



USAID | DOMINICAN REPUBLIC

FROM THE AMERICAN PEOPLE

June 3, 2008

Issuance Date: June 3, 2008
Closing Date: July 21, 2008, 12:00 hours, Dominican Republic local time

Subject: Request for Application Number 517-08-010 (RFA 517-08-010)
Batey Community Development Project

The United States Agency for International Development Mission in the Dominican Republic (USAID/DR) is hereby issuing a Request for Applications entitled "Batey Community Development Project". In that regard, we're requesting applications from interested institutions based on the attached Program Description. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objectives.

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.

Subject to the availability of funds, USAID intends to award a single grant not to exceed \$5,000,000.00 in total funding to be allocated over a 2-years period. USAID reserves the right to reduce, revise, or increase application budgets in accordance with the needs of the program and the availability of funds. Awards made will be subject to periodic reporting and evaluation requirements and substantial involvement by USAID. Final authority for assistance awards resides with the USAID/DR Regional Agreement Officer.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Application Format;
2. Section B – Program Description
3. Section C - Selection Criteria;
4. Section D - Certifications, Assurances, and Other Statements of Recipient;

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".

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 application 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, applicant is hereby notified of these requirements and conditions for award. Application is submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

If you have any questions regarding this request for applications, please direct them to Rosa A. Jimenez and Miguel O. Roman via e-mail to (rosjimenez@usaid.gov and mroman@usaid.gov) no later than June 23, 2008.

We look forward to reviewing applications and ask that you please submit the application to USAID, through Rosa A. Jimenez no later than Tuesday, July 21, 2008 at 12:00 hrs DLt.

Sincerely,

/s/

Sharon Wayne
Agreements Officer
USAID/Dominican Republic

SECTION A - APPLICATION FORMAT

I. PREPARATION AND SUBMISSION GUIDELINES

The Application will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Late applications will not be considered for award unless the Agreement Officer determines it is in the Government's interest.

The application should be prepared according to the structural format set forth below.

Technical application should be specific, complete and presented concisely. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.

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

A. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

B. Acknowledgement of Amendments to the RFA - Applicant shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment preferably with the application package. The Government must receive the acknowledgement by the time specified for receipt of application.

C. Receipt of Applications - Applications must be received by the date and time specified in the cover letter of this RFA.

D. Submission of Applications:

Applications may be submitted using any **one** of the following methods (electronic methods preferred):

1. **Submission through www.grants.gov:** Complete Application packages shall be submitted electronically through grants.gov. Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Both the technical and cost portions of the application shall have a cover page which includes the point of contact for the organization, including name, title, address, phone and fax numbers and e-mail address. An electronic copy must be in **MS Word** format in Font size 11 with 1" margins on top, bottom, left and right. Budget spreadsheets **must** be in **Excel** format, signed pages in Word or PDF format.

2. **By Email Submission:** Applicant e-mailing submissions shall forward them to the following e-mail address: drcco@usaid.gov. If submitting electronic applications you are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the

usaid.gov e-mail server. **Please do not send files in ZIP format.**

Following are the procedures for **submission of applications by e-mail**:

- a. Before sending your documents to USAID as e-mail attachments, convert them into Microsoft Word (for narrative text), Excel (for budgets and other tables), or PDF format (for documents requiring signature). Please limit attachments to 2 MB per e-mail.
- b. Once sent, check your own e-mails to confirm that your attachments were indeed sent. If you discover an error in your transmission, re-send the material again and **note in the subject line of the email that it is a "corrected" Submission**. Do not send the same e-mail more than once unless there has been a change, and if so, note that it is a corrected e-mail. Do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each Applicant is responsible for its submissions.
- c. To avoid confusion, duplication, and congestion problems with our e-mail system, only one authorized person from your organization should send the e-mail submissions.
- d. If you send your application by multiple e-mails, indicate **in the subject line of the email, "RFA 517-08-010"** whether the e-mail relates to the technical or cost application, the desired sequence of multiple e-mails (if more than one is sent) and sequence of attachments (e.g. RFA#, Organization X, Cost Application, Part I of 4, etc.). However, you are requested to consolidate, as much as possible, the various parts of your technical application into one technical application document and the various parts of your cost application into one cost application document.

3. **Hard Copy Submissions**: are not acceptable.

4. **Faxed applications** are not acceptable.

E. Preparation of Applications:

1. The Applicant is expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
2. The applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This

restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets;" and

(b) Mark each sheet of data it wishes to restrict with the following legend:

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

F. Explanation to Prospective Applicants - an explanation or interpretation of this RFA must be requested in writing no later than June 19, 2008, to rosjimenez@usaid.gov and mroman@usaid.gov. Oral explanations or instructions given before award of a Grant will not be binding.

II. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Therefore it should be specific, complete and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria specified in Section B.

Application Contents: The technical application shall contain the following sections, as more fully explained below:

- 1) Table of Contents listing all page numbers and attachments;
- 2) Executive Summary not to exceed a one page description;
- 3) Technical Approach describing the programs' strategic fit, technical approach and the organization's qualifications and past experience;
- 4) Proposed outcomes and impact indicators; not to exceed two pages;
- 5) Monitoring and Evaluation Plan; not to exceed two pages;
- 6) Detailed budget; not to exceed three pages;
- 7) Attachments (annexes) should be lettered e.g. Attachment A, and can include the resumes of key personnel, letters of support, letters from public entities, and other supporting documents.

The technical application may not exceed 25 pages in length, exclusive of the annexes (curriculum vitae/résumés, past performance references, and letters of commitment from any implementing partners).

Cover Page: a single page with the program title and RFA number, the names of the organizations/institutions involved, and the lead or primary Applicant clearly identified. Any proposed sub-grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information.

Executive Summary (not to exceed 1 page): Briefly describe the proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of the Applicant. Describe how the overall program will be managed.

Proposed Program Approach: Applicants should focus on describing how they propose to achieve the program objective(s). The application should describe the Applicant's innovative ideas, approaches and capacity to achieve the results of the program. Applicants are requested not to merely repeat what is already described in this RFA. The applications should take into account the technical evaluation criteria found in Section B. and contain both a Technical Approach section and a Management section. The Technical Approach section should provide the applicant's proposed strategy, plan for sustainability, proposed collaboration plan and gender considerations. The Management section should provide information regarding the applicant's institutional capacity and proposed staffing. This section must include a Management and Staffing Plan that specifies the composition and organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project. It should describe how the various proposed program components will be managed. "Implementing partners" are organizations that will have substantial implementation responsibilities. The plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the various program results and the unique capacities/skills they bring to the program. Letters of commitment from all proposed implementing partners should be included (in the Annex). The plan should also describe each staff member's role, technical qualifications and expertise and estimated amount of time each will devote to the program. It is expected that each critical area of program focus will be represented by relevant technical expertise. There should also be discussion on how the proposed Key Personnel and other relevant technical staff will effectively contribute to the implementing team. The plan should also indicate the names, positions, titles and provide full resumes (in the Annex) of important managerial and technical personnel who will be involved in program activity.

Proposed Outcomes and Impact Indicators: The applicant is encouraged to design innovative implementation approaches to reach the desired results and develop an aggressive but realistic schedule of performance milestones as steps towards producing results. The illustrative implementation plan should correlate with the USAID results framework and include information on the critical activities towards achieving the Mission Program Elements, a timeline, partners and resources (including human resources) required for carrying out the activity. The proposed implementation plan should cover the life of project and include a more detailed illustrative one (1) year work plan

Monitoring and Evaluation Plan: The applicant should propose an illustrative monitoring and evaluation plan that would permit tracking, evaluating, and reporting on progress and achievements in respect of the results sought. Two specific types of data will be required: i) those that report on progress toward the milestones and targets proposed by the applicant, and ii) those that contribute to USAID/Dominican Republic (Education) Performance Management Plan indicators.

Annexes: The technical application should contain the curriculum vitae/résumés of the key personnel letters of support, letters from public entities, and other supporting documents.

(1) Curriculum vitae/résumés: should be provided for each key technical and home office personnel. They should be limited to a maximum of two pages per person.

III. COST APPLICATION FORMAT

The Cost or Business Application is to be submitted separate 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.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award.

A. Applicant must submit budgets using Standard Form 424 and 424A which can be downloaded from the USAID web site, <http://www.usaid.gov/policy/ads/300/303.pdf> (303.4.3 Mandatory Forms). In addition, applicant must submit an accompanying budget narrative which provides in detail the total proposed costs for implementation of the proposed program. The budget shall discuss and support the components of each SF-424 budget element, such as:

- a) The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program, in the format described herein.
- b) The costs associated with home office, expatriate, and local in-country labor, i.e. identification of positions, daily or hourly compensation, hours/days to be worked, etc.
- c) A breakdown of all other direct costs to include cost elements (communications, office supplies, printer, vehicle, office rent, etc), unit of measure (monthly estimate, cost per unit), number of units, basis of the estimate and programmatic need for the expenditure.
- d) Details of travel, per diem and other transportation expenses to include number of international trips, expected itineraries, cost of travel, number of per diem days and per diem rates.
- e) Copies of your organization's most recent Negotiated Indirect Cost Rate Agreement (NICRA) issued by your organization's cognizant audit agency or information to support any non-direct costs recovered by a percentage method.
- f) Cost applications shall clearly specify the costs associated with Health activities.
- g) Contributions offered by or expected to be sought from other sources should be noted.

If your organization intends to use subcontractors or sub-grantees, indicate the extent intended, the method of identifying subcontractors and sub-grantees, the extent to which competition will be utilized, and a complete cost breakdown, as well as all of the information required for the applicant. Include the technical resources and expertise of proposed subcontract or sub-grantee organizations and of their professional personnel proposed, to include the role of each worker to be involved in the project, and the amount of time each will devote to the project.

The above explanation of the proposed costs/prices must identify the factors upon which the estimate is based and show the arithmetic in reaching the cost figure. The cost proposal shall also include a description of the relationship between your organization and the proposed personnel including a certification as to whether the individual is a full-time employee, intermittent employee, or a consultant.

- B.** Required certifications and representations (as attached in Section D of this RFA).
- C.** Applicant shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
 - 1. Has adequate financial, management and personnel resources and systems 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 grant under applicable laws and regulations (e.g., EEO).
- D.** Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual, personnel policies, travel policies, and procurement policies, and audits received for the past three years. If this material has already been submitted to the U.S. Government, the applicant should advise which Federal Agency has a copy.
- E.** Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA, formerly known as M/OP).

IV. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the Agreement Officer.

V. REFERENCES

Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipient
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- OMB Circular A-122
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads
http://www.grants.gov/agencies/aapproved_standard_forms.jsp

VI. SPECIAL CONSIDERATIONS

The Standard Provisions for U.S. NGOs and Non-U.S. NGOs referenced above under Section V, are required to be used when applicable. The following Standard Provisions are provided below in full text:

- Marking Under Assistance Instruments
- Executive Order on Terrorist Financing
- USAID Disability Policy

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or sub awards.

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements**

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. For example: *School #123, rehabilitated by USAID and [Apparently Successful Applicant]/[other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo. Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

Guidelines: For example: "Be tested for HIV-AIDS" or "Have your child inoculated." Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded

program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or sub awards.

A **Presumptive Exception** exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) **Submission Requirements.** The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

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

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception I.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness.

In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) **Award Criteria:** The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives.

For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Sub recipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub award, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to sub recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand mark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques

early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Sub recipients. To ensure that the marking requirements "flow down" to sub recipients of sub awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub award, as follows:

"As a condition of receipt of this sub award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub recipient, USAID may, at its discretion, require marking by the sub recipient with the USAID Identity."

(10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

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

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

(4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of sub awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with

terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/sub awards issued under this agreement.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

SECTION B – PROGRAM DESCRIPTION

USAID/DR

BATEY COMMUNITY DEVELOPMENT PROJECT

Introduction and Background

The United States Agency for International Development (USAID) in the Dominican Republic is seeking applications from qualified national non-governmental organizations and not-for-profit and for-profit entities (including NGOs, business associations, and universities and academic institutions) to participate in its **Batey Community Development** project providing development support in publicly owned *bateyes*. Considering the multi-sectoral scope of the project, the formation of manageable and cost effective consortia of qualified organizations is encouraged.

The purpose of this project is to increase the standard of living for residents in selected pilot batey communities. This will be achieved through integrated development activities focused in the sectors of health, basic education, shelter improvements and water and sanitation while affording environmental protection, and leveraging additional support in other sectors such as economic growth and agriculture. Applicants are invited to outline a comprehensive development program for pilot bateyes (justifying their selection of *batey* communities), with a view toward developing successes and best practices that can be broadly

replicated and expanded to other *bateyes* by government, the private sector, civil society, and other donors and which will coordinate with other USAID funded programs. This cooperative agreement will be a one-time grant, for a program of up to 24 months, to develop model batey development results and methodologies. Subsequent funding is not anticipated.

Background

Section I contains a variety of background and contextual information including a summary of the historical background of the *bateyes*, the development challenge to be addressed by this project, explanations of linkages to the USAID/Dominican Republic program. This information is not intended to be incorporated into any program description under the RFA. Instead, it is merely intended to frame the context of life in *batey* communities. USAID/DR recognizes that the applicants that will respond to this RFA will have superior information and understanding of the challenges facing residents of *bateyes* in the Dominican Republic and expect to see this reflected in submitted proposals. Section II summarizes the desired results and outlines illustrative interventions; however applicants should present their own methodologies and innovations to achieve the desired results. Section III specifies deliverables and other elements of the RFA.

1. History

Bateyes were originally work camps built by the Dominican government on or near sugar cane plantations to house their workers. Some built over seventy years ago, these work camps or *bateyes* principally housed seasonal migrant Haitian workers who often were recruited by the government as well as some private companies mainly to cut sugar cane, or work in the sugar mill and refinery. With the boon of the price of the sugar in the late sixties and early seventies, the number of migrant workers and *bateyes* in the country also increased. However, the decline of sugar production in the eighties led to the privatization and closure of numerous government-owned sugar cane plantations and mills. Consequently, most of the workers, though originally hired for seasonal work, remained in the *bateyes*, and these work camps evolved into rural communities.

Some estimate there are approximately 230 *bateyes* in the Dominican Republic, with as many as one million residents, accounting for anywhere between 7-12% of the total population of the Dominican Republic.¹ Most *bateyes* are located around current and defunct *ingenios*, basic conglomerate unit of sugar production, which include administrative offices, sugar mill and refinery and sugar fields. Most *ingenios* are located in the provinces of Barahona, Monte Plata, Santo Domingo, La Romana, San Pedro de Macorís, San Cristóbal and Puerto Plata.

2. History of Underdevelopment

The Dominican government considers *bateyes* as exceptions to the country's traditional governance system. The local political body, the municipality, does not have authority over the residents of the *bateyes*.² In theory, the State Sugar Council (CEA) is responsible for the infrastructure and services within its property and the development of *bateyes*. However, with

¹ Tejada, 1999; NCHR, 1995)

² Wooding, Moseley-Williams, "Haitian Immigrants and Dominicans of Haitian descent in the Dominican Republic", http://en.wikipedia.org/wiki/Batey_%28sugar_workers%27_town%29

most of the *ingenios* on CEA lands not economically productive, their development of *bateyes* is minimal.

The lack of attention and development is especially pronounced during national disaster. In 1998, hurricane Georges devastated the country and among the hardest hit were *batey* residents in various provinces. In 2007, tropical storm Noel impacted various parts of the country and residents of *bateyes* were again among the hardest hit.

In recent years, NGOs with assistance from private companies and outside donors have increased development projects to improve the conditions in *bateyes*.

3. *Living Conditions*

Most *bateyes* have living conditions that are very rudimentary and harsh. *Batey* residents tend to live in undersized single-family homes or barracks made of concrete or wood. Originally meant to accommodate just a few workers, it is common for whole families with as many as eight household members to occupy a single family home or barrack. Many *bateyes* have limited if any electricity, running water, or sewage/sanitation facilities. The level of basic services, such as water and sanitation, are very low in *bateyes*, even well below general rural services. According to recent estimates, only 5% of *batey* homes have potable water piped to the house and 16% of *batey* households use bottled or trucked water; 38% of households do not have safe sanitation systems; and only 14% of households participate in trash collection services.

Most *batey* homes have concrete floors, though many are cracked and are in need of repair. A few homes have wood floors, which are usually in better condition, while 10% of *batey* homes are constructed of either substandard quality or discarded materials.

While a few *bateyes* have clinics and medical facilities, most residents have limited access to healthcare. The chronic child malnutrition rate is 12%, and 30% of *batey* children under age 5 have either not been vaccinated or have incomplete vaccinations. Upper respiratory illnesses are most common ailment in children, with over 60% under age 5 suffering an episode in the month before the health and nutritional survey in July of 2004. The same survey showed that diarrhea affects over 13% of children under five. Additionally, a recent USAID sponsored demographic Health Survey showed that the HIV/AIDS seroprevalence rate in *batey* communities is on average 3.8%, almost four times higher than the general population.

Many *bateyes* have schools, however, attendance is only 66%, with only 34% finishing sixth grade. Grade repetition rates are high as children in *bateyes* have to work to help the family augment income. The lack of documentation is also an impediment for many children to attend school. Though some school administrators make exceptions for children without documentation allowing them to attend until the eighth grade, most without documentation are unable to continue past grade six.

4. *Cultural, political, socio-economic factors*

Some estimate that as much as 75% of *batey* residents are second or third generation Dominican-born descendants of migrant Haitian workers. Most speak Spanish as their primary

language, while less than half speak Creole. Only about six percent reported being born in Haiti.

Documentation is a serious issue for many *batey* residents. The workers' descendants, most born in the Dominican Republic, generally lack documentation as well. Without documentation, they are unable to attend secondary school, and unable to access the formal economy, employment, and many state-provided services and programs.

Economic development in *bateyes* is minimal if not absent. With the decline of the sugar industry and closure of the *ingenios*, some residents have found economic alternatives outside of *bateyes* running motorcycle taxis, working in construction, laboring in other agricultural sectors such as banana, rice, and coffee, working as domestic help. *Bateyes* are considered the first stop for Haitian migrants before they move on to other alternatives. However, with the fear of deportation for the lack of documentation, many residents never venture out of *bateyes*.

5. Development in Bateyes

Various NGOs, in partnership or with assistance from international organizations, work in health, sanitation, and education programs in *bateyes*. There are also a host of community-based organizations that promote development activities such as parent teacher associations (*padres y amigos de la escuela*), neighborhood councils (*juntas de vecinos*) and volunteer health committees and local water management committees. Additionally, many of the private sector sugar producers have recently become active in corporate social responsibility projects in *bateyes* that are privately owned.

USAID/Dominican Republic has programs in democracy, health, education and economic growth that, although not specifically focused on *bateyes*, can complement and augment the activities of the Batey Community Development program. An overview of these programs can be found at: <http://www.usaid.gov/dr/>.

The US Peace Corps currently has 10 volunteers working in 12 *Bateys* in the provinces of Barahona, Batoruco, San Pedro de Macoris, Monte Plata and Puerto Plata.

Volunteers are engaged in a variety of activities including, infrastructure improvements (cook stoves and home improvements), child and maternal health, savings group support, and youth-focused development activities in the areas of small business development, extra curricular programs and HIV/AIDS prevention using the “*Escojo Mi Vida*” life skills curriculum.

Peace Corps Volunteers work with local community groups to support their organizational development through skill building in the areas of planning, project design and management and roles and responsibilities of groups' members. Applicants should explore ways to work with Peace Corps Volunteers and the programs they support and may request additional information on how to involve Peace Corps Volunteers before submitting their applications.

In addition, from 1999-2007 USAID/DR USAID/DR implemented a water and sanitation pilot project in the Eastern region of Dominican Republic. This pilot project partnered with the GODR/National Water Authority (INAPA), and served as a learning laboratory for all phases of program development including rural water supply, sanitation and hygiene behavior change and gender issues in water and sanitation. The main purpose was to provide institutional capability to effectively implement the decentralization of a rural water and sanitation strategy throughout the country. It was implemented in nine communities of the Hato Mayor province. Lessons learned from this activity can be incorporated in the implementation of the Batey Community Development program (see Resource list for specific documents relating to the project).

The Program Description contains a short bibliography of sources of information related to living conditions on Dominican *bateyes*. Applicants are encouraged to seek other reliable sources of background information in addition to these documents.

Program Description

This results-based program will better the quality of life of residents of selected *bateyes* through improvements to community services and by empowering the communities to participate in their own development. The number of *bateyes* proposed should be limited in order to demonstrate a discernable difference in the quality of life for those residents and therefore present models of success for replication by other organizations. The indicators below are intended to measure quality of life improvements through positive changes in significant areas of life – health, education and improved community infrastructure, while providing the skills and tools necessary for *batey* communities to participate and contribute to their own development.

A. Program Goals and Desired Results

Overarching Goal

Pilot bateyes have community-based/lled priority programs in place that markedly improve the quality of life for batey residents

Program Results:

- Increased access for pilot *batey* residents to quality healthcare and water and sanitation services.
- Increased adoption of positive public health behaviors (i.e. hand washing, breast feeding, safe sex practices, etc.).
- Increased participation by pilot *batey* residents in project prioritization and implementation.
- Increased school attendance by *batey* children on pilot *bateyes*.
- Improved community infrastructure (schools, clinics, water and sanitation, and home improvements) on pilot *bateyes*.

The Batey Community Development program will be focused on Health and Nutrition, Basic Education, Water and Sanitation and Shelter.

Applicants are expected to draw upon existing USAID and Peace Corps programs (as well as other donors and NGOs) to expand impact and avoid duplication of effort and are encouraged to link up with active Dominican government, NGO and private sector programs to assure future sustainability of project activities.

USAID will work with the selected applicant/s to negotiate the inclusion of the selected model *batey* communities into existing USAID programs; however, resources from the Batey Community Development program may be needed to supplement existing USAID program resources in order to assure the desired impact.

Please note that indicators in bold below may be used for Agency level reporting. For specific definitions of the bold indicators please see the Director of Foreign Assistance web page at <http://www.state.gov/f/indicators/> .

All indicator lists below are illustrative; applicants are expected to propose how they will measure and track success in their applications.

Health and Nutrition

Results Expected: Improved health clinic infrastructure servicing pilot bateyes; trained health staff; increased use of the health services, batey residents trained in improved sanitation and nutrition behavior; community informed about health status and delivery of health services; increased community participation in the health services delivery

USAID programs in Health include HIV/AIDS prevention and treatment, maternal and child health and health system reform, TB prevention and treatment and family planning and reproductive health

Illustrative Health Indicators:

- **Number of people benefiting from USG-supported health services**
- Number of health facilities refurbished/equipped/rehabilitated
- **Number of antenatal care visits by skilled providers**
- Number of people benefiting from community-based public health and nutrition messages
- Number of batey residents demonstrating improvement in health and nutrition behaviors
- **% of batey children less than 12 months of age that have received DPT3**
- **Number of children under 5 years of age who received vitamin A**

Basic education

Results Expected: Improved Batey school infrastructure; batey school teachers trained in literacy and math (1st – 4th grades); increased community participation in the school management and performance; out-of-school youth basic education needs are addressed; batey schools receive required Secretariat of Education support.

USAID programs in education include Spanish language and math literacy programs, improved school governance, private sector school sponsorship and at-risk and out-of-school youth activities.

Illustrative Basic Education Indicators:

- Number of schools/classrooms refurbished/equipped/rehabilitated
- **Number of teachers trained in literacy and math pedagogy**
- **Number of administrators and education officials trained**

- PTAs established/functioning in pilot *bateyes*
- **Number of learners enrolled in primary schools or equivalent non-school-based settings**

Water and Sanitation

Results Expected: Batey water and sanitation infrastructure built/improved; increased use of potable water ;increased community participation in water and sanitation operations and maintenance; permanent latrine or toilets and appropriate waste disposal systems in place.

Illustrative Water and Sanitation Indicators:

- **Number of people in target areas with access to improved drinking water supply**
- **Number of people in target areas with access to improved sanitation facilities**
- Model *batey* committees are operating and maintaining water and sanitation systems with a “pay for service system”.

Shelter

Results Expected: Batey community home improvements such as concrete floors, roofing, or bathroom/latrine construction/improvement completed; community participation in the implementation of shelter benefits established and functioning

Please note: all home improvements should take hurricane/tropical storm conditions into consideration. For example, any roofing projects should examine and employ the use of Hurricane clips, or straps or any other appropriate technology that will secure the roof to the structure and help withstand heavy winds.

Illustrative Shelter Indicators:

- Number of homes rehabilitated
- Number of families/*batey* residents benefiting from home improvements.

Establishing Indicator Baselines

The offeror must outline how baseline data will be established with an appropriate timeframe for collecting the data. The offeror will also outline sources of data already available (GODR, UN, other non-governmental organization reports) to the extent that they are accurate and up-to-date. Baseline data will be due to USAID within 60 days of an award.

Monitoring and Evaluation Plan

A comprehensive Monitoring and Evaluation plan with USAID approved baselines and mutually agreed upon targets will be established within 60 days of signing the agreement, to be approved by USAID and utilized to track implementer progress. At the end of the program, a final evaluation will be conducted which will review results, lessons learned and make recommendations, which will be useful for other stakeholders who wish to replicate/expand the program to other *bateyes*.

The initial Implementation Plan, with approved baselines and mutually agreed upon targets, due within 60 days of award signing, must set forth a comprehensive plan that measures impact and progress toward achieving results over the life of the award. The Performance Monitoring and Evaluation Plan (PMP) must include indicators, targets, data sources and collection methods, baseline information, benchmarks and schedule for periodic evaluations by the Applicant.

The PMP must include mechanisms through which findings can be incorporated, on a continual basis, to the implementation process. Applicants must discuss ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated by gender, if applicable. In designing the overall monitoring plan, applicants should consider the extent of the Applicant's human and financial resources necessary to implement that plan.

The implementer will be expected to assign a high priority to continuous monitoring and evaluation of all its operations and assistance, not only for the purpose of effective internal self-monitoring and planning, but also to ensure that the implementer can demonstrate results under the objectives of this project and provide ongoing updates on the program to other stakeholders interested in replicating the program in other *bateyes*.

B. Program Strategy

The Batey Community Development project is intended not only to provide immediate improvement of the quality of life of batey residents, but also serve as a model of sustainable integrated development in these distinctive poor, rural communities that can be replicated by other batey communities, government, the private sector, and other development organizations. Therefore, the offeror must demonstrate knowledge of best practices in community development processes that increase community participation; leadership and decision-making as well promote the sustainability of project activities after the program ends. The following key factors should be addressed in the proposal:

- a. Propose pilot public batey communities and provide a rationale for their selection; inclusion of one or more tropical storm-damaged *bateyes* is encouraged
- b. Explain methods to be utilized for developing strong community participation and empowerment
- c. Explain how the program will work to assure sustainability of public benefits that the government is responsible for providing (health, education, etc.) and avoid creating parallel systems
- d. Demonstrate how the proposed integrated approach to sector activities will achieve synergies that help promote broader community goals
- e. Demonstrate how the proposed program will coordinate/incorporate/integrate current ongoing USAID, Peace Corps, other donor and local NGO activities to increase the scope and impact of the program (i.e. MCH activity, CETT/TEF education programs, EG environment small projects, etc.)
- f. Provide a plan for identifying and fostering additional development activities for pilot *bateyes* such as micro-enterprise development, agriculture, and youth development to strengthen and complement proposed program interventions
- g. Explain how gender differences and gender roles will be addressed when designing and implementing activities
- h. Provide a plan to promote replication of the *batey* community development program beyond the pilot stage and expand the successes. The plan will require semi-annual program progress seminars that outline program results to date- successes, lessons learned, program adjustments, cost factors, etc. focused on informing a broad array of stakeholders—batey community leaders, GODR officials, other NGOs/PVOs, private sector, and international donors—on how to implement a vibrant batey community development program
- i. Provide a plan to mitigate the potentially negative effect of uneven development in nearby communities that are not receiving support from the Batey Community Development program
- j. Provide a plan that will describe how the program will ensure the sustainability of investments; how communities will maintain and operate water systems; how families will care for and maintain latrines, roofs and other home improvements; how communities will ensure appropriate maintenance, support and vigilance over school and health infrastructure; and how trained community members, teachers and health volunteers and professionals will multiply their knowledge.

C. Illustrative Budget by Program Area/Key Issue

Resources for the Batey Community Development program are subject to Congressional Requirements.

| Program Area/Key Issue | Funding |
|---|--------------------|
| Basic Education (school rehabilitation and equipment and supplies, teacher training, student supplies, community participation in the schools) | \$1,400,000 |
| Health (maternal child health, nutrition, health facility rehabilitation and equipment and supplies, community participation in health services delivery) | \$1,400,000 |
| Water and Sanitation (construction/rehabilitation of water sanitation systems, shelter/latrines, cement floors, comm management of water and sanitation systems) | \$2,200,000 |
| TOTAL | \$5,000,000 |

Additional Considerations

1. Gender Considerations

Submitted applications must address gender issues in their explanation of project design within each sector as appropriate. Knowledge of gender issues in Dominican *bateyes* must be demonstrated as well as strategies for addressing those issues within planned activities.

2. Local participation, non-traditional partners and dependency

USAID/Dominican Republic strongly encourages applicants to (1) consider using local resources (goods and services) to the maximum extent possible; (2) consider local resources as both a development tool and a means toward decreasing dependency (and increasing sustainability) while building local capacity; (3) consider the macro-economic multiplier effect of project grants, other resources, and salaries paid locally and on the *batey* economies, households, and small businesses; and (4) consider the use of U.S. and international sub-grantees and sub-contractors to supplement applicant skill sets, experience, and resource base if necessary.

3. Environmental Mitigation Report

In accordance with USAID's recognition that environmental issues are important considerations in development, the applicant must include in the application explanations regarding measures they intend to take to deal with environmental impacts resulting from project implementation. During project implementation, the Recipient

shall take these issues into account and find ways to protect the environment in areas related to their project. To ensure compliance with the USAID environmental regulation 22 CFR 216, the IP is responsible for providing USAID Dominican Republic with an Environmental Mitigation Plan, as outlined in the applicable document (Annex X) “Guidelines for Implementing Partners on the USAID Dominican Republic Environmental Mitigation Report.” The Implementing Partner shall ensure that appropriate environmental guidelines are followed, that mitigation measures described in the pertinent Threshold Decision for each of these activities are funded and implemented, including any necessary training or capacity building, and adequate monitoring. The procurement and/or use of pesticides would require an amended IEE, pursuant to USAID’s Pesticide Procedures 22 CFR 216.3(b)(1)(i)(a-l).

The mechanism for compliance with 22CFR216 will be the Environmental Mitigation Report (EMR) which initially categorizes projects into three types: No Risk, Medium Risk and High Risk. Those with No Risk can continue without further review. Those with High Risk must be reconsidered for the need of an Environmental Assessment. The EMR deals with those projects at Medium Risk.

During the acquisition process, the applicant or contractor submits a suggested EMR. Once the Implementing Partner is chosen a revised initial EMR is submitted for approval by the Mission Environmental Officer BEFORE commencing activities. A format for this initial EMR is provided and includes an initial screening process (Table 1) to assure the project is at the Medium Risk Level. Potential Impacts and related mitigation measures (Table 2) are also identified per sub-activity.

At the end of each year of implementation the EMR is resubmitted with the same information as provided initially plus a component reflecting implementation and effectiveness monitoring of the identified mitigation measures.

4. Substantial Involvement Understandings

USAID/Dominican Republic anticipates the following substantial involvement in the recipient’s activities:

a. Approval of the recipient's annual Implementation Plans: On an annual basis, the recipient shall prepare and provide for USAID’s approval an annual implementation plan. The initial implementation plan for the first year of activities will be submitted as part of the applicant’s technical proposal. Any changes in the initial work-plan will require additional approval. The initial implementation plan should be specific and comprehensive outlining activities on chosen pilot *bateyes*, with realistic and achievable timelines, and clear statements of results to be achieved by specific dates.

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

c. Concurrence in the selection of sub-award recipients and the substantive provisions of the sub-awards: If sub-awards – either sub-grants or institutional subcontracts – are anticipated, USAID will concur in the selection of sub-award recipients and the substantive provisions of the sub-awards to ensure that program objectives are met.

d. Approval of the recipient's monitoring and evaluation plans: USAID will review and approve the recipient's monitoring and evaluation plan. An adequate monitoring and evaluation plan is critical for the successful tracking of program progress and achievement of results. This monitoring and evaluation plan should be clearly linked to the achievement of USAID's overarching goal, and should track program impact on men and women. All people-level data should be disaggregated by gender.

4. Key Personnel

The applicant must identify those individuals that are considered to be key personnel for the performance and achievement of the program. Key personnel must have experience working in the Dominican Republic, particularly in the *batey* setting. Information regarding all relevant experience, education, language skills and other technical skills should be provided for each key personnel.

5. Reports

Reports shall be in accordance with 22 CFR 226.50-52, and include the following types:

a. Quarterly performance report:

The recipient shall submit quarterly performance reports based on USAID's fiscal year quarters (Oct-Dec, Jan-Mar, Apr-Jun, July-Sept). These reports shall be submitted 30 days after the end of the quarter. Reports submitted in October of each year shall be considered annual reports and shall contain annualized performance monitoring data. All quarterly reports shall include:

- i. progress towards objectives for the period, including progress towards meeting established program performance indicators and benchmarks;
- ii. a summary of any obstacles or issues affecting program implementation and the way in which the recipient addressed these issues;
- iii. projected activities for the next reporting period; and
- iv. progress towards environmental compliance as specified in the Environmental Mitigation Report.

b. Final Report:

The recipient shall submit a final report to USAID/Dominican Republic. The final report shall include, at a minimum the information required by 22 CFR 226.51(d) as well as, but not limited to:

- i. an assessment and analysis of the efficiency, effectiveness, viability and replicability of the program,
- ii. results of the performance monitoring plan, and
- iii. Final Environmental Mitigation Report

A. Overview

The Technical Application and the Cost/Business Application will be evaluated in the following manner.

B. Basic Requirements

Applications that do not comply with the Instructions and the requirements in the Program Description run the risk of not being considered for evaluation. Applicants should follow all requirements and instructions in the RFA. These include, but are not limited to, those listed below.

1. Results And Strategy Covered By The Program

All applications should address all results areas (health, water and sanitation, shelter improvements, and basic education). In addition, all program strategy components must be addressed in the application.

2. Length and Value of Program

Applications must be for programs of up to but not exceeding 24-months in length. The estimated value of the program is \$5 million to be awarded at the outset of the program.

3. Forming Consortia

As explained in the *Introduction*, the formation of a manageable and cost effective consortium is encouraged. It is expected that a consortium would be led by one prime grantee and consist of two or more organizations that would each implement a significant part of the program.

4. Budget Information

The budget information must include the SF 424 *and* a budget narrative thoroughly supporting all proposed costs.

SECTION C- Evaluation Criteria

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

The technical application will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of applicant submitting a technically acceptable application will be opened and costs will be evaluated as stated below and for general reasonableness, allowability, and allocability.

To make an objective evaluation possible, applications must clearly demonstrate how the organization and the application meet these criteria. A Cooperative Agreement may be awarded to the applicant or applicants representing the overall best value to the government.

1. Technical Criteria (100 points)

The technical evaluation will focus on the applicant's overall ability to achieve results under the framework provided in this RFA. The technical criteria are broken down into three factors totaling 100 points.

a. Proposed Program Approach (50 points)

The proposal will be evaluated on the basis of how well-conceived, technically sound and responsive the approach presented is. Specifically, the following subfactors will be evaluated.

- i) **Applicant Skills and Management (20 points):** USAID will evaluate the skills, expertise and experience of the applicant(s), taking into account a) the balance and complementarities of skills and experiences when consortiums are proposed to achieve the results defined in this RFA (including the inclusion of local organizations within the consortium); and b) the applicant's plan for management, decision-making, and division of responsibilities. USAID will also consider the degree of participation of stakeholders in the proposed approach. The proposal will include the rationale for the involvement of key stakeholders, not only those being funded in the selected *bateyes* or forming part a consortium bidding on this proposal, but also those that have an interest or involvement in *bateyes* outside of this proposal, such as the GODR or private sector. This sub-factor also includes plans for fostering additional development activities on model *bateyes* and plans for future replication of program successes.
- ii) **Technical Strength (20 points):** A strong application will provide convincing evidence of the applicant's understanding of the activities it proposes to carry out,

and their relationship to the objectives and performance indicators outlined in the RFA. The application will be evaluated for the coherency and clarity of the proposed activities, as well as the level of impact the proposed approach is expected to have on the selected results area. A clear explanation of how close coordination will be achieved with a broad array of organizations working in *bateyes* (government, NGO, donor, private sector) is critical. The activities planned should be based on a sound understanding of the current situation on Dominican *bateyes*. USAID will also evaluate the extent to which the applicant presents an ambitious, but feasible, plan for moving towards the achievement of program results and how resources and other donor or USAID programs will be integrated to increase the overall impact of this program. Applications should address any special issues related to gender in the program of activities planned as well as addressing the strategy and methodology issues outlined in the Program Description. Additionally, applications will be assessed on how they address the issue of assuring future maintenance of this program's investments in model *bateys*.

- iii) Model Batey Selection (5 points): USAID will review the extent to which the applicant documents and explains the location of model *bateyes* in relation to the likelihood of success and future replication and expansion of a *batey* community development program.
- iv) Addressing Gender Issues (5 points): USAID will review applicants' understanding of gender issues in *batey* populations and how gender concerns will be addressed in planned activities.

b. Past and Current Performance (30 points)

USAID will evaluate the degree to which the applicant has a demonstrated a successful past and current track record in the Dominican Republic. Experience in *bateyes* and work which is similar (especially in *bateyes*) will have more weight in this evaluation criteria. Similarity is defined in terms of the types of programs – implementing and monitoring similar or closely related activities to those contained in the program description *i.e.* community-based programs to improve quality of life – such as improvement of health, basic education and water and sanitation for poor communities. As a result, both the relevance of the work performed by an applicant in the past and how well it performed that work will be evaluated.

c. Appropriateness of Proposed Staff (20 points)

USAID will evaluate the capabilities of proposed staff to determine how well their skills and abilities are matched with the proposed activities and level of assigned responsibilities. Key personnel must have experience working in the Dominican Republic, particularly in the *batey* setting. This evaluation will focus on the value of the education, experience and specialized skills of the proposed staff in relation to the actual program activities proposed. All key personnel must have a minimum Spanish language ability at a 3/3 level. Additional language skills in Haitian Creole are a plus.

In addition to an analysis of the relevance of the general experience, skills and education of the proposed staff relevant to the activities planned, points will be given for proposed staff that have higher proficiencies in Spanish and/or Creole, experience in the Dominican Republic, and experience working in *bateyes* and with multi-sectoral community-level projects.

2. Cost

USAID will also evaluate the cost proposals, but scores will not be assigned. All non-cost factors will be more significant than cost factors. The cost evaluation will focus on two sub-factors: Cost Realism/Reasonableness and Cost Effectiveness. Included in cost effectiveness is in-kind contributions and leveraging. This evaluation will involve consideration of whether the budget notes and narrative provide a clear explanation of each category of estimated costs, cost-split among consortium partners, including any sub-grant or sub-contract arrangements and whether the budget aggregation has been broken down appropriately and in accordance with the instructions.

Cost Realism/Reasonableness and Cost Effectiveness

The cost realism analysis is intended to determine whether the costs estimated accurately reflect the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. In addition, the cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost proposal reflects the approaches in the technical application; and c) assess the degree to which the cost proposal accurately represents the work effort included in the technical application.

Cost effectiveness involves maximizing the percentage of the budget allocated to program delivery and proposed in-kind contributions and leveraging. Applicants will receive favorable consideration for identifying areas for in-kind contributions and leveraging. Specific in-kind contributions could include office space, vehicles, staff time, facility rental (conference rooms or training centers) amongst others. The leveraging of other public (including GODR) and private sector resources will also receive favorable consideration.

Resources

Banco Interamericano de Desarrollo/BID. Consolidación de la Reforma del Sector de Agua Potable y Saneamiento (RD TC-96-10-397), informe final,

Centro de Estudios Sociales y Demográficos, Agencia de los Estados Unidos para el Desarrollo Internacional (USAID), Comisión Ejecutiva para la Reforma del Sector Salud (CERSS), Consejo Presidencial del SIDA (COPRESIDA), Macro Internacional, Inc., Encuesta Sociodemográfica y

Sobre VIH./SIDA en los Bateyes Estatales de la Republica Dominicana 2002, Santo Domingo, RD, 2002.

Mercedes Contreras, Ayacx; Leenman, Dirk and del Rosario Santana, Juan. “Comprender La Inmigración Haitiana en R.D.” Estudios Sociales, Vol. XXXVII, Numero 138, Octubre-Diciembre 2004.

Organización Internacional par alas Migraciones & Facultad Latinoamericana de Ciencia Sociales (FLACSO), Encuesta Sobre Inmigrantes Haitianos en la Republica Dominicana, Resumen de Resultados, FLACSO, Santo Domingo, RD, 2004.

Rosario Santana, Juan del, “Diagnostico Sobre La Presencia de la Mano de Obra Haitiana en Plantaciones Agrícolas de las Provincias de Montecristi y Valverde Mao”, Estudios Sociales, Vol. XXXVII, Numeró 138, Santo Domingo, RD, Octubre-Diciembre 2004, página 132.

RTI International. Evaluation of USAID Strategy to Increase Potable Access and Sanitation in Rural Areas in the Dominican Republic, March 2006.

Servicio Jesuita a Refugiados y Migrantes, Fulcar, Maria Altagracia, Diagnostico de la Situación Alimentaría Nutricional de los Bateyes de Republica Dominicana, Santo Domingo, RD, Julio 2004.

Servicio Jesuita a Refugiados y Migrantes, Wooding Bridget & Moseley-Williams, Richard, Inmigrantes Haitianos y Dominicanos de Ascendencia Haitiana en la Republica Dominicana, capitulo 4-Trabajadores Caneros y Bateyes, Santo Domingo, RD, 2004.

Tejada Yangguela, Argelia, Bateyes del Estado, Resumen Ejecutivo, Santo Domingo, RD, diciembre 1999.

U.S. Agency for International Development (USAID). Environmental Health Project (EHP), Combining Hygiene Behavior Change with W&S; Monitoring Progress in Hato Mayor, Dominican Republic, 2004.

Lockwood, Harold. U.S. Agency for International Development (USAID/EHP), Health Environmental Project II, 2001.

U.S. Agency for International Development (USAID). Program Description-Dominican Republic. <http://www.usaid.gov/dr/>.

Visión Mundial Republica Dominicana, Estudio de Línea Base Sobre el Sub-registro de Nacimientos de Ninos y Ninas en las Comunidades Acompañadas por los Proyectos de Desarrollo de Áreas de Visión Mundial, Santo Domingo, RD, Agosto 2004.

SECTION D – CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE

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

PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

\$10,000 and not more than \$100,000 for each such failure.

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. “Terrorist act” means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE

PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING.”

Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:

“[Recipient's name] certifies compliance as applicable with the standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking” included in the referenced agreement.”

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

| Name | Title | Telephone No. | Facsimile No. |
|-------|-------|---------------|---------------|
| _____ | _____ | _____ | _____ |
| _____ | _____ | _____ | _____ |

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

| TYPE/DESCRIPTION(Generic) | QUANTITY | ESTIMATED UNIT COST |
|---------------------------|----------|---------------------|
|---------------------------|----------|---------------------|

(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs

of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

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

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

| TYPE/DESCRIPTION (Generic) | QUANTITY | ESTIMATED UNIT COST | PROBABLE NATIONALITY | SLUPPIER RATIONALE |
|-------------------------------|----------|------------------------|-------------------------|-----------------------|
|-------------------------------|----------|------------------------|-------------------------|-----------------------|

(Non-US Only) for NON-US

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

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

6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

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

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

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ CFDA Number: _____

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

☐ Yes

☐ No

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

☐ 3 or Fewer

☐ 15-50

☐ 4-5

☐ 51-100

☐ 6-14

☐ over 100

3. What is the size of the applicant's annual budget?

(Check only one box.)

☐ Less Than \$150,000

☐ \$150,000 - \$299,999

☐ \$300,000 - \$499,999

☐ \$500,000 - \$999,999

☐ \$1,000,000 - \$4,999,999

☐ \$5,000,000 or more

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

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ Yes

☐ No

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

☐ Yes

☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

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

1 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

2 For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

3 Annual budget means the amount of money your organization spends each year on all of its activities.

4 Self-identify.

5 An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.

6 An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7 Self-explanatory.

8 Self-explanatory.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 2202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to the USAID Agreement Officer.

OMB No. 1890-0014 Exp. 1/31/2006