results.
- v. BODY OF PROPOSAL must be presented in the following order: the proposed Management Structure consisting of the Management Plan and Key Personnel; the proposed Technical Approach and Implementation Schedule; the applicant's Past Performance information, and; the applicant's draft Monitoring and Evaluation Plan [not to exceed 39 pages]
- vi. ANNEXES [not included in page limit, but there are some limitations within the required annexes] should be labeled (e.g. Annex A, Annex B, etc.)

Required annexes:

- Organizational chart (required as part of the Management Plan. See Section IV K.2 (i);
- Draft Monitoring and Evaluation Plan (See Section IV K.2 (iv);
- Complete and current resume/curriculum vitae of key personnel and other named personnel [limit of three pages per resume/CV of Key Personnel and two pages for other long term personnel]; letters of commitment from Key and other named personnel [one page each]

Past performance References (See Section K.2 (iii) [three pages]

Implementation Schedule (See Section K.2 (ii))

Application Contents: The technical application, at a minimum, shall contain the following:

- a) **Cover Page:** A single page with the project title and RFA number, the names of the organizations/institutions involved, and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. If applicable, the **TIN** and **DUNS** numbers of the Applicant shall also be listed on the cover page.
- b) **Table of Contents:** Listing all parts of the technical application, with page numbers and attachments.
- c) **Executive Summary** (counts toward the page limitation and shall not exceed 2 pages): Applicants should prepare their applications using the following general format: Provide a clear summary of what will be accomplished as well as the resources and steps required to achieve the desired results. It should provide a short synopsis of the general approach and methodologies and roles of contributing organizations, as appropriate.
- d) **Technical Approach** (maximum 30 pages): In this section, applicants are not to merely repeat what is already described in this RFA. Applicants should focus on describing how they propose to achieve the project objective(s) and how the project will make a significant contribution towards achieving the strategic objectives and areas for action identified in the Program Description of this RFA. Applicants shall elaborate in their technical approach the most effective way to develop and realize the objectives of this project including the reasonable course of action and tasks that are relevant to the current needs of South Sudan. Applicants should present a convincing and compelling articulation of their approach.

At a minimum, the technical approach shall address the following:

- Discussion of the concrete expected results and how they will be achieved
 - Demonstration of understanding of the South Sudan context and responsiveness of the technical approach including conflict-sensitive approaches and program flexibility to accommodate potential changes in the operating environment
 - Discussion on coordination with key development partners. Applicants should provide specific examples of how to capitalize on possible synergies with other partners, including DFID and EU, and therefore strengthen the impact of 5S
 - Application of relevant evidence-base and presentation of innovative activities to achieve desired results
 - Linkages between proposed results, conceptual approach and performance milestones
 - Discussion of the applicant will incorporate gender considerations and other cross-cutting themes under the USAID Mission Strategy into the implementation of the project
- e) **Monitoring and Evaluation:** The technical approach should include a Monitoring and Evaluation Strategy, which must discuss the applicants approach to measure the quality, effectiveness, and outcomes of implementation of the project.

As an annex to this section, applicants shall submit a draft Performance Monitoring and Evaluation Plan (PMEP). The draft PMEP must be based on the issues set forth in the Monitoring and Evaluation section of this RFA.

f) **Management Approach and Key Personnel**

The Applicant will propose the key personnel; however, the Applicant will not propose more than five key personnel

positions. (See Section II C).

The application must include a detailed description of the management approach for implementing the proposed program, describing each team member's role. Applicants are encouraged to have at least one key personnel based at a field site outside of the capital city of Juba and closer to the area of focus, such as the town of Kwajok in Warrap State. Applications must also include detailed descriptions of proposed key personnel as follows:

Project Director provides overall technical expertise on the expansion of equitable education services, pupil and teacher well-being, and stability components; provides overall technical and administrative leadership and expertise in the 5S initiative and who serves as the primary liaison with USAID/South Sudan on management and technical matters, with at least 12 years of relevant management, supervisory, technical experience working with programs that are of a similar scope and scale to this program; at least 10 years' experience in the education sector; experience in preparation of project designs, strategic planning and implementation of related activities; a minimum of a Master's Degree in education or a relevant field; Experience and facility with rapidly changing project designs; Implementation of psychosocial well-being activities, or other related areas; Qualified South Sudanese need to be considered for this position, including members of diaspora communities; Candidate must demonstrate at least 5 years' work experience in developing countries, including in conflict-affected environments; and at least 5 years' experience working in developing countries, including in conflict-affected environments. The Project Director will have demonstrated ability to work in complex, politically charged, unstable environments, work across different cultures, and manage diverse teams to deliver impact within agreed timelines.

Senior Education Advisor who provides overall technical expertise on the expansion of equitable education services and well-being and stability components, with at least 10 years' experience in the education sector; Experience and facility with rapidly changing project designs; preparation of project designs; and implementation of psychosocial well-being activities, or other related areas; Qualified South Sudanese need to be considered for this position, including members of diaspora communities; The candidate must demonstrate at least 5 years' work experience in developing countries, including in conflict-affected environments.

Grants Advisor (or a suitable title to be proposed by Applicants:) Provide a vision for conducting due diligence on potential sub-grantees and ensuring financial management compliance among successful sub-grantees; Degree in business, accounting, economics, public administration, or a related field; At least seven (7) years of progressively responsible professional experience; Financial management skills and experience; Demonstrated experience in soliciting for grantees, awarding grants and managing and mentoring grantees for results; Extensive experience working with counterparts at various levels of government and/or the private sector; Experience in conducting due diligence tests in the form of pre-award surveys and risk assessments; financial reviews or audits; or some other form of accountability assessments. Strong communication and English writing skills.

Community Mobilization Specialist who provides overall technical expertise on approaches and methods for organizing and attaining results with PTAs, SMCs, BOGs, and CMGs, with at least 7 years' technical experience in developing and implementing capacity building plans in culturally, politically and security sensitive environments. Must have excellent field training skills (oral and written) and demonstrate at least 5 years' work experience in developing countries, including in conflict-affected environments.

Senior Monitoring and Evaluation Specialist who is responsible for all monitoring and evaluation, with at least 7 years' technical experience in developing and implementing monitoring and evaluation plans and results-based management. The M&E Specialist must ensure that all activities are in line with the Agency Learning, Evaluation and Research policy ensuring that impact reporting includes cost/benefit analysis of interventions. Master's degree in international education, social science, economics, or related field that includes research or evaluation methodology and statistics training; At least five (5) years of experience in monitoring, evaluation, or development research; Demonstrated experience in monitoring and/or evaluating projects; The candidate must demonstrate at least 3 years' work experience in developing countries, including in conflict-affected environments; Technical familiarity with relevant monitoring and

evaluations methods; Very good English technical writing skills.

All personnel must be willing and able to travel to the various states in South Sudan, security conditions permitting.

Other personnel may include a Project Finance and Administrative Manager, Gender Specialist and short-term technical experts in education (with expertise in teacher training, curriculum development, gender in education, or youth/adult literacy), community mobilization expert, conflict prevention and equity advisor, and other areas to be determined by the program. Such personnel positions (not considered key for the cooperative agreement) may not require full-time equivalents and only be deployed as indicated and approved in the work plan. Applicants are encouraged to have the bulk of staff based at field sites, with the capital city of Juba serving as a logistical/banking support office rather than the hub of operations.

In lieu of providing resume information to demonstrate qualifications, the Applicant may explain institutional procedures for hiring qualified South Sudanese personnel directly or through subcontracts.

The Applicant will include an organizational chart that delineates the key positions together with a brief biographical sketch for each candidate and a summary position description for each.

For each key personnel proposed, the biographical sketch must not exceed one page and the position description must not exceed one page. Each position description shall include, at a minimum, the proposed position title, relationship to other key personnel and Applicant's headquarters. The Applicant's proposed position descriptions shall reflect a clear understanding of the technical and management skills necessary to achieve the results specified. Biographical sketches and position descriptions will be included in the main body of the application (position description followed by biographical sketch), all of which are to be preceded by the organizational chart.

In the annex to the technical application, the Applicant shall submit a resume for all key personnel proposed using a standard format determined by the Applicant. Experience of proposed personnel should be in chronological order starting with the most recent experience. Bio-data sheets with salary information will be attached to the cost application, not the technical application. Résumés/curriculum vitae may not exceed four pages in length per individual and shall be in alphabetical order. In the annex, the Applicant will provide a written and signed letter of intention from each key personnel indicating his/her: a) availability to serve in the stated position, in terms of the number of days after award; and, b) intention to serve for a specified duration. Two references shall be provided for each proposed key personnel and shall be included in the annex, following the résumé and the letter of intention for that person.

A considerable wealth of local expertise already exists in South Sudan and amongst the South Sudanese diaspora. Applicants are encouraged to consider limiting the number of expatriate personnel and source for South Sudan local or diaspora expertise for the other positions to the extent possible. The Applicant shall propose an appropriate mix of South Sudanese talent and expertise to implement the 5S program and utilize non-South Sudanese expertise only when skills or experience in specific project areas are lacking in South Sudan.

Because the availability of consultants is difficult to project over the life of the project, a roster of consultants is not requested. However, in addition to the key personnel, the Applicant shall include no more than two consultant resumes to demonstrate the caliber of consultants available to the Applicant. The Applicant shall provide a brief biographical sketch for each consultant and summarize the results and requirements that each will support. Information for each proposed consultant shall not exceed one page. Resumes and letters of intention are not required for proposed consultants.

g) Corporate Institutional Capability

Applicants should demonstrate the ability to work in post-conflict countries, working with host government institutions,

community groups and other stakeholders to support community-led delivery of education services, including the ability to measure the impact and outcomes of education programs in post-conflict environments with nascent and evolving institutional systems and structures.

h) Past Performance

This section shall address the following:

- a) Brief description of organizational history and experience;
- b) Examples of accomplishments in developing and implementing similar projects in post-conflict countries;
- c) Relevant experience with proposed approaches.

Describe any number of contracts, grants, and cooperative agreements which the organization, both the primary Applicant as well as substantive sub-grantee, if any, has implemented involving similar or related programs over the past three years. Applicants should include the following information in an annex past performance information:

- a) Brief description of the project/assistance activity.
- b) Name, address, current telephone number and email address of responsible representative(s) from the organization for which the work was performed:
- c) Contract/grant name and number, if any annual amount received for each of the last three years and beginning and end dates;

K.2 TECHNICAL APPLICATION CONTENT - DETAILED

The technical application in response to this funding opportunity should address how the Applicant intends to carry out the Program Description in this RFA. It should be organized into the following major sections.

i. Management Structure

Applicants are required to submit a Management Structure that includes a proposed Management Plan and proposed Key Personnel. This section will discuss the core staff in terms of role, composition, and organization, and demonstrate how the proposed structure will have the ideal capacity to confer and administer sub-awards, and above all, to achieve desired results. The ultimate composition of the management structure, including up to four Key Personnel, or 5 percent of the Recipient's direct project staff, whichever is higher, must include long-term professional staff with strong technical, grant management and grant-making expertise, including a financial team experienced in administering and managing the accounting for grants and doing due diligence. Other skill areas that must be reflected in the staffing structure include capabilities in grant-making outreach and dissemination. The staffing and management plan may include any other staffing contemplated, such as administrative staff.

I (a) Management Plan

The Management Plan (MP) will discuss the overall management approach toward the Project proposed staffing and the roles and responsibilities therein. The MP will include an organizational chart indicating the framework for the project staffing including Key Personnel and other proposed personnel that will staff the Project.

The proposed Key Personnel must include staff with adequate familiarity with the requirements to do pre-award surveys to USAID's standards. The conduct of these pre-award reviews of financial and organizational management capability of

potential sub-grantees may be conducted in-house by the 5S Project staff or outsourced, but the Recipient's staff must possess the minimum degree of expertise necessary to ensure such reviews are sufficiently performed and complied with, and their results utilized to inform appropriate capacity-building measures for sub-grantees.

The management plan must specify how coordination and collaboration with USAID and partners will be implemented. The Applicant should explain its ability to find qualified consultants, contractors and subgrantees, and discuss its role and management approach with sub-grantees.

I (b) Key Personnel

The Applicant has the ultimate responsibility for implementing the 5S Project, determining the appropriate staffing in support of its technical approach, and assembling a team with the required knowledge and expertise in the components mentioned in the RFA's Program Description. The Key Personnel section should demonstrate proposed, relevant capabilities and management experience in similar projects, their education, and qualifications.

For 5S, a suggested Key Personnel structure would include a Project Director, Senior Education Advisor, Community Mobilization Specialist and Senior Monitoring and Evaluation Specialist. Desired qualifications for these positions are detailed in Section IV K.2 (f).

Qualified female candidates must be given priority.

Once the Project award is issued, any substitutions of those individuals designated as key personnel in the award will be made only as directed by the Key Personnel clause of the award.

The application must include a detailed description of the management approach for implementing the proposed program, describing each team member's role. At least two of the positions must be based within the five states where the project is focused, preferably in Kwajok, capital of Warrap State.

ii. Technical Approach and Implementation Schedule

ii (a) Overall Technical Quality

The technical application must set forth the conceptual approach, methodology, and techniques — the “how” — for accomplishment of the stated objectives. It must:

- (1) Reflect a thorough understanding of key issues and challenges, including the identification of priority needs that must be addressed using the grant-making facility as a vehicle in order to produce results that will contribute to the attainment of the ultimate goal and objectives of 5S Project.
- (2) Outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving end of project results;
- (3) Describe how the recipient will design, implement, and monitor interventions to help achieve Components 1 and 2;
- (4) Describe a plan with benchmarks/indicators that will enable sub-grantees' activities to continue after the 5S Project ends;
- (5) Demonstrate the applicant's ability to function effectively as a grant-making entity on behalf of USAID;
- (6) Include a credible plan to widely publicize, promote and solicit applications for subgrants under the Project; and
- (7) Describe the extent to which gender concerns will be integrated into the project cycle and its compliance with the requirements of the USAID Gender Policy (including the adoption of appropriate gender indicators) and the checklists provided under the Harmonized Gender and Development Guidelines.

The Applicant's proposed technical approach should show the greatest combination of feasibility, innovativeness, and flexibility aimed at achieving or exceeding project objectives and the specific expected outcomes within the stated period of performance.

ii (b) Implementation Schedule

The applicant will submit an implementation schedule that discusses major tasks and activities, resource requirements, and expected results for the first year. The implementation plan must demonstrate quality and feasibility. It must include a notional outline for subsequent years of the 5S project.

NOTE: The applicant's proposed 5S Project team must be fully operational within three (3) months from award date.

iii. Institutional Capability and Past Performance

The Applicant must include supporting information regarding institutional capability and past performance.

For institutional capability, the Applicant will submit a list of a minimum of three (3) current or completed grants/cooperative agreements, contracts, sub-grants and/or sub-contracts within the last seven years that are similar in size, scope, and complexity to the program described in this RFA. The list should be included as annex to the technical application and will not count against the page limitation.

Provide for each of the awards listed above the contact names, job titles, email addresses, phone numbers, mailing addresses and a description of the performance which includes:

Scope of the program/work or complexity/diversity of tasks,

Primary location(s) of work,

Term of performance,

Skills/expertise required,

Dollar value (if award was in Pesos or other currency/ies, state rate of exchange used), and Award/instrument type.

USAID recommends that Applicants alert the contacts that their names have been submitted and that they are authorized to provide information concerning the listed contracts and agreements, upon request from USAID.

The information submitted must reflect the Applicant's *institutional capability* in terms of:

- a. Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under this RFA, in particular in awarding grants;
- b. Institutional strength as represented by breadth and depth of personnel, in particular in relevant disciplines/areas;
- c. Contracting and sub-granting capabilities and expertise; and
- d. Demonstration of adequate financial controls both for internal control and for management of sub-grants.

USAID will verify the experience and past performance record of cited projects or other recent projects by reviewing other performance reports or to interview cited references or other persons knowledgeable of the applicant's performance on a particular project. The USG may check any or all cited references to verify supplied information and/or to assess reference satisfaction with performance. References may be asked to comment on items such as: (1) quality of product or service, including consistency in meetings goals and targets; (2) cost control, including forecasting costs as well as accuracy in financial reporting; (3) timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of key personnel including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified.

iv. Monitoring and Evaluation Plan

The applicant must present a draft Monitoring and Evaluation Plan (M&EP) which identifies expected interim and final results of the project and describes how the applicant will plan for collecting baseline and monitoring implementation to reliably measure project progress and impact, and contribute to the desired outcomes of the project specifically and PFG in general. The applicant must describe the assumptions made regarding proposed activities vis-à-vis project results. The applicant must provide indicators (direct and indirect/proxy [should there be a need]) against which progress will be measured.

The monitoring and evaluation plan, if appropriate, may show innovativeness of the proposed approaches for measuring quality, effectiveness and outcomes of the project. The M&E Plan should include a comprehensive set of outcome indicators and targets which are in accordance with and support achievement of the objectives of the RFA and are specific, measurable, and achievable. The indicators should reflect all the dimensions of data quality (reliability, validity, completeness, integrity, accuracy), and there should be a reasonable plan for data storage and effectiveness in data collection and analytical approach for quantifying program progress and impact.

L. COST/BUSINESS APPLICATION FORMAT

a. Cost Application

The cost application must be submitted under separate cover from the technical application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details.

The documentations that applicants will submit to USAID are described below.

a. A budget that provides in detail the total costs for implementing the program your organization is proposing. It must be accompanied by a budget narrative by line item that explains in detail the basis for how the individual line item costs were derived. The budget must be submitted using Standard Form 424 series (Annex B). Budget should be expressed in US Dollars.

The budget will include:

- i. Summary which includes the total funding requested for each year of activity;
- ii. Breakdown of all costs associated with the project according to SF 424's object class category (See Annex D, SF 424);
- iii. Breakdown of all costs according to each partner organization, if any;
- iv. The costs associated with local in-country technical assistance;
- v. A procurement plan for commodities to be purchased under the cooperative agreement.

Note: As this program will be for more than \$21m of USAID funding during a single fiscal year, the Applicant must include funds within the budget to contract for a formal audit each year.

- b. Copy of latest Negotiated Indirect Cost Rate Agreement (NICRA) **if** your organization has such an agreement with the U.S. Government;
- c. Copies of organization's Personnel, Procurement, and Travel Policies and Procedures;
- d. The cost application should also address the applicant's resources and capacity in the following areas in narrative form. The information submitted should substantiate that the applicant:
 - i. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
 - ii. Has the ability to comply with the award conditions, taking into account all of the applicant's existing and prospective nongovernmental and governmental commitments.
 - iii. Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost application since past performance is an evaluation factor – the Applicant may wish to discuss any notable issues regarding its record of performance that were not discussed in the technical application);
Note that past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 - iv. Has a satisfactory record of integrity and business ethics; and
 - v. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations

e. *Signed* Certifications, Assurances, and Other statements of the Recipient Certification Regarding Lobbying Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals;
Certification Regarding Terrorist Financing;
Certification of Recipient;

Key Individual Certification Narcotics Offense and Drug Trafficking, when applicable;
Participant Certification Narcotics Offenses and Drug Trafficking, when applicable; and
Other statements of the Recipient.

Complete copies of these certifications, assurances, and other statements of the recipient can be found at <http://transition.usaid.gov/policy/ads/300/303mav.pdf> and as Annex F of this RFA. Please note that completion of Part IV of the Certifications, Assurances, and Other Statements of the Recipient, entitled “Survey on Ensuring Equal Opportunity for Applicants” is not a requirement under this RFA.

The following section provides guidance on line item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant’s personnel policies. USAID requires that salary daily rates are calculated 260 working days per year.

Budget narrative should explain how daily rates are calculated and whether based on established written policies of the organization or market surveys.

Fringe Benefits - If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided (e.g., copy of NICRA). If a fringe benefit rate has not been so approved, the applicant may propose a rate and explain how the rate was determined. If the latter is used, the narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., social security, life insurance, medical insurance, 13th month pay, sick leave, vacation leave, etc.) and the costs of each, expressed in US dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic, regional, and international, airfare, land and sea transportation and the estimated costs. Specify the origin and destination for proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant’s normal travel policies and will be assessed as part of cost effectiveness.

Other Direct Costs - This includes communications, report preparation costs, equipment, supplies, office rent, etc. The narrative should provide a breakdown and support for all other direct costs;

Equipment - Justify the need, type, the number and price of the items equipment to be procured.

Supplies - Justify the need and quantities of supply items related to the activity.

Seminars and Conferences - The application should indicate the subject, venue, and duration of proposed conferences and seminars and their relationship to the objectives of the program, along with estimated costs.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

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

Indirect Costs - The Applicant must support the proposed indirect cost rate by a Negotiated Indirect Cost Agreement (NICRA) for USAID to determine the reasonableness of the rates. Organizations that do not have a NICRA letter with the U.S. Government should treat all indirect costs as direct costs and provide a fully-developed and supported rational for allocating or estimating how much of the indirect costs should be allocated to the program.

M. ELECTRONIC PAYMENT HORTATORY LANGUAGE FOR ASSISTANCE SOLICITATIONS

Introduction

The various electronic payment systems available today accelerate financial inclusion for billions of poor people in developing countries who would otherwise have no access to financial services. Additionally, increased innovation in this arena has the potential to deliver a range of financial services that are affordable and convenient to the poor.

Discussion

THE OPPORTUNITY: Across the world today, USAID implementing partners spend millions of dollars of payments in cash every year. These payments may include disbursements of salaries, payments to vendors, payments to participants of programs, such as cash-for-work programs, emergency relief payments, and others. Implementing partners also often support businesses in a specific sector or along a value chain. They advise on how to build sound financial management systems, and marketing techniques, among other technical assistance. Often these businesses rely on cash in their financial management systems. Advances in communication technology and network capacities have enabled innovative new ways to make payments through mobile devices, smart cards and other electronic methods. The transition from cash to electronic payments has potentially significant benefits for all groups involved:

- **Cost Savings.** Decreasing the costs associated with physical cash operations
- **Transparency.** Increased accountability and tracking of financial flows
- **Security.** Safer delivery of payments, especially for women
- **Financial Inclusion.** Reaching those not yet in the financial services sector
- **New Market Access.** Opening doors for fee-for-service business models to previously unserved areas due to high transaction costs.

Electronic payment systems include, but are not limited to, electronic funds transfers using bank accounts, pre-paid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operators and/or banks. Of all the electronic payment systems, mobile money appears to be the least understood, yet the technology and infrastructure behind it might have the longest reach and greatest potential audience. Mobile money enables individuals to store money, seamlessly transfer it to friends and family in need, and withdraw it without ever travelling to a bank. Depending on the country, users may also be able to pay for goods and services and access a whole range of financial services through their mobile phone. This can be life-changing for the 2.5 billion people without access to basic financial services. Mobile money can also directly support USAID's broader goals because it increases financial inclusion, improves transparency, and roots out corruption by preventing leakages and also increases broad based economic growth.

Though the potential benefits are clear, there is still more work to be done and USAID has a unique opportunity to leverage financial and political influence to drive greater usage of electronic payment systems. To that end, prospective partners should note the following:

USAID encourages host country governments, bilateral and multilateral development partners, contractors, subcontractors, grantees, sub-grantees, and private sector alliance partners to help strengthen the financial services sector in the countries we work. Where programs propose cash distributions, partners should consider incorporating electronic payment systems into program design and implementation where feasible, thereby reducing reliance on physical cash.

If you are considering the use of electronic payments in your operations and programs, please include in your *application* a brief explanation of the selected method of electronic payment, and where feasible, how you propose to reduce the reliance on physical cash. Examples of operational costs that can use e-payments are: temporary staff

salaries; vendor payments; travel per-diem for staff. Examples of program costs that can use e-payments are: cash for work payments; payment to trainers or trainers of trainers; direct grants to beneficiaries. This discussion of the type of payment is for informational purposes and for our understanding of how you propose to pay recipients/beneficiaries. This information will be used by USAID to understand and measure the impact of USAID's promotion of the use of electronic payments by implementing partners. The information provided in your proposal/application will not be an evaluation factor unless specifically stated as such in the evaluation criteria in this solicitation document.

USAID encourages applicants under this RFA to consider alternative methods of payment, especially electronic forms of payment, in place of cash payments when appropriate.

N. FUNDING RESTRICTIONS

Total USAID funding available for the award under this RFA is not expected to exceed One Hundred-and-Five Million U.S. Dollars (\$105,000,000). Of this amount, \$15 million is allocated to the Program Modifier activities. These funds will not be added to the award unless USAID notifies the applicant. The Awardee must have the capacity to respond to unanticipated events. USAID has the right to modify the award to add an additional \$15 million if it becomes available.

Applicants are encouraged to use the following resource distribution as a guide in proposing level of effort and resource allocation between IRs:

IR 1: Improve and expand safe education services for children and youth – 65%

IR 2: Enhance relevance of education and promote learner well-being – 25%

IR 3: Strengthen quality and management at the payam level to support basic education – 10%

Part of the 5S funding is reserved for grants to be made to community-school structures. The average grant size can vary by area and need, based on the quality of performance and application for support. The grants must be used to fund improvements that will result in increased access in areas of highest need. The grants portion of 5S must total at least \$40 million for the five-year cooperative agreement. Within this amount, not more than an aggregated total of \$9.5 million should be used for infrastructure improvements, other capital improvements, or construction. Any activities related to infrastructure, capital improvements, or construction must be explicitly included in the budget. In addition, the Agreement Officer's Representative (AOR) maintains the right to halt any such infrastructure, capital improvement, or construction related work at any time. No single grant can, under any circumstances, exceed \$500,000 and it is expected that most will be significantly smaller – in the \$5,000-10,000 range.²⁰ Specific budget figures must be made explicit in the cost proposal. Conversely, there is no restriction for the use of community grants for purposes other than infrastructure.

Applicants are advised to review ADS 303 concerning Transition Awards. It is expected that the Recipient will work directly with local South Sudanese organizations that can eventually directly take on greater amounts of 5S activities.

ADS 303 extract from page 36:

(1) Transition Awards

USAID may award without competition when awarding to a local organization that has been a sub-recipient under a USAID prime award (the "initial award") and all of the following conditions have been met:

- The direct award does not exceed 5 years in duration and the total estimated amount is less than \$5 million (\$20 million for CPCs);
- The sub-recipient is a local organization;

²⁰ For instance, if \$7,600 is used to serve the infrastructure needs of 1,250 discrete projects, this would fulfill the requirement.

- USAID’s intent that the initial award recipient would develop the capacity of the sub-recipients so that the sub-recipients would be eligible to receive a direct award from USAID or other donors in the future is clearly stated in the acquisition or assistance solicitation for the initial award; and
- The initial award contains:
 - Criteria for the prime recipient to identify and qualify a sub-recipient for a direct award,
 - Procedures for making the direct award, and
 - A timeframe for when the direct award will be considered, including the limits of USAID funding of the initial award for activities of the sub-recipient.

Awards under this exception are at the discretion of the Agreement Officer.

Awards under this exception must not be extended unless the Mission justifies the extension using the exception in ADS 303.3.6.6 a. (2)(f) (“Critical objectives of the foreign assistance program”) and, if applicable, ADS 303.3.6.6 a.(3).

For existing awards, amendment of the initial award may be necessary to conform with the above before direct awards to sub-recipients without competition may be made. Such amendments must comply with all other legal and policy requirements and may only be made after an individual authorized to approve the activity under ADS 201.3.11.17 approves a memorandum confirming that the program description of the initial award intended that the initial award recipient would develop the capacity of the sub-recipients so that they would be eligible to receive a direct award from USAID or other donors in the future.

O. REIMBURSEMENT OF PRE-AWARD COSTS

No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer.

END OF SECTION IV

SECTION V – APPLICATION REVIEW INFORMATION

All applications received by the deadline will be reviewed for completeness and responsiveness to the RFA. Late or incomplete submissions will not be considered in the review process. All applications which meet the eligibility requirements and conform to the application preparation and submission instructions will be evaluated.

The evaluation criteria below have been tailored to the requirements of this RFA. The applicants should note that these criteria serve to identify the significant matters that must be addressed in the applications, and to set standards against which all applications will be evaluated.

Numerical weighting indicates the relative order of importance of the technical criteria, to guide applicants in determining which areas require emphasis in the preparation of applications.

To facilitate review and evaluation of applications, applicants are requested to organize the narrative sections of their technical applications in the same order as the evaluation criteria set forth below.

A Technical Evaluation Committee, comprised of USAID technical staff, will review and rate the technical applications using the criteria below. Once the technical application review is complete, competitive applications will be shortlisted. USAID reserves the right to invite shortlisted applicants, represented by their Key Personnel, to give a brief oral presentation of their proposed project approaches at the USAID offices.

A. TECHNICAL EVALUATION CRITERIA

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Applicants shall organize the narrative sections of their technical applications in the same order as the evaluation criteria. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the objectives of the project as set out in this RFA.

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

A technical evaluation committee, using the criteria shown in this Section, will score technical applications. The criteria set forth will serve as the basis for evaluating the technical applications. The various functional elements of the technical criteria are assigned weighted scores, so that Applicants will know which areas require emphasis in the preparation of applications. USAID will select the application that represents the best approach and value to the government, with the technical application being more significant than cost. Applicants should note that these criteria:

- (a) Serve as the standard against which all applications will be evaluated; and
- (b) Serve to identify the significant matters which Applicants should address in their applications.

The relative importance of each criterion is indicated by the number of points assigned; a total of 100 points is possible.

Technical Evaluation Criteria	Weight in Points
Technical Approach and Monitoring and Evaluation Strategy	40
Management Approach and Key Personnel	25
Past Performance (Including Corporate Institutional Capability)	35
Total Possible Technical Evaluation Points	100

1. Technical Approach (30 points)

The technical approach will be evaluated on the overall merit and feasibility of the program approach and strategies proposed to achieve the stated program goal of education opportunities in South Sudan which are expanded, inclusive and promote social cohesion. In descending order of importance the application will clearly:

- a) Present well-conceived and realistic program approach and strategies to accomplish the objectives of the RFA that build on current efforts that have been successful in key component areas; including type, content, format, and frequency of activities to support each component.
- b) Demonstrate understanding of the South Sudan context and responsiveness of overall technical approach including conflict-sensitive approaches to this context and program flexibility to accommodate potential changes in the education sector in South Sudan, and how synergies and/or common implementation approaches with key development partners including DFID and EU could be achieved to extend and maximize expected program results.
- c) Present sound application of evidence-based technical knowledge and best practices in the technical approach, as well as creativity, clarity, and, where appropriate, presentation of innovative activities to achieve desired results, including a strategy for the phase-out and sustainability of project activities and impact.
- d) Outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the semi-annual, annual, and end of project results.
- e) Link proposed technical activities to ambitious yet realistic and measurable project results.
- f) Address how gender considerations are incorporated into activity design and implementation.

2. Monitoring and Evaluation (10 points)

The application clearly:

- a) Proposes the process for the design and implementation, timeframe, and LOE for the rapid assessment phase.
- b) Proposes a sound approach (including PMP) to measure the quality, effectiveness, and outcomes of the project that incorporates rolling assessments related to flexible and adaptable approaches.
- c) Describes a monitoring approach to improve project management and to measure progress towards the program goal.
- d) Suggests one or more performance or, if feasible, impact evaluation questions that are feasible given project resources and that have the potential of influencing policy or program design in South Sudan in the future.

3. Management Approach and Key Personnel (25 points)

Application demonstrates that key personnel have requisite breadth and depth of technical expertise and experience in education in conflict- and crisis-affected environments, management, planning and provision of specialized technical assistance necessary for achievement of program results, as well as a sound management plan that will enable the achievement of program results. The application clearly:

- a) Proposes personnel who have relevant professional qualifications and experience appropriate to manage and undertake activities as outlined in the RFA.
- b) Proposes a staffing plan that is indicative of achieving results for each component.
- c) Demonstrates a good understanding of the challenges of working in South Sudan and at central, state, and county levels within the education system, and presents a management plan that can effectively address these challenges, including coordination with key partners including DFID and EU.
- d) Local personnel is REQUIRED in key technical and leadership positions, which should be demonstrated through the staffing plan and key personnel, particularly in relation to technical or leadership positions.

- e) Proposes sound and strategic management structures to effectively and efficiently carry out the proposed scope of work, including clear lines of supervision, accountability, decision-making and responsibility between the main project office and satellite field office.
- f) Describes the systems that will be used to effectively manage human resources, plan and manage program finances and budgets, and comply with USAID reporting requirements.

4. Corporate Institutional Capability & Past Performance (35 points)

The application effectively demonstrates:

- a) The ability of the applicant to work with host government institutions, community groups and other stakeholders in an effort to support service delivery.
- b) Organizational knowledge and institutional capacity in designing, managing, and implementing similar education programs in Africa.
- c) Applicants' ability in measuring the impact and outcomes of education programs.
- d) The extent to which the applicant and sub-recipients(s) demonstrate satisfactory past performance in similar programs over the past three years.
- e) The extent to which applicants demonstrate the application of lessons learned from programs of similar scope will be applied to this program.

Applicants are expected to provide 3-5 references from similar projects that can be contacted immediately following submission of the proposal. These references need not necessarily be exclusively with USAID. Applicants are encouraged to consider their broader past experience with other donors, foundations, and corporate collaboration.

B. COST EVALUATION

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allowability, allocability and cost effectiveness. The pre-award evaluation of cost effectiveness will include an examination of the application's budget detail to ensure it is a realistic financial expression of the proposed project and does not contain estimated costs which may be unallocable, unreasonable or unallowable.

Applications that maximize direct activity costs, including cost sharing, and that minimize administrative costs will be favorably considered. 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 by a responsibility determination, which may include a pre-award survey.

Notes on Cost Sharing:

Cost share is defined by USAID as "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please refer to the provision on cost-sharing in 22 CFR 226.23. Applicants are required to make cost share proposals equivalent to at least 5% of the estimated total USAID funding for implementation of the 5S program. Cost share may not be applied to the portion of funds budgeted by applicants as pass-through grants earmarked for direct management by community groups, including SMC/PTAs to fund school improvement grants activities.

C. BEST VALUE DECISION

Award will be made to the Applicant whose application offers the best value to the Government. Best value is defined as the expected outcome of a procurement that, in the Government's estimation, provides the greatest overall benefit in response to the requirement.

For this RFA, the technical proposal merits are considered significantly more important than cost relative to deciding

which Applicant might perform the work best. Cost realism, effectiveness and reasonableness will be the determining factors in the event that the applications receiving the highest ratings are closely ranked. Therefore, after the final evaluation of the application, the Agreement Officer will make the award to the Applicant whose application offers the best value to the Government considering technical cost and other factors.

Other areas of review and discussion will vary according to the circumstances pertaining to the application.

D. BRANDING STRATEGY AND MARKING PLAN

It is federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended and 22 CFR 226.91 that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID identity. In accordance with ADS 320.3.3 Branding and Marking Requirements for Assistance Awards, USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.”

The successful applicant will be required to submit a branding strategy and marking plan. Standard provisions – Branding Strategy – Assistance (December 2005), Marking Plan – Assistance (December 2005), and Marking under USAID-Funded Assistance Instruments (December 2005) in Annex 8 to this RFA under Section F contain detailed requirements on the content and submission of the branding strategy and marking plan.

More information on Branding Strategy and Marking Plan are available at
<http://www.usaid.gov/branding/assistance.html>.

The branding strategy and marking plan will become material element of the cooperative agreement. Information on USAID's branding “assistance” applies to this RFA. ADS Chapter 320 sections concerning “acquisition” do not apply to this RFA.

E. COST EFFECTIVENESS AND COST REALISM

Cost applications will be reviewed separately by the Agreement Officer. For the purpose of this RFA, technical considerations are more important than cost. Cost has not been assigned a weight and will not be scored. However, the applicant's proposed costs will be analyzed for cost realism, reasonableness, completeness, effectiveness, allowability, and allocability.

The cost realism analysis is intended to:

1. Verify the applicant's understanding of the solicitation requirements;
2. Assess the degree to which the cost application reflects the approaches in the technical application; and
3. Assess the degree to which the cost included in the cost application accurately represents the work effort included in the technical application.

F. PRE-AWARD RESPONSIBILITY DETERMINATION

The selection of an application for award based on the application's technical merits and cost effectiveness and realism does not guarantee the award. The Agreement Officer will make the final determination on the award, and must be fully satisfied that the apparently successful applicant has the capacity to carry out the award in accordance with the principles established by USAID.

In order for the Agreement Officer to make a final determination, a pre-award survey will be performed to determine responsibility of the selected applicant. A positive responsibility determination means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

The selected applicant may be required to submit the following information:

- Copies of the last three years' audited financial statements, performed by a Certified Public Accountant or other auditor satisfactory to USAID;
- Projected budget, cash flow, and organization charts; and
- Copies of applicable policies and procedures (e.g., accounting, property management).

G. AWARD CONSIDERATIONS

The Agreement Officer has the legal responsibility for the award. He/she makes the final selection and makes the award. For this RFA, technical application merits are considered significantly more important than cost relative to deciding which applicant might best perform the work. Cost realism and reasonableness will however be important criteria and may be the determining factor in the event that the applications receiving the highest ratings are closely ranked. After the final evaluation of the application and a positive responsibility determination, the Agreement Officer will make the award to the apparently successful applicant.

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

END OF SECTION V

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. NOTIFICATION TO APPLICANTS

Following the completion of the technical and cost evaluation of all applications submitted in response to this RFA and responsibility determination, USAID will make an award to the applicant whose application represents the best overall value to the U.S. Government. Best overall value is defined as the expected outcome that, in the Government's estimation, provides the greatest overall benefit in response to the requirement and available funds.

The successful applicant will receive a written notification in the form of an award document signed by the Agreement Officer. The notice will be provided electronically to the applicant's point of contact listed in the application. Pursuant to ADS 303.3.7.1.b., unsuccessful applicants will also be notified electronically.

USAID does not intend to provide formal debriefings for unsuccessful applicants but retains the right to consider informal briefings for said applicants following award.

B. STANDARD PROVISIONS AND DEVIATIONS

Currently, USAID does not anticipate any deviations from the mandatory or applicable the standard provisions applicable for this award.

C. GENERAL INFORMATION ON REPORTING REQUIREMENTS

Reports and related requirements will be included in the Cooperative Agreement issued as a result of this RFA. Requirements for periodic performance reports are contained below and supplemented by 22 CFR 226.51. Copies of all required financial reports will be submitted to the AOR and Agreement Officer at USAID/South Sudan. Applicants are reminded to budget prudent and adequate resources for completing the required reporting. All reports shall be in the English language, unless otherwise specified by the AOR. Electronic submissions are preferred. The recipient will provide the following reports to the USAID AOR and the Agreement Officer, as specified below, in accordance with 22 CFR 226.51 and 226.52 and the Substantial Involvement provisions as mentioned in this RFA.

C.1 Financial Reporting

Financial reporting requirements will be in accordance with 22 CFR 256.52. In addition, the Recipient should submit quarterly pipeline analysis to USAID within 15 calendar days prior to the end of each quarter that contain, at a minimum:

- Total agreement budget
- Total funds obligated by USAID into the agreement to date
- Total funds previously reported as expended by the Recipient
- Total funds expended in the current quarter by the Recipient
- Total funds expended (actual plus estimated accrued) towards the end of the report period
- Total unliquidated obligations
- Unobligated balance of USAID funds (mortgage)
- Estimated expenditures for remainder of year
- Estimated monthly burn rate

C.1.1 Performance Monitoring and Reporting

The Recipient will submit reports to the USAID AOR as described below.

C.1.2 Performance Monitoring and Evaluation Plan (PMEP)

Within 90 days of the award, the Recipient will submit for USAID approval a performance management plan (PMP) covering the life of the project. The PMP will establish specific, quantifiable performance indicators and targets for overall results included in the original application and activities in the annual work plans; describe the establishment of monitoring systems to measure program progress against overall objectives; and present a plan for data collection and measurement of program objectives and expected outputs, including collection of baseline data, and for the use of data collected by the program to improve program planning and performance.

Within the PMP, the Recipient should develop and execute an evaluation plan, as described in the program description, which includes process, output, outcome and impact components. For each indicator, the PMP should provide interim and final targets, data sources, collection methods, and baseline information or a timeline for collecting it. Data sources and collection methodologies should also be noted for each monitoring and evaluation component detailed in the PMP. In addition to the direct program output indicators, the Recipient should provide data on the coverage of interventions, as well as an evaluation plan for project outcomes and impact. The Recipient should also include qualitative data on program achievements and results.

The PMP should demonstrate understanding of USAID education indicators (relevant to reporting on the Agency Education Strategy and South Sudan's DO3 indicators and other program indicators, and reporting requirements, including a log frame that explains how data will be collected, verified and reported to document project progress. Data quality is a critical component of USAID, and the Recipient should develop systems to ensure data quality and be prepared for data quality audits. The PMP and evaluation plans will be revised as appropriate on an ongoing basis in collaboration with USAID/South Sudan and routine data quality assessments will be required.

In addition to the PMP, the Recipient must develop an evaluation plan that proposes performance and/or impact evaluation questions that may be considered through the life of the project. The Recipient, in conjunction with USAID, will determine what type of evaluation will be conducted and develop a detailed plan once the evaluation questions have been determined.

C.1.3 Substantial Involvement and Reporting Requirements

Substantial involvement during the implementation of the anticipated cooperative agreement will be limited to the elements listed below:

- Approval of Annual Work Plans
- Approval of specified key personnel assigned to the positions listed below. All changes thereto must be submitted for approval
- Approval of proposed sub-recipients and provision of their sub-agreements
- Approval of branding/marketing plan
- Approval of Performance Monitoring Plan (PMP)

C.2 Reporting Requirements

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA:

- A) Annual Work Plans
- B) Performance Management Plan (PMP)
- C) Quarterly and Annual performance monitoring and reporting
- D) Quarterly pipeline analysis and financial reports
- E) Close Out Plan
- F) Final Report

- G) Other
- H) Branding Strategy and Marking Plan
- I) TraiNet Reporting

C.2.1 Annual Work Plans

Within 30 days of the award and annually thereafter (based on the US fiscal year), the Recipient will submit an annual work plan and a detailed budget, corresponding to the USG fiscal year, to the AOR for USAID approval. The annual work plan will outline activities and outputs to be achieved in the coming year, the associated levels of effort, timelines, and any changes in the detailed first year work plan submitted in the technical application. The annual work plan must include a core set of required indicators corresponding to each program area that will be tracked over the life of the program. Baseline data on these core indicators must be collected and presented in the first quarterly report. Annual targets must also be established for each indicator and presented to the USAID/South Sudan AOR during the development/update of the annual Performance Management Plan (PMP). Subsequent 12-month work plans should be prepared and submitted to the AOR no later than 30 days before the close of each preceding operating year.

The annual work plan should include, at a minimum:

- Expected progress towards achieving results and performance measures tied to the M&E plan
- Timeline for implementation of the year's proposed activities, including target completion dates
- Information on how activities will be implemented, including planned coordination with other partners (both USG and non-USG implementers)
- Log frame for outputs, activities and indicators
- Personnel requirements to achieve expected outcomes
- Major commodities to be procured, if applicable
- Detailed budget, disaggregated by program area.
- Targets and anticipated objectives and milestone indicators

In addition, a summary budget indicating the programming of resources in relevant funding sub-element of the Basic Education Program Element of the U.S. Foreign Assistance Framework should be shown. General information on the U.S. Foreign Assistance Framework and definitions of the Standardized Program Structure including the funding sub-elements of the Basic Education Program Element may be accessed at www.state.gov.

It is anticipated that USAID Mission staff, host country officials, and other appropriate persons will review the work plan and provide comments and recommend changes. The work plan is intended to be a working document and may be updated or revised subject to AOR approval.

C.2.3 Quarterly and Annual Performance Monitoring and Reporting

The Recipient must prepare and submit to the USAID/South Sudan AOR a quarterly report within 30 days after the end of the program's first full quarter, and quarterly thereafter. These reports will be used by USAID/South Sudan to fulfill electronic reporting requirements to Washington and to conform to USAID reporting requirements. The report should contain, at a minimum:

- Current and cumulative progress (activities completed, benchmarks achieved, performance standards completed) since the last report by program area
- Problems encountered and whether they were resolved or are still outstanding;
- Proposed solutions to new or ongoing problems
- Success stories (photos, captions and narrative)
- Documentation of lessons learned and best practices that can be taken to scale; and
- List of upcoming events with dates

The 4th quarterly report in each year of program implementation will serve as an annual report and should consolidate and include summary/cumulative data reported for the previous three quarters and the final quarter of the year.

C.2.4 Close-out Plan

Six months prior to the completion date of the agreement, the applicant will submit a close-out plan for AOR approval. The close-out plan will include, at a minimum, an illustrative property disposition plan, a plan for the phase-out of in-country operations, a delivery schedule for all reports or other deliverables required under the cooperative agreement and a schedule for completing all required actions in the close out plan, including the submission date of the final property disposition plan to the Agreement Officer. A final project report will be due 60 days after project closeout.

C.2.5 Final Report

No later than 60 days after the completion date of the agreement, the Recipient must prepare a completion report and oral end-of project presentation which highlight accomplishments against work plans, gives the final status of the benchmarks and objectives, addresses lessons learned during implementation and suggests ways to resolve identified constraints. The report should provide recommendations for furthering sustainability and include details for the close out and transition plans. The Recipient shall submit an electronic version and an original hard copy of the final report to the AOR. One additional copy must be sent to the USAID Development Experience Clearinghouse.

C.3 Other

The Recipient should submit proposed travel; sub-awards or sub-contracts; scopes of work, costs and CVs for proposed short-term consultants to the AOR for review and approval. Short-term consultants' reports should be submitted to USAID in a mutually agreed-upon format. In addition, the Recipient shall immediately notify the AOR and the Agreement Officer in writing in the event that circumstances arise that have or may have an adverse impact on timely performance of the agreement or the occurrence of unanticipated costs under the agreement. This provision is applicable to all sub-recipients as well as to the prime recipient.

C.4 Branding Strategy and Marking Plan

It is a Federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be appropriately marked with the USAID identity.

Under 22 CFR 226.91, USAID requires the submission of a Branding Strategy and a Marking Plan by the *apparently successful applicant*. The apparently successful applicant's proposed Branding Strategy and a Marking Plan must be consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in the Standard Provisions for Non-U.S. Nongovernmental Organizations and ADS 320. The Agreement Officer will evaluate the proposed Branding Strategy and a Marking Plan including any requests for exceptions. Failure to submit or negotiate a Branding Strategy and Marking Plan will make the apparent successful applicant ineligible for award.

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22CFR 226.91.

Under the regulation, USAID requires the submission of a Branding Strategy and Marking Plan. The applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the plans, consistent with the provisions "Branding Strategy," and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 22 CFR 226.91.

Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see 22 CFR 226.91(j).

C.5 TraiNet Requirements

To comply with the Department of Homeland Security, U.S. Citizenship and Immigration Services (USCIS), Department of State, and USAID regulations regarding tracking and monitoring of Exchange Visitors, foreign nationals whose costs are paid, fully or partially, directly or indirectly using USAID program funds for training, non-training, and invitational travel, must enter the U.S. on a J-1 visa (non-immigrant Exchange Visitor visa) processed under one of USAID’s two program numbers, unless otherwise waived according to the procedure in ADS 252.3.

USAID expects that all DS-2019 documents (paperwork needed for J visas) and in-country or third country training be processed through the USAID Training, Results and Information Network (TraiNet) system. For more information about TraiNet, go to <http://trainethelp.usaid.gov>.

END OF SECTION VI

SECTION VII – AGENCY CONTACTS

The point of contact for this funding opportunity and also the Agreement Officer for the resultant award is:

Dennis Fuentes
Agreement Officer
USAID/South Sudan
4420 Juba Place
Washington D.C. 20521-4420
Email: dfuentes@usaid.gov
Tel: +1.202.216.6279

Only the Agreement Officer is authorized to make commitment on behalf of USAID.

Questions and Answers: All questions regarding this RFA shall be submitted in via e-mail to: 5SSouthSudan@usaid.gov

Questions regarding this RFA should be submitted no later than Friday, February 22, 2013 at 5.00 p.m. Local Time, Juba, South Sudan and to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this funding opportunity. Verbal explanations or instructions given before award will not be binding. Any information given to a prospective Applicant concerning this RFA will be furnished promptly to all other prospective Applicants as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

END OF SECTION VII

SECTION VIII – ANNEXES

Annex A	Models for Delivery of Protection and Well-Being Components
Annex B	Proposed DFID and EU Education Programs
Annex C	Evidence Base
Annex D	Standard Form 424 series SF-424, Application for Federal Assistance SF-424A, Budget Information – Non-construction Programs SF-424B, Assurances – Non-construction Programs
Annex E	Object Class Category
Annex F	Certifications, Assurances, and other statements of the Recipient and solicitation standard Provisions
Annex G	Local Compensation position description guidelines general grade level guides
Annex H	Past Performance Questionnaire

ANNEX A – MODELS FOR DELIVERY OF PROTECTION AND WELL-BEING COMPONENTS

The Inter-Agency Standing Committee (IASC) *Guidelines on Mental Health and Psychosocial Support in Emergency Settings* indicate that a learning space can lack many concrete structural elements, however without a meaningful teaching, and learning environment, the core elements of the personal growth process would be lacking. Through the provision of a well-organized, child-centered program offered through caring teachers, trauma can be minimized. A range of models and analysis tools exist to introduce training on psychosocial well-being some notable ones include:

- Norwegian Refugee Council's Psychosocial Support Teacher Training;²¹
- International Rescue Committee's Psychosocial Teacher Training Guide²² and Healing Classrooms modules²³;
- Save the Children's Child Friendly Spaces in Emergencies manual²⁴ and Education and Fragility Barometer
- War Child's approach to safe learning spaces and the I DEAL model focused on life skills;
- UNICEF's Psychosocial Care and Protection of Children in Emergencies Teacher Training Manual;²⁵

Excerpted from *South Sudan Minimum Standards for Education in Emergencies*

Standard 2: Protection and Well-being

INEE Minimum Standard: Learning environments are secure and safe, and promote the protection and the psychosocial well-being of learners, teachers and other education personnel.

In South Sudan, what should this look like?

- In South Sudan, learning environments that are secure and safe means the education space is cleared of anything that could cause harm... The location of the temporary learning space should be selected on the basis of physical safety, taking into consideration adequate distance between armed forces or crossfire locations, safety from natural disasters (floods, landslides, brush fires, etc). The area should have a water point within 500 meters, gender-specific latrines within 50 meters (one latrine for every 60 boys and one latrine for every 30 girls) and hand-washing facilities. The temporary learning space and fence should be constructed with local materials, such as grass and poles, and should provide shelter from rain, wind and dust. The temporary learning space should have well-ventilated windows and be accessible to children and youth with disabilities. Emergency tents can be too hot and are not sufficiently durable for emergency duration, but can be used as an immediate temporary solution if community members are informed of these drawbacks. Where there are no spaces immediately following an emergency, education actors can explore the possibility of sharing child-friendly facilities ... using a shift system.
- In South Sudan, learning environments that protect means that education is not only a safe space in a context of crisis, but education proactively protects children and youth by ensuring teachers are responsible through the South Sudan Teachers' Code of Conduct for Emergency Situations for behaving in a professional manner, protecting children and youth from corporal punishment, abuse and harassment, and providing psychosocial support to learners. The Parent Teacher Association should be involved in the selection of a site for the temporary learning space, its design, and establishment of a school code of conduct and monitoring its implementation.

²¹ http://toolkit.ineesite.org/toolkit/INEEcms/uploads/1126/Teacher_Training_Psychosocial_Support.pdf

²² http://toolkit.ineesite.org/toolkit/INEEcms/uploads/1127/IRC_Psychosocial_Teacher_Training_Guide.pdf

²³ <http://www.healingclassrooms.com/>

²⁴ <http://resourcecentre.savethechildren.se/content/library/documents/child-friendly-spaces-emergencies-handbook-save-children-staff>

²⁵ http://toolkit.ineesite.org/toolkit/INEEcms/uploads/1064/Psychosocial_Care_and_Protection.PDF

- In South Sudan, learning environments that promote psychosocial well-being means that teachers and other education personnel provide psychosocial services (activities that support psychological development through social interaction such as games, sports, recreational activities and discussion) to learners. Teachers should be trained to recognize signs of physical and psychosocial stress among the other teachers, children and youth for referral to counseling, health, or social welfare services available. Beyond the classroom, education stakeholders should advocate against gender-based violence and ensure that learners know their rights and are supported in taking legal action when needed.
- In South Sudan, learner means any individual (see definition in Access and Learning Environment, Standard 1) child, youth or adult, regardless of age, ethnicity, language or nationality, who participates in education programs (formal and non-formal).
- In South Sudan, teacher means any adult recruited, selected, trained and employed (volunteer, compensated in kind or paid) by a temporary learning space or emergency-affected school to instruct the learners.
- In South Sudan, other education personnel means any adult, recruited, selected, trained and employed (volunteer, compensated in kind or paid) by a temporary learning space or emergency-affected school to administer the education program. Depending on the scale of the response strategy, this could include a head teacher, deputy head teacher, Payam Education Supervisor, Deputy Payam Education Supervisor, Alternative Education System Supervisor, Girl Child Education Supervisor, County Education Director, Deputy County Education Director, Alternative Education System Inspector, Girl Child Education Coordinator, Basic Primary Education Supervisor or Examination Secretary.

ANNEX B – PROPOSED DFID AND EU EDUCATION PROGRAMS: SUMMARY DESCRIPTIONS

PROPOSED DFID GIRLS EDUCATION FOR SOUTH SUDAN (GESS) PROGRAM

Summary

UK will provide £60 million (\$96.2 million) over 6 years to transform through education a generation of girls in South Sudan in all 10 states. UK support will provide incentives to households to offset the cost of keeping girls in school and cash grants to schools for improving learning environment that will impact on the quality of learning for both girls and boys. UK support will also create an enabling environment for girls' education by extensive community engagement and delivering behaviour change communication.

Expected Results

- 150,000 individual girls in primary and 50,000 in secondary directly supported by the programme
- 240,000 individual girls benefit from programme's broader package of support
- 300,000 boys also benefit from programme's broader package of support to schools
- 1,000,000 girls in households reached through behaviour change communication to families, communities and leaders
- 2,600 schools benefitting from capitation grants
- Learning outcomes improved, drop-out rate and repetition rates decreased in all 10 states

Main Outputs/ Activities

1. Enhanced household and community awareness and empowerment for supporting girls' education
 - Change communication campaign targeting girls, families, communities and their leaders (radio-based)
 - Community mobilisation activities (clubs, PTAs, advocacy networks)
2. Effective partnerships between GoSS and local organisations to deliver a community-based school improvement programme
 - Cash transfers to girls/families to support direct/indirect costs of their education – conditional on enrolment then adequate attendance track record
 - Practical support to education managers and teachers to improve quality – training, peer support, mentor training, supplementary materials e.g. to enhance literacy teaching, improved inspection procedures, demand by PTAs and community action groups for higher quality education
 - Capitation grants to schools with female students based on enrolment of both boys and girls , but with a higher unit amount for female students. Criteria for usage can include school maintenance, running costs, incremental construction, learning materials, hiring of supplementary teachers etc.
 - Community –based construction in 10 pilot schools, one in each state
3. Increased knowledge and evidence of what works to promote girls' education in South Sudan
 - Establishment of information base for what works in supporting girls' education in South Sudan
 - Links to monitoring and evaluation of programme to feed back into revised design where needed
 - Development and rapid implementation of a system for monitoring student and teacher attendance

PROPOSED EU IMPROVED MANAGEMENT OF EDUCATION DELIVERY (IMED) PROGRAM

Summary Overview

The European Union is in the process of designing and negotiating a three-year program, estimated at €11.5 million (\$15 million), anticipated to commence February 2013. The objective of the three-year Improved Management of Education Delivery (IMED) program is to strengthen education service delivery and the purpose is to manage education delivery

more effectively and efficiently through strengthening capacities and increasing access to education, mainly at state and county levels. This program can be considered a pilot initiative to take place in four states (Northern Bahr el Ghazal, Western Bahr el Ghazal, Lakes and Warrap). IMED will enhance capacity of the Central Ministry of Education and four State Ministries of Education in planning, management and monitoring of education plans, programs and resources by enhancing the competencies of staff, establishing procedures and systems and upgrading facilities needed to perform targeted institutional functions. To ensure management information is available the Education Management Information Systems (EMIS) will be strengthened in the targeted states. To ensure utilisation of acquired skills, funds will be provided for counties to develop school projects addressing school needs based on EMIS information: this component will focus on strengthening school community linkages and partnerships.

ANNEX C – EVIDENCE BASE

- Conflict harms children not just physically, but socially and emotionally as well. The cognitive development of children suffers during war because skills such as literacy, numeracy and critical thinking are delayed²⁶. An interacting **relationship exists between education and conflict**. Education can be transformative, promote stabilization and peace²⁷. Furthermore, teachers and curriculum can be important drivers of change, especially considering broader processes of state-building²⁸.
- Uninterrupted **access to a quality education is a right** even in and after conflict. In the midst of conflict it can provide space, knowledge and skills that provide **social-emotional, physical and cognitive protection**²⁹, while in the longer term, it can provide values and attitudes that offer a basis for transforming conflict itself³⁰. Creating a **safe and predictable** learning environment is a critical step in ensuring learners right to and access to education in conflict-affected environments³¹.
- Research demonstrates that school-based psychosocial interventions can result in improvements that could impact on educational outcomes indirectly, through **reduced anxiety**, a sense of **structure and meaning in the individual's life**, improved **self-esteem** and improved relationships with teachers. At the heart of these approaches is the **reestablishment of trust**, which in many cases can only be imparted through changed adult behaviors as imparted through teachers.
- Education involves processes of **socialization and identity formation**, which are vital for economic growth and individual and national advancement and can act as an important vehicle for social cohesion³².
- Strengths and **benefits of community based education** programs include: tend to be more cost-effective than public schools, they provide access to education in underserved communities and challenging contexts, encourage local ownership and they often provide a more culturally-sensitive model for school management and curriculum development³³. In post-conflict settings it is critical to include a longer-term vision on the role that community-based education plays in re-building or building the education sector and how effective approaches can be institutionalized with clear roles of community and government mapped out³⁴. Effective ways to create an **enabling environment for girls' education** is to ensure strong community involvement in local school management. When the key decisions are made by distant entities, teachers feel less accountable to the community. That very **accountability is the best guarantee of proper teacher conduct**.

Consultations with an array of stakeholders in South Sudan to assess opportunities, challenges and gaps, yielded the following results.

In terms of strengths:

- *Community-based efforts to improve attendance*: targeting communities to monitor and encourage increased access to education is an effective approach especially during conflict, although these approaches need to be strengthened and standardized
- *Non-formal complementary education* initiatives have been effective in increasing access to some of the most underserved groups, such as girls, pastoralists and out-of-school youth. In 2009 alternative education accounted for 16% of primary school enrollments, in that same year enrollments more than doubled from the previous

²⁶ Machel, G., *The Impact of Armed Conflict on Children*, United Nations, 1996

²⁷ Bush & Saltarelli, *The Two Faces of Education in Ethnic Conflict: Towards a Peacebuilding Education for Children*, UNICEF, 2002

²⁸ Rose & Greeley, *Education in Fragile States: Capturing Lessons Learned and Identifying Good Practice*, Centre for International Education, Prepared for the DAC Fragile States Group Service Delivery Workstream Sub-Team for Education Services, 2006

²⁹ Nicolai & Triplehorn, *The Role of Education in Protecting Children in Conflict*, ODI, 2003

³⁰ Novelli & Smith, *The Role of Education in Peacebuilding: A synthesis report of findings from Lebanon, Nepal and Sierra Leone* [Research Study], 2012

³¹ Sinclair, Margaret, *Education in Emergencies*, Commonwealth Education Partnerships, 2007 and Bethancourt, T., *Building an evidence base on mental health interventions for children affected by armed conflict*, PMC, 2009

³² Ibid

³³ DeStefano, J. et. AL., (2007, December). *Reaching the Underserved: Complementary Models of Effective Schooling*. USAID. EQUIP2, 2006

³⁴ Burde, D., *Weak State, Strong Community? Promoting Community Participation in Post-Conflict Countries*, Current Issues in Comparative Education, 6, 2, 73-87, 2004

year.³⁵ Examples include: radio, accelerated learning programs, pastoralist education program, and community girls schools

- *Education data for improved decision making:* the high value of the Education Management Information System (EMIS) to serve as a turn-key for services, and the success of the payroll system for teachers and education in emergencies vulnerability mapping by state and county
- *Effective approaches exist for addressing safe school environments*
- *Context specific standards:* The development of context-specific Minimum Standards for Education in Emergencies and the Psychosocial Support Package through the Education Cluster
- *Technical expertise at the state level:* through USAID's Technical Assistance Program (TAP) education technical experts provided high quality mentoring and coaching to state level education authorities

In terms of gaps there is a need for:

- *Structure for state and county education authorities to support active community support for education*
- *Comprehensive strategy to get children and youth into school* that takes into account limited infrastructure and resources
- *Reliable school level data:* lack of data and analysis around out-of-school children and youth, which highlights a need for mapping of school locations inclusive of key school-related data, and characteristics of out-of-school youth inclusive of barriers to education
- *An approach to enhance social and emotional well-being:* a coordinated and standardized approach to enhancing the well-being of learners and teachers through supplementary training and materials based on assessment of learners social and emotional needs.

³⁵ World Bank, *South Sudan Education Status Report*, 2011

ANNEX D

STANDARD FORM 424 SERIES

Application for Federal Assistance SF-424

*1. Type of Submission: ☐ Preapplication ☐ Application ☐ Changed/Corrected Application		*2. Type of Application: ☐ New ☐ Continuation ☐ Revision		*If Revision, select appropriate letter(s): *Other (Specify) 	
*3. Date Received: 		4. Applicant Identifier: 			
5a. Federal Entity Identifier 			*5b. Federal Award Identifier: 		
State Use Only:					
6. Date Received by State: 		7. State Application Identifier: 			
8. APPLICANT INFORMATION					
*a. Legal Name: 					
*b. Employer/Taxpayer Identification Number (EIN/TIN): 			*c. Organization DUNS: 		
d. Address					
*Street1: 					
Street2: 					
*City: 					
County/Parish: 					
*State: 					
Province: 					
*Country: 					
*Zip/Postal Code: 					
e. Organizational Unit					
Department Name: 			Division Name: 		
f. Name and contact information of person to be contacted on matters involving this application:					
Prefix: 		*First Name: 			
Middle Name: 					
*Last Name: 					
Suffix: 					
Title: 					
Organizational Affiliation: 					

*Telephone Number:

Fax Number:

*Email:

Application for Federal Assistance SF-424**9. Type of Applicant 1: Select Applicant Type:**

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify)

10. Name of Federal Agency:**11. Catalog of Federal Domestic Assistance Number**

CFDA Title:

***12. Funding Opportunity Number:**

*Title:

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

15. Descriptive Title of Applicant's Project:

Attach supporting documents as specified in agency instructions.

Application for Federal Assistance SF-424**16. Congressional Districts Of:*****a. Applicant****b. Program/Project**

Attach an additional list of Program/Project Congressional Districts if needed:

17. Proposed Project:***a. Start Date:****b. End Date:****18. Estimated Funding(\$):*****a. Federal*****b. Applicant*****c. State*****d. Local*****e. Other*****f. Program Income*****g. TOTAL***** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐

a. This application was made available to the State under the Executive Order 12372 Process for review on

☐

b. Program is subject to E.O. 12372 but has not been selected by the State for review.

☐

c. Program is not covered by E.O. 12372.

***20. Is the Applicant Delinquent on Any Federal Debt? (If "Yes", provide explanation in attachment.)**☐

Yes

☐

No

If "Yes", provide explanation and attach.

21. *By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties (U.S. Code, Title 218, Section 1001)**

☐**** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

a. Authorized Representative

Prefix:

*First Name:

Middle Name:

Last Name:

Suffix:			
*Title:			
*Telephone Number:		Fax Number:	
*Email:			
*Signature of Authorized Representative:		Date Signed:	

Application for Federal Assistance SF-424

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

INSTRUCTIONS FOR THE SF-424

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

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

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

Item	Entry:	Item	Entry:
1.	Type of Submission: (Required): Select one type of submission in accordance with agency instructions. • Preapplication • Application • Changed/Corrected Application – If requested by the agency, check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this to submit changes after the closing date.	10.	Name Of Federal Agency: (Required) Enter the name of the Federal agency from which assistance is being requested with this application.
2.	Type of Application: (Required) Select one type of application in accordance with agency instructions. • New – An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. If "Other" is selected, please specify in text box provided. A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration E. Other (specify)	11.	Catalog Of Federal Domestic Assistance Number/Title: Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable.
3.	Date Received: Leave this field blank. This date will be assigned by the Federal agency.	12.	Funding Opportunity Number/Title: (Required) Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested, as found in the program announcement.
4.	Applicant Identifier: Enter the entity identifier assigned by the Federal agency, if any, or applicant's control number, if applicable.	13.	Competition Identification Number/Title: Enter the Competition Identification Number and title of the competition under which assistance is requested, if applicable.
5a.	Federal Entity Identifier: Enter the number assigned to your organization by the Federal Agency, if any.	14.	Areas Affected By Project: List the areas or entities using the categories (e.g., cities, counties, states, etc.) specified in agency instructions. Use the continuation sheet to enter additional areas, if needed.
5b.	Federal Award Identifier: For new applications leave blank. For a continuation or revision to an existing award, enter the previously assigned Federal award identifier number. If a changed/corrected application, enter the Federal Identifier in accordance with agency instructions.	15.	Descriptive Title of Applicant's Project: (Required) Enter a brief descriptive title of the project. If appropriate, attach a map showing project location (e.g., construction or real property projects). For pre-applications, attach a summary description of the project.
6.	Date Received by State: Leave this field blank. This date will be assigned by the State, if applicable.	16.	Congressional Districts Of: (Required) 16a. Enter the applicant's Congressional District, and 16b. Enter all District(s) affected by the program or project. Enter in the format: 2 characters State Abbreviation – 3 characters District Number, e.g., CA-005 for California 5 th district, CA-012 for California 12 th district, NC-103 for North Carolina's 103 rd district. • If all congressional districts in a state are affected, enter "all" for the district number, e.g., MD-all for all congressional districts in Maryland. • If nationwide, i.e. all districts within all states are affected, enter US-all. • If the program/project is outside the US, enter 00-000.
7.	State Application Identifier: Leave this field blank. This identifier will be assigned by the State, if applicable.	17.	Proposed Project Start and End Dates: (Required) Enter the proposed start date and end date of the project.
8.	Applicant Information: Enter the following in accordance with agency instructions: a. Legal Name: (Required): Enter the legal name of applicant that will undertake the assistance activity. This is the name that the organization has registered with the Central Contractor Registry. Information on registering with CCR may be obtained by visiting the Grants.gov website. b. Employer/Taxpayer Number (EIN/TIN): (Required): Enter the Employer or Taxpayer Identification Number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.	18.	Estimated Funding: (Required) Enter the amount requested or to be contributed during the first funding/budget period by

	c. Organizational DUNS: (Required) Enter the organization's DUNS or DUNS+4 number received from Dun and Bradstreet. Information on obtaining a DUNS number may be obtained by visiting the Grants.gov website. d. Address: Enter the complete address as follows: Street address (Line 1 required), City (Required), County, State (Required, if country is US), Province, Country (Required), Zip/Postal Code (Required, if country is US). e. Organizational Unit: Enter the name of the primary organizational unit (and department or division, if applicable) that will undertake the assistance activity, if applicable. f. Name and contact information of person to be contacted on matters involving this application: Enter the name (First and last name required), organizational affiliation (if affiliated with an organization other than the applicant organization), telephone number (Required), fax number, and email address (Required) of the person to contact on matters related to this application.		each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. 19. Is Application Subject to Review by State Under Executive Order 12372 Process? Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "a." is selected, enter the date the application was submitted to the State 20. Is the Applicant Delinquent on any Federal Debt? (Required) Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes. If yes, include an explanation on the continuation sheet.		
9.	Type of Applicant: (Required) Select up to three applicant type(s) in accordance with agency instructions. <table border="0"> <tr> <td data-bbox="105 798 462 1339"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority </td> <td data-bbox="462 798 820 1339"> M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify) </td> </tr> </table>	A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)	21.	Authorized Representative: (Required) To be signed and dated by the authorized representative of the applicant organization. Enter the name (First and last name required) title (Required), telephone number (Required), fax number, and email address (Required) of the person authorized to sign for the applicant. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing Authority	M. Nonprofit with 501C3 IRS Status (Other than Institution of Higher Education) N. Nonprofit without 501C3 IRS Status (Other than Institution of Higher Education) O. Private Institution of Higher Education P. Individual Q. For-Profit Organization (Other than Small Business) R. Small Business S. Hispanic-serving Institution T. Historically Black Colleges and Universities (HBCUs) U. Tribally Controlled Colleges and Universities (TCCUs) V. Alaska Native and Native Hawaiian Serving Institutions W. Non-domestic (non-US) Entity X. Other (specify)				

BUDGET INFORMATION - Non-Construction

OMB Approval No. 0348-0044

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (a)	Total (g)
1.		\$	\$	\$	\$	00.0
2.						00.0
3.						00.0
4.						00.0
5. Totals		\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	00.0
b. Fringe Benefits					00.0
c. Travel					00.0
d. Equipment					00.0
e. Supplies					00.0
f. Contractual					00.0
g. Construction					00.0
h. Other					00.0
i. Total Direct Charges (sum of 6a-6h)	00.0	00.0	00.0	00.0	00.0

j. Indirect Charges					00.0
k. TOTALS (<i>sum of 6i and 6j</i>)	\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0
7. Program Income	\$	\$	\$	\$	\$ 00.0

Previous Edition Usable

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Standard Form 424A (Rev. 7-97)

Prescribed by OMB Circular A-102

SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8.		\$	\$	\$	\$ 00.0	
9.					00.0	
10.					00.0	
11.					00.0	
12. TOTAL (sum of lines 8-11)		\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0	
SECTION D - FORECASTED CASH NEEDS						
13. Federal		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
		\$ 00.0	\$	\$	\$	\$
14. Non-Federal		00.0				
15. TOTAL (sum of lines 13 and 14)		\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
(a) Grant Program		FUTURE FUNDING PERIODS (Years)				
		(b) First	(c) Second	(d) Third	(e) Fourth	
16.		\$	\$	\$	\$	
17.						
18.						
19.						
20. TOTAL (sum of lines 16-19)		\$ 00.0	\$ 00.0	\$ 00.0	\$ 00.0	
SECTION F - OTHER BUDGET INFORMATION						

21.. Indirect Charges:	22. Indirect Charges:
23. Remarks:	

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INSTRUCTIONS FOR THE SF-424A

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

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

General Instructions

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

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

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the Catalog program title and the Catalog number in Column (b).

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

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

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

For new applications, leave Column (c) and (d) blank. For each

line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

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

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

Line 5 - Show the totals for all columns used.

Section B Budget Categories

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

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

Line 6j - Show the amount of indirect cost.

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

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount, Show under the program

INSTRUCTIONS FOR THE SF-424A (continued)

Narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

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

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

Column (b) - Enter the contribution to be made by the applicant.

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

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

Column (e) - Enter totals of Columns (b), (c), and (d).

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
1. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
2. Will comply, as applicable, with the provisions of the Hatch

Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §§276c and 18 U.S.C. §§874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

ANNEX E – OBJECT CLASS CATEGORY

The following object class categories are those required on USAID Form 424A, Section B - Budget Categories

a. Personnel

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. Fringe Benefits

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. Travel

This category includes all projected travel, per diem and other related costs for personnel except consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. Equipment

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID website at <http://www.usaid.gov/policy/ads/300/312.pdf>

e. Supplies

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID website at <http://www.usaid.gov/policy/ads/300/312.pdf>.

f. Contractual Services

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-s, which should be included in other.

g. **Construction**

Applicants should include all labor and material and supplies for construction projects.

h. **Other**

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID website <http://www.usaid.gov/policy/ads/200/253.pdf>

The applicant should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

i. **Indirect Charges**

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

Standard Form 424A, Section C should reflect the Applicant's and other sources' cash and in-kind contributions to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include host country sources. The cash value of donated equipment or supplies must be documented, etc.

Applicants are required to summarize cost data using development-focused budgeting (DFB) – (see Annex D) in cost applications submitted in response to this solicitation. DFB is a customer-based, performance-driven, results-oriented budget system underpinned by outcome management. Outcome management is a management approach that focuses on the development results achieved by providing a service. DFB involves summarizing cost data corresponding to development results/outcomes. Cost data must be summarized into DFB categories. If an input serves multiple development results, the applicant must allocate the input across the corresponding results and provide a rationale in the budget narrative for the method used for each allocated input.

ANNEX F - PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT AND SOLICITATION STANDARD PROVISIONS

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

PART I – CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

2. Certification Regarding Lobbying

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

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

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

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

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

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

3. For purposes of this Certification -

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

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

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

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

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

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

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

5. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above. These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Request for Application or

Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

PART III – PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV – SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All Requests 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:

The form can be downloaded from the following web site <http://transition.usaid.gov/forms/surveyeo.doc>



surveyeo.doc

Electronic version is uploaded as a separate Microsoft Office Word file in <http://www.grants.gov>

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.

3. 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.

4. Estimated Costs of Communications Products

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

PART VI – STANDARD PROVISIONS FOR SOLICITATIONS

1. BRANDING STRATEGY - ASSISTANCE (JUNE 2012)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) Describe the main program message.

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

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

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

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

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

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

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

(END OF PROVISION)

2. MARKING PLAN – ASSISTANCE (JUNE 2012)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(v) The rationale for not marking program deliverables.

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

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

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

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

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

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

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

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

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

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

(END OF PROVISION)

3. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) the total Federal funding authorized to date under this award is \$25,000 or more;

(ii) in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

(1) subawards, and

(2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

(i) Receives a subaward from you (the recipient) under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not taxqualified.

(vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

4. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, “Audits of States, Local Governments, and Non-Profit Organizations”).

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM #1 (FEBRUARY 2012)

Effective February 13, 2012, and pursuant to a USAID impracticality determination under 2 CFR 25.110(d)(2)(ii), this provision does not apply to grants and cooperative agreements with a total value of less than \$25,000 awarded to foreign entities performing work outside the United States. In addition, subparagraph b. of this provision, requiring DUNS numbers for subawards, does not apply to subawards of less than \$25,000 made to foreign subrecipients performing work outside the United States.

[END OF PROVISION]

USAID reserves the right to fund any or none of the applications submitted. Although it is planned to make an award of one Cooperative Agreement under this RFA, USAID/South Sudan in its discretion may make awards to more than one organization or make no award under this RFA.

ANNEX G - LOCAL COMPENSATION POSITION DESCRIPTION GUIDELINES GENERAL GRADE LEVEL GUIDES

The General Grade Level Guides presented on the following pages have been prepared as guidance in determining the grade levels of positions for which no classification standards exist. The Guides should be used in classifying such positions in conjunction with standards for other positions considered to have characteristics in common with the position to be classified. For example, in classifying an administrative assistance or administrative specialist position, it would be logical to examine standards for positions within the administrative area, e.g., budget and fiscal, procurement, supply, etc. In classifying professional positions, it would be logical to examine standards for professional positions. The Guides define the level of work appropriate to each grade, indicate the language, education, and experience desired or required of incumbents of positions at that grade, and indicate the occupations for which standards have been prepared at each grade. The current Maximum LCP annual salary limit is South Sudanese Pounds 329,527.36 equivalent to USD 111,703.19 per year.

FSN-1

This is the entrance level for routine, unskilled types of work. It includes the most routine custodial and manual positions found at this level. Most positions require no more than Level 1 English ability (rudimentary knowledge). Classification standards depicting the FSN-1 level has been prepared for: Janitor/Janitress; Laborer; Watchman etc.

FSN-2

This level includes positions the duties of which are to perform entrance level trade or craft tasks, manual positions involving routine maintenance of vehicular equipment, operation of simple, low pressure heating plant equipment, and entrance level clerical positions performing simple filing, record keeping, and mail sorting. Up to six months of experience is desirable. Most non-clerical positions require little formal education and no more than Level 1 English ability (rudimentary knowledge). Some secondary school education is desirable for the clerical positions. Level 2 English ability (limited knowledge) is sufficient for most clerical positions at this grade. Classification standards depicting the FSN-2 level have been prepared for: Duplicating Equipment Operator; Gardener; Guard; Heating Plant Operator; Janitor Supervisor; Trades Helper; Warehouseman, etc.

FSN-3

This level is characterized by the performance of semi-skilled trades and crafts duties and routine clerical duties. It is the intermediate level (between the entrance level and full performance or skilled journeyman level) for trade and craft positions. In addition to semi-skilled trade and craft positions, other manual positions involve operation of the simpler utilities equipment and driving an automobile as a motor pool chauffeur. Clerical positions involve routine clerical duties such as records maintenance, working at a telephone switchboard, and/or typing a variety of narrative and tabular material. Elementary school education is desirable for manual positions and secondary school education is desirable for clerical positions. Manual positions require Level 1 (rudimentary knowledge) to Level 2 (limited knowledge) English ability and clerical positions require Level 2 to Level 3 (good working knowledge) English ability. Up to one year of experience is required for both manual and clerical positions at this level. Classification standards depicting the FSN-3 level have been prepared for: Chauffeur; Operator; Guard; Mail Clerk; Maintenance Man; Power Plant Operator; Sewage Disposal Plant, etc.

FSN-4

This is the full performance or skilled journeyman level for trade and craft positions. Employees at this level must be able to perform the full scope of their positions with a minimum of supervisory guidance. Clerical positions require familiarity with office practices and procedures and the ability to follow through in order to obtain the required results. They also must exercise judgment and apply pertinent regulations. Completion of secondary school, one to one and one-half years of experience, and Level 3 (good working knowledge) of English is required for clerical positions at this level.

Trade and craft positions require completion of an apprenticeship, vocational training, or experience recognized as producing journeyman level skills and one to one and one-half years of experience at the journeyman level. Level 1 English ability (rudimentary knowledge) is sufficient for most manual jobs, although a few positions may require a Level 2 (limited knowledge) English ability. Completion of elementary school is required. Classification standards depicting the FSN-4 level have been prepared for: Automotive Mechanic; Automotive Mechanic (Body & Fender); Boiler Operator; Clerk; Chauffeur; Dispatcher; Distribution Clerk; Federal Benefits Clerk; Furniture Repairman; Guard; Guard/Receptionist; Locksmith; Machinist; Mail Clerk; Maintenance Man; Mechanic (Building Trades); Office Machine Repairman; Offset Press Operator; Power Plant Operator; Receptionist; Supply Clerk, etc.

FSN-5

Clerical positions at this level involve the performance of responsible work requiring the exercise of judgment, knowledge of a specialized subject matter and the regulations pertaining thereto. Journeyman level clerical positions in various program areas are at this level. Manual positions are working supervisors of three to six skilled and semiskilled employees in trade and craft positions. Manual positions require some secondary school education, plus an apprenticeship, vocational training or experience recognized as providing journeyman level skills, and one and one-half years of journeyman and six months of supervisory experience. Level 2 English ability (limited knowledge) is sufficient for most manual positions, but a few require Level 3. Level 3 English ability (good working knowledge), and one and one-half to two years of experience is required for most clerical positions. Classification standards depicting the FSN-5 level has been prepared for: Clerk; Guard Supervisor; Secretary; Supply Clerk; Utilities Foreman; Customs Expeditior etc.

FSN-6

This is the senior or top clerical level involving the performance of the most difficult clerical work requiring the exercise of judgment, knowledge of a specialized subject matter, and the application of extensive rules and regulations. Included also in this class are supervisors of clerical positions and secretaries to American officials performing major functions. Manual positions are supervisors of established units of from eight to fifteen skilled and semi-skilled employees, and have continuing management responsibility for the efficient use of equipment, materials, and manpower. Manual positions require some secondary school education, plus vocational training, an apprenticeship or experience recognized as producing journeyman level skills and one and one-half years of journeyman level skills and supervisory experience. Level 2 English ability (limited knowledge) is required for most manual positions but a few require Level 3. Clerical positions require completion of secondary school, two to two and one-half years of experience, and Level 3 English ability (good working knowledge). Classification standards depicting the FSN-6 level have been prepared for: Expeditior etc.

FSN-7

This level includes junior assistant positions in administrative, technical, and program areas including AID, USIS, FCS, FAS, and other associated agency program areas. Such positions require a good general knowledge and application of the policies and procedures, rules and regulations of a particular subject matter area, or substantive knowledge of that area, and work under general instructions with work reviewed for accuracy of results. This level also includes supervisors of clerical functions of substantial size, and employees in charge of the maintenance function at small posts. The secretary to the ranking official of a large consulate or associated agency mission is also placed in this level when the official has no American secretary. In addition to completion of secondary school, some additional technical or collegiate education is desirable. From one to three years of experience, and Level 3 English ability (good working knowledge) are required. Classification standards depicting the FSN-7 level have been prepared for: Cashier; Purchasing Agent; Shipment Assistant; Travel Assistant; C&R Supervisor, etc.

FSN-8

This is the fully qualified level for assistant positions in administrative, technical, and program areas including AID, USIS, and other associated agency program areas. The difficulty of the work performed requires considerable experience and training and a thorough knowledge of policies, procedures, rules and regulations, and/or extensive subject matter knowledge in a particular field. Employees are expected to resolve most problems and execute assignments with supervision limited primarily to the review of end product results. The secretary to the ranking officer of a very large consulate or associated agency mission is also placed in this level when the official has not American secretary. These positions require completion of secondary school, and some collegiate or technical training is desirable. Two to four years of experience is necessary. Level 3 English ability (good working knowledge) is required. Classification standards depicting the FSN-8 level have been prepared for: Personnel Assistant; Procurement Administrative Assistant; Procurement Agent; Program Assistant, Supply Supervisor, etc.

FSN-9

This is the senior assistant level for technical and administrative management positions. No supervisory technical positions at this level involve fact finding, research, analysis, and interpretation of factual data in the field of the employee's expertise. Administrative management positions are supervisory and typically involve management of a function and personal performance of the most difficult work of the function, including evaluation of complex facts and the interpretation of laws, regulations, and instructions in their application to specific situations. Incumbents of positions at this level are expected to complete assignments with a minimum of supervision. These positions require completion of secondary school, and some collegiate or technical education is desirable. Three to five years of progressively responsible experience is required. Many positions at this level require Level 4 English ability (fluent). Classification standards depicting the FSN-9 level has been prepared for: Procurement Agent; Shipment Supervisor, etc.

FSN-10

This is the lowest of three levels of professional or specialist positions. Incumbents of positions at this level personally perform, and in some cases supervise other employees engaged in, a major segment of a professional, technical or program area, including AID, USIS, FCS, FAS, and other associated agency program areas. Incumbents of such positions must understand and apply a highly technical body of knowledge usually obtained through collegiate study, as well as applicable laws and agency regulations and instructions. This level also includes supervisory positions in the administrative management area with equivalent requirements. Incumbents of positions at this level are expected to perform difficult duties with a minimum of supervision. A collegiate education with the equivalent of an A.B. or B.S. degree is required, with only rare exceptions. Four to six years of progressively responsible experience in the professional, technical, or administrative management area is required. Level 4 English ability (fluent) is usually required. Classification standards depicting the FSN-10 level have been prepared for: Personnel Specialist; Accountants; Program Specialist, etc.

FSN-11

This is the middle of three levels of professional or specialist positions; however, it is the highest level usually attainable in a professional, technical, program, or administrative management area, even in a large overseas establishment. Under the direction of an American official, but with wide latitude for planning, organizing, and executing assigned responsibilities, supervises the accomplishment of or personally performs the most difficult and complex work involved in a professional, technical, or program area, including AID, USIS, FCS, AID, and other associated agency program areas. Incumbents of such positions must understand and apply a highly technical body of knowledge usually obtained through collegiate study, as well as applicable laws and agency regulations and instructions. This level also includes supervisory positions in the administrative management area with equivalent requirements. Guidance received from the American supervisory official is almost wholly related to policy, program objectives, and priorities. Within such guidelines,

incumbents of positions at this level plan and undertake important projects and carry them to completion without significant supervision. Demands are heavy on initiative, resourcefulness, and sound judgment. Typically, incumbents of positions at this level have important contacts with senior business, government, and community officials. A collegiate education with the equivalent of an A.B. or B.S. degree and from five to seven years of progressively responsible experience in the professional, technical, or administrative management area are required. Level 4 English ability (fluent) is usually required. Classification standards depicting the FSN-11 level have been prepared for: Acquisition & Assistance Specialist; Financial Analyst; General Services Specialist; Program Specialist, etc.

FSN-12

This is the highest of three levels of professional or specialist positions and the highest grade in the Interagency Foreign Service National Position Classification Plan. Relatively few overseas establishments will warrant an FSN-12 position; the establishment of more than one FSN-12 position within the same broad professional, technical, or program area, e.g., political, economic, cultural, information, etc., is seldom warranted. Positions at this level are those of highly qualified and recognized experts. Under the direction of an American official, they supervise or personally perform difficult and complex work involving the full scope of a professional, technical or program area, including AID, USIS, FCS, FAS and other associated agency program areas, in one of the most important country programs of its kind in the world. Incumbents of such positions apply a highly technical body of knowledge of applicable laws and agency regulations and instructions. These positions often call for originality of ideas and creative thinking in dealing with problems or matters for which there is little precedent, and usually require that the employee be able to inter-relate the pertinent subject matter with a broader spectrum, as would be the case in considering the impact of important political developments on domestic and international economic developments. Where the emphasis is on reporting covering a broad spectrum of complex subject matter and requiring the exercise of independent judgment in projecting future developments or trends. Substantial reliance is placed upon the employee's professional acumen and judgment, and his/her advice is sought on important and at times on extremely sensitive matters; in functional programs that involve comprehensive program planning, the employee participates actively in the planning process. Positions at this level are largely independent of technical supervision; guidance from American supervisors is primarily with regard to policy, priorities, results to be achieved, basic approaches to be followed, and in the case of positions involving reporting, the nature and basic content of reports. Employees at this level develop and maintain an extensive range of important contacts with senior level business and government officials and with community leaders for the purpose of obtaining or verifying information which is not otherwise available. Incumbents of these positions normally possess the equivalent of an A.B. or B.S. collegiate degree in a field of study closely related to their assigned responsibilities; in many instances, postgraduate education are needed. A minimum of six to eight years of progressively responsible experience in the area of their assignment is needed. Level 4 English ability (fluent) is usually required. Supervision over others is not normally a significant factor in justifying the classification of a position at the FSN-12 level. Classification Standards depicting the FSN- 12 level have been prepared for: Chief Accountant; Financial Analyst; Development Project Specialist; Information Management Specialist; Project Management Specialist etc.

ANNEX H - PAST PERFORMANCE QUESTIONNAIRE

REQUEST FOR APPLICATIONS No.: RFA-668-13-000001

Please fill out the following questionnaire as clearly and as objectively as possible.

The information you provide will be used for past performance purposes. Please send the filled out questionnaire directly to the United States Agency for International Development (USAID) in Juba, South Sudan by email at 5SSouthSudan@usaid.gov not later than March 28, 2013.

SECTION A: (To be filled by the applicant)

Applicant's Name: _____

Was the Applicant the Recipient or Subrecipient on the project: _____

Project Name: _____

Project Scope/Description: _____

Period of Performance: Dollar Value of Grant: _____

Name of Contact Person: Phone: _____

Date Contacted: Employer: _____

Contact's Role or Knowledge of the Project: _____

SECTION B: (To be filled by the contact person named in section A above)

1. Please comment on your satisfaction with the Quality of Work: _____

2. Please comment on the Timeliness of Work Performance: _____

3. Please comment on the quality of your Relations with the Prime during work performance: _____

4. Please comment on the Recipient's Ability to Control costs: _____

5. Please provide comments on Recipient's Key Personnel: _____

Other
comments: _____

Signature of the Referee: _____

END OF SECTION VIII