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Issuance Date:	February 25, 2013
Deadline for submission of Questions:	March 6, 2013 4pm EST (Washington, DC)
Anticipated date of response to Questions:	On or about March 13, 2013
Closing Date for Application Submission:	April 17, 2013
Closing Time:	4pm EDT (Washington, DC)

Subject: Request for Application (RFA) Number RFA-617-13-000003: "USAID/Uganda Political Competition and Consensus Building"

The United States Agency for International Development (USAID) Uganda is seeking applications to fund one or more organizations through a Cooperative Agreement for a four-year USAID/Uganda Political Competition and Consensus Building activity as described in Section I of this RFA. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Subject to the availability of funds, USAID intends to provide up to \$8 million, subject to the availability of funds, to be allocated over the four-year period. USAID reserves the right to fund any or none of the applications submitted and expects one award as a result of this solicitation; however, more than one award may result.

This is a full and open competition, under which any type of organization, large or small, commercial (for-profit) firms, faith-based, and non-profit organizations in partnerships or consortia, are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible application(s) to achieve program objectives.

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

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 grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

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. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance.

Any questions concerning this RFA must be submitted in writing to KampalaUSAIDSolicita@usaid.gov, by the date stated above. Questions sent to any other e-mail address will not be answered. The e-mail transmitting the questions must reference the RFA number and title on the subject line of the e-mail. The deadline for receiving questions is March 6, 2013.

If you decide to submit an application, please note that electronic submission is required. Applications are to be sent as email attachments to KampalaUSAIDSolicita@USAID.gov, to the attention of and Tracy Miller, Agreement Officer. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

An applicant under consideration for an award that has never received funding from USAID may be subject to a pre-award survey to determine fiscal responsibility, capacity, and ensure adequacy of financial controls.

Award will be made to the responsible applicant whose application best meets the requirements of this RFA and the selection criteria contained herein.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant. Should circumstances prevent USAID from making an award, all preparation and submission costs are at the applicant's expense.

Sincerely,



Tracy J. Miller
Agreement Officer.

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

ACTIVITY DESCRIPTION

I. EXECUTIVE SUMMARY

Effective democratic governance is critical to the sustainable development of Uganda. Sustained economic growth, improvements in health and social welfare, and equitable resource distribution all depend on an effective and reliable system of governance characterized by transparent political processes, citizen participation and respect for the rule of law and human rights. Specifically, initiatives that support political competition and consensus building contribute to a stronger, more accountable system of governance in Uganda. According to the USAID/Uganda's 2011 Democracy and Governance Assessment (DGA), the results of which are summarized in Attachment A, political parties, together with civil society, will have a key role in preserving democratic governance for Uganda, in particular over the next five years. Coupled with this finding, USAID's Political Party Assistance Policy aims to consolidate representative democracies, develop transparent political environments, establish viable democratic parties and support free and fair elections. Based on the findings of DGA and as a critical element to USAID/Uganda's 2011-2015 Country Development and Cooperation Strategy (CDCS), USAID/Uganda intends to support a 4-year \$8 million activity to strengthen Political Competition and Consensus Building in Uganda.

The activity is based on the hypothesis that if USAID/Uganda develops the capacity of viable political entities; supports effective civil society oversight of political processes; and, supports productive dialogue between stakeholders around key policy issues, then Ugandan political processes will become more accountable and participatory. Political processes activities will focus on constructive engagement between communities, political parties, government and civil society thus enhancing political discourse and establishing a platform for consensus building. The activity will build the capacity of viable political parties and entities with the aim of accelerating political consolidation by assisting the parties to develop national to local party structures, strengthen their organizational bases, and develop responsive, issue-based platforms. The activity will link political party strengthening with civil society capacity development through both direct technical assistance and a civil society sub-grants mechanism. Given the very different needs of political parties and civil society groups the activity will begin with a needs assessment to ground truth and ensure that activities are relevant and effective. The activity will achieve results in three primary areas including:

- Component 1: Political Party Strengthening
Expected outcome - Well-managed political parties provide clear choices for the electorate and effectively represent the policy positions of a strong grass-roots constituency.
- Component 2: Civil Society Advocacy
Expected outcome- Citizen interests are represented in key policy decisions through effective advocacy by civil society.
- Component 3: Advancing Dialogue
Expected outcome- Diverse political and civil society entities reach consensus on key policy issues through established, sustainable dialogue processes.

The activity will focus activities at the regional and/or district level with oversight and coordination activities taking place at the national level.

To enhance sustainability and, in keeping with the objectives of USAID *FORWARD*¹, USAID/Uganda encourages the formation of innovative partnerships to implement the activity, particularly those linking international or US-based organizations with local or regional institutions.²

I.2 Background

I.2.1 Context

After 20 years under “the movement system,” Uganda reintroduced a multiparty political system in 2005. Multi-party elections were held in 2006 and the 8th Parliament became Uganda’s first multiparty parliament in 26 years. Although the institutional changes that supported a multiparty political system were made, the practices of policy formation, governance and political activism still fall below the true principles of a multiparty democracy. The ruling party’s reluctance to fully embrace multipartyism, except for regime change - the opposition’s inability to provide meaningful alternatives to the ruling party, and the fact that most citizens do not feel empowered to embrace their roles and responsibilities as members of a multi-party democracy hamper the development of a genuinely effective multiparty system. The broken supply/ demand cycle of equitable political engagement and services threatens the country’s hard-won gains, domestic stability and economic development as well as its reliability as a regional stabilizing actor.

Despite this precarious nature of the multi-party political system in Uganda, there are indications that support to indigenous efforts to deepen multi-party democracy could yield results. The 9th Parliament has shown signs of asserting checks and balances as exemplified in the bipartisan supported oil resolution of October 11, 2011 and, to some extent, the budget debates of September 2012. Uganda has a culture of civic activism in urban and peri-urban areas and, despite an increasingly restrictive environment, the capacity of civil society and media organizations is relatively high compared to CSO capacity in the region.³ It is in this context that the United States Government (USG) intends to support political competition and consensus building in Uganda by building political party and civil society capacity and supporting strategic opportunities for political consensus-building and dialogue. For a more detailed discussion of historical background, see Attachment B.

1.2.2. Link to USG Priorities

The activity will support broad USG foreign policy objectives as well as those specific to Uganda. The first strategic priority of President Obama’s Presidential Policy Directive on Sub-Saharan Africa, signed in June of 2012, is to strengthen democratic institutions. The State Department’s Quadrennial Diplomacy and Development Review (QDDR) recognizes democracy and governance work as a sector in which the U.S. has “the leading expertise to transform lives and societies.” Democracy and governance efforts were identified by Secretary Clinton as one of six key focus areas for the State Department and USAID.

¹ <http://www.usaid.gov/results-and-data/progress-data/usaid-forward>

² Any such ‘core’ partnerships will not be considered a part of the 20% sub-grants component described in section I3.5 – Small Grants Program.

³ According to the 2010 NGO Sustainability Index, Ugandan CSOs ranked higher than their East African neighbors in all eight CSO capacity areas. See http://transition.usaid.gov/our_work/democracy_and_governance/technical_areas/civil_society/angosi/ANGOSI

More specifically, it will support USAID/Uganda's progress towards the goal of "accelerating Uganda's transition to a modern and prosperous democracy" as stated in the approved 2011-2015 CDCS. It will directly contribute to the CDCS' second development objective (DO2) "Democracy and governance systems strengthened and made more accountable." The activity will also support the achievement of the CDCS's other development objectives, DO1 (Economic growth from agriculture and the natural resource base expanded) and DO3 (Improved health and nutrition status) as a transparent and accountable governance system underpins sustainable improvements in public health and economic growth.

This activity is one of five pillar activities within DO2's results framework (see Attachment C). To achieve lasting impact and to maximize efficiency, the activity will be implemented in close coordination with the four other pillar activities as well as with several cross-cutting activities. Relevant activities include:

- USAID/Uganda Promotion of Human Rights/Rule of Law ⁴;
- USAID/Uganda Support Electoral Processes see footnote 4 below;
- USAID/Uganda Governance, Accountability, Performance and Participation Program (GAPP);
- USAID/Uganda Securing Access to Justice, Fostering Peace and Equity Program (SAFE); and,
- USAID/Uganda Advocacy for Better Health Program

For more information about these programs see Attachment D.

Finally, the activity will capitalize on strong partnerships forged by USAID/Uganda with the Government of Uganda (GoU), political parties and civil society under prior activities, specifically, the Strengthening Multiparty Democracy (SMD) Activity (2007-2011) and the support to the Uganda Electoral Commission through the Consortium for Elections and Political Processes Strengthening (CEPPS III) Mechanism (2010-2011). While previous USAID/Uganda assistance focused on the structural transition to multiparty dispensation, this activity will support the consolidation of multiparty democracy. It will draw heavily on lessons-learned and strategic recommendations from the evaluation of the SMD Activity (see Attachment C for a summary of recommendations and lessons-learned). The activity builds on and streamlines USAID/Uganda's previous support for strengthening multiparty dispensation in Uganda based on recommendations from the SMD End of Project Evaluation Report. A summary of key lessons learned from the SMD Evaluation can be found in Attachment E.

USAID FORWARD and Local Capacity –building

The USAID has embarked on an ambitious reform effort, USAID *FORWARD*, to change the way the Agency does business—with new partnerships, an emphasis on innovation and a focus on results. This activity will incorporate opportunities provided by USAID *FORWARD* and will contribute to *FORWARD* objectives, specifically Implementation and Procurement Reform (IPR). The aim of IPR is to make US foreign assistance more sustainable and cost effective through local capacity development and working through a broader range of partners. In keeping with these principles, local capacity development is a central component of the USAID/Uganda Political Competition and Consensus Building activity. The project is built around the idea of catalyzing and sustaining the capacity of Ugandan political parties, government and civil society through direct engagement as well as through an innovative sub-grants component of the activity.

⁴ Promotion of Human Rights/Rule of Law and the Activity to Support Electoral Processes Activities are yet to be designed.

More information on how this will support local capacity development is noted in the “technical approach” section.

I.2. .3 Link to GoU Initiatives

The activity is designed to support the Government of Uganda (GOU) priorities. The National Development Plan (NDP) (2010/11 – 2014/15) outlines relevant enabling sectors in Chapter 8 (Sections 8.1 and 8.2). The NDP clarifies that though key constitutionally mandated institutions are in place, Uganda’s culture of constitutionalism has failed to improve rapidly. Many institutions struggle with the ideals, principles and practices of democracy.⁵ To achieve sustainable results and to ensure achievement of activity objectives, the activity will work with national and local level governments throughout all three activity components.

I.2.4 Link to Other Initiatives

A number of international organizations and bilateral partners provide support to democratic governance in Uganda. Activities will be coordinated closely with those of other organizations working on political pluralism. In particular, it will coordinate activities with the European funded Democratic Governance Facility (DGF), Konrad Adenauer Stiftung, Fredrick-Ebert Stiftung and the Netherlands Institute for Multiparty Democracy. Coordination will be regular and strategic with particular attention on geographic focusing and complementarity as well as in implementation of the small grants component.

I.3 Technical Approach

I.3.1 Results Framework and Development Hypothesis

The activity is developed around the hypothesis that if USAID/Uganda develops the capacity⁶ of viable⁷ political entities; catalyzes effective civil society oversight of political processes; and, supports productive dialogue between stakeholders around key policy issues, then Ugandan political processes will become more accountable and participatory. The activity will engage in political party and civil society capacity-building and will support inter-party and party – civil society dialogue. Active citizen participation in political processes will improve the overall quality of political participation and representation and should transform the political landscape to be more reflective of citizen interests and guard democracy gains.

⁵ The National Development Plan, page 22.

⁶ Party capacity development includes- the capacity to build and represent a grass-roots constituency, the capacity to develop issue-based platforms and organizational development/management capacity.

⁷ A key finding of the SMD Evaluation was that selection of political party partners should not have been based on parliamentary representation, but rather on whether political parties are viable. A viable political party includes one with a grassroots party structures, nationwide support and representation.

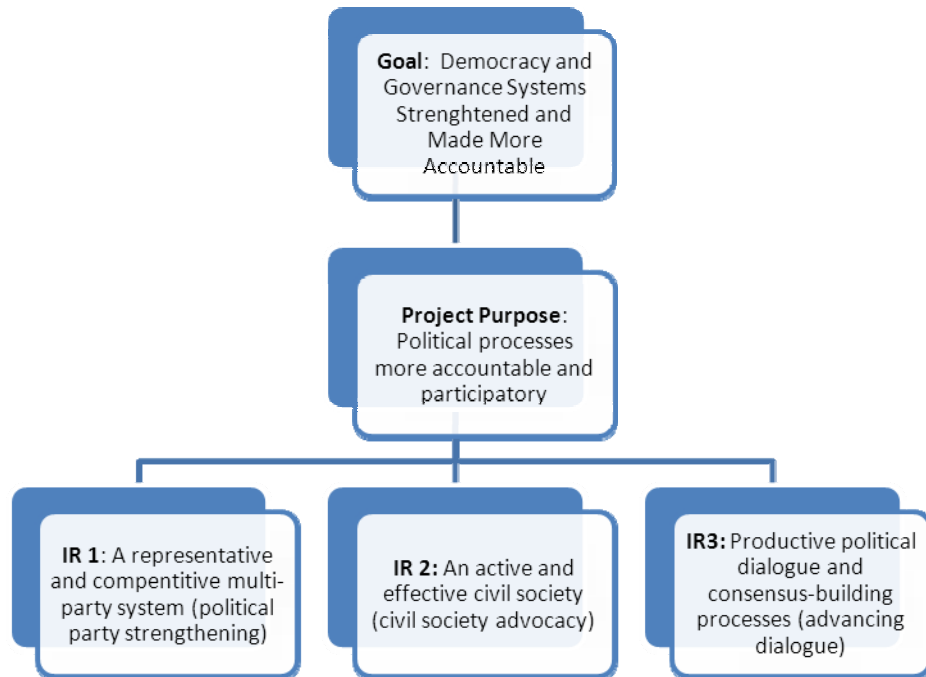


Figure 1: Political Competition and Consensus Building Results Framework

In keeping with USAID/Uganda's CDCS, its work linking political party strengthening with civil society capacity building will contribute to sub IRs 2.1.1 (representative and competitive multi-party system) and 2.1.2 (consensus-building and dialogue processes advanced). These sub intermediate results will be achieved through both direct support, including training, capacity-building, mentoring etc. and through sub-grants to local organizations working in advocacy, civic engagement, participation and oversight.

To achieve the stated results, it is imperative that activities be closely linked with the successful implementation of the Activity to Support Electoral Processes, which will be organized around two mutually reinforcing results areas, "an informed and active citizenry" and "credible electoral administration." Additional USAID/Uganda activities with which it shall coordinate are summarized in Attachment C.

A detailed description of each component can be found in I.3.4.

I.3.2 Guiding Principles

The USAID/Uganda Political Competition and Consensus Building activity will be implemented around several guiding principles, derived largely from lessons-learned from the SMD evaluation and the DGA. These principles include:

1. Apply a comprehensive, regional/district-level focus: The SMD evaluation found that the entry point for political processes initiatives is critical to improving impact and long-term sustainability. The evaluation suggests that the greatest potential for sustainable impact on political processes is at the sub-national level; however, the SMD program was too thinly spread in target districts to have real impact. Therefore, rather than operating solely out of Kampala with field visits to districts to implement activities, this activity shall utilize a regional approach to affect deeper impact, including establishing a sub-national presence through regional operations and coordinators. These coordinators might be embedded in CSO partner or sub-grantee organizations or regionally located through a different management model. This model should minimize the burden of a Kampala focused organizational configuration, and enable project activities to

reach a critical mass of sub-counties and parishes within each district, thus maximizing impact. More information on the regional focus can be found in section I.3.3, "Geographic Focus."

2. Context-specific focus: As was noted in the SMD evaluation, building political party and civil society capacity in specific technical areas does little to affect the structural and macro-level challenges to political competition and consensus-building in Uganda. Political entities and civil society exist within a wider political system, thus this activity is to be guided by strong and ongoing analysis of the changing context and emerging opportunities. Interventions should be tailored to the specific needs of each political or civil society group while simultaneously supporting larger structural and cross-party initiatives where possible. This approach shall involve a needs assessment at the beginning of the activity combined with ongoing strategic revisions during activity implementation.
3. Foster stakeholder ownership and collaboration: The SMD evaluation found that the activity could have been more sustainable if more attention had been devoted to stakeholder ownership (this includes majority and opposition political parties and local governments). "Involvement of key stakeholders in activity design/ implementation would contribute to meaningful conceptualization/ participation/ mainstreaming of the program," and "integrating activities with the development program of local governments will strengthen results and sustainability." As such, this activity will be guided by a strong emphasis on fostering ownership by key stakeholders at national and sub-national levels including, local governments, political parties and civil society. Representatives from each of these sectors shall be included to ensure Ugandan ownership at both the national and local level.
4. Support high-capacity national partners and focus on local capacity development: A critical element to the success of this activity is the transfer of skills to political parties and civil society organizations. In the past, USAID has supported a broad array of local actors of varying levels of capacity based on the assumption that increased competition would improve performance of the sector at large. While this approach was successful on many fronts, given the current scope and breadth of Ugandan CSOs and political parties and the fact that significant capacity does exist, this activity will largely focus efforts on mature political entities and CSOs that demonstrate existing capacity rather than those organizations requiring support from the ground-up. This will allow the capacity-building efforts of this activity to be strategic and targeted to specific needs and will maximize chances of both sustainability and success.

I.3.3 Geographic Focus

Per guiding principle #1, the USAID/Uganda Political Competition and Consensus Building activity will be implemented simultaneously at the national and sub-national levels with a strong focus on active regional/district-level capacity-building. National-level activities will focus on political oversight, coordination, and dialogue processes. Regional activities will focus on leadership and organizational development, constituency outreach, policy/agenda setting and civil-society advocacy and oversight. Immediately upon activity launch, the grantee will work with USAID/Uganda and the Advisory

Committee⁸ to develop a geographic coverage strategy, which will include a minimum of 15 districts. To build on previously successful SMD initiatives the grantee shall continue work in seven of the ten districts in which SMD implemented (four of which are Mission Focus Districts)⁹. Additional sub-national implementation will be based on at least two of the following criterion:

1. The active presence of more than one viable political party with a significant constituency,
2. The presence of effective civil-society organizations active in areas relevant to the activity, or
3. Districts and/or regions, which manifest limited political space and/or competition.

In addition, this activity will work closely with the GoU; other donor organizations and national-level political party and civil-society actors to ensure that sub-national implementation is complementary to other existing and planned interventions. See Attachment F for a list of the Mission Focus Districts.

I.3.4 Detailed Discussion of Results Areas

The primary focus of the USAID/Uganda Political Competition and Consensus Building activity will be twofold: 1) support the development of viable, competing democratic parties at national and sub-national levels; and 2) support the democratic governance of Uganda facilitated by political parties in government and the opposition, CSOs and citizens. The aim is to facilitate democratic processes at the national and sub-national levels rather than to influence political outcomes. To achieve this, the activity will support viable parties and entities; and, issue-oriented CSOs as appropriate to promote political processes that are more accountable and participatory. In accordance with USAID policy, this activity will be non-partisan and broad-based. It will not provide direct funding to political parties. In implementing the activity, the recipient (s) shall demonstrate and enforce standards and principles of non-partisanship. The recipient (s) shall require that any partner with whom they implement meet the same standards.

Active, issue-based civic engagement will be vital to supporting the development of political parties and entities that champion the needs of their constituents. By working with civic groups, political parties, and other pressure groups to more effectively advocate on behalf of concrete citizen needs, the activity will support democratic governance by empowering Ugandans to proactively demand and present compelling and viable alternatives in the political arena. Through such alternatives, Ugandans will be better able to consolidate peaceful political pluralism for Ugandans.

All activities will be conducted with a strong emphasis on capacity-building. Reform is still required on constitutional, legal, procedural and process issues concerning political processes, divisions of power, the role of the formal opposition, and independents in Parliament. During the first three months of implementation, the grantee will complete a needs assessment, which will be the basis for providing technical assistance, and training. The needs assessment will review the overall environmental influences likely to affect political processes during implementation, including the proliferation of districts, emerging issues such as the walk to work campaigns and the role of security forces in silencing dissent etc. The needs assessment will further explore external and internal political party strategies with a goal of helping Uganda to consolidate multiparty dispensation by fostering political effectiveness through peaceful measures. All activities

⁸ See section below for additional information on the purpose, structure and composition of the Advisory Committee.

⁹ SMD worked in Arua, Apac, Gulu, Lira, Kumi, Kasese, Masaka, Rukungiri, Tororo and Kamuli

will be implemented within the guidelines of USAID's Political Party Assistance Policy¹⁰ and clearly incorporate the guiding principles¹¹ and key considerations for components 1 to 3 as appropriate. See the sections on key consideration below.

I.3.4-1 Component 1: Political Party Strengthening

Overview

A representative and competitive multiparty system is characterized by effective political parties at both the national and local levels. Effective parties shall be:

1. Democratically governed.
2. Sufficiently well organized to conduct general management functions such as fund-raising, record-keeping etc.
3. Able to build, communicate, and represent the interests of a grass-roots constituency, including youth and women.
4. Able to set technical agendas and formulate policy options based on the interests of their constituency.

Political parties in Uganda continue to have fragile organizational structures and tend to be personality-driven and top-heavy. Uganda's multi-party political system is nascent with only two elections under the multiparty system since 1980, and the legacy of the Movement system continues to plague the current multi-party dispensation. The NRM created local councils (LCs) from the village to the district level throughout Uganda under the Movement system. Many LCs doubled as local governments and Movement structures. Despite the return to multiparty dispensation, recent studies reveal that LC structures remain beholden to the NRM making it difficult for other parties to penetrate at grassroots level.

The USAID/Uganda Political Competition and Consensus Building activity will provide direct technical assistance to political parties and entities to overcome these challenges. As a result, it is expected that political parties will: demonstrate improved organizational capacity; develop relevant, issue-based platforms; and deepen their constituent base through political outreach and citizen participation. Direct beneficiaries will include viable political parties and entities. Political party technical assistance and capacity-building activities will be based on a needs assessment of viable political parties and will involve a targeted capacity-building program designed to meet the specific needs of each political party or entity. Political party assistance shall include a targeted strategy to increase the participation of women, youth and persons with disabilities.

Expected Results and DO Indicators

- 1 A more representative and competitive multi-party system
indicator: degree to which political party programmatic agendas provide clear choices for the electorate
- 1.1 Improved leadership and organizational capacity of political entities
indicator: % of political parties who have well-trained staff and or volunteer staff support; number of individuals who receive USG-assisted political party training
- 1.2 Political entities set and implement issue-based platforms
indicator: % of USG-assisted political entities with issue-based policy agendas developed in consultation with their constituents

¹⁰

http://www.usaid.gov/our_work/democracy_and_governance/publications/pdfs/pdaby359.pdf

¹¹ See section III.2 for the guiding principles.

- 1.3 Political entities build and maintain an informed constituency base including women, youth and disadvantaged groups
indicator: number of USG-assisted political parties implementing initiatives to increase the number of candidates and/or members who are women, youth and from marginalized groups.

Key Considerations

- Political party leadership development:

Leadership capacity is a key determinant of overall political party capacity to represent constituents and engage in productive dialogue. This activity will consider support to political party leadership development through leadership training, communication and media relations, internship programs and strategic leadership exchange initiatives. All activities in this area would give special consideration to women, youth and persons with disabilities.

- Grassroots party development:

Ugandan political parties and entities lack effective connections to people at the rural or grassroots level. As recommended by the SMD Evaluation, USAID/Uganda political party assistance at the sub-national level shall incorporate sub-counties and villages structures. Fostering constituent connections at the sub-national and/or regional levels over the next five years is vital to the development of more viable and competitive democratic political parties.

- Enhancing political participation and empowerment of women, youth and minorities:

The activity will continue to focus on women, youth and minorities with an aim of increasing these groups' active and self-driven political participation at the national and sub-national levels as both constituents and affirmative-action/non-affirmative action candidates. It will host at least two highly visible events per year, which shall be implemented with one or more existing local women's and/or youth organizations in the lead. Refer to section III.6 for more information on gender and youth.

- Targeted Technical Assistance and Training:

The activity shall work with political entities to develop a capacity-building strategy that meets their specific needs. A targeted training program, with follow-up opportunities for application and mentoring shall be developed in close consultation with the parties themselves to ensure relevancy, ownership and sustainability.

- Support for policy-research to guide party agenda setting:

Political parties need access to high-quality policy research in order to set agendas and platforms that respond to constituent needs. The activity will consider support for policy research via previously established party foundations, via the parties themselves or, via external and independent policy think-tanks. Capacity-building in policy research shall include the capacity to understand and represent the gender-specific interests of all persons. Refer to Attachment E for a summary of lesson's learned in policy research under the SMD Project.

I.3.4-2 Component 2: Civil Society Advocacy

Overview

Component 2 addresses the need for representative and effective civil society to ensure that policy outcomes represent actual citizen needs and interests. Uganda's civil-society sector is relatively advanced and well-networked at both the national and district

levels though many organizations are hesitant to engage in lobbying or advocacy activities. According to the USAID/Uganda's Health and Education Advocacy Assessment, conducted in February, 2011, despite the composition of the NGO Registrations Board, which includes security officials, and the requirement for yearly renewal of registration, the overall legal and policy framework in Uganda is broadly conducive to the exercise of citizen's democratic rights. Ugandan CSOs can be a critical catalyst to promote issue and policy based multiparty politics in Uganda. The activity shall support activities that propel civil society as a dynamic medium through which citizens can communicate with their government to strengthen a democratic political culture that values civic engagement. It will build on successes of the SMD project by working closely with the National NGO Forum to provide capacity building assistance to NGOs and CBOs involved in advocacy efforts on behalf of their constituents. Specifically, it will build the capacity of Ugandan civil-society to engage productively with citizens and government and will strengthen existing coalitions and networks. Successful efforts in this area require a conflict-sensitive, network-based approach to civil society strengthening that builds on existing initiatives and capitalizes on existing relationships and expertise. As a key element to supporting civil-society oversight of political consensus-building processes, the activity shall include a small grants program. The small grants program is described in detail below, section I.3.5.

Expected Results and DO Indicators

2 Civil society more effectively advocates on behalf of their constituencies indicator: beneficiary rating of Ugandan Civil Society on the civil society advocacy index or similar tool¹²

2.1 Selected civil society organizations have improved skills in advocacy indicator: number of individual members of Ugandan civil society who receive training in effective advocacy techniques

2.2 Civil Society networks collectively identify and advocate for issues of concern to their constituents and the government

indicator: number of USG supported civil society organizations/networks that participate in legislative proceedings and/or engage in advocacy with national, regional or local-level legislatures or their committees

Key Consideration

- Skills-building support to consortia and coalitions: Citizens organizing to accomplish shared objectives constitute a vital force for the representation of civic interests. The collective nature of civic action helps ensure that politicians and public institutions weigh the interests of citizens including those of women, youth, disadvantaged minorities and the poor in making policy and allocating resources. According to USAID's NGO Sustainability Index for Sub-Saharan Africa, 2009, the NGO Sector in Uganda is heavily networked. Approximately 72 percent of NGOs belong to a local NGO network or umbrella organization, with the most popular being the National NGO Forum.¹³ This activity will support CSOs through technical assistance and skills transfer on how to enhance consortia and coalitions for productive engagement on key issues. Specific

¹² The tool used to track this indicator will be approved by USAID/Uganda during the work planning process.

¹³ Other umbrella organizations include the Development Network of Indigenous Voluntary Associations (DENIVA), and the Uganda National Association of AIDS Service Organizations (UNASO). Issue based coalitions include Uganda Land Alliance, Food Rights Alliance, Human Rights Network, Civil Society for Peace in Northern Uganda, Uganda Child Rights NGO Network and the Anti-Corruption Coalition of Uganda (ACCU).

attention will be given to consortia and coalitions that advocate around issues linked to USAID's development strategy.

I.3.4-3 Component 3: Advancing Dialogue

Overview

As political parties and civil society develop internal capacity, there is a related need to develop their capacity to effectively work with one-another – both across party lines and between political parties and civil society. Ultimately, political parties need to form coalitions to build consensus around key policy issues with input and oversight from civil society. Component 3 will bring together the diverse stakeholders in components 1 and 2 to advance dialogue around key policy issues to support the long-term development needs of the Ugandan people. Political actors in Uganda are not as successful at reaching consensus around key policy issues. There is a tendency to seek to advance short-term objectives of representation and election rather than long-term objectives that support their constituents' development needs. To overcome these challenges, the USAID/Uganda Political Competition and Consensus Building activity shall apply a participatory behavior-change methodology that examines skills, motivation and opportunities for political parties to engage in productive dialogue with one-another and with civil society. This methodology could involve basic training in conflict resolution and consensus-building techniques, followed by support to consensus-building platforms such as the inter-party dialogue processes, the National Consultative Forum for Political Parties and Organizations and issue-based parliamentary caucuses. These platforms will provide a forum for consensus-building as well as fostering institutionalization of interventions. Component 3 shall be structured in a way that can quickly and easily respond to emerging trends and opportunities for consensus-building.

Expected Results and DO Indicators

- 3 Consensus-building and dialogue processes advanced.
indicator: number of USG supported consensus-building processes that result in an agreement.
- 3.1 Forums for dialogue and consensus-building between political parties/entities are strengthened and/or established.
indicator: number of dialogue forums receiving capacity-building support from USG
- 3.2 Forums for consensus-building between political entities and citizens are strengthened and/or established.
indicator: number of public forums resulting from USG assistance in which national legislators and members of the public interact
- 3.3 Key political structures promote a level playing field in policy debate.
indicator: Number of USG-supported initiatives promoting policy initiatives to promote consensus-building and dialogue processes (such as political finance reform).

Key Considerations

- Capacity development in consensus-building, negotiation and conflict resolution:
The activity shall provide skills-building support in conflict resolution, negotiation and consensus-building strategies. This would provide political parties with the opportunity to proactively develop the skills, motivation and opportunities to engage in productive intra and inter-party dialogue.
- Support to consensus-building forums:
There are multiple 'platforms' for political consensus-building in Uganda including the inter-party dialogue processes, the parliamentary caucuses and the National

Consultative Forum for Political Parties and Organizations. Each of these platforms offers significant strengths, though none of them have proven able to build inter-party consensus on important and contentious issues. The activity shall assess the existing and possible platforms for political consensus-building processes and propose a 'living' strategy for capacity-building of these platforms that responds to the preliminary assessment findings. Considerations regarding the party caucuses can be found in Attachment "E".

- Facilitating a public engagement strategy:

Political party organizations do not build consensus around political issues in isolation, but rather through a consultative process with their constituents, facilitated by the media and civil-society groups. It is vital that consensus-building activities are developed with a deep understanding of the important role played by both media and civil society groups. Towards this aim, activities under results area 3 shall be closely coordinated with those under the other components.

- Targeted support to consensus-building around game-changing policy issues:

The activity shall be prepared to provide strategic and targeted support to consensus-building processes around key policy issues as these opportunities arise.

I.3.5 Small Grants Program

The grantee will directly manage and perform the activities in this Activity Description. In parallel, the grantee will manage a small-grants program, which shall award no less than 20 percent of the total project value.. This program will support Ugandan civil society organizations to a) engage in consensus-building, advocacy and dialogue processes and b) build their internal organizational capacity to ensure their long-term relevance and sustainability. Awards will be managed over three years so that Ugandan CSOs can implement their own programs to increase peaceful political competition, build consensus and generate greater confidence in the multiparty political system. The program will directly contribute to the results under component 2, but will impact activities within the entire project. This sub-grants program will also advance the sustainability of activity interventions by building the technical and organizational capacity of indigenous organizations to continue the work after activity completion. The sub-grants program shall be informed by the basic principles of USAID *FORWARD's* local capacity development objective within IPR.

The SMD evaluation noted that the most successful civil society partnerships were formed with well-established organizations which had an existing degree of capacity rather than nascent organizations with limited or no constituency-base or existing capacity. As such, the sub-grants component shall primarily focus energies on a limited number of high-capacity organizations or networks of organizations, which can benefit from targeted capacity support, rather than a large number of smaller organizations requiring significant broad-ranging capacity-development. Recipient organizations shall fall into two categories:

- a) category A- an organization (s) and/or network (s) with national reach and existing high-degree of organizational and technical capacity. Category A organization(s) will be the primary focus of the sub-grants program and it is expected that they will be capable of managing direct awards from USAID by the completion this activity. Funding for category A organizations will be provided through a competitive process.
- b) category B- those organizations with a sub-national geographic focus in one or more target districts and/or regions and strong yet still developing organizational

and technical capacity. Funding for category B organizations will be provided through a competitive USAID/Uganda approved yearly solicitation process as specific opportunities at the sub-national level arise. The total amount of sub-grants for category B organizations shall be no less than 25 percent of the total value of the sub-grant program.

Each sub-grant recipient must advance at least two objectives, one of which shall directly advance the technical objectives described in components 1, 2 or 3; and one of which shall focus on organizational and technical capacity development of the recipient organization.

In addition to developing a work-plan to advance technical objective/s, each sub-grantee shall, in concert with the project team, develop an individualized capacity-building strategy. A dedicated portion of the sub-grantee's budget shall be applied to the capacity-building strategy and progress shall be measured utilizing agreed-upon indexes such as an Organizational Capacity Assessment Tool and or an Advocacy Index. To further advance both technical and capacity building objectives, the grantee shall host regular skills-sharing and networking workshops with the idea of sub-grantees learning from shared experiences. To the extent practical, the more advanced organizations in category 'A' may provide either formal (training-based) or informal (mentor-based) guidance to the organizations in category 'B'.

With approval of USAID/Uganda, and to help meet Collaborating, Learning and Adapting (CLA) agenda objectives, the sub-grant program may be used to address emerging political processes and consensus building issues. The sub-grants component shall take into consideration the activities of other USAID projects (specifically those being implemented under SAFE, GAPP and the Advocacy for Better Health program) and shall be closely coordinated with similar activities of other donors, such as the European DGF.

I.3.6 Cross-cutting Themes

While the USAID/Uganda Political Competition and Consensus Building activity is a political processes activity, it directly and indirectly affects other development challenges in Uganda. It will be implemented with consideration for the cross-cutting priorities of USAID/Uganda. Each of these priorities shall be integrated throughout the approach.

I.3.6-1 Gender

Women and men have differing needs and varied views about governance and politics, as well as distinct interests in political processes. Balanced gender representation and participation in political processes are closely tied to ensuring that men and women can exercise choices regarding political, social, and economic issues. Lack of political representation can lead to social and economic exclusion. In supporting effective political processes, the activity will not only enhance equitable participation in decision-making processes, but will also support women's leadership roles in political processes and will put in place mechanisms to incorporate gender considerations into indigenous dialogue and political consensus-building processes. The activity shall aim to build the capacity of political parties and elected leaders to respond to the gender-specific interests of all citizens. In addition, it will also promote integration of gender equality in planning and measurement of results. The activity will ensure that interventions support women's groups with proven roles in political process development, to take a leading role in interventions at all levels.

Since 1986, women in Uganda have had the opportunity to participate in politics and governance through the policy of Affirmative Action and the principle of gender balance. Both of these are protected in the National Constitution of 1995. These two principles

have increased the percentages of women in the Ugandan Parliament to 34.9%, far above the global average of 19.5%. The speaker of parliament, Rebecca Kadaga, has challenged women parliamentarians to 'transform their numbers into action,' and released a strategic plan to influence the national budget process to benefit women.¹⁴ There is however, a significant gap between women's participation and their actual influence on political processes at both the national and local levels. "The Silenced Voices of Women in the 2011 Uganda Elections," published by the Uganda Women's Network (UWONET), carries testimonies from some of the leading female politicians who participated in the recent elections at national and local levels from over 20 districts. Some of the barriers to true, influential participation by women include: customary and cultural practices; lack of education; discriminatory and inadequate application and enforcement of laws; and, lack of economic independence.

Within this context, response to gender considerations should go beyond quantitative inclusion of women in programs, to a more thorough analysis of the gender dimensions and illustration of results that reflect gender equality. The activity shall aim to shift women's participation in political processes from a number-based initiative to actually impact the influence that women have on policy formation and decision-making processes. Therefore, the recipient will, in addition to ensuring participation of marginalized women in political processes, integrate promotion of attitude change, practices and policy in outcomes. .

I.3.6-2 Youth

USAID/Uganda's CDCS identifies youth as a 'game changer.' With the majority of the population in Uganda currently under 15 years of age (approximately 56%) a significant number of these Ugandans will be eligible voters in the 2016 elections. Youth play a critical role in politics and more broadly in development.¹⁵ Given Ugandan's demographic make-up, the inclusion of youth in the political arena is critical to fostering democratic multiparty consolidation for future generations. Some parties like the Democratic Party (DP) have strong youth wings. Youth were recognized as an important dynamic in the lead-up to the 2011 elections, as signaled by President Museveni's "do you want another rap?" campaign strategy. It aimed to capture the under 30-year vote. Yet, party organizations have failed to give youth issues sufficient attention. Instead, parties view youth primarily as vote mobilizers. Through training and mentoring, the recipient shall support activities that actively engage youth in political processes. With input from beneficiary political parties or entities, PCCB will support initiatives aimed at providing Uganda's youth with tools and leadership skills necessary to stimulate a lifetime of political participation and activism.

The activity will, in design and implementation, utilize the energy and potential of youth in political processes. In particular, it will innovatively use technology and other youth sensitive media platforms to promote participation in and oversight of political processes by youth.

I.3.6-3 Anti-Corruption

The activity will be implemented with an understanding of the context of corruption in the country and the recipient shall incorporate anti-corruption procedures for this activity. These procedures shall be consistent with best practices within USAID and the broader

¹⁴ <http://www.ugpulse.com/uganda-news/government/speaker-kadaga-asks-women-parliamentarians-to-use-their-numbers/25275.aspx>

¹⁵ YouthMap Uganda 2011, draft report page vii.

donor community that minimizes corruption. Anti-corruption reporting and remediation measures shall be developed for all aspects of the program, starting with recipient staff and operations, to sub- grantees, government partners and vendors.

I.3.7 Public Private Partnerships

There are a number of private sector stakeholders with interest in political processes, the development of Uganda, and with a shared interest in fostering improved consultative processes around policy issues. Through partnerships, private firms and foundations can provide a growing share of finance, human capital and other resources for global development. The Alliance approach enables partners to bring their resources to bear to address jointly defined development challenges, thereby achieving together a solution that would not be possible for an individual partner. The PCCB grantee shall identify opportunities (Alliances) through Public Private Partnerships with private firms, foundations and NGOs that can link U.S. foreign assistance with their resources, expertise and creativity. Partnerships with organizations who share USAID's desire to support political competition and consensus-building processes in Uganda such as private sector businesses and/or foundations that would benefit from or are looking for opportunities to promote improved political processes in Uganda are particularly encouraged. For more information please go to www.usaid.gov/gda.

I.4 Performance Monitoring Plan (PMP)

The grantee will be required to develop and maintain a performance monitoring system to track tangible, measurable progress toward program results and toward the strategic goals of USAID/Uganda's CDCS. The recipient must report on required indicators in the USAID DO2 PMP. Alignment with GOU key indicators is also encouraged. Additional indicators, especially impact, and outcome-level indicators designed to capture significant results attributed to this Cooperative Agreement at the sub-national level shall also be included. All performance indicators and targets must be gender disaggregated by Male (M)/Female (F)/Total (T) and % Youth (Y) where feasible. USAID/Uganda will conduct a Data Quality Assessment for each indicator and on all reported data. Please note that USAID may require the recipient to report on additional performance indicators subject to changing Agency guidance and/or the requirements of specific funding sources. The recipient shall submit a draft PMP with the draft work plan within 90 days of award and a final PMP must be submitted to USAID/Uganda for approval within the first six months. The PMP shall be developed so as to facilitate results-based programming and management system, as stipulated in chapter 203 of the ADS and guidance and other USAID guidance. The PMP shall:

- Define specific performance indicators for each result defined in the project Results Framework or Logical Framework.
- Define indicators sufficient to measure performance at each of output, outcome and impact levels.
- Present baseline values, annual targets and end of year targets.
- Provide a plan for data collection including baseline. Indicate data collection methods and frequency of data collection for each indicator.
- Plan for evaluations and special studies (see evaluations section).
- Demonstrate how performance information will be shared with stakeholders.

The PMP¹⁶ shall serve as a road map with discrete landmarks, which shall help management to establish whether the program is on track to achieve the anticipated short-term, medium-term and long-term results and take remedial action as necessary. The PMP shall guide development of complementary tools that facilitate the following processes:

- Tracking progress in achieving outputs, results and reporting performance honestly and openly, even when results are unanticipated or unexpected.
- Involving stakeholders (including communities and CSOs) and partners in assessing the quality, timeliness, and effectiveness of outputs.
- Assessing the reliability and quality of performance measures and correcting weaknesses when these are found.
- Questioning the underlying causal linkages between activities and results and conducting evaluations and research that can identify ways to strengthen that link.
- Learning from both successes and failures.

The PMP shall be reviewed and approved by the AOR, with input from the USAID/Uganda Monitoring and Evaluation Specialist.

I.5 Evaluation

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.

I.6 Collaborating, Learning and Adapting

In line with the CLA USAID guidance for achieving results, the CLA model ensures that USAID/Uganda's CDCS works as a living strategy, providing guidance and reference points not only for implementation, but also for learning and course correction as needed. Knowledge, development and learning are critical for continuous learning and improvement of program results. Learning organizations are organizations where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is encouraged, and where people are continually learning to see the whole together.

The CLA initiative is particularly relevant for activities such as PCCB which have complex outcomes that are often difficult to measure. To further advance the CLA initiative and in-line with guiding principle # 2, context specific focus, the applicant S propose a periodic analysis of the enabling environment, context, and key assumptions. This analysis shall include an analysis of the activity's geographic presence, allowing for the flexibility to begin work in additional Mission focus districts when the opportunity for productive engagement in political processes presents itself. This will ensure that recipient is responding to and implementing within the constraints and opportunities that may influence the ultimate success of the activity.

¹⁶ The process for developing the PMP and activities should take into consideration the needs assessment.

As referred in the section on substantial involvement, the recipient will incorporate an advisory committee. The committee will only address technical or programmatic issues and not routine administrative matters. Within the emerging multiparty democracy environment of Uganda, it is important that the activity incorporate a level of flexibility to respond to emerging contextual changes to maximize results. Pursuant to the CLA agenda of the USAID/Uganda CDCS, the recipient will facilitate an innovative learning approach from Uganda's contextual dynamics and stakeholder engagement. This will enable the activity to evolve implementation to achieve results. To complement the M&E functions, the grantee will continuously review progress, key challenges and integrate lessons learnt into the activity cycle. In line with this objective, the advisory committee will meet quarterly to discuss progress, contextual dynamics, best practices, and make programming recommendations to both USAID and the Grantee. However, where there is an urgent matter, such as during the lead up to the 2016 general election, the advisory committee may be requested to meet more frequently. As a measure to incorporate stakeholders input into the activity, the committee will comprise the USAID/Uganda AOR, membership from the DGF, Parliament, civil society, political parties and the Grantee.¹⁷ Although the committee will be guided by program documents, it will draw from existing best practices in political processes and consensus building. In addition to participating in the committee meetings, the Grantee will provide meeting space, a secretariat to the committee, and convene meetings. The first advisory committee meeting will be convened within 60 days of the award. USAID/Uganda will appoint members of the Advisory Committee and provide guidance on implementations of the committee recommendations. The recommendations of the committee will guide proposed activities for the subsequent quarter while lessons will be documented as part of the learning agenda.

I.7 Key Personnel

The following key personnel positions shall be a required component of the project management team. Note: USAID retains the right to make the final determination of whether the experience demonstrated meets the requirements and/or relevancy of the position.

Chief of Party:

The Chief of Party shall provide overall strategic leadership and oversight to the activity. S/he shall have depth and breadth of technical expertise and experience, a solid professional reputation, interpersonal skills and professional relationships to fulfill the requirements of the activity description. Experience interacting with host country government agencies in particular the political parties, Parliament, development partners, and civil society organizations including CBOs is essential. The COP is expected to work full-time on the activity. Specifically s/he shall have:

- A Masters' degree or higher in political science, international development or related field, and a minimum of 10 years of experience in development working with political competition and/or consensus building structures, political parties, the media, civil society and communities; including solid experience and understanding of multiparty democracy in developing countries and enabling environments, the role of intermediary support organizations, policy advocacy and citizen engagement, and CSO financial and organizational sustainability.

¹⁷ To help address the learning agenda component of PCCB, the Advisory Committee may incorporate the use of a third party facilitator as needed.

- Demonstrated team player with visionary leadership;
- Excellent managerial and operational experience, preferably in managing large donor projects involving coordination with multiple program partners or institutions in Uganda or the region.
- Experience working with USG supported projects and knowledge of financial rules and regulations at a senior level;
- Experience in mentoring, coaching and skills transfer;
- Experience in developing program work-plans, budgets, managing implementation, staff and short-term technical assistance;
- Excellent representational and communication skills, written and oral proficiency in English, and
- Excellent performance references.

Deputy Chief of Party/Technical Advisor on Political Processes: The Deputy Chief of Party (DCOP)/ Technical Advisor on Political Processes will work closely with the COP in overseeing program operations. The DCOP will also be responsible for the technical direction and oversight of the political party strengthening and related parts of the advocacy component. Specifically s/heshall have:

- A Master's degree in political science, international development, or in a related discipline such as social science. He/she will be responsible for the implementation of component 1 and parts of component 3 of the program, and shall therefore have demonstrated experience of the political processes in Uganda.
- He/she will possess a minimum of five years of work experience in democracy, governance or political processes with a particular focus on entrenching multiparty democracy.
- In addition, he/she shall have three years' experience in providing technical assistance and capacity building support to government institutions, civil society organizations and/or local governments in a developing country context.
- Excellent representational and communication skills, written and oral proficiency in English, and
- Excellent performance references.

Consensus Building Specialist: The Consensus Building Specialist will be responsible for the provision and oversight of technical direction and assistance in support of improved technical, financial, and human resource capacity of participant civil society organizations. He/she will be responsible for implementing component 2 and parts of component 3.

The specialist will have:

- A degree in political science, social policy, public administration or in a related social science discipline.
- He/she will have a minimum of three years' experience in consensus building and civil society engagement with a particular focus on building the capacity of indigenous community groups in advocacy and engagement.
- In addition, he/she shall have two years of technical experience in dealing with multiple stakeholders including CSOs, local government officials and traditional institutions in a developing country. He/she shall have demonstrated experience in civil society engagement in Uganda.

- Excellent representational and communication skills, written and oral proficiency in English, and
- Excellent performance references.

Other Personnel: All other long term personnel will have a minimum qualification of a bachelor's degree or the equivalent professional qualification in the relevant field. In addition, all personnel shall have prior relevant project implementation and management experience. Personnel are required to have teamwork and cross-cultural skills in their day to day work environment as this program involves interaction with multiple and diverse stakeholders. The USAID/Uganda Agreements Officer will approve all key personnel.

I.8 DELIVERABLES

1. **Mobilization Plan:** The mobilization plan will be submitted to the AOR within 15 days of the award. It shall clearly articulate how the grantee intends to start up implementation and shall include timelines for mobilization of key personnel, mobilization of technical leads, plan for hiring, startup/rental of office(s), major equipment procurements etc.
2. **Preliminary Needs Assessment:** As part of the planning process, the Grantee shall conduct a preliminary needs-assessment of political parties and relevant civil society organizations. The needs assessment will compile existing and/or self-assessed information regarding the strengths and weaknesses of relevant stakeholders with the aim of refining and improving proposed project interventions to best achieve project results. The needs assessment shall be conducted within the first 90 days of project award and a five page document summarizing the key findings will be submitted along with the first annual work-plan and approved accordingly.
3. **Performance Monitoring Plan:** A draft PMP will be submitted to the DHCP AOR for approval within 90 days after award and USAID/Uganda will provide comments and/or approval within 30 days thereafter.
4. **Gender, Youth and People with Disabilities (PWD) Strategy Document:** The Grantee shall prepare a 3-page gender, youth and PWD strategy document for USAID approval. The gender and PWD strategy shall explicitly describe how the Grantee will assure that substantial women's and PWD's participation shall be integrated into all activities under this AD. This strategy shall be included in the first annual work plan, and approved accordingly.
5. **Grants Manual:** The Grantee shall prepare a grants manual for final approval by USAID. The draft grants manual shall be submitted within the first 60 days after the initial needs assessment and shall outline the effective processes and procedures the Grantee will utilize and enforce for the management of the grants program including procedures necessary to ensure results are realized and opportunities for fraud and corruption mitigated.

I.9 Environmental Compliance

Section 117 of the Foreign Assistance Act of 1961, as amended, requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.3.11.2.b and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The recipients' environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

1a) 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.

1b) 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 an 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."

2) An Initial Environmental Examination (IEE) has been approved for the Program that will fund this Cooperative Agreement (CA). The IEE covers activities expected to be implemented under this CA. USAID has determined that a categorical exclusion applies to 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 recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

3) 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 CA to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3a) If the Grantee 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.

3b) 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.

4) When the approved Regulation 216 documentation is (1) an IEE that contains a Negative Determination with Conditions the recipient shall:

Prepare an environmental mitigation and monitoring plan (EMMP) or project mitigation and monitoring (M&M) plan describing how the recipient shall, 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. If the approved Regulation 216 documentation contains a complete EMMP or project mitigation and monitoring (M&M) plan, the recipient does not need to complete a new plan. Guidance is available to assist with the EMMP and M&M process at <http://www.encapafrika.org/meoEntry.htm>.

4a) Integrate a completed EMMP or M&M Plan into the initial work plan.

4b) 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.

5) A provision for sub-grants is included under this solicitation requiring the recipient to use the Environmental Review Form (ERF) or Environmental Review (ER) checklist to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not known well enough to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed by the recipient and approved by USAID. The recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented and addressed in annual reports. Guidance is available to assist with the ERF and ER checklist process at <http://www.encapafrika.org/meoEntry.htm>

5a) The Grantee will be responsible for periodic reporting to the USAID AOR as specified in the Activity Description.

6) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise.

I.10 AUTHORIZING LEGISLATION

The authority for this RFA is found in the Foreign Assistance Act of 1961 and the resulting award(s) will be administered in accordance with OMB Circulars, 22 CFR 226, and USAID's Automated Directives Systems (ADS) Chapter 303, "Grants and Cooperative Agreements with Non-Governmental Organizations" as applicable. These policies and regulations can be viewed or downloaded from USAID's Web Site <http://www.usaid.gov/business/regulations/>.

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 this 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 cooperative agreement. **USAID reserves the right to fund any or none of the applications submitted.**

[END OF SECTION I]

SECTION II – BASIC AWARD INFORMATION

II.1 ESTIMATED FUNDING: The total estimated budget for this RFA is \$8 million, subject to the availability of funds.

USAID may make one or more award(s) without discussions to the responsible applicant(s) whose application(s) offer the greatest value to the extent they are necessary, negotiations will be conducted with the apparently successful applicant(s). Award(s) will be made to the responsible applicant(s) whose application(s) offers the greatest value, cost and other factors considered. USAID reserves the right to fund any or none of the applications submitted.

II.2 PERFORMANCE PERIOD: The **four-year period from date of agreement officers signature**. The period of performance is 48 months from the date of the award(s). It is anticipated that the first 21 months will be devoted to political processes and consensus building initiatives, which relate to pre-election. The 12 months after the pre-election period will focus on political processes and consensus building interventions, which strengthen the election year environment, while the last 15 months will support activities related to the post-election cycle.

II.3 AWARD TYPE: USAID anticipates the award will be a **Cooperative Agreement. Substantial Involvement** under the award is expected to be as follows:

Substantial Involvement

The activity will contribute to advancing the USG's support to Uganda's policy priorities for accountable democracy and human rights. As such, the implementing partner will be required to coordinate closely with USAID/Uganda and the U.S. Mission.

USAID/Uganda will provide prior written approval for the following:

- Annual implementation plans. These include the completed needs assessment, work plans, performance management plans, the grants manual, branding and marking plan; and monitoring and evaluation plans including - collaborating, learning and adapting (CLA) plans;
- All key personnel;
- Selected sub award recipients, sub-grants and publications of all solicitations for the small-grants program;
- Agency authority to immediately halt a construction activity, as applicable.
- To help support the CLA agenda, USAID/Uganda will approve advisory committee members, and participate on the advisory committee.
- Approval of the monitoring and evaluation plan.
- Monitoring to authorize specified kinds of direction or redirection because of interrelationships with other projects.

II.4 AUTHORIZED GEOGRAPHIC CODE: The Authorized Geographic Code is 935 for the procurement of goods and services. Reference ADS 308 for current information.

[END OF SECTION II]

SECTION III – ELIGIBILITY INFORMATION

III.1. USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this RFA, any U.S. or non-U. S. organisations, non-profit, or for-profit entity is eligible to apply.

III.2. USAID encourages applications from potential new partners.

III.3. There shall be a **minimum cost share of 3%** in all applications. Cost-sharing, once accepted, becomes a condition of payment of the federal share.

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

IV.1 Electronic Submission of Applications via E-mail is Required.

Applications are to be submitted via email. Please submit your applications to the email address below by **4pm EDT (Washington, DC), April 17, 2013**. RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE USAID/Washington INTERNET SERVER. **Paper copies of the applications are not accepted.** The address for the receipt of proposals is: KampalaUSAIDSolicita@USAID.gov , to the attention of and Tracy J Miller, Agreement Officer. Applications which are submitted late or do not follow the instructions contained herein run the risk of not being considered in the review process.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Note this RFA includes a mandatory minimum cost share percentage of 5% of the total proposed USAID contribution to the program. Per ADS 303.3.10.3, applications that do not meet this minimum cost sharing requirement are not eligible for award consideration.

Applications must take into account the evaluation criteria provided in **Section V** and must include the Representations and Certifications provided in **Attachment G**. In the event Representations and Certifications are not submitted with the Application, they must be completed before final award is made.

Please note that Technical and Cost Applications shall be kept separate. USAID wants to leverage its assistance and applicants must make a clear commitment to provide cost sharing and a statement of how much (in percentage terms) of the budget they are going to raise from other sources. **The Cost Application must contain a clearly identified section on cost sharing including sources for those funds.**

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

IV.2 Technical Application Format

Applications must be submitted electronically in Times New Roman 11pt., MS Word and .pdf (Adobe Acrobat) versions. In case of any conflicts between the MS Word and .pdf versions of the application, the .pdf version will govern as it will be the version presented to the Technical Evaluation Panel.

Applicants are advised that any pages exceeding any of the prescribed limits below will not be considered for evaluation.

Applications must be legible and must *not* require **magnification** (!). Please be kind to the evaluators and keep the technical application clear, concise, easy to follow, while also in complete compliance with the instructions herein.

The technical application (**maximum 30 pages – not including annexes**) should clearly

and concisely outline how the Applicant proposes to meet the critical needs identified in the objective(s) and how the Applicant will achieve its expected results.

The application must include a detailed description of the management approach for implementing the proposed program, which includes specifying the composition and organizational structure of the entire implementation team (including home office support); describing each team member's role and level of effort.

The technical application shall include the followings sections:

1. Cover Page (not included in 30 page limitation)

The Cover Page should include proposed program title, RFA number, name of Applicant organization(s) submitting application, contact person, telephone and fax numbers, email, and address, and DUNS number

2. Table of Contents that follows the technical application format outlined herein (not included in 30 page limitation)

3. Executive Summary

The Executive Summary should concisely describe how the Applicant proposes to meet the project requirements, what activities are proposed, and how the Applicant intends to achieve the anticipated results. It should also briefly mention personnel and technical/organizational resources, and describe how the program will be managed and monitored.

4. Technical Approach

The technical approach must demonstrate an in-depth understanding of the development challenges in Uganda, and outline specific activities and explain how the proposed activities would help achieve the Political Competition and Consensus Building objectives. Applicants are encouraged to propose innovative yet realistic approaches that are most appropriate in the context of Uganda. The technical approach must clearly address the factors outlined in the evaluation criteria in of this RFA.

a) Activity Description (AD)

Proposals should be responsive to the solicitation, appropriate in the country context, and should exhibit originality, substance, precision, and relevance to USAID/Uganda's democracy and governance objective to strengthen Uganda's systems and make them more accountable.

Applicants should describe how the proposed program activities in the activity description will be realized and how the selected tasks will complement each other. Applicants should also describe how they propose to integrate the program's components to achieve the objectives of the program stated in this RFA. Applicants are also expected to define what they consider feasible to achieve within a four-year timeframe, with an \$8 million budget, given the current status of multiparty democracy in Uganda and the political and socio-economic situation.

Applicants are recommended to present the following for each component in the AD:

- An overview of the proposed interventions.
- A detailed outline of the methodology that will be used to implement the proposed interventions.
- An analysis of anticipated implementation challenges.
- A summary of expected outputs with their expected impact, utilizing indicators that will be used to track progress towards the anticipated results.

The technical approach should demonstrate (1) analytical depth, clarity, and responsiveness to the RFA, (2) state-of-the-art technical knowledge, innovation and creativity, and (3) feasibility of proposed strategies and proposed impact, (3) what mechanisms are in place to avoid duplication with inputs/outputs from current and previous USAID-financed multiparty democracy programs or with other donor programs. The applicant shall propose innovative monitoring methods that assess difficult to measure outcomes such as changes in motivations, attitudes and behavior.

b) Key Personnel and Staffing Plan

Applicants are expected to provide a proposed staffing plan that covers both key personnel (requiring USAID approval) and support staff, documenting the underlying rationale regarding the staffing configuration. Brief position descriptions should be included. The staffing plan needs to be accompanied by an organizational chart demonstrating the lines of authority and staff responsibility (included in the page limit). USAID/Uganda expects that the Recipient of the award will maintain the minimum necessary full-time technical and support staff.

The staffing plan should highlight where the Applicant anticipates the involvement of technical experts on an ad hoc and/or short-term basis. The staffing plan should explain how additional expertise and skill mix might be obtained while attending to the necessity of cost containment, sustainability and avoiding unnecessary staffing.

Special attention should be paid to the key personnel positions. Key personnel are those considered essential to the work being performed under this Agreement, and must be approved by USAID/Uganda prior to their employment. Applicants must propose key personnel and specify the qualifications and abilities of proposed key personnel that are suited to successfully implement the proposed technical approach.

The proposed staffing plan must include the following key personnel positions:

- Chief of Party (COP)
- Deputy Chief of Party/ Advisor on Political Processes
- Consensus Building Specialist

Applicants may propose and justify different titles for the proposed key personnel which USAID/Uganda will consider. This must include the required qualifications and intended job responsibilities of key personnel proposed, if the position is different from one listed above. Please refer to the section I.7 “Key Personnel” for the desired qualifications and functions for the proposed key personnel.

USAID will entertain one expatriate under this program.

c) Management Plan

The applicants shall propose a management plan and describe how the proposed plan will contribute towards achieving the objectives and results described in the activity description. The proposed plan should:

- specifically state and justify the composition and organizational structure of the entire project team.
- describe how the technical expertise and experience of all staff members is most conducive to achieving expected results of the Political Competition and Consensus Building Program.
- the staffing plan shall reflect the minimum number of highly experienced technical staff sufficient to manage and implement activities under this award; the degree to which the proposed staffing plan establishes well-defined lines of authority, responsibility, communication and how management techniques will facilitate the early identification and resolution of problems and allow the Applicant to respond to changes and challenges.
- The guiding principles focusing on gender and youth shall be applied to the management plan as well.
- The plan should specify the role and estimated amount of time each staff member will devote to the program and/or specific components within the program.
- Delineation of roles, responsibilities, authority, and processes for decision making within applicant's in-country team and between the home office and the field must be spelled out clearly. Components 1, 2 and 3 shall be very closely coordinated by a management team with shared responsibilities. Management of components 1 and 3 is expected to be particularly closely tied given the direct focus on political parties.

If the Applicant presents as a consortium / partnership of organizations or groups, the proposal shall:

- clearly demonstrate the expertise of the participating partners and the unique set of experience and expertise they bring to strengthen the activities undertaken within this RFA.
- The plan should also clearly delineate the roles, responsibilities and lines of communication/authority between all consortium members.
- The services to be provided by each partner Institution or organization (if any) as well as the type of contractual relationship shall be described.
- At the same time, the management plan needs to be efficient in response to budgetary constraints.

Key personnel shall be proposed by name and position. The key personnel positions requires USAID/Uganda approval, as noted in substantial involvement provisions. Applicants are highly encouraged to include and maximize the use of available and qualified local and or regional technical expertise to compose an implementation team so that the project team collectively demonstrates a balance of strong technical, regional and management/diplomacy skills. The Applicant should take into consideration USAID's and the GoU's desire to have Ugandans and regional nationals incorporated into leadership and technical positions, a key feature for the successful operation, relevancy and sustainability of PCCB initiatives. The Chief of Party and the project team should collectively be able to maneuver the political land-scape pertaining to political processes while implementing in a conflict sensitive manner. The success of this type of work will highly depend on supporting systems and processes outside the control of the Grantee, which will require that the Grantee be fully acquainted with the relevant

Ugandan systems and processes.

The focus is on how to efficiently and effectively use the human, technical, and organizational resources at hand. Among other things, USAID/Uganda expects the Applicant to address the following issues:

- How will the Applicant mobilize in terms of personnel, logistics set-up, and establishment of management and financial control systems?
- To which degree will management authority devolve from the home office of the Applicant to the Kampala office? USAID/Uganda expects the program to be managed locally, with all management decisions, including financial decisions, and administrative responsibilities delegated to the Kampala office. The Recipient's home office is expected to provide managerial oversight and administrative backstop, and technical assistance as needed.
- Where will project offices outside of Kampala be located and which field offices are envisaged? USAID encourages the establishment of field offices and expects the Applicant to establish as a minimum three regional offices outside Kampala.
- To what degree will the operational and financial management structure, decision-making procedures and staffing pattern allow the project to (1) effectively coordinate implementation between the Kampala and regional offices and (2) ensure sufficient flexibility to respond to potentially unpredictable restrictions in project implementation?
- Applicants shall describe a sub-grants management plan including the process of identifying and supporting sub grantees. Applicants must also specify the technical resources and expertise of proposed subcontract/sub recipient organizations, as well as how the Applicant will ensure that each partnering organization contributes to the overall strategy and implementation and that the technical components and activities of the program will be integrated and coordinated?
- USAID/Uganda places high value on the Applicant's ability to ensure that all project staff create and maintain effective working relationships with counterparts. How will the project work in a collaborative and inclusive team oriented manner with local partners, the Government of Uganda, other USAID programs, and other implementing organizations to achieve results?
- To what extent will the Political Competition and Consensus Building Program have its own identity separate from the identity of the Applicant institution(s)?
- What type of strategies or approaches for cost containment will be adopted?

d) Summary of Relevant Past Performance

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.

5. Annexes

These should include the following (Annexes do not count in the 30 page limitation):

Annex I. Mobilization Plan (3 pages maximum)

A 90-day mobilization Plan that identifies an implementation schedule which is feasible yet reflects a rapid mobilization and start-up. The mobilization plan must outline how the applicant will get the activity underway both at the Kampala and sub-national level and include a clear timeline. The plan should note key meetings and deliverables.

Annex II. Summary Work Plan (5 pages maximum)

A summary work plan covering proposed activities for the first year.

Annex III. Summary Performance Monitoring Plan (PMP) (2 pages maximum)

An illustrative PMP identifying appropriate milestones, gender sensitive indicators and targets (including sex and youth disaggregated targets), as well as plans to gather and utilize baseline data. In addition, the PMP is expected to reflect concern for results and include proper impact indicators.

Annex IV. Relevant Past Performance Information (Recipient and Key Partner Organizations) (3 pages maximum)

Past Performance Information must contain the following:

Description of Applicant's, and prospective partner's previous work and experience relative to the proposed activity;

List of all awards involving similar or related programs, whether or not involving USAID, during the past three years;

List of references and information such as location, award numbers if available, brief description of work performed and contact information with current email addresses and telephone numbers.

Applicants shall state whether or not they have existing relationships with proposed partner organizations and the nature of the relationship (i.e.: subcontractor, partnership etc). The Applicant must specify the technical resources and expertise of proposed organizations.

USAID will contact past performance references. USAID/Uganda reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

Annex V. Resumes for Key Personnel (3 pages per candidate)

This section should include resumes for all key personnel candidates and any other personnel proposed for significant positions. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Each resume shall be accompanied by a signed Letter of Commitment from each candidate

indicating his/her: (a) availability to serve in the stated position, in terms of days after award; (b) intention to serve for a stated term of the service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

Resumes for key personnel should include three performance references for each proposed key position, including up-to-date telephone numbers and e-mail contact information. Please note that documentation that reflects an “exclusive” relationship between an individual and an Applicant is not requested and should not be submitted.

Annex VI. CSO Summary Mapping (1 page maximum)

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. The mapping should include national and sub-national level CSOs.

Applicants must be able to demonstrate an understanding of the array of potential CSO partners in Uganda and their capacity building needs in order to develop an informed program design in response to this solicitation. The mapping should:

- Briefly describe the current role of each CSO in the Ugandan political land-scape
- Verify whether the organization falls within ‘category A’ or ‘category A’ described in section I.3.5 of the AD
- Identify possible capacity building needs for each organization.

Annex VII. Sustainability Plan (1 page maximum)

A one-page sustainability plan, which demonstrates that the applicant will ensure that the program results will be sustained after completion of the Political Competition and Consensus Building Program.

Annex VIII. Representations and Certifications, Assurances:

See Attachment G for the required representations and certifications that are to be included as Annex VIII to the technical proposal.

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

IV.3 Cost Application Format

The Cost Application is to be submitted via a separate email from the Technical Application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources. A Cost Application consists of:

- **SF-424***, Application for Federal Assistance;
- **SF-424A***, Budget Information – Non-Construction Program;
- **SF-424B***, Assurances – Non-Construction Programs;
- a summary budget;

- a detailed/itemized budget; including illustrative costs for environmental compliance implementation and monitoring
- a budget narrative explaining costs to be incurred; and
- other administrative documentation as required.

*These forms may be downloaded from the following website:
http://www.grants.gov/agencies/aforms_repository_information.jsp

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

The required budget format is found in Attachment J of this RFA.

Please be sure that the budget includes at least the following elements:

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program, in the same detail and format as the budget template;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement, including, the breakdown of the financial and in-kind contributions (cost sharing) of all organizations involved in implementing this Cooperative Agreement.

NOTE: The award will not provide for the reimbursement of pre-award costs.

Also include:

- a) Information that confirms and ensures that the proposed cost sharing will materialize.
- b) Details of sub-award arrangements to the extent they are known at the time of application development: In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact. If there are formal legal arrangements such as sub awards or sub contracts please clearly explain how these are to be structured and list past experience between the organizations.

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

- c) A copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.
- d) A copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

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

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

IV.4 Marking and Branding

MARKING AND BRANDING: Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently Recipient will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. **Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.**

[END OF SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

Overview

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

USAID Uganda intends to evaluate the applications and award an agreement without discussions with the applicants. However, USAID reserves the right to conduct discussions if the latter is determined by the Agreement Officer to be necessary. Therefore, the initial offer should contain the applicant's best terms from a Technical and Cost/Price stand point.

The criteria presented below have been tailored specifically to the requirements of the Political Competition and Consensus Building RFA. Applicants should note that these criteria serve to: (a) identify the significant matters, which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The decision will be based on how effectively the applications completely address each program component. To facilitate the review of applications, applicants must organize the narrative sections of their applications with the same headings and in the same order as the selection criteria.

The criteria by which the Grant Applications will be assessed are as follows, in descending order of importance:

Evaluation Criteria

- A. Technical Approach
- B. Key Personnel
- C. Management Capacity
- D. Past Performance and Institutional Capability

A. Technical Approach– sub-criteria are of equal importance

a) The technical application clearly demonstrates excellent understanding of the overall activity description, including the objectives, activities and methods involved, and it demonstrates an ability to apply evidence-based best practices and techniques to reach clearly defined and feasible results. Evaluations and scoring will specifically weigh and recognize those applications that demonstrate innovativeness, cohesion, synergy and sustainability.

b.) The application integrates the guiding principles, key considerations, cross-cutting themes and monitoring and evaluation considerations in all three components. The technical application demonstrates knowledge of Ugandan context (laws, policies, institutions and procedures) and how the applicant would coordinate with Ugandan stakeholders.

B. Key Personnel

The application demonstrates that proposed key personnel (individually and as a whole) have the breadth and depth of background (education and experience), expertise and skills in management and implementation of similar development programs in comparable environments, and exemplary diplomatic and interpersonal skills.

C. Management Capacity (sub-criteria of equal importance)

a) The Management Plan consists of a clear and concise description of how organizational structures, lines of communication and authority, and partnerships are conducive to effective project implementation including the ability to adapt to a changing context.

b) Demonstrates a clear delegation of authority of overall management from headquarters to the field; a mobilization plan; and, a physical set up that will facilitate implementation both at national and sub-national levels.

c) The Management Plan demonstrates how sub-grants will be managed and how local partnerships will be advanced to ensure complementarity.

D. Past Performance and Institutional Capability (sub-criteria of equal importance)

a) Past performance must demonstrate experience and performance of the primary Applicant (as well as any partners substantially involved in implementation) in managing and implementing similar or related donor funded programs.

b) Past Performance must demonstrate the Applicant's capability to plan, implement, monitor, and report on similar multiparty democracy and civic engagement programs as well as performance in methodological and technical capacity to achieve the results described in this RFA.

- c) The Applicant's past performance must demonstrate clear organizational relationships with a record of partnership-building, managerial adaptability, team-building, and communications skills. Demonstrated familiarity with the situation in the region is highly desired.

COST EVALUATION

Cost has not been assigned a weight but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness - including cost share - and realism, adequacy of budget detail. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. Applications providing the best value to the Government, including cost share, will be more favorably considered for award. Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding selected for award.

[END OF SECTION V]

SECTION VI – AWARD ADMINISTRATION INFORMATION

- 1) Following selection for award, a Recipient will receive an electronic copy of the notice of award signed by the Agreement Officer which serves as the authorizing document. USAID will issue the award to the contacts specified by the applicant in its application documents and/or the Authorized Individuals submitted by the applicant.
- 2) The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site:
<http://www.usaid.gov/policy/ads/300/303.pdf>.
- 3) The following programmatic reporting requirements shall be made part of any award issued under this RFA:

Program Reporting

The Recipient shall submit one original, two (2) hard copies and an electronic copy of the following reports in English to the USAID/Uganda Agreement Officer Representative (AOR) for approval:

1. Annual Work plans: The annual work plan will describe activities to be conducted at a greater level of detail than the AD and application in response to the AD, but shall be cross-referenced with the applicable sections in the AD. All work plan activities must be within the scope. Work plan activities shall not change the AD or any other terms and conditions of the program in any way. Such changes must be approved by the AOR, in advance and in writing. Thereafter, if there are inconsistencies between the work plan and the AD or other terms and conditions of this AD, *the latter will take precedence over the work plan*. The work plan shall include a schedule of activities and tasks planned to be conducted, and the inputs planned to be provided, by the Grantee, including a description of planned activities. The work plan must also describe the anticipated achievements towards performance indicators set forth in the performance monitoring system. Included shall be an explanation of how those achievements are expected to contribute to the IR level results. An estimated budget and a pipeline analysis, identifying the anticipated inputs shall also be included.

USAID/Uganda will approve the completed work plans. The Grantee will prepare the work plans in consultation with and inputs from the advisory committee, partners and beneficiaries of this program. The first annual work plan shall be due in draft 90 days after award of the CA. USAID/Uganda will respond to the draft within 30 days and the Grantee will provide the final version 30 days after receipt of comments by USAID. The Annual Work plan can be integrated with the Annual Report.

2. Quarterly Activity Reports: The Grantee shall submit quarterly activity reports that include narratives of quarterly achievements, and progress against the work plan, PMP and indicators. A format for the quarterly report shall be approved by the AOR on an annual basis. The quarterly reports shall describe and assess the overall progress to date based upon agreed performance indicators. The reports shall also describe the accomplishments of the Grantee and the progress made during the past quarter; include

information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, subcontracts, and grants). The quarterly reports shall highlight any issues or problems that are affecting the conduct or timing of activities by the Grantee. Any outreach or press reporting about the activity should be included with the reports. Attached to the second quarterly report, the Grantee shall provide USAID/Uganda with an appropriate one-page web-postable activity description that can be posted on the Mission websites. The Grantee will also submit financial allocation summaries (including accruals when requested) to USAID/Uganda to reflect results and activities of each preceding quarter. The Grantee shall also prepare quarterly financial reports showing the amount of funding and level of effort spent and accrued during the quarter, cumulative spending, and estimates for the next quarter. 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.

3. 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 each year.

4. Final Performance Report: The final performance reports are due 90 calendar days after the expiration or termination of the award. The Grantee shall prepare a final report at the end of the activity period and submit three copies of a final/completion report to the AOR. The report shall summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation. It shall cover the entire four-year period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories, and detailed financial information. It should be grounded in evidence and data. The final/completion report shall also contain an index of all reports and information products produced under this Cooperative Agreement. The Grantee shall submit a draft final report to USAID no later than 30 calendar days after the completion of the project activity. A copy of the final performance report shall be filed with the Development Experience Clearinghouse at: <http://dec.usaid.gov> or <http://www.DocSubmit@usaid.gov>.

Synopsis of Reports/Plans

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

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

Agreement Officer
USAID/Uganda
US Embassy Compound
Plot 1577 Ggaba Road
Kampala, Uganda

[END SECTION VII]

SECTION VIII – OTHER INFORMATION

Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 22 CFR 226, applicable OMB Circulars (i.e., A-21 for Universities or A-122 for Non-Profit Organizations, and A-133), and Standard Provisions for Non-Governmental Organizations.

- ADS 303 is available at: <http://www.usaid.gov/policy/ads/300/303maa.pdf>.
- 22 CFR 226 is available at: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html. Applicable
- OMB Circulars are available at: <http://www.whitehouse.gov/OMB/circulars/index.html>.
- Standard Provisions for U.S. Non-Governmental Organizations are available at: <http://www.usaid.gov/policy/ads/300/303maa.pdf>.

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS 308.5.15.

Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

Standard Provisions for Non-U.S. Non-Governmental Organizations are available at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>. ADS 308 is available at: <http://www.usaid.gov/policy/ads/300/308mab.pdf>.

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: <http://www.usaid.gov/oig/legal/audauth/rcapguid.pdf>.

PEB 2012-05 "Hortatory Language for Introduction of Mobile Money - Better Than Cash (BTC) Initiative

[END SECTION VIII]

SECTION IX – REFERENCES AND ATTACHMENTS

Attachment A	Democracy and Governance Strategy and Assessment Summary
Attachment B	Historical Background- Summary
Attachment C	DO2 Results Framework
Attachment D	USAID/Uganda Activities Directly Relevant to PCCB
Attachment E	Lessons learned from the Strengthening Multi-Party Democracy Project (SMD)
Attachment F	List of Mission Focus Districts
Attachment G	Representations, Certifications & Assurances
Attachment H	Budget Template

Attachment A: Democracy and Governance Strategy and Assessment - Summary

Since USAID/Uganda was required to complete its CDCS only a few months before the 2011 election in Uganda, the Mission decided to defer some of its Democracy, Rights and Governance (DRG) strategic and programmatic decisions until after the election. The Mission also thought of this in the context of a critical Collaborating, Learning and Adapting (CLA) activity to ensure direction was appropriate to the context and the CDCS would be a “living strategy.” The DRG CLA activities included: the Democracy and Governance assessment; program evaluations; discussions with local civil society and politicians; other donor directions and activities; and USG foreign policy considerations. As a result of this extensive process, DRG revised its strategic approach to political processes programming and added rule of law and human rights to its DRG results framework.

The Democracy and Governance Assessment (DGA), which was an important part of the learning process, was conducted in order to identify major trends and challenges with regard to democratic politics and governance in Uganda, in order to inform the design of USAID/Uganda’s new programs.

Based on the situation in Uganda and long term USG interests, the DGA concluded that USAID/Uganda should assist those Ugandan actors who are willing and have the ability to protect and advance democratic freedoms, rights and accountability. Based on this conclusion, the DGA recommended that the Mission revise its approach to support key actors of democratic rights and accountability in Uganda. The Report recommended that USAID/Uganda adopt a dual approach to DRG programming that includes both:

- 1) The use of DRG funds to carry out stand-alone programming to support democratic freedoms, rights and accountability, and
- 2) The use of other sector resources to carry out DRG programming with and in support of good governance objectives in those sectors.

In particular as it relates to the first recommended approach, the DGA recommended that USAID/Uganda develop new programs to: 1) bolster judicial independence and human rights; 2) protect and professionalize the media and 3) build Uganda’s democratic political parties. The goals of the support would be a) to protect the political and human rights of Ugandans, b) to reinforce checks and balances, and c) to support Uganda’s transition to a full multiparty democracy.

On the use of other sector funds for DRG programming, the DGA concluded that the objective of such interventions would be to protect the integrity and enhance the quality of USAID/Uganda’s investments in other sectors (notably health and agriculture) by placing greater emphasis on public participation, transparency and accountability. Second, to better use the USAID/Uganda and donor-supported health service delivery infrastructure to strengthen civic and rights awareness. For strategic development policy reforms in non-DG sectors, the goal of the proposed programming would be to: a) to increase public participation and technical expertise in the formation of development policies of importance to USAID/Uganda work in health and agriculture and b) to provide a mechanism for USAID/Uganda to engage on policies that affect its health, global climate change, and Feed the Future investments, and to bolster USAID/Uganda’s in house capacity to monitor and address corruption and integrity issues. The DGA further recommended that USAID/Uganda’s DRG and health teams explore ways to do rudimentary legal rights awareness and civic education campaigns through health

service providers such as HIV/AIDs organizations, and that the DRG team explore ways to work more with and through religious organizations on corruption and human rights issues.

**Attachment B: Historical Background –
Summary**

A controversial feature of Uganda's politics since 1986 is the "no party" political system, or Movement System. At the outset, the National Resistance Movement (NRM) governed through a broad-based cabinet of civilians and the National Resistance Council (NRC), which functioned as a Parliament. The Movement System purported to be inclusive of all diverse political beliefs. Its stated purpose was to eliminate ethnic and religious sectarianism and violence that had plagued Ugandan politics since independence. Though political party activities were suspended, party structures were legal. Uganda's 1995 Constitution entrenched political participation and voting, but prohibited political parties from sponsoring candidates. The referendum of 2000 found that 91 percent of Ugandans were in favor of continuing the Movement System. However, it is noteworthy that voter turnout was low and the pro-multiparty side had limited opportunity to present its case. After 2001, international and domestic pressure for the restoration of multi-party democracy in Uganda became more insistent. In July 2005, Uganda held a second referendum on whether to restore multiparty democracy. Opposition parties and civic groups boycotted the referendum, citing high costs and problems in the electoral environment. Yet, according to results published by the Electoral Commission (EC), 92 percent of Ugandans who voted supported the return to multiparty rule. Prior to the referendum and through what some defined as a contentious process, Members of Parliament (MPs) voted overwhelmingly for a constitutional amendment, which abolished presidential term limits in June 2005. The 1995 Constitution had provided for a maximum of two five-year presidential terms.

The February 2006 general election involved several violent clashes between security personnel and opposition supporters, resulting in three deaths. Thirty-three political parties registered ahead of the 2006 elections with the Forum for Democratic Change (FDC) mounting the strongest opposition to the NRM. FDC was led by Colonel Kizza Besigye, the runner-up in the 2001 presidential elections. Two weeks after Dr. Besigye's return from exile in South Africa, the police arrested him. Court proceedings following his arrest significantly hampered his ability to campaign. Consequently, tensions ran high throughout the country, which made for hotly contested Presidential and Parliamentary races.

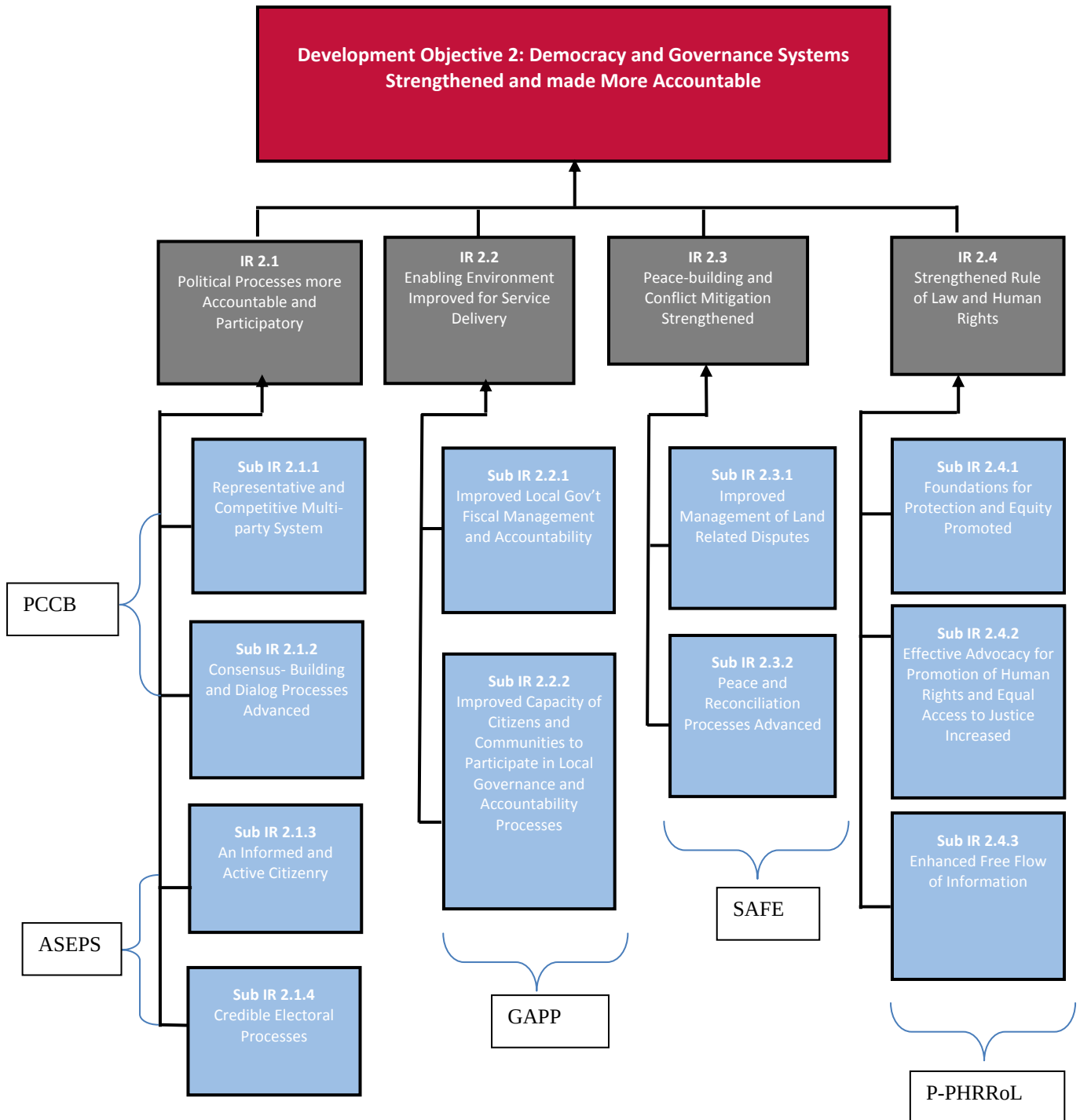
On February 23, 2006, Ugandans participated in the country's first multi-party general elections since 1980. President Museveni won the election with 59 percent of the total vote while Dr. Besigye, received 37.36% of the votes. Although there was little violence on Election Day, reports of fraud and major irregularities marred the elections. According to international observer and domestic monitor statements, the general election process in Uganda fell short of expectations of a free and fair election. However, observers and monitors noted that the election itself was largely transparent and well administered. Observers cited the first time use of a computerized voter register with photographs as an improvement. The USG supported an independent and parallel vote tabulation, which substantiated the official results tallied and announced by the Electoral Commission. Efforts by the FDC to contest the results of the 2006 Presidential elections through appeals to the Supreme Court were unsuccessful. However, the Supreme Court, found by a majority decision of four to three, that although the irregularities did not affect the result of the elections in a substantial manner, the EC had failed to comply with the provisions and principles of the Constitution; the *Presidential Elections Act*; and the *Electoral Commission Act* in several areas.

The 8th Parliament was Uganda's first multiparty parliament in 26 years. It had 332 seats, of which the NRM had 212 seats, the main opposition party, FDC had 38 seats,

the independents (those not belonging to a particular party) had 40 seats with other smaller opposition groups holding 19 seats collectively. In the 8th Parliament, the Opposition held a recognized office with an elected Leader of the Opposition, a 21 member Shadow Cabinet, and chaired of four financial oversight committees.

In February 2011, Uganda held its second multi-party elections. President Museveni was elected to a fourth term with 63% of the vote and his party the NRM, won the overwhelming majority of seats in the Parliament. The 9th Parliament has 350 members - made up of 238 constituency seats and 112 district women representatives. NRM has 250 seats, FDC has 34 seats; the independents have 41 seats with the other smaller opposition groups holding 24 seats collectively. The 9th Parliament has shown signs of checking Executive power as exemplified in the bipartisan supported oil resolution of October 11, 2011. The resolution placed a moratorium on the execution of oil contracts, called for a review of existing production sharing agreements including contracts with confidentiality clauses, sought accountability of oil revenue, and resolved to set up an ad hoc parliamentary committee to investigate bribery allegations against two cabinet ministers and the Prime Minister. In 2012, Parliament continued to exhibit signs of balancing power as was witnessed in the Parliamentary debates on oil and the budget.

Attachment C: DO2 Results Framework



Attachment D: USAID/Uganda Activities Directly Relevant to PCCB

Activity to Support Electoral Processes (ASEPs)

The Activity to Support Electoral Processes is still in the design phase. The activity will likely consist of a two-part approach linking civic education with targeted activities to support peaceful and credible elections in 2016.

Project for the Promotion of Human Rights/Rule of Law (P-PHRRoL)

The Project for the Promotion of Human Rights and Rule of Law will bolster a national approach to governmental and non-governmental efforts to strengthen rule of law and respect for human rights in Uganda. The activity will strengthen systems and procedures for a more transparent, efficient, and independent judiciary; will foster advocacy for the promotion of human rights and equal access to justice; and advancing the flow of information in order to protect and promote the rule of law and human rights.

The Governance, Accountability, Performance and Participation Program (GAPP)

GAPP will increase participation, accountability and local governance for effective service delivery. This five year, \$20 million program will enhance accountability within local government institutions, strengthen the Government of Uganda (GOU) accountability institutions, improve local governance, and support civil society organizations (CSOs) and other non-state actors to: improve the legal, policy, regulatory and institutional environment for local governments; improve fiscal management and accountability in the delivery of services in target districts; and, improve the capacity of citizens and communities to participate in local governance.

The Securing Access to Justice, Fostering Peace and Equity Program (SAFE)

The purpose of SAFE is to support peace building and conflict mitigation in Uganda. The program will strengthen mechanisms for resolution of conflicts over land, oil and ethnic diversity. It will further enhance the capacity of local actors to prevent violent conflict and transform them into peaceful outcomes while promoting reconciliation through training, technical assistance and a civil society grants program. The geographic focus of SAFE is on the oil rich Albertine region, the Lord's Resistance Army (LRA) affected Northern Uganda, and Central region.

Attachment E: Lessons-Learned from the Strengthening Multi-party Democracy Project (SMD)

There is high potential for impact at the regional/district levels

The SMD Evaluation found that the entry point for political processes initiatives is critical to improving impact and long-term sustainability. The Evaluation suggests that the greatest potential for sustainable impact on political processes is at the sub-national level, though regional activities need to be linked and coordinated with national-level structures.

Activities need to reach to a critical mass of sub-counties and parishes to have impact

The SMD program was thinly spread in target districts and the project implementer was not regularly present in target locations. This minimized the long-term impact of interventions. The ideal strategy will take on the challenge of linking national to local efforts, possibly through a regional approach with regional coordinators embedded with partner organizations at the regional level. These regional coordinators could ensure coverage down to the sub-county and parish level. The number of target districts should be realistically defined given the available budget.

A comprehensive monitoring/advisory system can help coordinate activities

It was clear that district actors, particularly CSOs, did not work towards achievement of the objectives of the SMD program, but rather focused on their own objectives. To ensure that all stake-holders contribute to achievement of the same objectives from national to sub-county level, a comprehensive monitoring and coordination system should be established and coordinated by an advisory-committee type function.

Ownership by key stakeholders ensures buy-in and support

The evaluation noted a failure to breed ownership and sustainability, as key stakeholders were not involved in planning, selection of participants, design of activities and monitoring. This resulted in suspicion regarding the motives and objectives of the activity and lessened participation in project- supported activities. Key stakeholders, including political (opposition AND majority) and civil society entities, should be actively involved in planning, setting implementation strategies and monitoring and adjusting activities. Alignment with government, CSOs and political parties' development/strategic plans would also contribute to a greater degree of sustainability as would establishing formal relationships through MoUs or other means.

Timing of activities is critical

SMD began interparty dialogue processes just before the 2011 elections. As a result, parties were not motivated to build consensus around politically volatile issues as they were seeking to distinguish themselves for the electoral campaign activities. Inter-party dialogues should be launched well ahead of any key political milestones to achieve greatest impact.

Parliamentary representation is not the most appropriate criterion for party eligibility

Under the SMD program the criterion used by SMD to select the political parties with which to work was based on representation in the 8th Parliament, although CP and JEEMA each only held one seat respectively. Some parties with representation in the 8th Parliament did not have other attributes of a political party with respect to structures and operations. Consideration should given to other parties that may not have representation in Parliament but do have a strong grassroots party structure and nationwide support and representation.

Parliamentary caucuses require targeted capacity-development

Caucuses have in various national contexts proven to be useful mechanisms for building consensus across party lines, however, SMD sponsored caucuses did not have the intended effect. To promote productive dialogue, activities should go beyond simply providing opportunities for consensus-building and should address the underlying barriers to effective dialogue. These include:

- Access to and knowledge of well-researched policy information (perhaps through a research secretariat)
- Capacity to articulate policy findings and subsequent positions confidently and in neutral, non-value laden terms that are more likely to set the stage for agreement. There should be a move away from the workshop approach to building dialogue capacity and towards a retreat methodology which would allow parties to focus and gain deep understanding of one specific issue before debating it in parliament.
- More democratic structures within the parties themselves.

Existing capacity of CSO partners is an important consideration for achieving results

SMD had high expectations regarding the institutional capacity and resources of civil society beneficiaries, particularly at the district level. The program therefore did not make significant provision for skills development, institutional capacity development, and necessary administrative and logistical support costs related to implementation of activities. Ongoing activities should either include proactive provisions for capacity development or, revised selection criteria to focus only on those organizations with an existing higher threshold of capacity.

Political process activities may be integrated with development program of local governments

Local government representatives interviewed in the SMD evaluation believe they could budget the provision of support to SMD-type activities if they could become part of their development plans in a politically neutral way. This could be an important aspect of a sustainability strategy for future activities.

Local context is an important factor to training success

Most training interventions in SMD were only one or two days and covered various topics per day without follow-up opportunities for application. In addition, trainers were reportedly brought from Kampala and much younger than most of the training participants. As such, most of the CSOs interviewed felt that the trainings were difficult to understand and did not respond to the specific needs and challenges of their district. This might be addressed by extending the length of trainings and establishing 'training teams' that consist of a technical expert from outside the district and a local expert from the area.

Attachment F: List of Mission Focus Districts

1. Amuru
2. Bugiri
3. Bushenyi
4. Dokolo
5. Gulu*
6. Ibanda
7. Iganga
8. Isingiro
9. Kamuli*
10. Kamwenge
11. Kapchowra
12. Kasese*
13. Lira*
14. Luwero
15. Oyam
16. Mayuge
17. Mbale
18. Pader
19. Sironko

*Mission Focus Districts where SMD worked

Attachment G: Representations, Certifications & Assurances

Attachment H: Budget Template