FUNDING OPPORTUNITY COVER PAGE

Issuance Date: January 14, 2014
Clarification Questions Due: January 23, 2014
Solicitation Conference: February 4, 2014 10:00amGMT
Closing Date and Time: February 21, 2014 10:00amGMT

Subject: **Request for Applications (RFA) Number: SOL-641-14-000003**
'USAID Accountable Democratic Institutions and Systems Strengthening Project'

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications from Ghanaian organizations to implement the Accountable Democratic Institutions and Systems Strengthening Project. The overall goal of this program is to strengthen Government of Ghana institutions and civil society organizations. Please refer to the Program Description for a complete statement of goals and expected results.

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

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

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

Subject to availability of funds, USAID intends to provide approximately $2,200,000 in total USAID funding to be allocated for the four year period of the agreement. USAID reserves the right to fund any or none of the applications submitted.

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

Contents

The preferred method of distribution of USAID RFA information is via the Internet. This RFA and any future amendments can be downloaded from http://www.grants.gov. All interested parties are highly encouraged to register on www.grants.gov to receive automatic notification of amendment to this RFA.

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".

Applications must be received by the closing date and time indicated at the top of this cover letter. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications are not authorized for this RFA and will not be accepted.

Instruction for submission of application can be found in section IV.

It is the responsibility of the applicant to ensure that their application is received by USAID in compliance with the requirement of this RFA.

Award will be made to that responsible applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received.

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.

This RFA and any future amendments can be downloaded from http://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Any prospective applicant who has questions concerning the contents of this RFA should submit them **in writing** to Abdul-Latif Alhassan aalhassan@usaid.gov and a copy to accracontract@usaid.gov **by the closing date for submission of clarification questions (Thursday January 23, 2014)**. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

Thank you for your interest in USAID programs.

Sincerely,

Robert Parnell

Robert Parnell
Regional Agreement Officer
USAID/West Africa

I. FUNDING OPPORTUNITY DESCRIPTION

The problem of corruption has a long history in Ghana, which for the most part is well-known and well-documented. Corruption, which for the purposes of USAID/Ghana and the Ghana National Anti-Corruption Action Plan (NACAP) is defined as “the misuse of entrusted power for private gain,” is endemic in both the public and private spheres. The NACAP, developed by the Ghana Commission on Human Rights and Administrative Justice (CHRAJ), provides a blueprint for a coordinated effort to combat corruption.

USAID/Ghana’s Country Development Strategy (CDCS) for 2013-2017 emphasizes that, although Ghana is a vibrant democracy, governance systems at both the national and local levels need strengthening to improve accountability, transparency and responsiveness. Further, USAID’s Democracy, Human Rights and Governance Strategy (released June, 2013) underscores the fact that poor institutional accountability continues to constrain human progress and democracy across the globe and robs people of the freedom and the prosperity that they would otherwise have. It siphons scarce resources away from vital and necessary public investments. It further constrains economic growth and opportunity for individuals, and is often the tool of elites to establish, maintain and strengthen monopolies and oligopolies that are used to further entrench their political powers. While there are no easy solutions to imbedded systemic corruption in Ghana, there are existing opportunities to encourage administrative and political accountability, especially through the application of sanctions and the strengthening of accountability mechanisms.

As a result, USAID/Ghana’s CDCS includes an Intermediate Result (IR) for “Increased government accountability to better-informed citizens” within the Democracy, Rights, and Governance’s Development Objective, and a similar cross-cutting IR within all the other Development Objectives. To achieve this result, the Democracy Rights and Governance (DRG) Office will engage in a four-year Project focused on civil society and government institution strengthening.

The Project includes a suite of integrated activities and direct USAID technical assistance, as well as complementary United States Whole-of-Government and donor coordination, to ensure increased government accountability and responsiveness. The Project will target both grand and petty corruption within the public sphere, which the NACAP notes includes bribery, embezzlement, misappropriation, trading in influence, abuse of office, abuse of power, illicit enrichment, laundering of proceeds of [public] crime, concealment, obstruction of justice, patronage, nepotism, and conflict of interest.

The Project will also focus on national level institutions and civil society organizations, building upon the achievements and lessons learned by USAID under its previous strategies. Indeed the participation of civil society organizations in data collection, advocacy and sanction referrals will occur throughout Ghana with hopeful widespread impact. The Project approach integrates improved data collection with referral of information and organizational capacity building to enable appropriate sanctioning actions by responsible public institutions.

1. Program Description

A. Introduction

"Corruption ranges from petty to grand in nature, from political to bureaucratic in focus and from incidental to systemic in scope. Emanating essentially from the exploitation of public office for private gain, corruption radiates from governments through agencies and impacts upon the individuals and/or organizations required to liaise with those agencies in order to obtain basic services. Given the range and impact of corrupt behavior, any anti-corruption strategy must be cognizant of the causes of corruption, the political and socio-economic environment in which corruption thrives and the broader links between corruption, organized crime and international illicit capital flows." (Australia Government Paper on Anticorruption Strategies, 2011)

The problem of corruption has a long history in Ghana, which for the most part is well-known and well-documented. Corruption, which for the purposes of USAID/Ghana and the Ghana National Anti-Corruption Action Plan (NACAP) is defined as "the misuse of entrusted power for private gain," is endemic in both the public and private spheres. The NACAP, developed by the Ghana Commission on Human Rights and Administrative Justice (CHRAJ), provides a blueprint for a coordinated effort to combat corruption.

USAID/Ghana's Country Development Cooperation Strategy (CDCS) for 2013-2017 emphasizes that, although Ghana is a vibrant democracy, governance systems at both the national and local levels need strengthening to improve accountability, transparency and responsiveness. Further, USAID's Democracy, Human Rights and Governance Strategy (released June, 2013) underscores the fact that poor institutional accountability continues to constrain human progress and democracy across the globe and robs people of the freedom and the prosperity that they would otherwise have. It siphons scarce resources away from vital and necessary public investments. It further constrains economic growth and opportunity for individuals, and is often the tool of elites to establish, maintain and strengthen monopolies and oligopolies that are used to further entrench their political powers. While there are no easy solutions to imbedded systemic corruption in Ghana, there are existing opportunities to encourage administrative and political accountability, especially through the application of sanctions and the strengthening of accountability mechanisms.

As a result, USAID/Ghana's CDCS includes an Intermediate Result (IR) for "Increased government accountability to better-informed citizens" within the Democracy, Rights, and Governance's Development Objective, and a similar cross-cutting IR within all the other Development Objectives. To achieve this result, the Democracy Rights and Governance (DRG) Office will engage in a four-year Project focused on civil society and government institution strengthening.

The Project includes a suite of integrated activities and direct USAID technical assistance, as well as complementary United States Whole-of-Government and donor coordination, to ensure increased government accountability and responsiveness. The Project will target both grand and petty corruption within the public sphere, which the NACAP notes includes bribery, embezzlement, misappropriation, trading in influence, abuse of office, abuse of power, illicit enrichment, laundering of proceeds of (public) crime, concealment, obstruction of justice, patronage, nepotism, and conflict of interest.

The Project will also focus on national level institutions and civil society organizations, building upon the achievements and lessons learned by USAID under its previous strategies. Indeed the participation of civil society organizations in data collection, advocacy and sanction referrals will occur throughout Ghana with hopeful widespread impact. The Project approach integrates improved data collection with referral of information and organizational capacity building to enable appropriate sanctioning actions by responsible public institutions.

The suite of integrated Project activities includes:

Project Component 1: **Strengthening Systems of Public Accountability and Transparency**
The Public Accounts Committee (PAC) is the main legislative body which oversees public finances, including authorized spending from the Consolidated Fund, loans, public expenditures, all audit reports, and public investigations related to corruption. To ensure good financial governance, the PAC must fulfill its role to sufficiently scrutinize reports, expose public officials, and demand follow-up on recommendations and referrals. To accomplish all of this, the PAC's capacity must be strengthened and public outreach mechanisms expanded. To strengthen the PAC, USAID will utilize a wide variety of activities to improve the capacity of parliamentarians serving on the PAC and the PAC's professional staff; and improve resource availability to carry out the PAC's core function. This project component will be implemented by a designated international development agency. *The Applicant will not implement this component of the Project, but would rather implement components 2 and 3 as described below. Component 4 will be directly implemented by USAID.*

Project Component 2: Increased advocacy by civil society for legislative change related to accountability
Ghana is currently at a vital leverage point in terms of the passage of legislation and legislative amendments to strengthen fiscal accountability and transparency. USAID will directly support legislative tracking and direct lobbying/advocacy for the passage of anticorruption laws and amendments to extant legislation. While civil society is strong in Ghana, there is not a strong culture of lobbying and citizen advocacy. USAID will support activities to strengthen civil society organizations (CSO) and citizen advocacy. In addition, USAID will support activities that strengthen CSO monitoring of the PAC to advocate for more responsive government action.

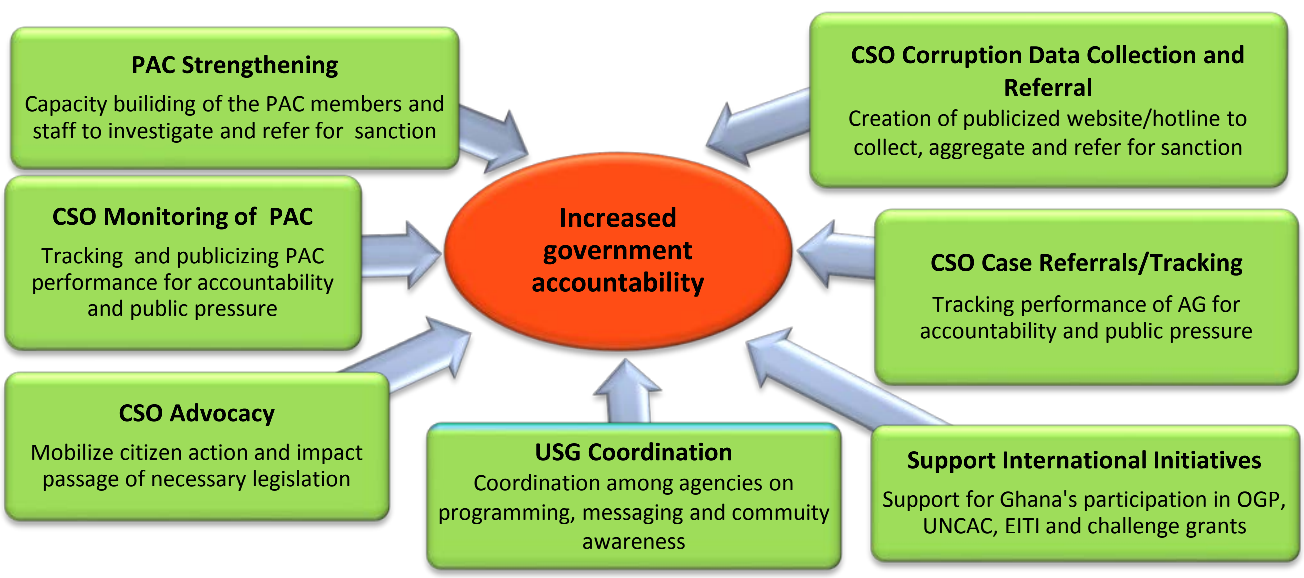
Project Component 3: Increased documentation and exposure of corruption through civil society reporting mechanisms
The existing methods in Ghana for reporting corruption are not well-publicized; data is not properly aggregated according to corruption reports, to capture trends and successful interventions. There is insufficient opportunity for anonymous reporting through independent means. The reporting techniques do not adequately utilize technological developments and social media. Again, the reporting does not currently educate the public nor shame/blame public officials; and there is no ability to track government follow-through or prosecution of corruption allegations, which is the key element for a successful intervention in Ghana. In addition, despite a wide array of surveys conducted, there is no demographically representative household survey

that provides documentation and analysis of the actual cost and impact of corrupt practices in Ghana. USAID will support a comprehensive collection of data regarding corruption in Ghana to be used for case referral and improved CSO advocacy. This will help drive the demand side of accountability.

Project Component 4: U.S. Government Coordination
It is essential for the U.S. government to have a coordinated message and effort related to anticorruption. This includes diplomatic efforts to stress Ghana's international obligations from treaties and international initiatives, such as Extractive Industries Transparency Initiative (EITI), United Nations Convention against Corruption (UNCAC), Open Government Partnership, and money laundering laws. To promote better cooperation between Ghana and the United States, USAID will coordinate between all relevant agencies of the United States Government to leverage a whole-of-Government impact. This component will be implemented directly by USAID.

Additionally the suite of Project activities will be complemented by other USAID activities in other sectors – health, economic growth and education, including activities which support sectorial strengthening of parliamentary committees and grants for civil society; and a local governance accountability project, which will focus on performance and social audits within selected districts.

Figure
An illustration of the key component activities of the Project is presented in the following diagram. These activities are expected to contribute to the achievement of the goal of the project – **increased government accountability.**



B. Background

Development Problem

Transparency International's Global Corruption Barometer, 2013, identifies public sector corruption in Ghana as a major development problem. Thirty-five percent (35%) of respondents report that over the last two years corruption in Ghana has increased a lot. Sixty-six percent (66%) report that the educational system is corrupt and 71% feel the judiciary is corrupt[1]. Again, the Afrobarometer Round 5 Survey results released in 2012 also indicates that most Ghanaians view public officials as corrupt. The table below highlights some key Afrobarometer results on public sector corruption:

How many of the following people do you think are involved in corruption						
	Parliament		**Government officials**		**Tax officials**	
	Some of them (%)	*Most of them (%)*	*Some of them (%)*	*Most of them (%)*	*Some of them (%)*	*Most of them (%)*
Urban	58	22	58	26	51	30
Rural	55	26	55	25	48	27
Male	57	23	57	25	50	27
Female	57	25	57	26	50	29

The Afrobarometer survey however does not report on corruption or perceptions of corruption in the traditional authority system. Having such data could be helpful in determining the degree of the seriousness of the problem as it relates to the operations of these authorities, and how it could be addressed. Nonetheless this Project will not focus on corruption in the traditional authority system. Such an additional focus will unduly expand the scope of this project and exacerbate implementation complexity. Further there is very limited scientific evidence to demonstrate the effectiveness anti-corruption programming in this area. Additionally most instances of malfeasance by traditional authorities, such as multiple sales of land, fake leases, illegal mining, etc., could be efficiently addressed through the effective enforcement of legislation and civil society oversight, both of which are employed as approaches in this project. Corruption in Ghana's public sector therefore constitutes the development problem this project seeks to address.

Anti-corruption Efforts in Ghana

[1] The Global Corruption Barometer Report provides data on respondents' perception of corruption in other areas such as the Ghana Police force, Health Service and the legislature.

The relationship between public sector corruption and poor governance is easily identified. Countries with high levels of corruption routinely score amongst the lowest in terms of progress in achieving human development indicators. Weak governments are characterized by high levels of corruption, leading to the erosion of the rule of law and decline of trust in public institutions. In societies with deeply institutionalized corruption, the impact transcends politics into economic and social development. Some studies have shown that the mere expectation of corrupt behavior alone is as important a barrier to conducting business as the actual bribe (Malesky, et al., 2008).

The climate of corruption is pervasive in Ghanaian life. Ghana currently has two significant deficits with regard to fighting this canker. Civil society does not gather necessary information nor mobilize advocacy to ensure accountability within government. The Ghanaian government does not carry out a vital role that only the government can fill: enforcement of administrative or criminal sanctions and improvement of policies resulting from exposure of malfeasance. As a result, corruption persists at high-levels and economic development faces barriers. In 2011 the European Commission published a forward looking paper on anticorruption concepts, tools and areas for action in the EU's partner countries.

Source: European Commission Paper on Supporting Anticorruption Reform in Partner Countries, 2011

The Paper extensively discusses the role that corruption plays in impeding development. Discussing public sector corruption the Paper reproduces a taxonomy (shown above) developed by the United Nations Office for Drugs and Crime (UNODC) to illustrate and delineate the most commonly agreed forms of public sector corruption. The Paper posits that corruption "tends to flourish in environments where there are strong incentives in public and political spheres of administration to engage in corruption; where the specific structural characteristics of certain countries, such as natural resource endowments, favor its prevalence; and finally where economic regulations and law enforcement bodies are weak."

The emphasis on economic regulations and law enforcement is important. The robustness of the legal framework under which accountability systems, especially those developed to combat corruption in the public sector, are implemented, is of crucial concern to any anticorruption effort. As discussed below, Ghana has a number of important anticorruption laws, which when effectively implemented could significantly reduce corruption in the public sector. The limited and somewhat feeble implementation of these laws however remains a major hurdle impeding efforts to reduce corruption.

In Ghana some socio-cultural practices, interwoven in citizens' day-to-day experience with the public sector, directly clash with anticorruption efforts. These practices often viewed as acceptable and even expected from a social point of view, privilege informal, friendly, social relationships over rule-bound obligations. Loyalty to tradition in most communities in Ghana emphasizes allegiance to friends, family, and tribe. Nepotism for example is viewed by many as socially acceptable and public officials who have attained high positions and have opportunity to enrich themselves, also have an obligation to generously share their 'earnings' with family members. Evidently there is a conflict between these socio-cultural practices, and efforts to develop impersonal, accountable bureaucratic processes in the public sector. This project consequently will address this challenge through an intervention focused on creating awareness among citizens of the impact of these socio-cultural practices on efforts to control corruption.

It must be noted, nonetheless, that the parameters of this intervention are structured to ensure a manageable scope, given the broad nature of what is described as 'socio-cultural' in most contexts; and secondly, given that socio-cultural change is not a direct objective of this project, the intervention is limited to address aspects which have a direct bearing, or contribution to exacerbating the problem of public sector corruption. This project therefore will focus on raising awareness of socio-cultural values and practices such as gift-giving, loyalty to friends, tribe, religion, community and nepotism, and how these directly and indirectly contribute to exacerbating the problem of corruption in the public sector.

Since independence Ghana has pursued several public policies to reduce corruption. These include the public execution of persons for corruption[2], the passage of draconian decrees that imposed long custodial sentences on corrupt public officials, the promotion of a policy of zero tolerance for corruption, and the seizure of assets believed to be dishonestly acquired. Currently the country has a number of laws designed to combat corruption and economic crimes. These include the Public Procurement Act 2003 (Act 663), the Internal Audit Agency Act, 2003 (Act 658), Whistle Blowers Act 2006, (Act 720), and the Financial Administration Act, 2003 (Act 654), and the Public Office Holders - Declaration of Assets and Disqualification Act, 1998 (Act 550) and others. The yet to be passed Right to Information law will add to the growing list of relevant laws aimed at combatting widespread corruption in the country. The critical point to make at this juncture however is that, the limited and somewhat selective enforcement of these laws and the slow sanctioning of culpable public officials is impeding progress in the fight against corruption. Though it is acknowledged that some governmental effort, both past and present, has been invested in enforcing these laws, the results only paint a half-hearted effort to stem the rising tide of corruption in Ghana.

Key state institutions tasked to implement and enforce these laws also have their peculiar challenges. Notable among the institutions are the Commission on Human Rights and Administrative Justice (CHRAJ), Economic and Organized Crime Office (EOCO), Internal Audit Agency, Financial Intelligence Center, and the Ghana Audit Service. These institutions are mandated to investigate complaints of corruption and abuse of power by a public officer in the exercise of his official duties. Additionally they are obliged to investigate all instances of alleged or suspected corruption; and the misappropriation of public monies by officials and to take

[2] The National Anticorruption Action Plan (2012-2021) outlines various policies implemented by governments since independence to combat corruption.

appropriate steps, including informing the Attorney-General on actions resulting from such investigations.

Non-state institutions such as the Ghana Anti-corruption Coalition (GACC) and the Ghana Integrity Initiative (GII), a local chapter of Transparency International, have joined the fight to reduce corruption and advocate the full implementation of applicable laws. These CSOs have over the years been particularly active in advocating the need for civil society to hold public officials accountable for their actions. Consequently, very useful research findings and publications have been made available to the public through their activities. In 2011 for example, GII released a survey report which showed that poor people are more likely to pay bribes than the rich. About 43% of respondents to the survey, (out of a total of 2,096 respondents) who earn below GHS 200.00 (or $100) a month reported paying bribes to the various service providers they contacted for services. Undeniably, this phenomenon only serves to exacerbate the already precarious and worsening economic situation of these low income earners and is a clear indication that sanctions provided by law against corrupt practices in service delivery are not being applied. GII has also been promoting the need for more awareness creation and sensitization of the public on the Whistleblower Act, 2006 (Act 720) and other anticorruption laws, and how and where to lodge complaints on corruption for redress.

GACC is also supporting efforts to promote the implementation of anticorruption legislation. The GACC has developed corruption monitoring indicators to assess the effectiveness of the anticorruption legal environment and monitor anticorruption processes and institutions. This important work provides a rallying point for GACC's CSO members to conduct informed advocacy campaigns.

A number of donor organizations have supported efforts to promote the implementation of anticorruption laws in Ghana. In January 2013 the British Department of International Development (DFID) released an anticorruption strategy for Ghana. The strategy indicates that national surveys conducted show a rising trend in perceived and reported corruption. Indeed a recent poll found that 60% of Ghanaians said they had paid a bribe in the last year, and as many as 80-90% of respondents said they believed key public institutions (government, police, judiciary, etc) were corrupt, which is a much higher figure than a decade ago. Consequently DFID plans over the next three years to offer new assistance to the institutions involved in investigating allegations of corruption and punishing wrong doers.

Issues that Impede Anticorruption Efforts

Ghana was ranked 64 along with Lesotho out of 176 countries in Transparency International's Corruption Perceptions Index in 2012, with a score of 45 out of 100, where a lower score indicates a high degree of corruption. In 2011 Ghana was ranked 69 out of 183 countries. This however does not give a strong indication of movement towards more accountable governance, given the fact that the universe of countries and territories assessed shrunk in 2012.
The Afrobarometer Round 5 survey results show that perceived corruption is keeping citizens from reporting crimes to the police. Up to 26% of persons interviewed indicated that the likelihood of a police officer demanding a bribe is what kept them from reporting, and 51-59% rated the government's handling of the fight against corruption "very badly or badly". Respondents (68%) indicated support for media exposure of government mistakes and

corruption. This finding provides a pointer to the widespread conviction in the public that civil society organizations, which include the media, are best positioned to advance the fight against corruption. Indeed one cannot reasonably expect that the government can be its own watchman and do a good job at that. The participation of civil society is a necessary pre-condition for ensuring the success of interventions.

The ability to fight corruption, nonetheless, is impacted by several factors. First and foremost, as discussed, there must be political will for reform by the relevant stakeholders and important actors. Even if no political will exists among government actors, it is still possible to mobilize advocacy and outreach from civil society and the media. However, if an anticorruption strategy faces direct political will against reform, much of the opportunities for success may be limited. Secondly, there needs to be improved institutional capacity to fight corruption in both traditional government oversight mechanisms and through civil society. If the capacity does not exist to a sufficient level, training, technical assistance and financial support should be provided for advocacy, education, awareness, prevention, investigation, prosecution, and accountability. Finally, there must be a robust legal framework to fight corruption, including enabling criminal and civil laws, conflict of interest laws, procurement laws, asset disclosure rules, freedom of information acts, and whistleblower protection.

Other significant issues impeding anticorruption efforts have been noted in available literature.

<u>What works best? - Approaches to Anticorruption Programming</u>

There is no one-size-fits-all approach to anticorruption programming. Every context is unique and thus demands a contextually responsive approach. A number of civil society organizations and donor partners working in Ghana have developed various strategies for combatting corruption. The Ghana Integrity Initiative[3] (referred to above) for example, has objectives aimed at continuously creating awareness about the negative effects of corruption and sensitizing citizens on the need to work together towards curbing it in all spheres of society. Additionally the organization focuses on empowering citizens to demand responsiveness, accountability and transparency; and building a culture of integrity, where corruption is unprofitable for people in government, politics, business and civil society.

The Ghana Anticorruption Campaign Coalition (GACC) on the other hand pursues a coordinated approach to anticorruption by operating a wide based civil society platform capable of effectively tackling corruption issues within Ghana and the sub region. The organization works with development partners to develop a medium to long term strategy on resourcing and supporting anti-corruption activities in Ghana. Further GACC has instituted systems and structures to optimize information sharing and exchange, as well as raise public awareness on corruption issues.

It is globally recognized among anticorruption practitioners that change must be demand driven by civil society. Transparency International (TI) believes that civil society participation is critical to anticorruption efforts[4]. This principle is supported by multiple assessments conducted in

[3] The Ghana Integrity Initiative is the local chapter of Transparency International

[4] This is evidenced by the United Nations Office on Drugs and Crime's call to governments to recognize the role of civil society and GIZ's anticorruption mapping in Zambia, In June 2013, Transparency International launched a call for anti-corruption

Ghana by various donor agencies. The European Union insists that citizens must be enabled to demand accountability, responsiveness, and access to information. [5] The role of civil society in the fight against corruption cannot be overemphasized. Anticorruption approaches that rely on citizen participation, in which citizens participate directly or indirectly in demanding accountability from service providers and public officials, is gaining popularity as a viable methodology for the promotion of anticorruption efforts. This approach allows the dissemination of information on rights and service delivery to be combined with collective action for change.[6]

While there are many anticorruption strategies, research has shown there is a wide divergence in their direct effectiveness. Nonetheless the most effective strategies identified are those which involve improved government procurement and auditing functions (internal financial controls and transparency in government tender procedures) and those which involve exposure, investigation, prosecution, and removal of corrupt officials, especially in high profile cases. Other effective strategies include, but are not limited to, comprehensive emphasis on moral values, especially within schools, from the news media, and within the religious community, and verifying the qualifications of those in public service.

DFID offers another responsive approach. The British Department for International Development (DFID) in November 2011 published a report on its approach to anticorruption. A key recommendation of the report is reproduced here:

"*While continuing to invest in the legal and institutional framework for fighting corruption, DFID should focus on supporting more robust law enforcement activity to build transparency and accountability. This should include innovative forms of beneficiary monitoring and community mobilization."*(Independent Commission for Aid Impact, 2011)

Law enforcement, beneficiary monitoring and community mobilization are emphasized by DFID as important activities in anticorruption efforts. Indeed to improve government procurement and auditing functions, as discussed above as an effective anticorruption approach, the full implementation of existing legislation must be pursued. This should be complemented with CSO monitoring and the engagement of the public to ensure objectivity of the process. A two-pronged approach is therefore proposed for this anticorruption project. USAID believes that there is much value in this methodology; and has determined that this Project should operate on this principal strategy.

Lessons Learned From Recent USAID/Ghana DRG Projects

In addition to the global evidence base, and specific studies conducted in Ghana, USAID/Ghana engaged in extensive conversations with USAID officers to learn from past programming. USAID/Ghana examined the erstwhile USAID-funded Government Accountability Improves Trust program (GAIT I and GAIT II). While GAIT I focused particularly on building citizen groups' ability to engage local government, GAIT II aimed at building an effective local government by supporting working partnerships between citizen groups and local government

---

agencies in the Middle East and North Africa region to collaborate closely and strengthen their ties with civil society in the regional struggle against corruption.

[5] The EU for example believes that the participation of civil society in the review of anticorruption implementation is mandatory (ref. UNCAC implementation)

[6] The World Bank views social accountability as essential for the scaling up of its operations.

through a “working together” approach. GAIT II activities provided support for more open, competent, transparent and accountable local government, improved advocacy by citizen groups, and improved community advocacy for quality education.

Important lessons were learned from the GAIT program, key among them is the finding that improving dialogue between local government and citizens greatly depends on the actions of the leadership of the District Assemblies. A bottom-up, civil society based approach thus becomes relevant for the mobilization of citizens to demand accountability from public servants, both directly and through their elected representatives. This is one of the approaches this Project would employ to reach its goals.

A second key lesson learned from the GAIT program is that strengthening civil society organizations requires both capacity-building and financial resourcing components. Institutional strengthening efforts are diminished if organizations do not have access to resources to sustain their long-term advocacy role. This Project will provide some resources and technical support to select CSOs to facilitate progress towards achieving the objectives of the project.

The GAIT program demonstrated that attitudinal change, especially change from deeply entrenched behaviors and organizational (systemic) cultures takes time and concerted effort. This however does not imply a need for a protracted, unending donor funded behavior change project, but rather indicates the relevance of a synergized effort between responsible institutions to cooperatively and collaboratively institutionalize practices that would change the status quo and create an environment for accountability systems to thrive. An objective of the Project is the pursuit of collaborative institutional synergies that would advance efforts to follow-up on recommendations made by the Public Accounts Committee. This is a necessary and critical step in the fight against corruption in Ghana – follow up and the application of sanctions against corrupt officials. Institutions such as CHRAJ, the Attorney-General’s Office, Financial Intelligence Unit, Economic and Organized Crime Office and the Internal Audit Agency among others would need to work closely with the Public Accounts Committee to ensure that audit report recommendations are fully implemented.

When looking beyond Ghana, USAID has had success in the Philippines and in former Soviet Newly Independent States utilizing technology to gather and report information related to corruption. This approach is spreading and is gaining a stronger footing in Africa as mobile technology becomes more prolific. One lesson learned from utilization of this technology is that it has better opportunity for success when it is connected to a long-term information campaign as opposed to a one-off event, such as an election.

<u>*Development Hypothesis*</u>
“By increasing exposure of malfeasance (corruption) and improving enforcement of administrative and criminal sanctions, corruption will be reduced and citizen trust in responsive government will be increased.”

C. Detailed Work Requirements

Project Objectives

Corruption is a good governance, rule-of-law, and economic difficulty that occurs in all service delivery and resource-rich sectors and has direct negative impact on the development and the economic advancement of a country. Corruption undermines democracy and good governance, suspends the rule of law, limits the institutional capacity to provide services, deters investment, and reduces economic growth. The biggest opportunity for corruption, outside of natural resource exploitation, is in procurement, collection of fees, and distribution of payroll, where there is access to large amounts of money regardless of sector and/or opportunities for absenteeism/ghost-workers. Therefore, anticorruption strategies and objectives should be mainstreamed across all sectors and treated as not just part of the general democracy and governance portfolio, but as a governance, administrative, and cultural problem within every sector.

Anticorruption strategies should also take a “long-view” for impact, as results may not be readily apparent for many years. This Project will leverage proven effective strategies for improving the work of the Public Accounts Committee, which directly oversees all audits and internal financial controls of public institutions. The strengthening of collaborative relationships between relevant public institutions for the implementation of PAC recommendations is an important object of the Project’s design, as well as the creation of a mechanism for exposure of corruption through CSO reporting, tracking and advocacy. Further, given the pervasive nature of corruption and the need to harness the support of all actors, coordination among USG agencies on anticorruption initiatives will be pursued.

The Project will seek to achieve the following four key objectives:

1. Institutional capacity of the Public Accounts Committee and its Secretariat strengthened;
2. Collaborative institutional synergies strengthened to ensure follow up on Public Accounts Committee recommendations;
3. Improved civil society reporting, tracking and advocacy for stronger anti-corruption efforts;
4. Enhanced coordination among USG agencies on anti-corruption initiatives

Project Approach and Components

The Project is an innovative, evidence-based and comprehensive approach to promote accountability and combat corruption through national-based mechanisms. The Project focuses on the demand side and on creating an enabling environment for successful sanctions. All of the components are interrelated. Together they establish a foundation for more accountable government systems. The Project will contribute to results under an intermediate result of the DRG Development Objective – Strengthened Responsive Governance, particularly IR 1.2 - Increased government accountability to better-informed citizens.

This IR will be achieved through three sub-IRs (as detailed in the CDCS DO 1 Results Framework):

Sub IR 1.2.1 – Increased capacity of CSOs to advocate on behalf of citizens for improved government services

Sub IR 1.2.2 – Strengthened CSO and National Audit Authority oversight of government Services

Sub IR 1.2.3 – Strengthened government anti-corruption and accountability efforts

Contributions to Sub IR by Component

Component	**IR 1.2.1**	**IR 1.2.2**	**IR 1.2.3**
Strengthened Systems of Public Accountability and Transparency			√
Increased CSO Advocacy	√		√
Increased documentation by civil society	√	√	
USG and Donor Coordination			√

The Project Components outlined below are however limited to components expected to be implemented by the Applicant. Thus Project Components 1 and 4 are not discussed.

Project Component 2: Increased advocacy by civil society for legislative change related to accountability

As previously discussed, there must be a robust legal framework to fight corruption, including enabling criminal and civil laws, conflict of interest laws, procurement laws, asset disclosure rules, freedom of information acts, and whistleblower protection. These laws provide a major prerequisite for fighting and preventing corruption. Ghana is currently at a vital leverage point in terms of legislation and its constitution, especially with regards to corruption and transparency. A number of anticorruption laws exist, as indicated in earlier sections of this project description. A key piece of anticorruption legislation, the Right to Information law, is yet to be passed. USAID will directly support legislative tracking and direct lobbying/advocacy for the passage of this law, amendments to the Assets Declaration and Procurement laws, and amendments to other relevant laws as well.

While civil society is strong in the Ghana, there is not a strong culture of lobbying and citizen advocacy. Citizen mobilization and advocacy has proven successful in impacting legislative developments, even in countries with poor democratic traditions and governments hostile to accountability, such as in Cambodia and the “Million Signature Campaign.” Indeed there are numerous actions indicated in the NACAP and Open Government Partnership Action Plan that must be implemented. Instead of focusing on mobilization and passage of an individual law, USAID seeks to build the capacity of leading transparency and accountability civil society organizations to successfully carry out lobbying and advocacy campaigns, which can be applied to all relevant legislation reform processes and parliamentary action. Many donors are working on passage of individual pieces of legislation, but USAID seeks to have a larger sustainable impact.

Illustrative Project Activities

1. Build CSOs' skills in strategic anticorruption campaign planning and management, media relations, lobbying, coalition management, citizen mobilization and demonstration of citizen demand, and social marketing for legislative change.
2. Support efforts for policy development, drafting of model laws, and conduct direct advocacy to enact, strengthen, amend, and/or implement legal frameworks on freedom of information, asset disclosure, sunshine laws, codes of conduct, conflicts of interest, money laundering, criminal offenses defining corruption, public procurement, party financing asset verification and forfeiture, and other laws related to open and accountable government.
3. Conduct public education and awareness creation activities on anticorruption legislation through direct citizen communication.
4. Promote public tracking of the performance of transparency and anticorruption laws.

   In addition, USAID will support activities that strengthen CSO monitoring of the PAC activities to advocate for responsive government action.

5. Support CSO capacity to monitor PAC activities and to publish PAC performance results in an accessible manner (i.e. report cards).
6. Support activities that expressly link CSOs to the parliamentary process and PAC activity, such as co-briefings.

<u>Project Component 3: Increased documentation and exposure of corruption through civil society reporting mechanisms</u>

There are numerous, but disparate and not interconnected, methods for citizens to report incidences of corruption to CSOs and the relevant authorities in Ghana. However, none of these are integrated and well-publicized, nor are they enabled for aggregated data on corruption trends, have sufficient opportunity for anonymous submission. In addition, none of the current reporting mechanisms utilize technology developments and social media, educate the public, name/shame officials, or track government follow-through or prosecution of corruption allegations. As cell phones and radio messages are ubiquitous throughout Ghana and web usage is increasing, an integrated system should be created.

The goal is to establish a Ushahidi-based user friendly type ICT platform for reporting bribes/corruption on a daily basis or government misdeeds such as ghost workers by mobile phone, text message, emails or direct entries on the website. This should include videos or photographs that provide evidence of malfeasance. The platform should be incorporated across all sectors. The Ushahidi platform should be combined with public information campaigns, avenues for legislative and prosecutorial updates, public awareness about socio-cultural practices which contribute to corruption in the public sector, and petition opportunities. By combining a Ushahidi platform with successful web reporting models such as www.transparencyreporting.net in the Philippines and outgoing text communications, maximum citizen documentation and information can be mobilized. A similar, but more limited platform is being deployed in Nigeria with support from the Canadian High Commission and the CLEEN Foundation.

Illustrative Activities

1. Support development of a comprehensive web and communications system that allows for various forms of corruption-related reporting, story-telling, posting of data, aggregation of reporting, social media interaction and public education on legislation and government activities.
2. Support Ushahidi type mapping of corruption-related reports, with a focus on proper usage of information and sustainability of the mapping database.
3. Create public awareness about socio-cultural practices which contribute to corruption in the public sector.
4. Support referral of corruption-related cases to CHRAJ, EOCO, the Attorney General or other government agencies for action.
5. Support tracking of case referrals to determine successful prosecution or administrative sanction results, or to highlight failure of government action to sanction.
6. Build capacity of CSOs to carry out the design, enumeration and analysis of data. The selected implementing partner should transfer all skills sets to ensure long-term local capacity building.

D. Deliverables

i. <u>Monitoring and Evaluation Plan</u>

Within 45 days of signing the agreement, the Recipient shall submit a final Monitoring and Evaluation Plan (MEP) for the timeframe of the project (4 years) to USAID/Ghana that details benchmarks toward achievement of performance indicators and results, the data to be collected, and the method of collection. The MEP should address data collection and reporting on the relevant indicators and results shown in the Results Framework of the DRG Development Objective in the CDCS. For each result and selected indicators, the MEP should indicate plans for the determination of baseline values for all project results. This will be expected to include:

- The identification of appropriate milestones and targets;
- Baseline data gathering plans describing who, how and with what frequency data will be collected and used;
- A framework for monitoring program outputs, outcomes and results within the context of the Development Objective's Results Framework and appropriate indicators;
- A description of how client feedback is obtained and used, including the methodology used for performance measurement and how the collection and analysis of relevant and reliable data will be used for more effective management and continuous improvement of the program;
- Measures aimed at ensuring high data quality.

A baseline study will be conducted after the MEP is approved by USAID and thereafter targets set for all identified indicators.

Data on performance results reported by the Recipient will be aggregated with data from other sources to meet annual Agency reporting purposes. It is thus essential that data reported by the recipient meet data quality standards as established in USAID's Automated Directives System (ADS 203.3.5). The MEP should include a methodology that assures the reliability and validity of data reported by the Recipient on all indicators reportable to USAID.

Mid-term and end-term performance evaluations will be undertaken for the project, and will be planned with USAID's input. All data will be disaggregated by gender (if possible) to assess whether relevant program strategies are reaching across gender lines. The evaluation will also track progress through qualitative and quantitative approaches, to enhance the interpretation of statistical data as well as offer insight into issues that are often hidden in statistical analysis.

Consistent with the new USAID Evaluation Policy, findings from the mid-term performance evaluations will be incorporated in the Anticorruption Project to effect mid-course refinements and generate learning opportunities for USAID. Possible evaluation questions include:

- Is there evidence of improved government responsiveness to CSO/citizen demands?
- Does improved CSO monitoring of corruption increase incidents of successful sanctions (administrative reforms or criminal prosecution)?
- Does improved CSO advocacy increase the passage of relevant legislation?
- Were there unintended consequences from project implementation?

This project will not be subject to an Impact evaluation.

Finally, the results of on-going monitoring by USAID staff will be utilized at the work plan development stages for each mechanism, as appropriate, to strengthen project activities. To the maximum extent possible, Government of Ghana (GOG) monitoring and evaluation systems, data collection, and statistical information will be utilized, and statistical records and surveys, will continue to be the United States Government (USG)'s primary tools for determining programmatic impact on a wide variety of programming indicators. When available, progress will be measured against GOG targets to demonstrate improvements in governance and rule of law outcomes.

Illustrative project indicators are listed below. Other indicators will also be developed to measure progress toward results. To the extent possible gender reflecting performance indicators will be selected and where applicable all data reported would be disaggregated by sex.

- Number of government officials receiving USG-supported anti-corruption training
- Number of mechanisms for external oversight of public resource use supported by USG assistance
- Number of USG-Supported Anti-corruption Measures Implemented
- Corruption Perception Index Score
- Number of people affiliated with non-governmental organizations receiving USG supported anti-corruption training
- Number of CSO Advocacy Campaigns Supported by USG

ii. Annual Work Plans

The annual work plans are the key documents against which performance progress shall be monitored and evaluated by both USAID and the Recipient. Work plans shall provide a discussion of program strategies/interventions/activities planned for the ensuing year, and how the planned strategies/interventions/activities will address the issues, challenges and opportunities identified. Proposed changes, adjustment in strategies, etc. should be clearly identified and discussed. Changes to the approved scope and funding level of the Cooperative Agreement (CA) will require formal modification of the CA that may only be granted by the Agreement Officer. Work plans may discuss changes in program management, if any, and must include a discussion of planned international travels (if any) including identification of proposed personnel and scope of work. A detailed activity plan showing a time table for the implementation of the planned activities is required in the work plan.

Work plans shall include a budget providing detailed information on how resources available and approved for the CA will be programmed in the ensuing year. The same level of detail as presented in the initial cost application proposal shall be shown in work plans. In addition, a summary budget indicating the programming of resources in relevant activities should be shown. It is anticipated that USAID Mission staff, host country officials, and other appropriate persons will review the work plan and provide comments and recommend changes. The work plan is subject to Agreement Officer's Representative's (AOR) approval. The work plan is intended to be a working document and may be updated or revised subject to AOR approval.

The Recipient shall submit one copy of the work plan to the AOR electronically by 45 days from the date of the award. The first work plan should cover activities through September 30, 2014. Subsequent work plans shall be submitted not later than August 31st for each year of program implementation and shall cover the implementation of activities from October 1st through September 30 of each ensuing year. AOR review and approval will be provided by September 30, prior to implementation of the plans and proposals indicated in the work plan which should commence by October 1st of the ensuing year. The final work plan shall cover planned activities from October 1st through the established end date of the CA.

iii. Reporting Requirements

The Recipient should submit the following completed reports to the USAID AOR in a timely manner:

1) Semi-Annual Progress Reports

The Recipient shall submit semi-annual progress reports, due on October 30 and April 30 each year. The Semi-annual Progress Reports serve as source documents for Agency statutory and ad hoc reporting. It is thus essential that particular attention be paid to the quality of the data collection, processing, analysis and reporting processes. These processes are subject to quality review assessments by USAID. The report shall contain a section that describes data quality assurance processes, including any known data limitations.

The Semi-annual Progress Reports shall:

- Detail progress on activities based on the Recipient's annual work plan;

- Identify key challenges or issues encountered, how they were or will be resolved and if/as required, recommended Mission-level intervention(s) to facilitate their timely resolution;
- Identify key opportunities for program improvement or strengthening;
- Detail progress against indicators and/or impacts achieved to date, related to the PMEP, and supported with qualitative and quantitative evidence, including description of results achieved for each relevant indicator, analysis of the results in relation to targets/milestones, and implications for performance in the ensuing year (narrative on 'success stories' may also be provided);
- Detail contributions of activities to meeting the objectives of the Project,
- Describe activity plans and performance targets for the ensuing period.

Where possible and reasonable, the Recipient is expected to disaggregate reporting data by gender to enable tracking of project impact on females and males. This data will be of use to the GOG and USG in planning and evaluating the impact of programming on different genders.

2) Final Report

The Recipient shall submit a Final Report, including the components listed above, with detailed analysis and discussion, within 90 days of the end date of the CA.

3) Miscellaneous Reporting

The Recipient shall immediately notify the AOR and the AO in writing in the event that circumstances arise that have or may have an adverse impact on timely performance of the agreement or the occurrence of unanticipated costs under the agreement. This provision is applicable to all sub-recipients as well as to the prime recipient. Additionally the AOR may request additional reporting or updates on specific issues of interest to USAID.

E. Authority

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

F. Program Eligibility Requirements

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost/business and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application. Oral discussions may be conducted.

To be considered for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the www.grants.gov opportunity. Final award of any resultant cooperative agreement(s) 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; shall circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

G. Award administration

For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award.

For Public International Organizations (PIOs), the Standard Provisions for Grants to Public International Organizations, along selected provisions from the Standard Provisions for Non-U.S., Nongovernmental Recipients and other negotiated provisions, will be used.

All provisions of 22 CFR 226 and all Standard Provisions are applicable to the recipient and to sub-recipients which meet the definition of "Recipient" in Part 226.

For any sub-award made with Non-US Sub-recipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental"

Standard Provisions for US Non-governmental Recipients are found at
http://www.usaid.gov/policy/ads/300/303maa.pdf

Standard Provisions for Non-US Non-governmental Recipients are found at
http://www.usaid.gov/policy/ads/300/303mab.pdf

22 CFR 226 can be found at:
http://www.gpo.gov/fdsys/pkg/CFR-2011-title22-vol1/xml/CFR-2011-title22-vol1-part226.xml

OMB Circular can be found at:
http://www.whitehouse.gov/omb/circulars_default

II. AWARD INFORMATION

(1) Available Funding and Awards

The anticipated total federal funding amount is approximately $2,200,000.

The Government may issue one or more awards resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA are the most responsive to the objectives set forth in this RFA. 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.

(2) Period of performance

The period of performance for the agreement is the date of the Agreement Officer’s signature of the agreement (award date) through the completion date of four (4) years after the award date.

(3) Type of award

A successful applicant under this RFA should anticipate a cooperative agreement award involving substantial involvement on the part of USAID in the following ways:

In accordance with ADS 303.3.11, USAID/Ghana shall be substantially involved during the implementation of this Cooperative Agreement, through the Agreement Officer's Representative (AOR)’s approval of the following:

- Approval of the recipient’s annual work plans, reports, monitoring and evaluation plan, and all modifications that describe the specific activities to be carried out under the Cooperative Agreement;
- Approval of and any changes to specified key personnel; and
- Agency and recipient collaboration or joint participation (collaborative involvement in selection of advisory committee members, concurrence on selection of sub-award recipients, and/or the substantive provisions of the sub-awards).

(4) Authorized Geographic Code

The authorized geographic code for the procurement of goods and services under this RFA is 935.

III. ELIGIBILITY INFORMATION

(1) Eligible Applicants

ONLY LOCAL GHANAIAN ORGANIZATIONS MAY APPLY.
Organizations that should satisfy the requirements of a local Ghanaian organization, defined as follows that: A. is organized under the laws of Ghana; B. has its principal place of business in Ghana; C. is not less than 51 percent legally and beneficially owned by one or more resident citizens of Ghana or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of Ghana; and D. is not controlled by a foreign entity or by one or more individuals who are not resident citizens of Ghana.

(2) Cost Sharing or Leveraging

There is no cost share requirement for this RFA. However, any non-federal funds contribution from own, private or local sources for the implementation of this program will be considered cost-share. Contributions can be either cash or in-kind and can include contributions from the U.S.NGO, local counterpart organizations, project clients, and other donors (not other USG funding sources). Contributions of host country support including in-kind contributions such as staff time can be used to meet cost share, but all such contributions must be tracked and reported in a way that is objectively verifiable.

Leveraging additional resources from private sector such as through establishment of Global Development Alliance (GDAs) can be considered.

IV. APPLICATION AND SUBMISSION INFORMATION

(1) Grants.gov

Applicants are expected to review, understand, and comply with all aspects of this RFA. This RFA is found on the internet at www.grants.gov. Grants.gov is your source to FIND and APPLY for federal grants *but you **must register** to APPLY.* Registration is a one-time process, and *Registration process* can take 3-5 business days or as long as two weeks if all steps are not completed in a timely manner. After you are registered, you shall be able to Download this RFA/grant application package to complete it offline and route it through your organization for review before submitting. After you have entered all the necessary information, checked the package for errors and saved your package, click the "Save & Submit" button for your application package to automatically be uploaded on www.Grants.gov and available for USAID to retrieve in response to this RFA.

(2) Point of Contact

Any questions concerning this RFA shall be submitted in writing via email to Abdul-Latif Alhassan at aalhassan@usaid.gov, with copy to accracontract@usaid.gov, and reference the RFA number in the subject line. Answers to all questions received by the time specified will be issued as an amendment to the RFA. For all inquiries and questions, please provide a contact person's name, phone number and email address. To allow adequate response time, questions must be received **by the closing date indicated on the cover letter of this solicitation.**

Oral explanations or instructions given before award of a Cooperative Agreement 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.

(3) Submission Date and Time

Electronic Applications are due to Grants.gov (USAID) by the closing date and time specified on the cover letter of this RFA.

Applications which are submitted late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest.

(4) Funding restrictions

There are no funding restrictions for this solicitation.

(5) Pre-award costs

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

(6) Application forms

Applicant must submit their application by using and completing the SF-424 series forms, which includes the following:

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

The forms can be found at http://www.grants.gov/web/grants/forms/sf-424-family.html#sortby=1

(7) Required certifications

The applicant must submit signed copy of Certifications and Assurances in accordance with ADS 303.3.8. Certifications, Assurances, Other Statements of the Recipient can be found in Annex E or at http://transition.usaid.gov/policy/ads/300/303mav.pdf
Certifications and Assurances to be submitted include:

a. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);

1. Certification on Lobbying (22 CFR 227);

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

3. Certification Regarding Terrorist Financing; and

4. Certification of Recipient

b. Other certifications and statements found in Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions:

1. A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, (ADS 206.3.10) when applicable;

2. A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking (ADS 206.3.10) when applicable;

3. The Survey on Ensuring Equal Opportunity for Applicants;

4. Other Statements of Recipients.

(8) Unnecessarily Elaborate Applications

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

(9) Other General Guidance Considerations

A. **Sub-grantees and Partners**. It is recognized that identification of specific teaming partners and sub-recipients and specific delineation of responsibilities and cost information is, in fact, often known at the time the application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their application to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application.

Applicants should demonstrate the full range of capabilities to undertake all the activities proposed in this program. Applicants may determine that to ensure the full range of capabilities required by this program they will partner with other US and local NGOs, universities, engineering or other technical support firms, training organizations, or other partners. Applicants may propose a consortium with other organizations; however, principal responsibility for implementation and ensuring cohesion of the program will rest with the recipient who will act as prime and have final responsibility for implementation and performance monitoring of the program. Further, for consortiums with multiple organizations USAID recommends that common space and equipment be utilized to ensure greater synergy and reduce administrative and management costs where feasible. If the applicant proposes teaming with other organizations the applicant should include a sub-grantee management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting.

B. **Gender Inclusivity**. The Project should incorporate activities that directly benefit women and also be designed to ensure equal gender participation in project activities. An expectation of the Project is to ensure less corruption and more accountability in government administration and service delivery by increasing the participation of women in anticorruption efforts.

As primary caretakers of their households women experience corruption in enrolling their children in schools, denouncing physical and sexual abuse, and struggle to obtain employment in the public sector. Additionally women's participation in electoral processes is also severely limited by corrupt practices of politicians. The impact of corruption on women is manifold, engendering a multiplicity of negative effects on women's welfare. According to a 2012 United Nations Development Program (UNDP) Report, the non-delivery of *public services* was seen by grassroots women as a *cause, consequence and intrinsic component* of corrupt practices[7]. Again USAID/Ghana undertook a comprehensive gender assessment that was completed on December 2, 2011. The gender assessment informed the design of the Project, as discussed below, and USAID has the full gender assessment report available for review.

The Gender Assessment identified women participation and representation in governance processes as the key challenge facing Ghana both at the local and national level.

As the Gender Assessment notes, "Greater civil society scrutiny of policies and services will help ensure the government is accountable to Ghanaians." This will directly benefit health, education, and other sectors important for gender equality. Finally, after direct consultation with the gender and governance advisors of other development partners, the data collection (surveys, hotlines, and other corruption reporting systems) should be designed with specific outreach to women through targeted awareness campaigns and gender sensitive designs. Indeed women in Ghana suffer disproportionately from a lack of access to justice and an unwillingness to report corruption. Fear of being labeled as a spoiler, gossip or traitor keep women from openly reporting cases of corruption. The data collection process, which will be mostly executed through electronic means shall address this concern to provide an avenue for women and

[7] The UNDP Report, titled 'Seeing beyond the State: Grassroots women's perspectives on corruption and anticorruption' examined women's perspectives on corruption in 8 countries including Ghana.

marginalized groups to safely report incidents.

Furthermore the following engagement mechanisms have also been identified:

- Creation of an enabling environment for women to report corrupt practices;
- Promotion women's political participation in governance;
- The CSO engaged in this Project must have a women's empowerment orientation or focus;
- Hosting of public dialogue forums with local government so women can discuss and report corruption.

It is anticipated that these actions will reduce possible gender gaps in project implementation and significantly increase women's participation.

C. **Sustainability**. USAID expects the awardee to implement a sustainable project approach that effectively addresses or significantly mitigates the potential for project interventions to fizzle out when USAID funding support ends.

This Project is designed with sustainability in mind. The purpose of government and CSO system strengthening, and a key objective of the Project is to build partner country institutional capacity - of both the GOG and local NGOs and CSOs – to deliver sustainable skills and knowledge that will permit activity beyond USAID programming. USAID has met with host country partners at the PAC and with CSOs, and has examined CSO capacity reports created by the United Nations Development Program, to determine the capacity building and sustainability efforts essential for success. The PAC support is focused on knowledge transfer and capacity building for its Secretariat so that the PAC can better manage its activities and core focus. Critical issues considered under this sustainability assessment include the degree to which institutional support to the PAC and its Secretariat will translate into strengthened capacity beyond the period of USAID funding and CSO sustained institutional effectiveness.

The sustainability of interventions are often impacted, or limited, by the transfer, resignation or removal of trained persons responsible for the implementation of certain key Project activities. The Applicant's approach should therefore propose an implementation methodology that is sustainable beyond the lifespan of the Project.

D. **Electronic Payments**. USAID encourages the Contractor to consider alternative methods of payment, especially electronic forms of payment, in place of cash payments when appropriate. Electronic payment systems include, but are not limited to, electronic fund transfers using bank accounts, prepaid cards (bank issued magnetic or smart cards) using Point of Sale devices, mobile banking, and money transfer and payment systems available through mobile network operators and/or banks. Electronic payments extend affordable and accessible payments to low-income populations, create cost savings, promote economic development, increase transparency, strengthen security, and broaden financial sector inclusion. The contractor should utilize these services to the greatest extent feasible within its company policy to strengthen the efficiency and security of financial transactions at all stages of value chain activities.

(10) Required Application format

1. Applications shall be submitted in two separate parts: (i) technical application including management plan, and (ii) cost application.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. A confirmation screen will appear once the submission is complete. A Grants.gov tracking number will be provided at the bottom of this screen, as well as the official date and time of the submission. Record the tracking number so that you may refer to it should you need to Grants.gov for support.

4. Please note that grant applications submitted to Grants.gov may take up to 48 hours to process before they are available to agencies for download. Once a submission is received, Grants.gov sends two email messages to the applicant. The first email confirms receipt of the application by Grants.gov. The second email indicates that the application has either been successfully validated by Grants.gov or has been rejected due to errors. If the application was successfully validated by Grants.gov, and the submission has both been retrieved and acknowledged by the posting agency, the applicant will receive an additional email. This email may be delivered to the applicant several days or weeks from the original date of their submission, depending on when the posting agency acknowledges the retrieval of the application from Grants.gov.

5. Each applicant is responsible for its submissions, so please check for emails from Grants.gov for any errors. Allow yourself sufficient time to be able to fix such errors. If you discover an error in your transmission, please upload the material again. USAID does NOT have any control over the Grants.gov Application submission process. Late applications will not be considered.

6. To facilitate the competitive review of the applications, USAID will consider <u>only</u> applications conforming to the format prescribed below.

(10.A) <u>TECHNICAL APPLICATION FORMAT</u>

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in this RFA and/or attachment.

THE <u>BODY</u> OF THE TECHNICAL APPLICATION HAS A STRICT TWENTY-FIVE (25) PAGE LIMIT. The technical application should clearly and concisely outline how the applicant proposes to meet the critical needs identified in the objective(s) and how the Applicant will achieve its expected outcomes.

Suggested Format for Technical Application

- Cover Page: (Not included in page limit) Title, name of organization(s) submitting application, contact person, telephone and fax numbers, address, and e-mail.
- Executive Summary (Not included in page limit. Not to exceed two pages): Briefly describe the proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your organization. Describe how the overall project will be managed.
- Body of the Technical Application (not to exceed 25 pages): Succinctly describe the theory of change that underlies the Applicant's technical approach, how the activities, outputs and outcomes will lead to expected outcomes, and how the proposed application of the implementation principles will lead to achieve sustainable results. Briefly describe technical and managerial resources of your organization that will be brought to bear in implementing this activity. Describe how the overall activity will be managed. The Application's structure should reflect the evaluation criteria listed in Section V. Pages exceeding the 25-page limit will not be read or evaluated.
  The technical application must contain the following sections, as more fully explained below: Cover Page, Executive Summary, Technical Application, and Annexes (Curriculum Vitae/Resumes of Key Personnel, M&E Plan, Work Plan, Staffing Plan, Letters of Commitment, Past Performance References).
- Authorized Annexes (Not included in page limit)
  The twenty-five (25) page limitation of the body of the application exclude the cover page, the executive summary and the authorized annexes. Applicants should retain for their records one copy of the Application and all enclosures that accompany their Application. Erasures or other changes must be initialed by the person signing the Application. The authorized annexes specified below shall not be counted towards the technical application page limit; however, any annexes or attachments other than those specified below shall not be considered.

  The applicant must submit the following annexes only:

  - ANNEX I. CVs of Key Personnel
  - ANNEX II. Monitoring and Evaluation Plan
  - ANNEX III. Work Plan
  - ANNEX IV: Staffing Plan and Organizational Charts with Position Descriptions
  - ANNEX V: Letters of Commitment for Key Staff and partners.
  - ANNEX VI: Past Performance References and Information (Using Past Performance Reference Format provided as RFA Section VIII Annex C)

1. <u>Technical Understanding and Approach</u>

The Applicant may build on the information provided in this Program Description, with particular reference to the achievement of the specific objectives and measurable results.

The Applicant will be required to describe the overall approach, and specific activities, which it proposes implementing to achieve the overall objective and outcomes of the program. The Applicant is encouraged to consider using innovative and non-traditional approaches and partners to engage private sector participation and leverage private investment.
The application must describe the proposed strategy and methodology for sustainably achieving results expected from work in each component as stated in the Program Description. The technical approach should include an initial implementation plan with logical linkages between components, and a monitoring and evaluation plan (MEP) outlining milestones and targets based on the expected results of the activity as outlined in the Program Description.

The application must demonstrate how performance will contribute to USAID Democracy, Rights and Governance goals under the Ghana Country Development Cooperation Strategy and the Government of Ghana's key objectives and priorities related to improving accountability of public institutions. The proposal must also demonstrate how activities will meet USAID Forward principles and objectives, especially those related to Implementation and Procurement Reform and Monitoring and Evaluation, as well as how the work under the Cooperative Agreement will help ensure compliance with ADS 220.

The technical approach shall include the following sections:

A. Situation Analysis.
Include a thorough description of the causes of poor accountability, corrupt practices and ineffective institutional and financial management functions within the public sector, with particular emphasis on the proposed target public institutions that will be involved in this effort. This should include prospective policies, programs, initiatives and structures that are available at the national, regional and district levels to reduce corruption and improve accountability mechanisms.

B. Implementation Strategy.
Include a thorough description of the proposed approaches and methodologies for sustainably achieving the identified results, components, objectives, requirements, standards and results as well as the anticipated overall results of the Cooperative Agreement. Applicants must discuss the rationale for proposed activities explaining how project activities and methodologies will lead to outcomes, impacts and sustainable results. The Applicant is **not** expected to introduce or develop new structures and (or) protocols for financial management and auditing in public sector accountability enhancement activities. Applicants must clearly describe how they intend to ensure that there is synergy, collaboration and coordination with other agencies working on similar objectives in Ghana so as to avoid duplication of efforts at the operational/programmatic level.

C. Implementation Schedule (Annual Work Plan).

Based upon the technical approach and implementation strategy, Applicants must include an overall timetable for roll out of support and technical assistance during the life of the award. The Applicant should submit an Annual Work Plan (**Include as Annex III**) based on its proposed technical approach. The annual work plan shall cover the period from the award date through September 30, 2014. As appropriate, list activities under the results defined in the Detailed Work Requirements in Section C. Suggested length of the Annual Work Plan is 6 to 8 pages for each of the two project components.

The following should be indicated for each activity:

- Target dates or duration for the work required for the activities.
- Principal implementing personnel.
- Activity-level performance indicator(s).
- Baselines for each performance indicator.
- Activity rationale (related to development hypothesis).
- Expected activity-level outputs.
- Include in your work plan a discussion of how crosscutting areas will be addressed.
- Steps for major activities, including in year one, to mobilize key personnel and initiate technical assistance and to achieve the proposed results and objectives.
- Identify who is responsible for the various steps (oversight and implementation).
- An accompanying narrative that identifies any anticipated major issues to be addressed
- The activity implementation schedule should be presented in Gantt chart format.

D. Draft Monitoring and Evaluation Plan.

The application must include a credible and comprehensive Monitoring and Evaluation Plan (**Include as Annex II**) that proposes indicators and targets by each component, objective, requirements, standards, output, and results, as well as methodologies for monitoring the progress of project activities towards achieving key milestones and specified results for the Project. The Applicant should specify how it proposes to track its progress in achieving all objectives as outlined in the Program Description. The Draft Monitoring and Evaluation Plan (MEP) shall cover the period from the award date through September 30, 2014.

Discuss how progress towards program objectives will be measured. Identify which indicators will be measured and how data on these indicators will be collected, analyzed and used for program management. Ensure that objectives and indicators are consistent with the monitoring plan and data needs. Present indicators linked to specific project objectives in table format and include source of data and proposed frequency of collection. Indicators should include those related to technical intervention outcomes and process indicators used to track project progress.

As part of proposing targets, the Applicant will provide justification for target level and credible methodologies for measuring targets. The Draft M&E plan must also include a clear strategy and approach to conducting monitoring and evaluation activities that describes the type of monitoring and evaluation to be conducted, frequency and who will be responsible. The Draft M&E plan must also present an activity implementation schedule in Gantt chart form, with an accompanying descriptive, summary narrative. A list and brief description of proposed evaluation activities must be included.

2. <u>Key Personnel and Staffing Plan</u>

The Applicant must indicate which positions are designated as "key personnel" positions in accordance with ADS 302.3.5.4. The Applicant will present the proposed key personnel positions and named candidates and a description of the location and on the job relationships between each. The proposal must demonstrate qualifications and professional experience of key personnel and their experience in effectively managing programs in a developing country context with emphasis on regional experience as their ability to meet the development and implementation challenges of the proposed implementation approach.

The proposed Key Personnel are subject to the approval by the Agreement Officer. Applicants must list all the proposed Key Personnel in a Staffing Plan that also includes all other specific titled technical or professional position titles, at a minimum. CV's for all proposed Key Personnel are to be **<u>included as Annex I</u>**. One of the key inputs to the successful operation and sustainability of this Agreement is the recruitment and retention of Ghanaian professionals in leadership and technical positions.

At a minimum the Applicant must propose candidates for the following Key Personnel positions:

1) The **Chief of Party** should have an earned Master's degree in leadership, political science, or a relevant social science discipline with ten or more years of experience in social accountability and public administration, four of which must have been in a managerial or team leader capacity. Regional experience and (or) country knowledge is also required. A thorough knowledge of USAID and specific understanding of the USAID Democracy, Rights and Governance Strategy and DRG goals under the Ghana Country Development Cooperation Strategy is desirable.

2) The **Public Policy/Advocacy Specialist** should have a graduate degree in political science, sociology, education or other relevant social science discipline with seven or more years of experience in public policy reform and advocacy. Three of these years of experience must have been in a managerial capacity.

3) A team member should be designated as **Monitoring and Evaluation Specialist** to handle the day-to-day tracking, and reporting on activities under the Cooperative Agreement. The M&E Specialist should have at least five or more years of experience in monitoring and evaluating donor-funded good governance projects. Part of this experience should have been obtained working on the development and implementation of civil society led accountability programs. S/he must have an earned Master's degree in a relevant discipline or five years of relevant work experience beyond the first degree.

The evaluation will be based on the mix of personnel proposed with more weight given to the qualifications of individuals for the key personnel positions proposed by the Applicant. The Applicant must include a resume/CV, not to exceed three pages, for each proposed candidate for key positions. Each resume shall be accompanied by a signed letter of commitment (**<u>Include as Annex IV</u>**) from each candidate indicating his/her: (a) availability to serve in the stated position, in terms of months after award; and (b) intention to serve for a stated term of the service. The Applicant shall also submit a minimum of three (3) references of professional contacts within the last three (3) years. Applicants should provide current phone, fax address, and email address for each reference contact. A one-page Position Description for Key Personnel and other important personnel must be included.

The proposed key positions should all possess excellent English language oral and written communication skills.

In line with USAID Ghana's operating parameters, Applicants should commit to using: local expertise to the extent it is available and meets the job requirements; and keeping administrative costs as low as possible to maximize the development impact of the program on the targeted population. Applicants should propose qualified individuals as key personnel to lead the successful execution and integration of these components. It is critically important that proposed staff have the necessary skills sets (see above) and is complementary in skill and role and work together effectively as a complete team, under the Chief of Party, who will guide the entire activity effort with a clear, consistent, and committed vision. Key Personnel are expected to have the ability to manage teams of professionals to produce key outcomes. After award, the Agreement Officer must approve the replacement of any key personnel.

The proposal should include a full staffing plan and organizational chart for the project (**<u>Include as Annex IV</u>**), with a description of the primary responsibilities of each staff person that will play a major role in the project. The organizational chart and staffing plan must relate directly to the strategies, activities and approaches described in the technical proposal, and will include long-term personnel, short-term advisors/consultants, administrative and support staff. The proposed technical team and management and support staff must be adequate in number and have the necessary skills, knowledge and experience to achieve contract results fully with a high level of quality within the contractual time requirements.

To the extent that the Applicant intends to use subcontractors, both a description of their overall capabilities and a summary of the anticipated statement of work of the subcontract/partners should be included. The Applicant is strongly encouraged to identify local, Ghanaian, subcontractors that they can partner with in the execution of this activity. A description of the subcontractors identified, if any, must be included, and include a rationale for the choice of the subcontractor that describes the criteria used to determine the selection and their anticipated role vis-à-vis the Applicant and vice-versa. Should a local subcontractor not be proposed, the Applicant must explain why this is the case. The organizational chart should clearly define the roles and relationships of any subcontractors.

3. <u>Management Approach and Organizational Capacity</u>

The Applicant's management and administrative arrangements should clearly present the management approach and organizational logistical approach for the overall implementation of the Cooperative Agreement. This section should provide an overview of the proposed management of the activity and should summarize management and administrative arrangements including: logistical support; personnel management of expatriate and local staff; procurement arrangements for goods and services; and lines of authority and communications between organizations and staff. The Applicant should provide detail as follows to demonstrate the internal organizational competencies and overall capacity to perform the programs objectives:

- The management approach for the overall execution of the Agreement. This will include an overview of the Applicant's management approach and systems that will be put in place to assure effective implementation of Agreement activities, achievement of results and responsiveness to USAID's technical requirements.

- The systems or approaches that will assure adaptation and adjustment of Agreement activities based on experience and project learning, and inputs and feedback from USAID.

- The process for selecting and supporting partners that will assist in implementing USAID Funding activities;

- A plan to transfer knowledge to and build capacity of local partners and partner country counterparts as a strategy for sustainability; and

- The Applicant shall describe its proposed in-country financial and procurement management systems.

- The Applicant shall include the following items to demonstrate its organizational capacity:

    - A summary of the Applicant's capability to provide managerial and technical backstopping for a project of this size and complexity. Special attention will be given to the organization's proven ability to manage grants and sub-contracts with local organizations and local government entities.

    - An articulation of the Applicant's ability to coordinate sub-contractors and partners and to successfully work with host country counterparts.

    - A discussion of the Applicant's ability to recruit, mobilize, manage, and retain staff in a developing country setting.

To the extent that the Applicant intends to use subcontractors, both a description of their overall capabilities and a summary of the anticipated statement of work of the subcontract/partners should be included. The organizational chart must clearly define the roles and relationships of any subcontractors, including local partners. The Applicant should describe how the partnership with subcontractors will be organized and managed to use the complementary capabilities of partners most effectively and to minimize duplication of home office and local office management structures with attendant costs to the government. Specify the responsibilities of all principal organizations and the rationale for their selection, and proposed staff and reporting relationships within and between each of these organizations. Indicate timing of engagement of personnel based on anticipation of program needs across the four years. Include location where proposed staff will be based. Explain how project offices will be configured and situated to maximize proximity to key counterparts.

4. Past Performance

As required to be provided as Annex V, the Applicant is required to submit five past performance information on grants, cooperative agreements, contracts or subcontracts, performed over the previous three years that are similar in scope to the work covered by the Program Description using the 'Past Performance Information Form contained in the RFA Section VIII Annex C. The information supplied must include the name and current address of the organization for which services were performed, a description of the work performed, the duration of the work and size (in dollars) of the grants, cooperative agreements, contracts, or subcontracts, and the current telephone number of the responsible technical representative of the organization. It is recommended that the Applicant alert its listed contact persons that their names have been submitted and that they are authorized to provide past performance information when requested. USAID will use this information to assess the following:

- Quality of service, including consistency in meeting goals and targets.
- Cost control, including forecasting costs as well as accuracy in financial reporting.
- Timeliness of performance, including adherence to agreement schedules and other time sensitive project conditions and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks.
- Customer satisfaction with performance including responsiveness to client needs and requests and to host country partners (Government, private sector) in implementation.
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients where identified.

(10.B) COST APPLICATION FORMAT

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

1. A copy of the applicant's cost application formatted in Excel.

2. Present the summary budget by year for proposed activity including uses of USAID funds and any other cost share. Clearly indicate the applicant's commitment to match funds separate from other donor support. The portion of this matching fund which will qualify as cost-share under 22 CFR 226 shall be clearly identified.

3. Include a budget, in US Dollars, with an accompanying budget narrative in MS Word to facilitate USAID's determination that costs are allowable, allocable, and reasonable. Detailed budget notes and supporting justification of all proposed budget line items which provide in detail the total costs for implementation of the program your organization is proposing should be included. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the web site: http://www.grants.gov/agencies/approved_standard_forms.jsp

   The budget shall include:

   A. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
   B. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program;
   C. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
   D. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
   E. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
   F. A procurement plan for commodities.

4. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government; Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

   A. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
   B. Projected budget, cash flow and organizational chart; and
   C. A copy of the organization's accounting manual.

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

   A. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
   B. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
   C. 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.
   D. Has a satisfactory record of integrity and business ethics; and

E. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

6. Required certifications, assurances, and other statements for the prime and sub-recipients.
7. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

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

Cost Application Guidance

The following object class categories are those required on USAID Form 424A (Section B – Budget Categories):

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

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

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

Equipment & Supplies
In accordance with 22 CFR 226, ‘equipment’ means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of $5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.
There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. Applicants may obtain specific information on these regulations on USAID Web Site at http://www.usaid.gov/pubs/ads.
In accordance with 22 CFR 226, ‘supplies’ means all personal property excluding equipment, intangible property, debt instruments and interventions.

Contractual Services
This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This

category is not to be used for sub-grant, which should be included in other direct costs.

Construction
N/A

Other Direct Costs
Applicants are to identify all costs associated with training of project personnel. Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site http://www.usaid.gov/pubs/ads.
The Applicant should provide information on any costs attributed to the project not associated above; i.e., communications, facilitate, fuel vehicles, repair, maintenance and insurance.

Sub-agreements
Include in this budget class category all subgrants.

Indirect Costs/Charges
Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate. In the absence of a NICRA all costs must be charged as direct costs.

USAID Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program, if applicable. A cash match means that funds are used to support the budget elements discussed above. The cash value of donated equipment or supplies must be documental.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424. The narrative must provide clear explanations for cost reasonableness, particularly when proposed costs exceed market rates.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative.

SAMPLE COOPERATIVE AGREEMENT BUDGET

SF 424, Sec. B, Item 6

Budget Cost Element	Object Class Category	Budget Amount
Program	Line a, b, c, & h	$ __________
Procurement	Line d, e and f	$ __________
Training	Line h	$ __________
Indirect Costs	Line j	$ __________
Program's Total Budget		$ __________
Funding arrangement:		
Total USAID Amount		$ __________
Recipient's Cost Share, if applicable		$ __________
Total Program Funding		$ __________

V. APPLICATION EVALUATION INFORMATION

Below are the significant technical and cost factors. The Government will select application(s) that it determines is the most responsive to the objectives set forth in this RFA and presents the greatest overall value, cost and other factors considered. However, the Government reserves the right not to select any proposals for funding.

In accordance with ADS 303.3.6.3 Evaluation Criteria includes the Technical merits of the applications, Cost effectiveness and cost realism of the application, past performance of the applicant, and Branding Strategy and Marking Plan. Applications will be evaluated in accordance with the Technical Evaluation Criteria identified below.

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. To facilitate the review of applications, Applicants should organize the narrative sections of their applications in the same order as the Selection Criteria.

The cost/business applications of all Applicants submitting a technically acceptable application will be evaluated for general reasonableness, cost realism, allowability and allocability. Applicants are specifically advised that, until an agreement document is received and duly signed by a Grant or Agreement Officer, no program expenditures will be paid by USAID.

In sum, the Technical Evaluation Criteria and points allocations are indicative of USAID/Ghana Mission's desire to select a highly qualified, most responsive organization to ensure a greater degree of Program success and sustainability. To make an objective evaluation possible, applications must clearly demonstrate how the organization and the application meet these criteria.

A. TECHNICAL EVALUATION CRITERIA

Applications will be evaluated in the following weighted areas:

CRITERIA	POINTS
Technical Understanding and Approach	40
Key Personnel and Staffing Plan	30
Management Approach and Organizational Capacity	20
Past Performance	10
TOTAL	**100**

The following presents details of the elements to be evaluated in each of the four areas.

1. Technical Understanding and Approach: 40 points

Applicants will be evaluated on the basis of the extent to which the proposal reflects a thorough understanding of the overall project statement of work and its objectives, components and results. USAID/Ghana is looking for unique approaches that focus on bringing evidence of effective interventions to scale, values innovation and creativity, and also supports adaptation based upon continuous learning.

- Describes sound strategic and technical approach (es) that exhibit a clear understanding of the governance sector, particularly anticorruption programming and social accountability, advocacy and legislative reform processes. The proposed approach(es) shall describe how the Applicant will effectively and efficiently achieve the objectives, requirements, standards and results outlined in the statement of as described in the Detailed Work Requirements.
- Demonstrates a clear understanding of varied civil society advocacy strategies, methods and processes appropriate for legislative reform and increased transparency in public sector institutions; and proposes a well-tested, robust and responsive advocacy strategy for achieving the objectives described in the Detailed Work Requirements.
- Presents a credible and comprehensive tracking and documentation approach for public sector corruption events - to be used for case referral and civil society advocacy activities. Further, suggests both a technical and implementation approach that is considerate of the various requirements indicated for the exposure of corruption through civil society implementing mechanisms, including a focus on gender inclusivity.
- Presents a plan for the monitoring of PAC hearings and related activities in order to effectively promote citizen participation and advocate for more responsive government action.
- Demonstrates how the Applicant's performance will contribute to USAID Democracy, Rights and Governance goals under the Ghana Country Development Cooperation Strategy and the Government of Ghana's key objectives and priorities related to improving accountability of public institutions. The proposal must also demonstrate how activities will meet USAID Forward principles and objectives, as well as how the work under the Cooperative Agreement will help ensure compliance with ADS 303.

2. Key Personnel and Staffing Plan: 30 points

Applicants will be evaluated on the demonstrated skills, technical expertise and experience of the key personnel proposed. The following key personnel are considered by USAID/Ghana as essential for the overall management and success of the Project: Chief of Party, Public Policy/Advocacy Specialist, and Monitoring and Evaluation Specialist (See Section on Key Personnel and Staffing Plan for details). References must be provided for the proposed staff.

Present an appropriate and complete staffing plan (including support staff) with underlying rationale, an organizational chart demonstrating lines of authority and staff roles and responsibility and brief position descriptions for each technical staff position.

Present a well-evidenced plan that ensures organizational support while maximizing management approaches that are effective and cost-efficient and ensure that sub-components, requirements, standards, and results are achievable. Further, propose a well-balanced mixture of

Ghanaian staff throughout the staffing organizational chart. Finally, if consortium or other implementation partnerships are proposed, demonstrates the value-added of such approaches.

Propose key personnel who have at least the minimum professional qualifications and experience listed below:

Chief of Party.

- Master's degree in leadership, political science, or a relevant social science discipline.
- Ten years of experience in social accountability and public administration with four years in a managerial or team leader capacity.
- Regional experience and (or) country knowledge is also required.
- A thorough knowledge of USAID and specific understanding of the USAID Democracy, Rights and Governance Strategy and DRG goals under the Ghana Country Development Cooperation Strategy is preferred.

Public Policy/Advocacy Specialist.

- Graduate degree in political science, sociology, education or other relevant social science discipline.
- Seven years of experience in public policy reform and advocacy with three years of experience in a managerial capacity.

Monitoring and Evaluation Specialist.

-
- Five years of experience in monitoring and evaluating donor-funded good governance projects with part of this experience obtained working on the development and implementation of civil society led accountability programs.
- Master's degree in a relevant discipline or five years of relevant work experience beyond the first degree.

3. Management Approach and Organizational Capacity: 20 points

Feasibility of the overall management plan, including functionality of management and administrative arrangements should be outlined in this section. This should include feasibility and comprehensiveness of staffing plan and organizational chart in defining clear roles and responsibilities of staff to ensure sufficient staff resources and skill sets to execute the Cooperative Agreement and achieve expected outcomes.

The Management Approach must include any proposed consortium or partner(s).

The Management Approach and Organizational Capacity will be evaluated for clarity of managerial control and organizational effectiveness.

It should also demonstrate organizational knowledge and institutional capability to support the legislative tracking and direct lobbying/advocacy for the passage of anticorruption laws and amendments to extant legislation, as well as capacity for institutional strengthening in the areas of fiscal accountability and transparency. Applicant will also be evaluated based on the management systems presented that will ensure the effective implementation of Project activities, the achievement of results and responsiveness to USAID requirements. (10)

This section should demonstrate commitment to and presents a reasonable plan to transfer knowledge to and build capacity of local partners and partner country counterparts as a strategy for sustainability. (10)

4. Past Performance: 10 points

Quality of the applicant's past performance on relevant previous project agreements on the following:

- Quality of service, including consistency in meeting goals and targets.
- Cost control, including forecasting costs as well as accuracy in financial reporting.
- Timeliness of performance, including adherence to agreement schedules and other time sensitive project conditions and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks.
- Customer satisfaction with performance including responsiveness to client needs and requests and to host country partners (Government, private sector) in implementation.
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients where identified.
- Proven track-record in collaborating effectively with other implementing partners

B. COST EVALUATION CRITERIA

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allowability, allocability, and cost effectiveness. Applications that have more efficient operational systems that reduce operation costs will be more favorably considered. As technical scores converge, applications that maximize direct activity costs including cost sharing and that minimize administrative costs will be more favorably considered. Other considerations are the completeness of the application, adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured by a responsibility determination.

(1) Cost-share

Cost-share will not be an evaluation factor for this RFA.

(2) Application evaluation and selection process

A technical evaluation committee will evaluate applications based on the evaluation criteria provided in this RFA.

The criteria have been tailored to the requirements and expected results 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. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability to the extent that they are necessary. A Cooperative Agreement may be awarded to the responsible applicant or applicants whose applications offer the greatest value, cost reasonableness, and other factors.

Awards will be made based on the ranking of applications according to the selection criteria identified in this RFA. To make an objective evaluation possible, applications must clearly demonstrate how the organization and the application meet these criteria.

VI. AWARD ADMINISTRATION INFORMATION

(1) Award Notices

Following selection of an awardee, USAID will inform the successful applicant concerning the award. A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the successful applicant’s main point of contact. USAID also will notify unsuccessful applicants concerning their status after selection has been made.

(2) Description of any deviations from Non-U.S NGO Standard Provisions

There is no standard provision deviation contemplated under this award.

(3) Reporting

The Recipient shall submit the Performance Monitoring Evaluation Plan, Annual Work Plans and Required Reports for the Program within format, content and time schedule substantially as described in details in Program Description. Work Plans and Reports shall be prepared to be available for public reference and limited distribution. Financial or other proprietary information can be provided in an Addendum for USAID and noted in the Work Plans or Reports.

For a full listing of required Reports and reporting please see Program Description.

The Applicant shall submit one original, two (2) hard copies and an electronic copy of the reports in English to the USAID/Ghana AOR for approval.

(4) Demobilization and Close-Out

Three months prior to the completion date, the Recipient shall submit a Demobilization Plan for AO approval. The plan will include, at a minimum, a draft proposed Property Disposition Plan to the Agreement Officer; a plan for the phase-out of in-country operations; a delivery schedule for all reports or other deliverables remaining required under the Cooperative Agreement; and a timetable for completing all remaining required actions in closing-out the award.

(5) Administration Authorities

The resulting award will be administered in accordance with 22 CFR 226, OMB circulars and the Standard Provisions for NON-U.S. Non-Governmental Recipients.

(6) Environmental compliance and management

1a) 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. Respondents environmental compliance obligations under these regulations and procedures are specified in the following paragraphs.

1b) In addition, the applicant 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.

1c) No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.").

2) The IEE [http://gemini.info.usaid.gov/egat/envcomp/document.php] has been approved by the Africa Bureau Environmental Officer on December 06, 2011 for the USAID Feed the Future Program funding this cooperative agreement. The IEE covers activities expected to be implemented under this cooperative agreement. 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.

3a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Applicant, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3b) If the Cooperative Agreement 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.

3c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

4a) The Applicant shall prepare an EMMP or M&M Plan describing how the Applicant will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

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

4c) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

5a) A provision for sub-grants is included under this award; therefore, the Applicant will be required to use an Environmental Review Form (ERF) or Environmental Review (ER) checklist using impact assessment tools to screen grant applications to ensure the funded applications will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant applications 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 activities cannot go forward until the ERF or ER checklist is completed and approved by USAID. Applicant is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented.

5b) The Applicant will be responsible for periodic reporting to the USAID Cognizant Technical Officer, as specified in the Schedule/Program Description of this solicitation/award.

VII. AGENCY CONTACT

The Agreement Officer of this Solicitation is Mr. Robert Parnell, Agreement Officer, USAID/West Africa. RParnell@usaid.gov. USAID Tel: (233) (0) 274.1281

The Negotiator of this solicitation is Mr. Abdul-Latif Alhassan, Acquisition and Assistance Specialist, USAID/West Africa. AAlhassan@usaid.gov. USAID Tel: (233) (0) 274.1525

VIII. OTHER INFORMATION

(1) USAID reserves the right to fund any or none of the applications submitted.

(2) List of Annexes contained in this RFA:

Annex A – Useful References/Attachments
Annex B – Solicitation Standard Provisions
Annex C – Past Performance Information Format
Annex D – Certifications, Assurances, Other Statements of the Recipient
Annex E – Branding and Marking Information

ANNEX A - USEFUL REFERENCES

1) Democracy International Inc., Ghana Democracy and Governance Assessment – Final Report, August 2011
2) Department for International Development, DFID’s Anti-corruption Strategy for Ghana, January 2013
3) European Commission, Supporting Anti-corruption Reform in Partner Countries; Concepts, Tools and areas for Action, October 2011
4) Independent Commission for Aid Impact, Department for International Development’s Approach to Anticorruption, Report 2, November 2011
5) Public Office Holders (Declaration of Assets and Disqualification) 1998, Act 550
6) Republic of Ghana, National Anti-corruption Action Plan 2012-2021, December 2011
7) Republic of Ghana, Whistleblower Act 2006, Act 720
8) Republic of Ghana, Public Procurement Act 2003, Act 663
9) Transparency International, 2013 Global Corruption Barometer
10) United Nations Development Program, Seeing Beyond the State: Grassroots Women’s Perspectives on Corruption and Anti-Corruption, October 2012

11) USAID's Automated Directives System (ADS), Chapters 201, 202, 203, 302 and 303
12) USAID Evaluation Policy, January 2011
13) USAID Strategy on Democracy, Human Rights & Governance, June 2013
14) USAID Gender Equality & Female Empowerment Policy, June 2012
15) USAID Anti-corruption Strategy, October 2004
16) USAID/Ghana Country Development Cooperation Strategy 2013-2017

ANNEX B - SOLICITATION STANDARD PROVISION

1. Branding Strategy - Assistance (June 2012)

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(i) Describe the main program message.

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

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

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

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

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

e. The Agreement Officer will consider the Branding Strategy's adequacy in the award criteria. The Branding Strategy will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PROVISION)

2. Marking Plan – Assistance (June 2012)

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

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

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

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

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

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

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

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

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

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

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

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

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

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

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

(v) The rationale for not marking program deliverables.

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

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

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

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

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

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

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

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

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness in the award criteria, and will approve and disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PROVISION)

3. USAID Disability Policy - Assistance (December 2004)

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of

opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:
http://www.usaid.gov/about/disability/DISABPOL.FIN.html

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

(END OF PROVISION)

ANNEX C - PAST PERFORMANCE INFORMATION FORMAT

PAST PERFORMANCE INFORMATION.

CONTRACTOR PERFORMANCE REPORT - SHORT FORM	
PART I: Contractor Information (to be completed by Prime)	
1.	Name of Contracting Entity:
2.	Contract Number:
3.	Contract Type:
4.	Contract Value (TEC): (if subcontract, subcontract value)
5.	Problems: (if problems encountered on this contract, explain corrective action taken)
6.	Contacts: (Name, Telephone Number and E-mail address)
6a.	Contracting officer:
6b.	Technical Officer (CTO):
6c.	Other:
7.	Contractor:
8.	Information Provided in Response to RFP No. :
PART II: Performance Assessment (to be completed by Agency)	
1.	Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:
2.	Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3.	Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4.	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5.	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:

[Note: The actual dollar amount of subcontracts, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]

ANNEX D – CERTIFICATIONS, ASSURANCES, OTHER STATEMENT OF THE RECIPIENT

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

Part I – Certifications and Assurances

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

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

(a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

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

b. "Terrorist act" means -
(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:
http://untreaty.un.org/English/Terrorism.asp); or
(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

5. Certification of Recipient

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

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

Request for Application or
Annual Program Statement No. ________________________________

Application No. ________________________________

Date of Application ________________________________

Name of Recipient ________________________________

Typed Name and Title ________________________________

Signature ________________________________

Date ________________________________

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Signature: ______________________________

Date: ______________________________

Name: ______________________________

Title/Position: ______________________________

Organization: ______________________________

Address: ______________________________
____

Date of Birth: ______________________________

NOTICE:

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:
a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: ____________________________________

Name: ____________________________________

Date: ____________________________________

Address: ____________________________________
____

Date of Birth: ____________________________________

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

Part IV – Survey on Ensuring Equal Opportunity for Applicants

http://transition.usaid.gov/forms/surveyeo.doc

Part V – Other Statements of Recipient

1. Authorized Individuals
The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:
Name Title Telephone No. Facsimile No.

____
____
____

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

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the application.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
(1) Recipient's name.
(2) Recipient's address.
(3) Recipient's telephone number.
(4) Line of business.
(5) Chief executive officer/key manager.
(6) Date the organization was started.
(7) Number of people employed by the recipient.
(8) Company affiliation.
(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.
The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.
DUNS: ____

4. Letter of Credit (LOC) Number

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

5. Procurement Information

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

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

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

TYPE/DESCRIPTION (Generic) ___________________________

QUANTITY ___________________________

ESTIMATED UNIT COST ___________________________

(d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED GOODS ______________________________

PROBABLE GOODS ______________________________

PROBABLE (Generic) ______________________________

UNIT COST ______________________________

SOURCE ______________________________

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED ______________________________

PROBABLE ______________________________

INTENDED USE (Generic) ______________________________

UNIT COST ______________________________

SOURCE ______________________________

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION ______________________________

QUANTITY ______________________________

ESTIMATED ______________________________
PROBABLE SUPPLIER ______________________________

NATIONALITY ______________________________

RATIONALE (Generic) ______________________________

UNIT COST (Non-US Only) ______________________________

FOR NON-US ______________________________

6. Past Performance References

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

7. Type of Organization

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

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

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

8. Estimated Costs of Communications Products

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

ANNEX E – BRANDING AND MARKING INFORMATION

The "Apparently Successful Applicant(s)" will be requested to submit a Branding Strategy and Marking Plan per 22 CFR 226.91. Apparently Successful Applicant means the applicant(s) for USAID recommended for an award after evaluation, but who has not yet been awarded a Cooperative Agreement award by the Agreement Officer.

Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy and Marking Plan. The Branding Strategy and Marking Plan will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy and Marking Plan will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy and marking plan 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.

The Agreement Officer will review the Branding Strategy and 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 on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.