MODIFICATION OF ASSISTANCE

1. MODIFICATION NUMBER	2. EFFECTIVE DATE OF MODIFICATION	3. AWARD NUMBER:	4. EFFECTIVE DATE OF AWARD:
01	March 25 2013	RFA-617-13-000003	N/A

5. GRANTEE:

N/A

DUNS NO. : 14-5729117
TIN NO.: 04-2679824
LOC NO. :

6. ADMINISTERED BY:

ACQUISITION AND ASSISTANCE OFFICE
USAID/UGANDA
P.O. BOX 7856, KAMPALA
UGANDA

7. FISCAL DATA:

Amount Obligated:

Budget Fiscal Year:
Operating Unit:
Strategic Objective:
Team/Division:
Benefiting Geo Area:
Object Class:

N/A

8. TECHNICAL OFFICE:

USAID/Uganda, Democracy & Governance

9. PAYMENT OFFICE:

N/A

10. FUNDING SUMMARY:

	Obligated Amount	Total Est. Amt.
Amount Prior to this Modification:	N/A	N/A
Change Made by this Modification:		
New/Current Total:		

11. DESCRIPTION OF MODIFICATION:

The purpose of this modification is to make the following changes:

1. Extend the Closing Date for Application Submission from April 05 2013 to April 17 2013, on cover page and on page 26;
2. Revise various sections of the RFA
3. Post responses to questions
4. Issue an amended RFA

Accordingly this RFA is modified as follows:

[see continuation pages for details]

12. THIS MODIFICATION IS ENTERED INTO PURSUANT TO THE AUTHORITY OF Foreign Assistance Act of 1961 **AS AMENDED. EXCEPT AS SPECIFICALLY HEREIN AMENDED, ALL TERMS AND CONDITIONS OF THE GRANT REFERENCED IN BLOCK #3 ABOVE, AS IT MAY HAVE HERETOFORE BEEN AMENDED, REMAIN UNCHANGED AND IN FULL FORCE AND EFFECT.**

13. GRANTEE: ☐ IS ☒ IS NOT REQUIRED TO SIGN THIS DOCUMENT TO RECONFIRM ITS AGREEMENT WITH THE CHANGES EFFECTED HEREIN

14. GRANTEE:

BY: ______

______
(Name Typed or Printed)

TITLE: ______

DATE: ______

15. THE UNITED STATES OF AMERICA
U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

BY: Tracy J Miller

Tracy J. Miller
(Name Typed or Printed)

TITLE: AGREEMENT OFFICER

DATE: 25 March 2013

A. THE FOLLOWING ARE SPECIFIC CHANGES MADE TO THE RFA

Revision No. 01
Cover Page and page 26: Extend the closing date for submission of proposals from January 30, 2013 to February 8, 2013.

Revision No. 02
On page 17, Section I.5, Evaluation, delete the first sentence that reads "The grantee shall conduct a mid-term and end of project evaluation of the activity" and revise it to read as follows:

"The grantee shall conduct an independent external mid-term and an independent external end of project evaluation of the activity."

Revision No. 03
Section III – Eligibility Information, III.3. delete the first sentence in its entirety and revise to read as follows "There shall be a minimum cost share of 3% in all applications."

Revision No. 04
Section VI – Award Administration Information, 2. Program Reporting**,**

- Revise on page 38, 2. Quarterly Activity Reports, delete the last sentence in its entirety and revise to read as follows "The quarterly activity and financial reports are to be submitted within 30 days after the end of each fiscal quarter to the AOR at USAID/Uganda. Due dates for reports are January 30, April 30, July 30 and October 30."

- Revise on page 39, 3. Annual Report, delete the last sentence in its entirety and replace with "However, the annual performance reports must be received by USAID in draft no later than October 30 each year."

- On page 40, Synopsis of Reports/Plans, delete the table in its entirety and replace with the following. *(Specific changes are on Quarterly Activity Reports and Annual Reports)*

[THIS SPACE IS INTENTIONALLY LEFT BLANK]

SYPNOSIS OF REPORTS

TYPE of Document/Report	Due Date	Distribution
Annual Work Plans	First draft due within 90 days after award. Subsequent Annual Work Plans can be integrated with the Annual Report.	AOR
Mobilization Plan	Within 15 days of the award	AOR
Preliminary Needs Assessment	Submitted along with the first annual work-plan	AOR
Performance Monitoring Plan	Within 90 days after award	AOR, PPD, A&A
Gender, Youth and People with Disabilities (PWD) Strategy Document	Submitted along with the first annual work-plan	AOR
Grants Manual	Within the first 60 days after submitting initial needs assessment	AOR
Quarterly Activity Reports	Within 30 days after the end of each fiscal quarter	AOR
Annual Report	Draft due no later than October 30.	AOR
Final Performance Report	90 calendar days after the expiration or termination of the award	AOR

B. THE FOLLOWING ARE RESPONSES TO QUESTIONS

1. Could USAID please provide information as to how it determined the need for the 5% cost share eligibility requirement based on USAID policy laid out in ADS 303.3.10, Cost Share?

   Response: Sustainability of USAID programs underlines the procurement reform principles of *USAID FORWARD.* A fundamental element of the activity is sustainability of its initiatives. Guided by ADS 303.3.10.1, and so the cost share determination for the activity was based on the fact that it is critical that its initiatives continue after USAID assistance ends. In addition, cost share is also aimed at giving the recipient a financial stake in the success of the activity. See III.3 page 25 and page 37 – cost evaluation. In addition, see question 2 below.

2. The eligibility requirement of a 5% cost share from the applicant seems to place an unnecessary restriction on small organizations that are otherwise capable of effectively implementing this grant but cannot commit to a 5% cost share. This restriction on small organizations caused by the cost share does not to be consistent with the ADS requirement that cost share is “flexible, case-specific and used to support or contribute to the achievement of results,” (ADS303.3.10.1, Cost Share Determination). In light of this, would/could USAID consider removing this eligibility requirement or waiving it for small organizations?

   Response: Further to the response provided to question 1, cost share for this activity is also guided by ADS 303.3.10.4. In consideration of small organizations, **the minimum cost share for the activity has been revised down to 3 %**. USAID/Uganda will consider in-kind contributions as cost share in accordance with **OMB Circular A-110** and **22 CFR 226.23** for U.S. organizations and in accordance with the Standard Provision, “Cost Share” for non-U.S. organizations. Cost share is an important component of sustainability and the USAID/Uganda-Grantee partnership for this activity, and so the applicant’s proposal for cost share will be evaluated and weighted accordingly.

3. The RFA states that USAID will entertain one expatriate under this program (Section IV, p.28). Would an African third-country-national with residency in Uganda be considered an expatriate?

   Response: A third country-national will be considered an expatriate. Note: If an expatriate is a resident in Uganda, s/he will be considered and only entitled to locally hired Cooperating Country Nationals (CCNs) benefits.

4. The criteria for the Small Grants Program (Section 1.3.5., p. 13) is explained using two categories: A and B. A) Could additional clarity be given to this process as it is envisioned? For category A, when considering the requirements of context and ownership, would the Mission be flexible, in limited circumstances, to direct awards to local organizations who may have limited resources or capabilities to compete against

more established NGOs? B) For grants in category B, would USAID allow for grants in this category be over a two year period? C) If grants in this category are limited to a year and rebid on an annual basis, would seem to take several months away from programming to conduct a competitive process, which would leave less than a year's time for each grant?

Response:

A) Applicants are free to propose how Category A sub-grants may support local organizations.
B) Applicants are free to propose a time-frame for implementation of category B sub-grants.
C) Category A and B sub-grants will be managed over three years. See 1.3.5 page 13.

5. Under Section 1.1.3 (p.7), specific districts are listed as required locations for work under this program. A) Could the Mission kindly provide clarity as to the methodology of choosing these districts? B) Is there flexibility in choosing the districts in which to work so as to deliberate and determine these locations with the aforementioned partners, once they are chosen, and a needs assessment/baseline is conducted?

Response:

A) USAID/Uganda's Country Development and Cooperation Strategy (CDCS) sets out the Mission's principles on geographic focus - http://uganda.usaid.gov/sites/default/files/UgandaCDCS_-_Working_Extract_0.pdf.
B) District level engagement addresses the Mission's policy to build on previously successful USAID multiparty strengthening initiatives. Applicants are free to propose additional district engagement based on the criteria on section 1.3.3 page 8.

6. The RFA requires the implementing partner to form an Advisory Committee (p.18). This committee could be an excellent innovation, however the list of potential organizations that might be asked to participate seems to reveal a preference for a stakeholder committee. While this might be useful, it also might not support the program in this function. Therefore, would the Mission allow flexibility on the choice to allow for people who might advise on these areas but are not necessarily nominated to "represent" those institutions and organizations listed?

Response: Applicants are free to propose members based on the make-up of the advisory committee as set out in section 1.7 page 18. USAID/Uganda will approval members of the advisory committee. See II.3 page 24.

7. The RFA specifies that narrative and financial reports be submitted 15 days after the end of the quarter; however, federal regulations allow recipients 30 days after the reporting period to submit these reports. Kindly clarify.

Response: Please note the following change and addition to the "Quarterly Activity Reports" on page 38: "The quarterly activity and financial reports are to be submitted within ~~15~~ **30** days after the end of each fiscal quarter to the AOR at USAID/Uganda. **Due dates for reports are January 30, April 30, July 30 and October 30."**

Page 40 is also amended as follows:

Type of Document/Report	**Due Date**	**Distribution**
Quarterly Activity Report	Within ~~15~~ **30** days after the end of each fiscal quarter	AOR
Annual Report	Draft due no later than ~~November 15~~ October 30 ~~and final report due no later than November 30 each year.~~	AOR

8. Also, is it accurate to presume that the award would be cost reimbursable cooperative agreement and therefore only the Standard Form 425 would be required for quarterly financial reporting (although accruals and pipelines may be provided over the course of the program for planning purposes)?

   Response: Yes

9. The RFA states that both annual and quarterly reports would be required under this program; however, federal regulations state that "performance reports will not be required more frequently than quarterly or, less frequently than annually." Kindly clarify.

   Response: The annual report should be integrated with the fourth quarter report and the annual work plan. Please see page 38, 39 and 40 in the sections that reference annual reports.

   The section on the annual report is amended as follows:
   Annual Report: Annual performance reports on the project activities and progress against indicators are the responsibility of the Grantee and are needed by USAID/Uganda to provide timely input to the USG's Operational Plan. To the extent possible, the annual performance report should cover activities and results through the end of the fiscal year. However, the annual performance reports must be received by USAID in draft no later than **October 30** ~~November 15 and in final no later than November 30~~ each year.
   The table on page 40 is also amended as follows:

Type of Document/Report	**Due Date**	**Distribution**
Annual Report	Draft due no later than ~~November 15~~ October 30 ~~and final report due no later than November 30 each year.~~	AOR

10. Under the Environmental Compliance section (section I.9, No. 5, p. 22), there is a provision for subgrants to complete the Environmental Review Form (ERF) or Environmental Review (ER) checklist. A) Can USAID please clarify who should complete these documents and B) when they should be submitted for USAID approval?

Response:

A) ERF or ER checklist is completed by the recipient (CA awardee).

B) "Implementation of *sub-grant activities cannot go forward* until the ERF or ER checklist is completed by the recipient". Please see #5 page 22,

11. Under section 1.5 (Evaluation), the RFA notes: "the grantee shall conduct a mid-term and end of project evaluation." Does the applicant have the option of proposing an internal midterm evaluation for programmatic learning, or does USAID expect the grantee to contract an external evaluation consultant for both the midterm and final evaluations?

    Response: See question 19 below. USAID/Uganda expects independent externally conducted midterm and final evaluations. Applicants are free to propose "*additional* ongoing performance review and evaluation activities …"

11. Given the nature of the proposed program, it will be served best by collaborating with its partners to achieve the overall objectives and use those partnerships to leverage shared resources. Given this and the focus on ensuring long-term development of local partners, would USAID consider including a leveraging requirement rather than a strict 5% cost share requirement? This will ensure that the recipient continues to explore ways to collaborate and leverage resources with local and other partners beyond the specific consortium partners proposed.

    Response: Please see the responses to questions 1 and 2 above.

12. For the past performance references to be submitted in the technical narrative, does USAID have a suggested number of references that should be included, such as maximum of perhaps 10 to 15?

    Response: See page 30, applicants "must provide evidence of pertinent past performance and clearly describe examples of successful development and implementation of programs similar to what is required under this RFA." Applicants are free to include the number of references they see fit as defined by Annex IV on page 31.

14. On page 8 of RFA-617-13-000003, it says the following: "the grantee shall continue work in seven of the ten districts in which SMD implemented (four are Mission Focus Districts)." Can USAID provide a list of the ten districts in which SMD implemented? Also, can USAID clarify if they have identified the seven districts that the grantee will work in and/or is there specific criteria for selecting these seven districts?

    Response: Please see footnote 9 for a list of the 10 districts. USAID/Uganda's Country Development and Cooperation Strategy (CDCS) sets out the Mission's principles on geographic focus - http://uganda.usaid.gov/sites/default/files/UgandaCDCS_-_Working_Extract_0.pdf. District level engagement addresses the Mission's policy to build on previously successful USAID multiparty strengthening initiatives. See section 1.3.3 page 8 for criteria on additional district level engagement.

15. On page 13 of RFA-617-13-000003 under the heading I.3.5 Small Grants Program, "category A" and "category B" civil society organizations can receive funds from the

small grants program managed by the grantee. A) Can USAID provide a list of local Ugandan organizations that fall under these two categories? B) Can USAID also clarify the competitive process in which these funds would be awarded? C) Are there certain criteria that a grantee must follow when soliciting proposals from local organizations applying for funding? D) This competitive process would be managed by the grantee with approval from USAID/Uganda, correct? E) Additionally, under I.3.5, USAID indicates that awards will be managed over three years but later specifies that for "category B" organizations, there will be a yearly competitive process – is it expected that "category A" organizations will receive three-year sub-grants and "category B" organizations receive one-year sub-grants or should all sub-grants be on a yearly cycle?

Response:

A) The applicant is free to propose a technical approach for implementing the activity including CSO engagement. See page 32, based on the applicant's "knowledge and experience, the Applicant should provide a one-page informal CSO mapping of at least six potential sub-grant recipient CSOs."
B) Bidders are free to propose how they would implement the competitive process for the sub-grants within the parameters set for subgrants on page 13 to 14.
C) Grants will be solicited through a competitive process. The criteria for the two categories of recipient organizations is set out on pages 13 to 14 of the RFA.
D) See page 24 on substantial involvement for USAID/Uganda approvals.
E) Both category A and B sub-grants should be managed over three years. See 1.3.5 page 13. However, length of an individual grant is subject to requirements of ADS303.

16. Also regarding the small grants program, 20 percent of the total project value of $8 million -$1.6 million – is the minimum amount that must be awarded under the small grants program. 25 percent of the total value of the small grants program – $400,000 – is the minimum about that shall go to "category B" organizations. A) Is there a minimum funding level for "category A" organizations? B) Can USAID clarify if there is a "maximum" funding level that can go toward the small grants program? C) And lastly, can USAID clarify if there are minimum/maximum funding levels for the individual grants that will be awarded under this program?

Response:

A) Bidders are free to propose funding levels for the small grants program including the individual grants subject to the minimums outlined in section 1.3.5. and CFR & ADS limits.
B) Applicants are free to propose a maximum funding level that can go to the small grants program. The minimum level is defined on page 13 of the RFA.
C) Funding levels of individual grants for US or non-US organizations shall be in accordance with ADS303 limits for simplified grants or FOG's.

17. A) Is USAID requiring/recommending that NGOs and NGO umbrella groups named in the RFA be sub-grantees and/or partners? B) Specifically, is the National NGO Forum a preferred capacity-building partner for member organizations and/or the National

Consultative Forum for Political Parties and Organizations a preferred partner for dialogue events?

Response:

A) No, applicants are free to propose how they plan to implement capacity building for local organizations.

B) No, applicants are free to propose how they will carry out dialogue processes.

18. A) On page 16 of the RFA, USAID describes PCCB interaction with Alliances/PPPs - how does USAID envision PCCB working with these entities? B) Are they intended to become a partner that also results in cost-sharing or are they intended to serve as participants in PCCB activities?

Response:

A) Applicants are free to propose how they propose to implement alliances.

B) Applicants are free to propose how they will incorporate cost sharing and how they will engage participants to achieve activity results.

19. On page 17 of the RFA, USAID indicates that the grantee will conduct a mid-term and end of project evaluation. A) Does USAID envision these evaluations conducted internally by the grantee, by USAID itself or by a third-party evaluation team? B) If the latter, and the evaluation shall be conducted externally, should applicants reserve a portion of the grant funding for this evaluation?

Response:

Section **I**.5 page 17 is amended as follows:

A) The grantee shall conduct ~~a~~ an **independent external** mid-term and **an independent external** end of project evaluation of the activity. All evaluations shall be conducted in a manner that complies with USAID evaluation policy. The recipient shall plan to participate and play a defined role in each evaluation. Should the recipient wish to propose additional ongoing performance review and evaluation activities that could inform and/or improve implementation (per I.6 below Collaborating, Learning and Adapting), USAID would consider including these activities in the activity description.

B) No less than 20% of the total project value is solely reserved for the sub-grant component and should not be used for any other activities

20. Can USAID please elaborate on the "advisory committee" as listed on page 18 of the RFA? Specifically, does USAID consider this committee an activity within the framework of the program – meaning to be measured in the PMP and directly contributing to the programs' objectives/IRs? Also, does USAID expect specific deliverables to be prepared by the grantee in advance of these quarterly committee meetings?

Response: Please see 1.6 pages 17-18, the advisory committee is *an implementation measure to incorporate stakeholders input.* "The recommendations of the committee will guide proposed activities for the subsequent quarter while lessons will be documented as part of the learning agenda. *The Grantee will provide meeting space, a secretariat to the committee, and convene meetings.*"

21. A) Please confirm that both a Word and PDF version of the entire application is required as indicated on page 26 of the RFA. B) Additionally, for the separately emailed cost application, would USAID prefer budget information in these Word/PDF formats or in an unlocked Excel document?

    Response:

    A) PDF for the entire application.

    B) Unlocked Excel for the budget.

22. Please confirm that USAID is seeking only a list of relevant past performance information with contact information as indicated on page 31 of the RFA and does not expect narrative explanation of the objectives/results of the specific projects listed.

    Response: The requirements for past performance are set out in Annex IV page 31.

23. Does USAID have a preference/requirement for a consortium of applicants?

    Response: Applicants are free to proposal a model of implementation to achieve the goals of the activity.

[End of amendment 01]