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RUSSIA

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Subject: Request for Applications No. USAID-Russia-ORD-10-0005-RFA
"North Caucasus Agricultural Development Project"

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Russia, is seeking applications (proposals for assistance funding) from U.S. non-governmental and non-U.S. non-governmental organizations for implementation of the North Caucasus Agricultural Development Project in the Russian Federation. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

This activity will be implemented over the course of the next four years. Implementation should be scheduled to begin in early fiscal year 2011. USAID intends to award one (1) Cooperative Agreement providing approximately \$6.5-7.0 million in total USAID funding, subject to the availability of funds.

USAID/Russia reserves the right to reduce, revise, or increase the application budget in accordance with the needs of the program and the availability of funds. Award made will be subject to periodic reporting and evaluation requirements and substantial involvement by USAID/Russia. Final authority for assistance awards resides with the USAID/Russia Mission Agreement Officer.

While any type of organization is eligible for the award, it is USAID policy not to award profit under assistance instruments (grants and cooperative agreements). However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards may be paid under assistance instruments.

Prospective applicants are advised that the applicant funded under this RFA will be required to comply with Russian laws and regulations. This includes changes to the registration and reporting obligations for foreign and Russian NGOs working in Russia (see Russian Federal Law # 18-FZ, "On Introducing Amendments to Certain Legislative Acts of the Russian Federation" dated January 10, 2006). A copy of this law can be found in Federal Registration Service Web site (at <http://www.rosregistr.ru>) and in Russian Legal databases).

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

Section I – Funding Opportunity Description
Section II – Award Information
Section III – Eligibility Information
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Annex A: North Caucasus Assistance Project Results Framework
Annex B: List of USAID's ongoing projects in the NC
Annex C: Table of Economic Characteristics of North Caucasus Republics
Annex D: Certifications, Assurances and Other Statements of the Recipient
Annex E: Survey on Ensuring Equal Opportunity for Applicants

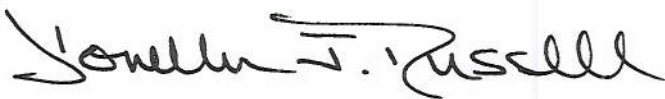
The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www) to allow for electronic submission of applications. This RFA and any future amendments can be downloaded from this website: www.grants.gov. It is the responsibility of the recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

If your organization decides to submit an application, it should be received at USAID/Russia by the closing date and time specified by this RFA. To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section IV of this RFA.

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. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Any questions or comments concerning this RFA should be submitted in writing to Donella J. Russell, Agreement Officer, and Galina Ponkratova, A&A Specialist, via internet at drussell@usaid.gov and gponkratova@usaid.gov no later than 1700 hours local Moscow Time, August 4, 2010.

Sincerely,



Donella J. Russell
Agreement Officer
USAID/Russia

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".

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. Title

The United States Agency for International Development (USAID) is seeking applications for a grant to implement a project entitled "North Caucasus Agricultural Development".

B. Authorizing Legislation

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended.

C. Award Administration

22 CFR 226, OMB Circulars and the Standard Provisions for U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a U.S. organization. OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a non-U.S. organization. The Standard Provisions for Public International Organizations and any special provisions negotiated will be applicable to the resulting grant if it is awarded to a Public International Organization (PIO). These documents may be accessed through the worldwide website at: <http://www.usaid.gov/business/regulations/>

D. Applicability of 22 CFR 226

The following provision will be included in any award to a U.S. entity resulting from this RFA:

APPLICABILITY OF 22 CFR PART 226 (May 2005)

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

E. Program Description Framework

I. Purpose:

This North Caucasus Agricultural Development Project (ADP) contributes to the broader USAID/Russia North Caucasus Assistance Project (NCAP). The NCAP's objective is to increase

local capacity to provide economic, governance, civic and healthcare opportunities to reduce the threat of violence in the North Caucasus¹ (NC).

The North Caucasus Agricultural Development Project's objective is to strengthen agricultural value chains in the selected regions of the NC and will be achieved through improving production skills and trading in agriculture.

II. Background:

Engaging with Russia on key international issues is a top priority both for Russia and the US. USAID's efforts in Russia seek to advance this critical mutual interest and help Russia to become a stable, democratic, and reliable partner in jointly addressing global issues. Tensions and instability in Russia's North Caucasus jeopardize Russia's fulfillment of this desired international role and have dramatic implications for regional stability and Russia's future.

In the broadest sense, the North Caucasus region is herein defined as being the autonomous republics of Dagestan, Chechnya, Ingushetia, North Ossetia-Alania, Kabardino-Balkaria, Karachayevo-Cherkessia, and Adygeya, plus the Stavropol and Krasnodar krais.

This broad geographic area comprises the whole of Russia's North Caucasus Federal District (NCFD, a district of approximately 23 million persons) and part of the Southern Federal District (SFD) and is one of the most ethnically diverse regions in the world. A crossroads of ideas, trade and religions, it is home to over 36 ethnic/linguistic groups. Most of the population lives in rural areas; many are un- or under-employed, and many Republics survive on transfers from the center, though there is likely a significantly thriving informal economy. The North Caucasus continues to face a number of very complex socio-economic challenges, ranging from deeply entrenched ethnic, religious and clan issues to high rates of poverty, unemployment, displaced populations, and endemic multi-layered corruption. The NC region is poorly integrated into the Russian Federation and governance bodies often lack capacity at all levels.

With 49.5 persons/km², the NC has one of the highest population densities of the Russian Federation (less than the Central area of 60.4, but significantly higher than the national average of 8.5). The most ethnically homogenous regions are Chechnya (ninety-four percent Chechens) and Ingushetia (seventy-seven percent Ingush), while Dagestan stands out as the most ethnically heterogeneous region, with 25 percent Avars, 17 percent Dargins, 14 percent Kumyks, and 13 percent Lezgins, in addition to several other ethnic groups that each constitute less than five percent of the republic's population.

The five-year NCAP supported by USAID/Russia will focus on beneficiaries from the republics hardest hit by instability: Dagestan, Chechnya, Ingushetia, Kabardino-Balkaria and North Ossetia-Alania. However, the project will also support activities in the other areas of the NC (Karachayevo-Cherkessia, Adygeya, Krasnodar, and Stavropol). Although the inhabitants of some of these regions have been much less affected by war and inter-ethnic violence than other regions, there are several compelling reasons for USAID/Russia to support activities in these unstable regions. First, these locations have played a critical role in the past as a meeting place or base of operations for inter-republic programs and as resource centers for civil society, education, media and other critical democratic elements operating on the "local" level. Second, integrating the conflict-prone regions of the NC into the federal district and into Russia more broadly is an important cross-cutting theme of this design; this integration will be more easily accomplished if USAID/Russia does not limit its

¹ Please see the detailed NCAP's Results Framework in Annex A

support to only the four regions of the NC hardest hit by conflict. Third, there is an omnipresent threat of spillover of instability and violent extremism to neighboring regions in the NC. Therefore, through the lens of conflict prevention, the five-year NCAP supported by USAID/Russia will also support appropriate activities in the surrounding regions of the NCFD and SFD.

The NC has been an area of economic instability for many years. It has suffered from the general economic recession that followed the demise of the former Soviet Union back in 1991. Many large government enterprises which gave jobs to the majority of people in socialist times were closed due to inefficiency. Those which were privatized suffered from two recent military conflicts and were either ruined or had to lay off people in order to survive. When people returned from the war they found their houses destroyed and enterprises where they used to work closed. Refugees, young people and women found themselves even in poorer situations with almost no opportunity to find a job. The republics of the North Caucasus have the highest unemployment rate in Russia: up to 80 percent of the work-age population in some of the republics. This rate has only recently started to decline – to 64.1 percent in Chechnya and 52.6 percent in Ingushetia, as was reported by the State Statistics Committee in August 2007.

Despite recent improvements in the security situation in the NC, the majority of the population is still excluded from the economic opportunities that benefit the rest of Russia's citizens. This situation is further aggravated by the fact that the population of the NC, especially in remote areas, possesses a large number of unregistered weapons left from the war. This fact, together with the high level of poverty and unemployment, provides a breeding ground for illegal conflict-generating activities, including extremism and terrorism. The involvement of people in legal, long-term and sustainable economic activities will provide income and job opportunities for them and their families, thus reducing the incentives for their involvement in conflict-related activities and serving as a major tool for mitigating conflict in the NC.

For this reason, USAID has decided to focus a portion of the NC programming on economic development and job creation through access to micro financing opportunities and agriculture. Under this new agricultural activity, USAID will focus on improving agricultural producers and processors' production and trading skills through strengthening existing value chains from production through processing to distribution and ultimately to the customer.

Majority of USAID projects worldwide in this area are aimed at the development of new value chains which usually includes creation of farmers' groups, like cooperatives, purchase of large amounts of commodities and extensive training. This approach requires a large amount of resources and is usually undertaken in countries where agriculture is at its initial stage of development.

USAID/Russia used this approach in its Market Led Agricultural Economic Recovery project implemented by International Rescue Committee (IRC) in Chechnya and Dagestan. Under this project, IRC assisted small producers of agricultural goods from eight communities in Chechnya and Dagestan to start to sell their products to agricultural firms. IRC helped farmers to create cooperatives, bought necessary equipment and supplies and found firms to buy goods from the cooperatives on a long term bases. Though the project was successful, it required substantial monetary and human resources. When this project was designed, this approach was sensible, because at that time the value chains in the NC were at its initial stage of development.

By now, thanks to the efforts of the Government of the Russian Federation (GoRF), international donors, and USAID-funded implementers, the initial base for the successful development of value chains has been nearly established. Large number of agricultural producers has been united into different kind of organizations and their access to credit and extension services has been improving.

Currently, according to the Regional Ministries of Agriculture, there are 306 rural non-credit cooperatives in the republics of Chechnya, Dagestan, Ingushetia, Kabardino-Balkaria and Karachayevo-Cherkessia. These include input supply cooperatives, as well as processing cooperatives and marketing cooperatives. The typical operations of rural non-credit cooperatives range from greenhouse production (input supply) to dairy marketing. The majority of these organizations, dormant as they are, are made up of active farmers who have real needs for better purchasing and marketing opportunities. As these cooperatives unite agricultural producers (both individuals and companies), they are the organizations that can significantly improve the existing value chains through all of the links, from production to processing and to marketing.

There is already successful experience in the area of value-chain development that can be built upon and replicated: Dagestan's wine and brandy production, North Ossetia's vodka production, and Karachayevo-Cherkessia's processed meat product. Kabardino-Balkaria's canned fruits, fresh fruits and vegetables are produced and marketed throughout the region and the rest of Russia, though volume is low.

There don't appear to be any on-going large-scale projects directly aimed at the strengthening of existing value chains, where small and medium farmers' organizations can be involved. Support is provided either to large-scale organizations through GoRF programs or individual farmers and very small cooperatives through UN activities.

The GoRF through its "Program on the Development of Agriculture and Regulation of Agricultural Production, Raw Materials, and Food Markets" for 2008 - 2012 improves living conditions and water supply in rural areas; develops priority sectors of agriculture, like cattle sector; improves access to finance for agricultural producers; and improvement of regulating mechanisms of agricultural production markets. GoRF programs are centralized and mostly benefit large-scale organizations, like producers' associations and second-tier credit cooperatives uniting thousands of farmers. In most cases small and medium-scale associations and cooperatives cannot take advantage of the Government's programs. The ADP will be required to assist its beneficiaries to take advantage of the Government's programs when it is useful and sustainable.

In comparison with GoRF programs, international donors, such as the UN, have focused the majority of their efforts on humanitarian relief, such as improving household food security through providing commodities, seeds, consultations and training to farmers in Chechnya and Ingushetia. The ADP will be required to seek opportunities for UN beneficiaries to participate when it is mutually beneficial and sustainable.

The proposed project should also utilize the achievements of other USAID activities in the area of agriculture and microfinance. The Rural Credit Cooperatives and Agribusiness Development program (NC-RCC&AD) implemented by ACDI/VOCA will directly benefit the proposed project. This project is aimed at support to rural cooperatives and development of extension services in all the republics of the North Caucasus. The rural credit cooperatives established and/or strengthened under this project will ensure stable access to finance for agricultural producers and extension agents will provide consultations to farmers.

To the extent possible, the ADP should also build on the results of the USAID-funded projects aimed at the improvement of access to finance implemented by the Russian Microfinance Center (RMC). When appropriate, the ADP should refer clients to microfinance institutions developed under this project.

III. Development Challenge:

The root causes of violent conflict throughout the North Caucasus span a wide range of grievances. Conflict dynamics have been influenced by Chechen conflict in the 90s and the recent rise of violent militancy. When USAID started programming in 2005 in the NC, the objectives were to support Russian authorities in stabilizing NC and support interventions which prevented the escalation of conflict in other republics. In 2009, USAID conducted a North Caucasus programming assessment to consider future interventions which would assist in developing the region and mitigating a return to deadly conflict. USAID's new approach is less about post-conflict, humanitarian interventions and more about conflict prevention and promoting local ownership and sustainability. Now interventions need to be more holistic, more targeted at the most at-risk, vulnerable populations and better coordinated.

USAID and other donor organizations have assessed the conflict dynamics in the NC and have concluded that a lack of economic opportunity persists throughout the entire Southern Federal District and is a leading factor in undermining peace building and regional development. Rural households are especially vulnerable as agriculture continues to be one of the main economic engines of the region. With high unemployment in mountainous areas, local populations are coming to the lowlands for work opportunities. Moreover, with the global economic crisis hitting the Russian Federation, many North Caucasians are returning home from Russian cities with no livelihood alternatives. A recent Department for International Development (DFID) conflict assessment concluded that it is possible to foresee that the population in the republics will turn to agricultural production and trade to assure incomes in the next several years.

Historically, the North Caucasus has been dominated by agriculture due to a mild and favorable climate. However, the general economic recession that followed the demise of the former Soviet Union and two major military conflicts led to the drastic decrease of the level of production and trade in the North Caucasus. Though agriculture is the main industry in the North Caucasus, agricultural production there only accounts for approximately 4.3 percent of Russia's agricultural production. Despite recent improvements in the security environment of the North Caucasus, a high level of poverty and unemployment persists in rural areas, providing a ripe environment for illegal activities, criminality and violent extremism. Generally speaking, the rural population in the NC is excluded from the economic system that benefits the rest of Russia's citizens.

The process of revitalization of the agricultural sector is very slow. Private farms are not working effectively and agricultural production level remains low.² Small farmers do not have access to proven, modern agricultural practices and production skills. A lack of access to finance is another obstacle to the development of the agricultural sector in the North Caucasus and throughout Russia. Furthermore, many important rural supply chains have been disrupted by the conflict, lack needed investment and have come into decline. Different commodities like fruits that are produced in abundance, mostly at household plots, have no viable cold storage, processing, storing or marketing outlets despite a relatively high demand existing in other parts of Russia or in nearby republics for finished products. Those processing facilities that do exist often cannot work efficiently since they cannot get a steady flow of raw material of consistently high quality. Small producers and family plots do not have access to these processors due to the lack of cold storage and refrigerated transportation.

² For example, milk production per cow is as low as 930kg. in Ingushetia and 1,276 kg. in Dagestan as opposed to 5,034 in Krasnodar krai and 4,446 in Stavropol krai.² In North Ossetia milk yields per cow are the lowest in the region, reaching 769 kg. per cow in 2008 (data cited by the Republican Ministry of Agriculture). Grain crops yields are 13.8 centers per hectare in Ingushetia and 20.6 in Dagestan as opposed to 39.9 in Krasnodar and 33.0 in Stavropol.² According to data cited by Ministry of Agriculture of Kabardino-Balkaria, in 2008 (data for the end of 1 quarter) the crop yield of wheat ranged from 25 centers per hectare to 44 centers per hectare, in different rayons (counties); the average yield per Republic being around 30 centers per hectare.

Marketing and distribution of agricultural produce also presents a challenge. Small producers and processors do not have efficient trade channels and they do not have adequate trading skills to change the situation. They also face stiffening competition from larger, more sophisticated domestic and international food processing operations based in Krasnodar, Stavropol and Rostov. The region's economic isolation is another obstacle that has stymied its potential in agriculture. Currently there is not sufficient inter-regional trade.

IV. Other Activities:

In 2010 USAID/Russia plans to start the following new projects in the NC in areas of microfinance, entrepreneurship, local governance, NGO public advocacy, tuberculosis infection control, youth and reproductive health:

1. Cross-Cutting Project: Research;
2. Microfinance Support Project;
3. Promoting Entrepreneurship Project;
4. Local Governance Improvement, Public Engagement and Budget Transparency Project;
5. NGO Public Advocacy Project;
6. TB Infection Control Project;
7. Health Youth Services Project; and
8. Reproductive Health Project.

For successful implementation of this specific project it is important to cooperate with other USAID projects supporting the goal of providing economic opportunities to those groups most likely drawn into conflict. The ADP is expected to coordinate with the new **North Caucasus Microfinance Support Project** aimed at the creation and development of microfinance institutions (MFIs), including, credit cooperatives of various types, funds for SME support, private microfinance companies, MSME oriented banks, group lending mechanisms, and Islamic banking approaches. The ADP is also expected to coordinate with a new **North Caucasus Promoting Entrepreneurship Project** that is being developed. This project will include business training and support activities to encourage entrepreneurship in the North Caucasus.

It is also important to work with projects currently being implemented by UN agencies in the NC: "Restoration of Agricultural Based Livelihoods of conflict affected Households through Support to Small Scale Agricultural Production and Farmer Cooperatives" implemented in the republics of Chechnya and Ingushetia and "Sustainable Integration and Recovery in North Ossetia". In Chechnya and Ingushetia, the UN assists the most vulnerable conflict-affected population to generate income at the household level. In North Ossetia, a network of information centers were created to provide consultation services to farmers.

Approved December 1, 2008, Strategy 2020 of the Russian Federation put into motion a plan to transform Russia from natural resources export-based economy to one focused on social development with increased competitiveness, innovation, technology, productivity, and efficiency, with modernized manufacturing and agriculture and improved transportation and energy infrastructures. The Ministry of Regional Development has worked with each Federal District Administration to produce strategies for each Federal District. The strategy for the SFD was one of the first to be completed and focuses on plans to increase investment in the key clusters of "agriculture and tourism." The 37 steps proposed for carrying out this strategy are listed in the North Caucasus Assessment April 2009.

There are likely to be limited opportunities for USAID to directly engage in supporting Strategy 2020. The Strategy is being implemented slowly due to the impact of the financial crisis in Russia. At the same time USAID projects will contribute to achievement of the Strategy's goals and objectives and encourage its partners to find ways to collaborate, particularly through the Ministry for Regional Development and the Ministry for Economic Development.

The implementer will need to work in concert with on-going activities of USAID, GoRF and other donors' relevant development activities in order to increase program's impact and to ensure that the proposed program will not duplicate and/or compete with other projects.

For the list of ongoing USAID projects in NC see Annex B.

V. Coordination:

In the NC a full-time North Caucasus Project Coordinator (NCPC) will provide overall coordination of USAID development efforts. The NCPC will be expected to:

- coordinate all USAID projects in the NC (for overlap, redundancies, scalability, synergies, complementarities);
- monitor USAID projects in the NC in consultation with the respective COTRs/AOTRs;
- identify potential opportunities for expanding USAID programming; and
- cultivate and maintain relationships among NC local leaders on behalf of USAID.

The NCPC will help to minimize duplication of efforts in the NC, and ensure that all USAID projects complement each other, and to provide coordination and streamlining of USAID efforts.

All implementing partners are expected to participate in coordination events (Project Kick Off Conference, regular coordination meetings, round tables with representatives of local authorities, etc.) conducted by USAID.

VI. Project Goals and Objectives:

The North Caucasus Agricultural Development Project's objective is to strengthen agricultural value chains in the selected regions of the NC and will be achieved through improving production skills and trading in agriculture.

Critical assumptions affecting the implementation of the ADP as well as the achievement of its results should include the following:

- The GoRF allows USAID and its implementers to operate in the NC;
- Political will of and resources from the GoRF to realize its approved Southern Federal District (SFD) 2020 development strategy materialize early on during the project and continue through the project's duration which includes substantial agriculture investments;
- Security dynamics of the NC remain at least at the level seen at the start of the 2009 calendar year;
- Prior USAID investments in the agriculture sector provide promising entrees into value-chain development and investment.

The development hypothesis or theory of change for the ADP is:

If USAID builds local capacity along select agricultural value-chains in the North Caucasus, vulnerable, rural livelihoods will be enhanced providing rural residents with promising economic opportunities and thus more secure futures, leading to a lessening in grievances and through this the threat of violent conflict will be reduced.

Therefore, the ADP contributes to the following NCAP Intermediate Results:

IR 1: Economic opportunities increased for those groups most likely to be drawn into conflict

Indicators of progress for this IR overall should be depicted as:

- Number of jobs created/sustained in targeted geographical areas (both males and females);
- Percentage of population in targeted farming communities perceiving improved economic opportunities/conditions (before and after project starts);
- Number of targeted youth (aged 15-24) engaged in any stage of value-chain.

USAID hypothesizes that the lack of economic opportunities is one of the destabilizing factors in the region. Livelihood failure can contribute to the emergence of conflict by weakening the social fabric of a society, making people resort to violence to obtain necessary resources, and increasing individuals' vulnerability to those with an interest in promoting conflict for political or economic gain. Additionally, although research has shown a link between large youth cohorts and violence, large numbers of young people need not be destabilizing and, in fact, can be an extraordinary resource for positive change and increased economic activity. At the heart of whether this group is an easy target for those seeking to mobilize violence is whether the existing system can offer them hope for a viable future.

Agricultural activities will encourage rural population to be involved in legal and sustainable economic activities through tracking their economic and social behavior. USAID's interventions in this area will improve the viability and profitability of the key agriculture and agribusiness industries, increasing incomes and hence contributing to stability and conflict mitigation in the region.

Sub-IR1.2 Improved production skills and trading in agriculture

Sub-IR1.2 will be the central focus of this project, and the highest level result USAID expects as a direct outcome of the project activities. Improved production skills and trading in agriculture will create new jobs and access to additional sources of income for the rural population on a sustainable basis, thus contributing to the alleviation of the root causes of instability. The program will create employment opportunities so that people along the border are not forced to seek employment in illegal activities just to survive.

USAID contributes to this Sub-IR1.2 by supporting agricultural support infrastructure - rural credit and non-credit cooperatives and agricultural education and extension system. The proposed project will build on the current achievements and contribute to the sustainability of past USAID efforts in this area and would further improve production skills and trading in agriculture in the NC.

Illustrative indicators for sub-IR1.2 may include, but are not limited to:

- Number of agricultural producers/processors who have received technical assistance (gender disaggregated);
- Percentage of volume of agricultural produce increased in the selected communities;
- Percentage of volume of agricultural sales increased in the selected communities.

The desired outcome – “Improved production skills and trading in agriculture” – can be achieved by a combination of difference activities. Under the proposed project USAID will strengthen agricultural value chains in the NC.

Strengthened Agricultural Value Chains in the Selected Regions

The agricultural value chain starts with production at the farm-level and follows these products through their consolidation, processing, transport and wholesaling to deliver that produce to final market demand for the produce, whether that market is local, regional or global. USAID will concentrate its efforts on the development of existing value chains through a focus on post-harvest storage, processing and the creation of demand for high quality inputs that small and medium scale farmers can produce. This objective will be achieved by four interrelated sub-objectives. These sub-objectives all contain approaches which are cross-cutting and mutually reinforcing. Illustrative indicators for sub-IR1.2.1 may include, but are not limited to:

- Number of value chains selected for assistance;
- Number of value chains strengthened (applicants will need to propose criteria to define “strengthened”).

Sub-objective 1 - Increased capability of the value chain actors

In the absolute majority of cases, the agricultural organizations involved in value chains are newly-founded and lack capacity for sustainable activities. This objective will determine the optimal value chain actors for capacity building and growing. The assistance will be provided on a demand-driven basis, which might include provision of equipment, training in management, business planning, innovative farming technologies, marketing, branding, etc.

Illustrative indicators:

- Reported volume of agricultural production output at the rayon-level;
- Reported volume of agricultural production at the republican level;
- Number of farming entities utilizing newly acquired farming techniques;
- Number of agricultural producers/processors who have introduced changes into their production, processing or trading practices.

Sub-objective 2 - Improved market linkages among organizations participating in value-chains

This objective will focus on building the capacity of farmers’ organizations to promote external linkages and maintain sustainable relationships with other actors along the select value-chains.

Illustrative indicators:

- Number of contracts between actors of the value chains at the rayon-level, republican and broader Russia level;
- Number of visits made by farming entities to their business partners within the NC region;
- Number of trips made by members of farming entities to their partners in broader Russia;
- Number of trips made by members of the local farmers’ organizations to participate in the regional agricultural exhibitions.

Sub-objective 3 - Increased access of small agricultural businesses to finance

This objective will focus on the improving access of farmers' organizations and its members to agricultural finance. In many cases businesses lack knowledge and skills to receive loans and/or credit from financial institutions, like rural credit cooperatives and banks. The emphasis should be made on establishing mutually beneficial relationship between small agricultural businesses and financial institutions, which will also benefit from this activity.

Illustrative indicators:

- Number of new loans received by actors of the agricultural value chains;
- Total volume of loans received by actors of the agricultural value chains.

Sub-objective 4 - Increased access of small agricultural businesses to education and extension services

This objective will focus on improving access of farmers' organizations and their members to consultation services. Agricultural producers and processors need help from extension agents and professional institutions providing advice on improved business practices and agricultural technologies on a long-term basis. However, farmers do not know how to identify the problems they are facing and cannot prioritize them. Without adequate information from farmers, extension agents can not provide quality services. This activity will ensure the sustainability of the supported value chain and its members when the project ends.

Illustrative indicators:

- Number of services rendered to small agricultural businesses;
- Number of improvements that resulted from consultations rendered by agricultural support organizations.

The project will also contribute to the following F conflict mitigation indicators:

- Number of people from "at-risk" groups reached through USG supported conflict mitigation;
- Number of USG-assisted facilitated events geared toward strengthening understanding and mitigating conflict;
- Number of people attending USG-assisted facilitated events that are geared toward strengthening understanding and mitigation.

VII. Illustrative Interventions:

USAID encourages a broad range of ideas and creative approaches that will contribute to strengthening agricultural value chains in the selected regions of the NC through improving production skills and trading in agriculture.

Strengthened Agricultural Value Chains in the Selected Regions

The ADP will be implemented in targeted agricultural sectors with a high potential for generating rapid, sustained, and broad-based economic growth. From the array of sectors that make up the NC economy, a limited number of high potential sectors will be selected in consultation with USAID based on criteria designed to identify sectors capable of generating the results and impact envisaged by the Project.

The applicant will identify concrete agricultural sectors which have the potential to be market-viable value chains; to identify value chain actors and types of technical assistance to be provided to improve the targeted value chain stages. Possible activities include, but are not limited to:

- Market evaluation of up to 6 agricultural sectors or subsectors which could be targeted in the participating republics;
- Recommendation on the number of sectors or subsectors for an in-depth value chain analysis; priority should be given to sectors and/or products that will increase rural family farm incomes and are in demand on domestic, regional and/or international markets;
- Assessment to identify value chain actors/stages, which will include different kinds of farming entities such as cooperatives, farmers associations, producers, processors, distributors and others;
- Assessment to identify what kind of technical assistance and/or investments will be optimal to improve competitiveness and profitability for farmers and agribusinesses.

Sub-objective 1 - Increased capability of the value chain actors

This sub-objective is focused on a combination of investment, technical assistance and training to partners along the value chain stages. The implementer should consider what types of interventions are necessary at which stage of the value chain. Technical assistance might include acquisition of materials, goods, and commodities may only be provided in limited amounts.

Possible activities include, but are not limited to:

- Technical assistance to identify materials, goods and commodities to be purchased;
- Purchase of materials, goods or commodities to value chain actors;
- Training in management, accounting and business planning to improve institutional capacity of the farming associations and local governing capacity to further economic development;
- Training in modern technologies and practices to improve agricultural producers' production, processing and marketing skills;
- Study tours of value chain members to successful agricultural producers' and processors;
- Publication of specific materials – books, brochures, training films.

Sub-objective 2 - Improved market linkages among organizations participating in value-chains

- Trips of value chain members to participate in exhibitions, trade fairs, presentations to establish new business contacts and/or present their production;
- Conferences, round tables, seminars to work out joint business plans among agricultural producers, processors and distributors;
- Round tables for farming entities and associations to advocate for changes in local, republican or federal agricultural policy to ensure sustainability of their market linkages;
- Meetings, newsletters, articles to share information on a regular basis with relevant local republican officials and ministries as well as other appropriate local government offices like mayors and village leaders/elders.

Sub-objective 3 - Increased access of small agricultural businesses to finance

- Training and consultations to improve ability of rural financial organizations to provide quality services to actors of agricultural value chains of the region;
- Training and consultations to improve ability of actors of agricultural value chains actors to meet the requirement of rural and other financial organizations.

Sub-objective 4 - Increased access of small agricultural businesses to education and extension services

- Training and consultations to improve ability of agricultural support organizations to identify needs and provide quality services to agricultural small businesses of the region;
- Training and consultations to improve ability of actors of agricultural value chains actors to meet the requirement of agricultural support organizations.

Because the ADP is market and demand-driven and working in a conflict-prone environment, flexibility will be required to adapt to changing circumstances and seize opportunities for high impact.

VIII. Required Elements:

Because of resource limitations, it is not expected that ADP can reach all actors in agricultural sector of the North Caucasus. At the same time, it is possible for applicants to devise models, mechanisms, frameworks and procedures that can be used with targeted actors or in targeted locations, serving as positive examples for future adaptation and replication. Accordingly, there are several required approaches for a successful application.

1. Geographic Focus

Defining a geographic focus for this programming, or selecting specific municipal sites for concentration of activities, may be a useful tool for creating synergies and creating a multiplier effect of program results. Geographic focus may also allow programming to target the very specific conditions of individual communities and better address their needs.

USAID's strategic focus - is the republics hardest hit by conflict: Dagestan, Chechnya, Ingushetia, Kabardino-Balkaria and North Ossetia-Alania. USAID has been informed that the agricultural sector in the Republic of North Ossetia-Alania does not require USAID-funded technical assistance due to the more than adequate support of its Republic's government. Nevertheless, the agricultural sector in Karachayevo-Cherkessia is in a very poor condition, though the region has been much less affected by war and inter-ethnic violence than other regions.

Thus, applicants are expected to work in a minimum of three, and up to a maximum of five, regions of the NC, selected from the republics of Dagestan, Chechnya, Ingushetia, Kabardino-Balkaria and Karachayevo-Cherkessia. However, other members of the value chain (processors, retailers) can be from any region of the Southern Federal District, other areas of the Russian Federation and from abroad. Other regions can also play a role as a meeting place, locations for sites visits or base of operations for inter-republic programs. Integrating the conflict-prone regions of the NC into the Southern Federal District and into Russia more broadly is an important cross-cutting theme of this project. The key for determining geographical focus is where the market conditions prevail and where the program can have the largest impact on targeted, vulnerable populations.

The application shall include a strong justification for the selection of its target regions, which should take into consideration such criteria as synergy with completed and on-going agricultural efforts, "buy-in" from important regional stakeholders including, if appropriate, local and regional governments, local NGOs, and a population density such that significant impact can be achieved.

2. Reducing Isolation

Despite being a border region, the North Caucasus is isolated from the rest of the Russian Federation and from its international neighbors. Both the perceived and real security problems of the region keep outsiders away. Traveling within the region has its own complications, with a variety of checkpoints and spot checks by security officials.

Programs in the North Caucasus need to encourage the integration of citizens into broader communities and support networks. The isolation of both individuals and communities also contributes to the possibility of a return to conflict. To the greatest extent feasible, program activities should encourage participants from across the region to get to know each other, learn from each other, and become more aware of the benefits of exchanging best practices.

The project will strive to reduce this isolation by:

- Bringing program partners together on a regular basis with their counterparts from throughout Russia in order to share information on a peer-to-peer basis;
- Promoting the dissemination of best practices from other Russian regions through workshops and exchanges;
- Promoting ties among neighbors of the North Caucasus, including inter-regional collaboration among NGOs and government;
- Promoting increased Russian understanding of the Region.

3. Engaging Youth and Marginalized Groups

Youth populations and marginalized groups, such as ethnic minorities, are especially vulnerable to being drawn into conflict, because they generally have fewer options provided to them by the existing social order. For this reason, programming directed at these groups can be particularly effective in keeping them from engaging in negative risk-taking behavior which could lead to violence. For all planned interventions, efforts will be made whenever possible to engage marginalized populations and youth (between the ages of 15-30), especially those who are at-risk of disaffection and alienation. It is important for all programming to consider how youth populations can be engaged. For example, sports, academic competition, and social events can be utilized to impart critical values to youth. As the programs begin to build trust relationships, engaging local religious and non-traditional leaders with youth and other groups should be considered.

The NC rural areas are experiencing high under-employment and under-educated young people. There is a high migration rate for youth leaving rural areas and those that have received a good education are declining to remain in large cities to work. The agricultural sector is viewed as an unattractive career to youth. The youth that do remain in rural areas and that are not working are a drain on state resources and are at risk. The involvement of more young people in all types of agricultural activities is also critical to the success and sustainability of agricultural businesses as it ensures a cross-generational continuity of cooperation.

The applicant should consider possibilities for addressing these issues and ensure balanced representation of age groups by providing equal access to youth and older people for participation in program activities. Moreover, applicants should make focused efforts and apply creative approaches to ensure constructive and motivated participation of youth in agricultural activities and promote their leadership in the sector. This standard should be reflected in all project components. To the greatest extent feasible and practical, monitoring and reporting on project impact on beneficiaries will be disaggregated by age. At the same time, applicants should be aware of possible unintended

consequences, such as removing youth from school, and propose approaches to address such consequences.

4. Working in Partnership with Communities

It is important to consider the strength of local, targeted communities. A one-size-fits-all approach in the North Caucasus is likely at best to result in only small instances of impact. By the same token, it is especially important to involve local implementers and regional networks who have knowledge of local conditions and have a strong track record. On the other hand, working with local organizations will probably mean that additional resources will need to be directed toward coordination and institutional development of these entities, which may have serious organizational deficiencies despite their ability to conduct effective technical work. By designing programming that engages stakeholders throughout the community, government officials, civil society leaders, private business owners and most importantly, citizens, the prospects for the success and sustainability of any given project is increased.

USAID strongly encourages partnering with local organizations which are tied to the development of local communities. Working with local organizations will probably mean that additional resources will need to be directed toward coordination and institutional development of these entities, which may have serious organizational deficiencies despite their ability to conduct effective technical work. By designing programming that engages stakeholders throughout the community, government officials, private business owners and most importantly, citizens, the prospects for the success and sustainability of any given project is increased.

5. Addressing Gender Issues

In accordance with USAID policies, gender considerations must be taken into account in the planning and implementation of projects and activities. Within the context of the current program, this gender analysis aims to explore fundamental links between gender and conflict reduction. The purpose of this analysis is to identify and address gender issues that may obstruct or improve the impact of development support. Considering a gender perspective helps to ensure that interests of both women and men are adequately represented, so that women as well as men will benefit equally from the program interventions. In the context of the North Caucasus program, however, the focus of the gender analysis will be to a large extent on the position of women in order to address existing gender disparities.

In many republics of the North Caucasus, traditional gender relations and family patterns are maintained. This is very much reflected in the stereotypical vision of the roles of men and women. Research shows that men and women in the Caucasus enjoy different rights in many spheres of life (work, home, free time) and women often have fewer rights. A man generally has the role of decision-maker, he is considered to be “the head of the family”, entitled to pursue a career, to enjoy time outside the family, whilst women often lack such opportunities.

Focus on Men

The emphasis too often seems to remain on women and fails to focus adequately on men’s position in the gender equation. Experts agree that conflict-reduction programming should include activities that will stimulate young men to question traditional norms of masculinity emphasizing violence, confrontation and domination in contrast to alternative models of masculinity, more open to negotiation, cooperation and equality. Such activities can lead them to critically discuss the advantages of gender equitable behavior, including taking better care of their own sexual and reproductive health.

Evidence suggests that attracting young men is essential. For instance, a survey conducted in the Chechen Republic by the Union of Women of the Don indicates that young male respondents tend to be most radicalized in denying women's political, social and economic rights and upholding discriminating gender stereotypes.

Historically, women are active and numerous in the agricultural sector, which generally does not seem very appealing to men, since it does not offer a very high income possibilities and is not seen as a viable place of employment. Usually, women and youth are involved in agricultural work, while men generally prevail as leaders and make major decisions. There are many reasons why rural women in the NC are at a disadvantage – these reasons are cultural, economic and social. In some cases customary law dictates whether a woman can own or inherit land. In others there are structural barriers and societal norms which make it difficult for women to access funds or become a head of a farmers' organization. There is gender inequality which needs to be addressed so that rural women can be eligible for productive credit programs and be encouraged to participate in cooperatives and their decision making processes, credit unions or other groups which produce agricultural or non-agricultural products that increase community income and employment.

Within the context of the current program, a gender analysis should be conducted to explore fundamental links between gender and conflict reduction. The purpose of this analysis is to identify and address gender issues that may obstruct or improve the impact of development support. Considering a gender perspective helps to ensure that interests of both women and men are adequately represented, so that women as well as men will benefit equally from the program interventions. In the context of the North Caucasus program, however, the focus of the gender analysis will be to a large extent on the position of women in order to address existing gender disparities.

6. Exploring Prospects for Sustainability of Programming

Previously, assistance directed toward the North Caucasus focused more on building stability rather than sustainability. In the face of a humanitarian crisis, the primary objective was to provide for immediate needs, rather than building capacity for communities to address these needs themselves. Currently, a lack of organizational capacity is the main barrier to the sustainability of not only NGOs, but also MSMEs and local government service provision. In any form of sustainable activity, organizations need to develop a strategy, seek out a constituency, and provide services that are valued by the public. USAID programs should, where possible, support sustainable development efforts to include local capacity building activities.

USAID has built up considerable investments in establishing farming cooperatives throughout the North Caucasus. Of primary interest to the ADP will be to consider ways to work with existing cooperatives and agricultural-based organizations which can benefit the growth of supply chains and build the capacity of local Russian organizations. Specifically, Russian local organizations should be sought out to realize the fullest potential under the ADP. This will ensure that the value chains are viable and sustainable beyond the life of the program.

7. Mitigating Potential Environmental Impacts

An Initial Environmental Examination (IEE) [DCN-2008-RUS-007 dated September 23, 2008] has been approved for the program funded under this Project Description Framework. USAID has determined that the proposed activities include those expected to fall under a Categorical Exclusion and a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. Select agricultural activities are expected to

carry a Positive Determination requiring an Environmental Assessment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award and should budget for the necessary environmental reviews.

As a general rule, agriculture should be environmentally sustainable in order to be economically sustainable. Thus, the possible environmental effects such as soil erosion, soil fertility depletion, worsened water quality and quantity, and agrichemical contamination should be taken into account when planning agricultural initiatives. Negative environmental impacts may come from expanding the area used for crop or livestock production or from using environmentally unsound practices on existing farm. It is essential for farmers and communities to take part in designing agricultural development activities in judging chances for harmful environmental impacts and in mitigating these impacts in order to avoid short-term considerations which often drive farmers' decisions and choices. Avoiding or mitigating adverse environmental impacts generally involves education and behavioral changes in the way people farm. Without agreement from the local community farmers may make less than optimal environmental choices because they seek short-term returns without looking at long-term costs.

Within the current project, environmental impact analysis should be conducted involving the local community and all relevant stakeholders to examine negative environmental consequences of the planned activities and develop monitoring and mitigation activities to address the predicted harmful environmental impacts.

IX. Contingencies and Best Practices

Agriculture is a risky investment in any circumstance and is especially difficult in a time of global economic crisis and in a region with a history of violent conflict. There are several international best practices that USAID has developed when working on value-chains in conflict-prone areas. The must take the following information into consideration while designing any value-chain project.

- **Develop indigenous subsectors, not new initiatives.** Select strategic subsectors that use local knowledge and target existing market demand—a sounder strategy than introducing new activities having unknown market demand and often inadequate levels of human and physical resources and capacity.
- **Stimulate processing capacity in indigenous industries.** Donor investments at the processor level are effective in stimulating value chain productivity, both upstream and downstream of the processor. Because they are central to the value chain, processors are vital to stimulating markets for raw materials and boosting production of value-added goods. Processor interventions should be directed toward indigenous industries with proven market demand and production experience.
- **Develop and deliver comprehensive, dynamic value chain approaches.** Post-conflict economic development efforts should employ comprehensive value chain approaches that inject resources into a range of interventions along the entire chain. Approaches at a single level in the chain risk may create unbalanced growth and distort markets.
- **Value chain interventions should focus on commercially-oriented beneficiaries.** While some programs aim to provide a mix of social safety nets and development support, economic assistance not directed to specific, vulnerable populations should aim to help commercially-oriented beneficiaries who are linked to value chains as they can show greater short-term impact and long-term sustainability.
- **Ensure market opportunities for farmers exist before investing at the production level.** Creating stable and profitable markets for agricultural production is a prerequisite for investing

at the farmer level. Without strong market incentives, farmers will not adopt new technologies or optimally utilize capital investments.

- **Facilitate relationships between farmers, producers and end markets.** Donors and implementers should engage in building and improving relationships between value chain actors through activities such as facilitating business roundtables, subsector directories and forward contracts between buyers and sellers.
- **Improve enabling environment in parallel with post-conflict value chain revitalization.** While significant post-conflict assistance is delivered at the farm and firm levels to improve production and expand markets, reforming the policy environment is just as important for revitalizing value chains. Policy reforms that improve the business environment should be undertaken in parallel with farm and firm level assistance.
- **Monitor value chain performance to identify investment opportunities.** Careful monitoring of the entire chain is necessary to determine where investments can have the greatest impact. This can and should be done through a well-designed, planned and implemented M&E strategy.
- **Investments should balance breadth with depth.** Small investments directed toward too many beneficiaries may show limited benefits to a subsector; high investments in too few beneficiaries can have the same effect.
- **Improve coordination among donors and implementing partners.** Improved cooperation between USAID implementers in the NC will improve the chances for success. For example, USAID is investing in building the capacity of local government officials and civil society organizations – both of these groups will have a significant impact on the success of agricultural value chains in a particular region.

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

Subject to the availability of funds and approval of USAID/Russia's annual Operational Plan, USAID intends to provide approximately \$6.5-7.0 million in total USAID funding for the life of the activity (four years).

B. Type and Number of Awards

USAID intends to award one (1) Cooperative Agreement pursuant to this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value to the U.S. Government.

Note: The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

USAID anticipates making an award on early fiscal year 2011. The period of performance anticipated herein is four (4) years.

D. Substantial Involvement

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. A Cooperative Agreement implies a level of "substantial involvement" by USAID through the Agreement Officer's Technical Representative (AOTR) or the Agreement Officer (AO). The intended purpose of USAID involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in the cooperative agreement in the following ways:

- Approval of Annual Implementation Plan by the AOTR;
- Approval of Key Personnel by the AOTR;
- Concurrence on selection of subawardees by the AO;
- Concurrence on selection criteria of subawards by the AOTR; and
- Approval of the monitoring and evaluation plan by the AOTR.

SECTION III – ELIGIBILITY INFORMATION

A. Eligible Applicants

Qualified applicants may be U.S. private voluntary organizations (U.S. PVOs) and/or U.S., Russian or other non-U.S. non-governmental organizations (NGOs) or private, non-profit organizations (or for-profit companies willing to forego profits), including universities, research organizations, professional associations, and relevant special interest associations. Public International Organizations (PIOs) and faith-based and community organizations are also eligible for award. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners, particularly if they are joined with a more experienced organization.

B. Local Registration

All local institutions or affiliates of international organizations must be registered as a legal entity in Russia. Local registration is not a requirement at application time, but **it is required prior to the launch of project activities.**

C. Cost Sharing or Matching

No cost share has been recommended for this program. However, applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this project.

Contributions can be either cash or in-kind and can include contributions from the applicant, local counterpart organizations, project clients, and other donors (but not other U.S. government funding sources). Cost sharing contributions must be in accordance with OMB Circular A-122 - Cost Principles for Non-Profit Organizations which can be found at the following link <http://www.whitehouse.gov/omb/circulars/a122/a122.html> Information regarding the proposed cost share, if any, should be included in the SF 424 (for U.S. organizations only) and the Budget as indicated on those documents. The cost sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the activity.

In addition, USAID strongly encourages applicants to actively leverage funds and in-kind contributions from all available and interested local funding sources, including, but not limited to, government and public institutions, individuals, corporations, NGOs, foundations, etc.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Application Package

The federal grant process is now web-enabled. Beginning November 1, 2005, the preferred method of distribution of USAID RFAs and submission/receipt of applications is electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from www.grants.gov. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@usaid.gov for technical assistance. Applicants may upload applications to www.grants.gov. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Potential applicants may also request a copy of the RFA application package by sending a fax to USAID/Russia, Attn. Contracting Office, at (7-495) 960-2141 or 2142, referring to USAID-Russia-ORD-10-0005-RFA “North Caucasus Agricultural Development Project”.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (1) Section V.B – Technical Evaluation;
- (2) Section IV.D – Submission of Applications
- (3) Section IV.E – Application Preparation Guidelines; and
- (4) Section I – Funding Opportunity Description

B. Point of Contact

Donella J. Russell, Agreement Officer
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation

C. Questions

Any questions concerning this RFA must be submitted in writing to Donella J. Russell, via internet at drussell@usaid.gov and to Galina Ponkratova at gponkratova@usaid.gov or via fax at (7-495) 960-2140 by 1700 hours local Moscow time on August 4, 2010. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

D. Submission of Applications

Applications must be submitted no later than 1700 hours local Moscow time on September 3, 2010. Late applications will be accepted and reviewed at the discretion of the Agreement Officer.

Applications may be submitted using any one of the following methods:

1. **Submission through www.grants.gov:** Applicants are encouraged to up-load applications to www.grants.gov. Please go to <http://www.grants.gov> for application instructions. For Grants.gov technical support, call 1-800-518-4726. Applications will be considered received by USAID on the date and time when the application has been submitted to Grants.gov for validation. Grants.gov will certify and electronically stamp applications upon receipt.
2. **By Email Submission:** Applicants e-mailing submissions shall forward them to the following e-mail address: Russia-Applications@usaid.gov with the e-mail SUBJECT line to read: "Application for Best Practices in Child Welfare Project." Applicants submitting electronic applications 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. USAID servers may automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. Acceptable file formats are Word, Adobe Acrobat and Excel.
3. **Hard Copy Submissions:** Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. Hard copy submissions must in MS Word and/or Excel on letter or on A4 paper and single-spaced, using 10 or 12 font. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

Donella J. Russell, Agreement Officer
American Embassy Moscow
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation
Tel: (7-495) 728-5000
4. **Faxed Applications:** Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

E. Application Preparation Guidelines

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the technical and cost application format.

All applications must be submitted in English in two separate parts: (a) technical and (b) cost or business application.

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.

1. Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section V.

Technical applications should not exceed 28 pages in length, exclusive of the two annexes. The technical application shall consist of the following:

- Cover Page (1 page)
- Application Summary (2 pages)
- Narrative (25 pages)
 - Technical Approach (15 pages)
 - Illustrative First Year Implementation Plan (2 pages)
 - Illustrative Monitoring and Evaluation Plan (2 pages)
 - Project Team (3 pages)
 - Management & Institutional Capacity, including Management Plan (3 page)
- Annexes
 - Resumes
 - Past Performance References (3 pages)

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated.

Technical applications shall include:

Cover Page: A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (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. 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. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

Application Summary: The Application Summary **shall not exceed two pages** and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.

Narrative (25 pages or less): The narrative should contain the following elements:

a. Technical Approach (15 pages or less)

- i. The Program Approach must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed and must reflect a thorough understanding

of agricultural development issues in the North Caucasus of the Russian Federation; a description of the target population; identify mechanisms to ensure ongoing coordination with other donors, implementing agencies, and related projects; outline specific, focused activities; describe the strategy for collaborating and getting buy-in from Russian organizations; include a well-articulated strategy for dissemination and long-term impact; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the lower level and intermediate results identified in the Program Description Framework. Applicants are encouraged to propose innovative programs designed to reach the desired outcomes/results.

ii. Applications shall discuss how resources will be organized to obtain expected results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

iii. Applicants must provide a description of any partnerships and sub-recipient relationships planned with partners. Applicants should detail any existing relationships with partner organizations and/or the methods proposed to establish new relationships. In this regard it is necessary to describe how elements of the grant will be implemented with non-government organization partners and other types of partners.

iv. Gender equality: In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. Applicants should address gender concerns in a fundamental way. USAID encourages all applicants to provide additional or alternative recommendations on how to address gender equality in this project.

b. Illustrative First Year Implementation Plan (2 pages or less)

The application must provide an illustrative First Year Implementation Plan for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the annual and end-of-program results. This plan will be considered illustrative for the purposes of evaluating applications; however, once the award is made, finalizing the implementation plan will be a key activity. Within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised first year implementation plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR).

c. Illustrative Award Monitoring Plan (2 pages or less)

As part of the program approach, applicants shall submit an Award monitoring Plan (AMP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). Applicants shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting. In particular, applicants must include clear benchmarks and indicators of strengthened agricultural value chains in the selected regions of the NC. Applicants should also include benchmarks and indicators of building the capacity of local Russian organizations.

Indicators: There are two types of indicators that will be used to measure performance under this award: 1) impact indicators to measure the annual and end-of-project results which are to be developed by the Applicant and 2) USAID F conflict mitigation indicators which must be reported annually (please see below).

Depending on the nature of the Applicant's technical approach, one or more of the following F conflict mitigation indicators must be included in the AMP:

- Number of people from "at-risk" groups reached through USG supported conflict mitigation;
- Number of USG-assisted facilitated events geared toward strengthening understanding and mitigating conflict;
- Number of people attending USG-assisted facilitated events that are geared toward strengthening understanding and mitigation.

d. Project Team (3 pages or less)

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Chief of Party must have a proven track record working on similar programs, with a preference for individuals who have worked in Russia or the former Soviet Union. The Chief of Party should preferably also be able to use both Russian and English languages in professional settings. Applicants must propose which positions should be Key Personnel (no more than five positions or five percent of recipient employees employed under the award). In an annex to the technical application, applicants should provide resumes for the candidates proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

Applicants must provide evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in addressing similar relevant programs and issues in the past.

e. Management & Institutional Capacity (3 pages or less)

As part of the technical application, applicants must submit a *Management Plan*. The applicant should specify the organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project, and describe how each of the components will be managed. "Implementing partners" are organizations that will have substantial implementation responsibilities. The management plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the proposed results and the unique capacities/skills they bring to the program. Please note that documentation that reflects an "exclusive" relationship between implementing partners is not requested and should not be submitted.

Applicants must also offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following information:

- a. Brief description of organizational history and experience
- b. Examples of accomplishments in developing and implementing similar programs

- c. Relevant experience with proposed approaches
- d. Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas
- e. Sub-recipient or subcontractor capabilities and expertise, if applicable;
- f. Proposed field management structure and financial controls;
- g. Home office backstopping and its purpose.

Annexes:

Resumes: Resumes are to be included as an Annex for each individual who is proposed as key personnel and/or long-term staff on the program, for both the Applicant and proposed implementing partners, if any. Resumes should use a common format, not exceed two pages and should include at least three references with telephone numbers and e-mail addresses for each reference. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is not requested and should not be submitted.

Past Performance References: Describe all contracts, grants and cooperative agreements which the organization (both the primary Applicant as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. Past performance information should not exceed 3 pages.

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant’s responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

2. Cost Application Format

The Cost or Business Application is to be submitted in English under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Grant 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 Cost Application shall consist of the following:

- Cover Page
- SF-424, SF-424A and SF-424B (U.S. organizations only)
- Mandatory Certifications and Assurances
- Acknowledgement of any amendments to the RFA
- Budget
- Budget Narrative
- Current Negotiated Indirect Cost Rate Agreement (NICRA)
- Teaming documents (if any)

- Documentation from applicants who do not have a current NICRA or who have never received an award from the U.S. government as explained more fully below.

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

Cover Page: A **single page** with 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. 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. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

SF-424, SF-424A and SF-424B (U.S. organizations only)

U.S. Applicants must submit their applications using the SF-424 series which includes:

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

The SF 424, SF 424A and SF 424B documents are not included in this RFA but can be found at the following website:

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

Mandatory Certifications and Assurances

Applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
 - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
 - Certification Regarding Lobbying
 - Certification Covering Terrorist Financing
- PART II – Other Statements of Recipient

These certifications and assurances are attached as Annex D to this RFA.

Acknowledgement of Any Amendments to the RFA

Applicants shall acknowledge receipt of all amendments, if any, to this RFA by signing and returning the amendment as part of the cost application. The Government must receive the acknowledgement by the time specified for receipt of applications.

Budget

Applicants must submit an overall summary budget as well as a detailed annual budget defined by result area or component. Stated another way, the budget should relate to results while also showing the type of cost for each result. The budget must clearly display:

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Grant; and
- the potential contributions of non-USAID or private commercial donors to this Grant.

Budget Narrative

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. The combination of the cost data and breakdowns specified above and the budget narrative must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs. Please note that applicants are **not** required to present their costs in the budget or budget narrative in the format or order below.

i) Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

ii) Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.

iii) Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

iv) Equipment – Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

v) Materials and Supplies – Specify all materials and supplies expected to be purchased, including type, unit cost and units.

vi) Communications – Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of this types of costs.

vii) Subcontracts/Subwards/Consultants – Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.

viii) Allowances – Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.

ix) Direct Facilities Costs – Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.

x) Other Direct Costs - This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

xi) Indirect Costs - The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

Current Negotiated Indirect Cost Rate Agreement (NICRA)

A current Negotiated Indirect Cost Rate Agreement must be submitted, if the applicant has one.

Other Documentation

a. Teaming: If the applicant is a group of organizations that has actually formed a separate entity – *i.e.* a joint venture -- for the purposes of this application, then the cost application must include a copy of the documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the cost application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated and how work will be organized and managed. The Budget Narrative described above should discuss which team member is bearing a particular cost where appropriate and justify and explain the cost in question.

b. Financial and Other Resources: The cost application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there has been approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application.

Organizations that have never been awarded a U.S. government contract or grant must present the following documentation:

- (a) Audited financial statements for the past three years;
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- (c) Copies of the applicant's accounting, personnel, travel and procurement policies. Please indicate whether any of these policies have been reviewed and approved by any agency of the U.S. government. If so, provide the name, address, email and phone number of the cognizant reviewing official. **Similar information should be submitted for all partner organizations.**

c. Responsibility: Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- 1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental 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.

An award shall be made only when the Grant Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey.

F. Disclosure of Data

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."

SECTION V – APPLICATION REVIEW INFORMATION

A. Basis for Award

Award will be made to the responsible applicant whose program is considered to best meet the development challenge outlined in the RFA. The final award decision is made by the Grant Officer, taking into account the Technical Evaluation Committee recommendations, cost evaluation (including cost share, if recommended) and the applicant's proposed Branding Strategy and Marking Plan.

B. Technical Evaluation

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Sub-criteria are listed in descending order of importance.

1. Technical Approach (45 Points)

- Extent to which the proposed program approach is clear, technically sound, directly addresses the objectives identified in this RFA, incorporates all of the required program elements and proposes ambitious yet achievable results directly contributing to lower level and intermediate project results with appropriate indicators;
- Extent to which the applicant incorporates local expertise and proposes viable plans to secure local participation by relevant Russian authorities and organizations; and
- Clear demonstration of understanding and analysis of gender differentiation and issues in the proposed approach.

2. Organizational Capacity (25 Points)

- Demonstrated capacity to manage projects of similar scale and scope, as evidenced by presentation of a comprehensive plan with clear division of duties and responsibilities, detailing the staffing, financial, and technical resources that will be employed to implement the approach, including team members, if any;
- Extent to which the applicant demonstrates a management and organizational approach integrating local expertise; and
- Demonstrated institutional capacity to manage projects of similar scale and scope and to operate in a complex cultural, political, and security environment.

3. Past Performance (15 Points)

- Past performance in implementing projects of similar scale and scope preferably in conflict-ridden countries or regions.

4. Project Team (15 Points)

- Extent to which the technical qualifications, knowledge and abilities (including Russian and English language skills) of proposed key personnel and long-term staff are appropriate to their proposed roles and are suited to the successful implementation of the technical approach;
- Extent to which the program draws on local expertise; and
- Demonstrated past performance of the key personnel in successful project implementation, preferably in post-conflict situations.

C. Cost Evaluation

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allocability, allowability and cost-effectiveness. Cost sharing, if any, will be evaluated on the level of financial participation proposed and the added value it represents to the program.

D. Review and Selection Process

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application(s) of the most highly-ranked applicant(s) will be opened. To the extent that they are necessary, clarifications or negotiations will then be conducted. The Grant Officer will then select an Apparently Successful Applicant. The Apparently Successful Applicant means the applicant recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Grant Officer. The Grant 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.

The Apparently Successful Applicant, upon the request of the Grant 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 Grant 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 Grant 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.

The Grant 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 Grant 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 Grant Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness.

The Grant Officer may obtain advice and recommendations from technical experts while performing the evaluation.

E. Anticipated Announcement and Award Dates

An award is anticipated at the end of fiscal year 2010 or on early in fiscal year 2011.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

The Grant 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 Grant Officer.

B. Award Notices

All applicants will be notified in writing of the final decision regarding their application.

C. Administrative and National Policy Requirements

1. **Award Format:** If award is made to a U.S. or non-U.S. organization, the standard format for award of a grant to a U.S. or non-U.S. organization, as prescribed in ADS 303, will be used. If award is made to a public international organization, the standard format for an award to a PIO, as prescribed in ADS 308 but modified for a cooperative agreement, and with special provisions negotiated as necessary, will be used.

2. **Allowable Costs:** 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, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., nongovernmental recipients, and the Mandatory Standard Provision entitled “Allowable Costs (DEC 2003)” for public international organizations), may be paid under the grant.

3. **Funding Restrictions:** The award resulting from this RFA may have restrictions on funding activities that benefit the central government of the Russian Federation and its institutions.

4. Reporting

Initial Implementation Plan: Within 60 days of award, the Recipient will be required to submit a draft detailed work plan for the first year of activities to the USAID/Russia AOTR for review and approval (two hard copies and an electronic copy). The AOTR must provide written comments on the draft plan within three weeks of receipt and when the plan is finalized, the AOTR will provide written approval.

The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets (e.g., number of persons to be trained, topics of the trainings, etc); and 5) a timeline for the implementation of the task.

The initial work plan must include the recipient’s proposed **Award Monitoring Plan**, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date

by which all baseline data will be established. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals. Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender. One or more of the following F conflict mitigation indicators must be used:

- Number of people from "at-risk" groups reached through USG supported conflict mitigation;
- Number of USG-assisted facilitated events geared toward strengthening understanding and mitigating conflict;
- Number of people attending USG-assisted facilitated events that are geared toward strengthening understanding and mitigation.

Annual Implementation Plan: Annual implementation plans for subsequent years are due to the AOTR 30 days before the end of the preceding award year (two hard copies and an electronic copy). The implementation plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the Recipient should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) outline any special issues that the recipient will target for that year; 4) assign responsibilities for completing those steps; 5) provide any quantitative or qualitative targets (e.g., number of persons to be trained); and 6) a timeline for the implementation of the task.

Performance Reporting: Semi-annually performance reporting will be required under any award made hereunder. The performance reports must contain, among other things, report on annual and life-of-project results when applicable.

5. Other Considerations: In responding to this RFA, potential applicants should bear in mind the following special considerations:

a. Authorized Geographic Code: The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

The authorized Geographic Codes for procurement of goods and services under the proposed award are 000 (United States) and 110 (NIS or Newly Independent States). The countries of Eastern Europe are not included in these Geographic Codes.

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in a Code not included in Code 941 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured,

applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

b. *Environmental Requirements:* The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

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

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

c. No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

d. An Initial Environmental Examination (IEE) [DCN-2008-RUS-007] has been approved for the program funded under this award. The IEE covers activities expected to be implemented under this award. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

e. As part of its initial work plan, and all annual work plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Technical Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation. A brief statement describing how the grantee ensures that program activities comply with these terms should be included in annual/quarterly reports.

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

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

h. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP), the Recipient may be required to:

- a) Prepare an EMMP describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP shall include monitoring the implementation of the conditions and their effectiveness.
- b) Integrate a completed EMMP into the initial work plan.
- c) Integrate an EMMP into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

The Recipient should consult and coordinate with the Agreement Officer's Technical Representative and the Mission Environmental Officer to discuss which mitigation measures and monitoring are required for specific activities.

i. If provisions for sub-grants and sub-projects are included under this award; the Recipient may be required to use an Environmental Review and Assessment (ERA) Checklist or Environmental Due Diligence (EDD) Form using impact assessment tools to screen grant proposals and suggestions for sub-projects to ensure the funded proposals/sub-projects will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERA checklist or EDD is called for when the nature of the grant proposals and suggestions for sub-projects to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant and sub-project activities cannot go forward until the ERA checklist or EDD is completed and approved by USAID. The Recipient is responsible for ensuring that mitigation measures specified by the ERA checklist or EDD process are implemented. The Recipient should consult and coordinate with the Agreement Officer's Technical Representative and the Mission Environmental Officer to prior to undertaking the required analysis and discuss which options are most appropriate for the given action.

j. Periodic performance reports, as specified in this award, shall also address the status of environmental issues or mitigating measures.

c. North Caucasus Security Notice: The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

Safety and Security

1. Grantee/Recipient shall keep its employees who are involved in implementing this Grant/Cooperative Agreement aware of the information published by the U.S. Department of State, Bureau of Consular Affairs, about travel of U.S. citizens to the North Caucasus, as amended from time to time. This information may be found at <http://travel.state.gov>, under Consular Information Sheets, Russian Federation. The following is a quotation from a portion of the current Consular Information Sheet for the Russian Federation. "SAFETY AND SECURITY: Due to continued civil and political unrest throughout much of the Caucasus region, the Department of State continues to warn U.S. citizens against travel to Chechnya and all areas that border it: North Ossetia, Ingushetia, Dagestan, Stavropol, Karachayevo-Cherkessia and Kabardino-Balkariya. The U.S. government's ability to assist Americans who travel to the northern Caucasus is extremely limited. Throughout the region, local criminal gangs have kidnapped foreigners, including Americans, for ransom. U.S. citizens have disappeared in Chechnya and remain missing. Close contacts with the local population do not guarantee safety. There have been several kidnappings of foreigners and Russians working for non-governmental organizations in the region. Travel to this area by United States government personnel is allowed only in rare circumstances and requires advance coordination of a full time armed escort. American citizens

residing in these areas should depart immediately as the safety of Americans and other foreigners cannot be effectively guaranteed.

“American citizens living in Russia or traveling there for even a few days are strongly urged to register with the embassy or nearest consulate general. Registration will allow the embassy to provide direct information on the security situation as necessary. Registration is done on-line and can be done in advance of travel. Information on registering can be found at the embassy web www.usembassy.ru or at the Department of State's Consular Affairs website: <https://travelregistration.state.gov>.”

2. Grantee's U.S. citizen employees working on this Grant in the Russian Federation are strongly urged to register with the U.S. Embassy in Moscow, as explained above in the Consular Information Sheet. The Grantee and its employees assume the risks of traveling in the Russian Federation.

d. Branding and Marking: The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

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 brandmark, 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 subawards.

(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" 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 brandmark, 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 subawards.

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 produce 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 1.

(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 subagreement.

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.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, 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 subrecipients, 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 brandmark, 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 subaward 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) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, 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 subrecipient, USAID may, at its discretion, require marking by the subrecipient 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 Agreement Officer's Technical Representative (AOTR) 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.

(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 subawards 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 not 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.

SECTION VII – AGENCY CONTACTS

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SECTION VIII – OTHER INFORMATION

Applicable Regulations & References

<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
- 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>

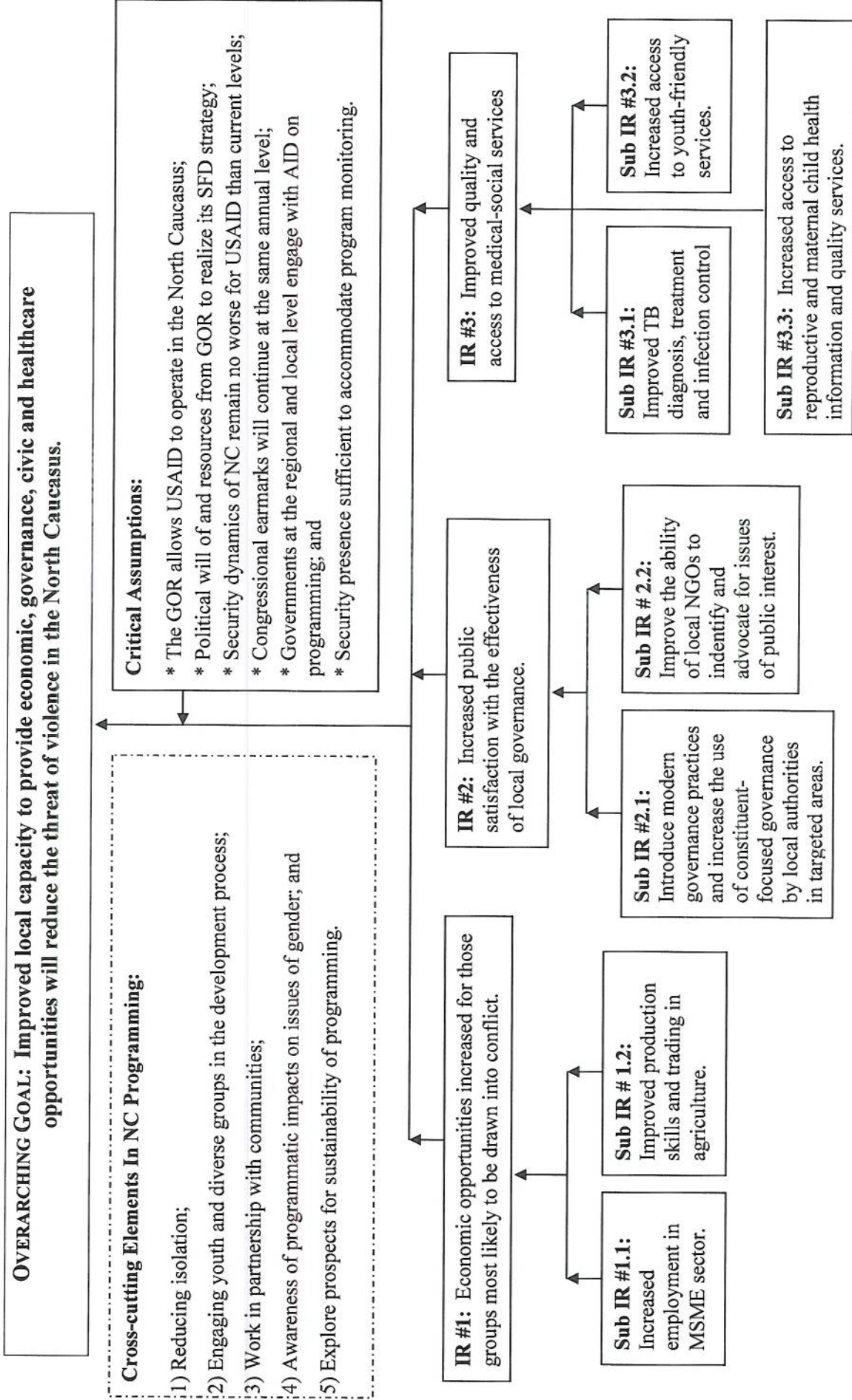
- ADS Series 300 Acquisition and Assistance

<http://www.usaid.gov/pubs/ads/>

- SF-424 Downloads

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

ANNEX A



List of USAID's ongoing projects in the NC

1. Improved Community Infrastructure in North Ossetia

Partner: Children's Fund of North Ossetia (CFNO)

Project Dates: July 2006 – October 2011

Location: North Ossetia

Description: This project aims to strengthen the socio-economic integration of vulnerable and displaced populations in North Ossetia by improving their standards of living and employment opportunities. The project facilitates the integration of vulnerable and displaced populations, especially forced migrants, in North Ossetia by improving infrastructure and social services through labor-intensive public works projects and by developing small businesses through training and a targeted small grants program.

2. Intergovernmental Fiscal Reform (Public Finance and Budgeting in the North Caucasus)

Partner: Center for Fiscal Policy (CFP)

Project Dates: September 2003 – August 2010 (possible extension through September 2011)

Location: North Caucasus, Rostov Oblast, Stavropol Krai

Description: This project is part of a nationwide Intergovernmental Fiscal Reform project that provides technical assistance to federal, regional, and local authorities on intergovernmental fiscal and budget reform issues. The purpose of the project is to promote values of fiscal federalism such as fairness, transparency, and objectiveness in budgetary relations. Project activities also focus on improving government spending efficiency in public sectors and supporting government efforts to rationalize the budget process. Working with regional and municipal administrations, the Center for Fiscal Policy aims to create a more effective and transparent fiscal system and improve the Russian government's ability to provide public services.

3. North Caucasus Rural Credit Cooperative and Agribusiness Development

Partner: ACDI/VOCA (in collaboration with the Rural Credit Cooperative Development Foundation)

Project Dates: September 2005 – September 2011

Location: Adygeya, Chechnya, Dagestan, Ingushetia, Kabardino-Balkaria, Kalmykiya, Karachayevo-Cherkessia, Krasnodar Krai, North Ossetia, Stavropol Krai

Description: This project develops rural credit cooperatives and agribusinesses in the North Caucasus. The first component enhances access to credit for small and medium-sized businesses through a rural credit cooperative system, provides professional development, improves the qualifications of current and potential rural credit cooperative personnel, and integrates rural credit cooperatives of the North Caucasus and Kalmykiya into the rural credit cooperative system of Russia. The agribusiness component improves the quality and scale of services rendered by agricultural and extension institutions to agribusinesses in the North Caucasus, and improves their efficiency and profitability.

4. Small and Medium-Sized Enterprise Policy Advocacy

Partner: Center for International Private Enterprise (CIPE)

Project Dates: September 2002 – September 2010 (possible extension through September 2011)

Location: North Ossetia-Alania

Description: This project strengthens the capacity of regional business associations to advocate for improvements in policies affecting small and medium-sized enterprises (SME) in seventeen regions of the Russian Federation. Business associations are strengthened and encouraged to advocate more effectively on behalf of their members and to maximize the practical impact of their message. The project also promotes the formation of business association coalitions that serve as advocates in their

regions for sensible policy changes and administrative reforms that combat corruption in the regulation of SMEs.

5. Developing Tools for the Russian Microfinance Sector

Partner: Russian Microfinance Center (RMC)

Project Dates: July 2007 – September 2010

Location: North Caucasus

Description: This is part of a nationwide project to improve the distribution of financial services to start-up businesses, microfinance organizations, and low income population groups. The project supports cooperation between banks and microfinance institutions and provides training for credit cooperatives, microfinance organizations, and Funds for SME support.

6. Economic Development in the North Caucasus

Partner: Institute for Urban Economics (IUE)

Project Dates: September 2008 – September 2011

Location: North Caucasus

Description: This project aims to strengthen local self-government by improving the quality of decision-making and expanding opportunities in the field of development and management of financial, human and physical resources. Project activities will provide the local administrations and NGOs with the necessary skills and tools for the delivery of effective, efficient and socially just public services. A training program will improve the level of professional qualification of mid and senior-level state and municipal officials and leaders of local NGOs to implement social, economic and administrative reforms.

7. Comprehensive Model of Tuberculosis Control

Partner: International Federation of Red Cross and Red Crescent Societies (IFRC)

Project Dates: September 2001 – September 2010 (possible multi-year extension)

Location: Adygeya

Description: The purpose of this project is to reduce tuberculosis mortality, morbidity and disease transmission and to prevent the development of drug resistance. It is designed to assist Russia in the fight against a growing epidemic of tuberculosis (TB), including multi-drug resistant TB, by contributing to Russian efforts to implement internationally recognized, efficient approaches to TB control and the Global Stop TB Strategy. The project is establishing comprehensive TB programs in Adygeya, as well as 5 other target regions, with a focus on community involvement in TB prevention and treatment. The project also seeks to strengthen the capacity of local branches of the Russian Red Cross.

8. Civil Society Development in Southern Russia

Partner: Southern Regional Resource Centre (SRRC)

Project Dates: November 2003 – September 2010

Location: Adygeya, Chechnya, Dagestan, Ingushetia, Kabardino-Balkaria, Karachayevo-Cherkessia, Krasnodar Krai, North Ossetia-Alania, Rostov Oblast, and Stavropol Krai

Description: This project enhances broad public participation in decision-making in an ethnically-diverse region of Russia by developing the capacity of local NGOs to influence public policy and improve their public outreach to different constituencies. The project aims to strengthen the impact of the Southern Regional Resource Center (SRRC) and its regional NGO network in the area of public policy formulation by advancing effective techniques of citizen engagement and forging effective mechanisms for NGO-government interaction.

9. Youth Initiative for the Promotion of Peace (YIPP)

Partner: International Research and Exchanges Board (IREX)

Project Dates: September 2007 – September 2010

Location: North Caucasus

Description: This project aims to reduce the potential for violent conflict in the North Caucasus through youth leadership, intercultural communication, and youth employment. The YIPP project works to create opportunities for intercultural relations between young people (aged 15-25) in order to improve communication and cultural understanding between different communities. Activities support youth community leaders to advance community development goals and improve the professional and life skills of the young people. The project also fosters the development of employment networks and works to improve access to information.

10. Community Development Support Program (CDSP)

Partner: Fund for Sustainable Development (FSD)

Project Dates: July 2006 – March 2011

Location: Chechnya, Dagestan, North Ossetia-Alania, Stavropol Krai

Description: This is part of a nationwide project to develop civil society and encourage broad participation in solving urgent social, economic, environmental and public health issues at regional and municipal levels. The project contributes to improving social, economic and environmental living conditions in Russian cities and towns by improving local resource management, local governance, public health, and energy efficiency.

ANNEX C

TABLE OF ECONOMIC CHARACTERISTICS OF NC REPUBLICS

Entity (Capital)	President Governor	Area (km ²)	Population	Percent Rural	Unemployment	Per Capital Product (\$PPP)	Average Monthly Income (Rubles)	Degree of Federal Budget Support
Chechnya (Grozny)	Ramzan Kadyrov (2007)	15,000	1,141,300	65.5%	70%	n/a	n/a	92.67%
Dagestan (Makhachkala)	M. Magomedov (2010)	50,300	2,621,800	57.2%	21.52%	2,616	1,316	78.50%
Ingushetia (Nazran)	Yunus-bek Yevkurov, (2008)	4,300	481,600	57.1%	66.36%	1,530	882	90.18%
Kabardino-Balkaria (Nalchik)	Arsen Kanokov (2005)	12,500	896,900	43.4%	22.77%	4,843	1,654	65.43%
Karachayevo-Cherkessia (Cherkessk)	Mustafa Batyev (2005)	14,300	434,500	56%	16.40%	3,065	1,366	67.17%

U.S. Agency for International Development

PART I

CERTIFICATIONS AND ASSURANCES

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

(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 grant 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.

Signed: _____ **Date:** _____
(Typed Name and Title)

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 grant, 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 sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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.

Signed: _____ **Date:** _____
(Typed Name and Title)

3. CERTIFICATION REGARDING TERRORIST FINANCING

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.

Signed: _____ **Date:** _____
(Typed Name and Title)

4. CERTIFICATION OF RECIPIENT

The recipient certifies to the best of its knowledge and belief all of the above and that it has reviewed and is familiar with the proposed grant format and the provisions and regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

As applicable:

Grant/Agreement No.: _____

Solicitation No.: _____

Application/Proposal No.:

Date of Application/Proposal:

Name of Recipient:

Typed Name and Title:

Signature:

Date:

PART II

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:

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>

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 applicant's/grantee's TIN:

TIN:

3. CONTRACTOR IDENTIFICATION NUMBER -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. **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 non-governmental 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 U.S. entity, it ☐ is, ☐ is not a Gray Amendment entity, as defined below.

(c) If the recipient is a Gray Amendment Entity, it is ☐ a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101), ☐ an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU), ☐ a college or university having a student body in which more than 40% of the students are Hispanic American, or ☐ a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).

(d) 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.

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Grant Officer or other contact person.

7. OMB CIRCULAR A-133 OR SIMILAR AUDITS

If applicable, please provide the date of your most recent A-133 or similar audit, including findings and results of such audits.

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.

9. 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 sub-grant or sub-agreement) to a sub-grantee or sub-recipient in support of the sub-grantee's or sub-recipient'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 Grant Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Non-expendable equipment for which the Grant 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.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>

(d) Source, Origin, and Component 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% component entry 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 does 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.

<u>Type/Description</u> <u>(Generic)</u>	<u>Estimated</u> <u>Quantity</u>	<u>Probable</u> <u>Unit Cost</u>	<u>Source of</u> <u>Goods</u>	<u>Probable</u> <u>Components</u>	<u>Origin of</u> <u>Goods</u>	<u>Components</u>
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(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.

<u>Type/Description</u> <u>(Generic)</u>	<u>Estimated</u> <u>Quantity</u>	<u>Probable</u> <u>Unit Cost</u>	<u>Intended Use</u>	<u>Probable</u> <u>Source</u>	<u>Origin</u>
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(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.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Supplier Nationality (Non-U.S. Only)</u>	<u>Rationale for Non-U.S.</u>
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(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.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed Disposition</u>
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**- END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF
RECIPIENT -**

ANNEX E

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the 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.)*

PLEASE REFER TO AAPD 04-08 - "Ensuring Equal Opportunity for Faith-Based and Community Organizations" At The Following Website:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf