



# USAID | RUSSIA

FROM THE AMERICAN PEOPLE

Issuance Date: 26 July 2010  
Closing Date: 8 September 2010  
Closing Time: 1700 hours local Moscow Time

Subject: Request for Applications No. USAID-Russia-DI-10-0006-RFA  
“North Caucasus NGO Public Advocacy Project”

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

This activity will be implemented over the course of the next four years. Implementation should be scheduled to begin in early fiscal year 2011. USAID intends to award one (1) Cooperative Agreement providing approximately \$3.0-3.8 million in total USAID funding, subject to the availability of funds.

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

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

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

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

- Section I – Funding Opportunity Description
- Section II – Award Information
- Section III – Eligibility Information
- Section IV – Application and Submission Information

Section V – Application Review Information  
Section VI – Award and Administration Information  
Section VII – Agency Contacts  
Section VIII – Other Information

Annex A: North Caucasus Assistance Project Results Framework  
Annex B: List of USAID’s ongoing projects in the NC  
Annex C: Certifications, Assurances and Other Statements of the Recipient  
Annex D: Survey on Ensuring Equal Opportunity for Applicants

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

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

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

Any questions or comments concerning this RFA should be submitted in writing to Donella J. Russell, Agreement Officer, **and** Galina Ponkratova, A&A Specialist, via internet at [drussell@usaid.gov](mailto:drussell@usaid.gov) and [gponkratova@usaid.gov](mailto:gponkratova@usaid.gov) no later than 1700 hours local Moscow Time, August 9, 2010.

Sincerely,

Donella J. Russell  
Agreement Officer  
USAID/Russia

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

## **SECTION I - FUNDING OPPORTUNITY DESCRIPTION**

### **A. Title**

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

### **B. Authorizing Legislation**

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

### **C. Award Administration**

OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to the resulting grant. These documents may be accessed through the worldwide website at: <http://www.usaid.gov/business/regulations/>

### **E. Program Description Framework**

#### **I. Purpose**

This North Caucasus Public Advocacy Project (PAP) contributes to the broader USAID/Russia's North Caucasus Assistance Project (NCAP). The objective of the NCAP is to increase local capacity to provide economic, governance, civic and healthcare opportunities to reduce the threat of violence in the North Caucasus<sup>1</sup> (NC).

In essence, the design and implementation of this North Caucasus NGO Public Advocacy Project can be considered the civil society advocacy complement or functional counterpart to USAID's Local Governance Project in the North Caucasian Federal District, which USAID plans to implement approximately within the same timeframe.<sup>2</sup>

The specific purpose of the North Caucasus NGO Public Advocacy Project is to empower selected NC communities to more effectively advocate for - and participate in - public interest projects. Fostering conditions for better governance and citizen satisfaction will be sought through development, dissemination and implementation of public interest advocacy mechanisms enabling more meaningful civic participation in local governance decision making.

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<sup>1</sup> The NCAP's Results Framework is provided as [Annex A](#)

<sup>2</sup> The USAID Russia Local Governance Project (not the subject of this paper) also contributes to the same objective, *Increased public satisfaction with the effectiveness of local government*. In a synergetic and complementary implementation, the good governance supply side Local Governance project targets those who govern, government officials responsible for creating favorable socio-economic environment for local development and provision of community services; while the good governance demand side North Caucasus NGO Public Advocacy Project (PAP), targets citizens, i.e. the governed populations, residents and local groups and who demand good governance.

The project hypothesis incorporates the assumption that an informed and active citizenry, one linked to effective public interest NGOs, will enable NC populations to more effectively articulate community needs and seek redress of grievances. By increasing the satisfaction of local populations with their own governments, the subsurface community tensions that motivate violence and separatism, and which tear at the fabric of peace, social cohesion and economic prosperity, are expected to be reduced.<sup>3</sup>

## II. Objectives

This Program Description Framework for the USAID/Russia North Caucasus NGO Public Advocacy Project (PAP) summarizes assistance directed to achievement of sub-IR 2.2 for *“Improved ability of local NGOs to identify and advocate for issues of public interest”*.

This sub-IR 2.2 supports the overarching objective of the USAID/Russia funded North Caucasus Assistance Project (NCAP) of *“improved economic, governance and social conditions reduce the threat of violence in the North Caucasus”* and its IR #2 *“Increased public satisfaction with the effectiveness of local government”*.

The PAP project offers to increase civic engagement potentials of target populations through public information and education activities that empower citizens to better express concerns and implement mechanisms enhancing civic participation in local and regional governance. Project activities will strengthen local NGOs capacities to: facilitate constructive engagement of communities and citizen groups with local authorities, promote conditions for more effective local governance, and increasing the capacity of local NGOs to engage and partner with government to effectively address community priorities.

The PAP Sub-IR 2.2. for *“Improved ability of local NGOs to identify and advocate for issues of public interest”* is comprised of three lower level sub-intermediate results, IRs:

- 2.2.1. *Public is better informed about ways to express concerns and mechanisms of civic participation in decision making.*
- 2.2.2. *Strengthened local NGOs skills to represent and advocate for citizens interests.*
- 2.2.3. *Increased engagement of local NGOs with government, to effectively address community priorities.*

One way to express the development hypothesis is that to the degree civil society, communities and citizens are able to constructively influence and or partner with local government for more effective and responsive local government, the threat of violence in the North Caucasus will be reduced.<sup>4</sup>

## III. Background

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<sup>3</sup> The NC NGO Public Advocacy Project Results Framework, page 18

<sup>4</sup> Please see the detailed NCAP’s Results Framework in Annex A

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

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

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

With 49.5 persons/km<sup>2</sup>, the NC has one of the highest population densities of the Russian Federation (less than the Central area of 60.4, but significantly higher than the national average of 8.5). The most ethnically homogenous regions are Chechnya (ninety-four percent Chechens) and Ingushetia (seventy-seven percent Ingush), while Dagestan stands out as the most ethnically heterogeneous region, with: 25% percent Avars, 17% Dargins, 14% Kumyks, and 13% Lezgins. In addition, there are several other ethnic groups that each constitutes less than five percent of the republic's population.

The five-year NCAP supported by USAID/Russia will focus on beneficiaries from the republics hardest hit by instability: Dagestan, Chechnya, Ingushetia, Kabardino-Balkaria and North Ossetia-Alania. However, the project will also support activities in the other areas of the NC (Karachay-Cherkessia, Adygeya, Krasnodar, and Stavropol).

Although the inhabitants of some of these regions have been much less affected by war and inter-ethnic violence than other regions, there are several compelling reasons for USAID/Russia to support activities in these unstable regions. First, these locations have played a critical role in the past as a meeting place or base of operations for inter-republic programs and as resource centers for civil society, education, media and other critical democracy promoting elements operating on the "local" level. Second, integrating conflict-prone regions of the NC more fully into the federal district and Russia is an important cross-cutting theme of this design. This desirable integration will be more easily accomplished if USAID/Russia extends its support beyond the four regions of the NC hardest hit by conflict. Third, there is an omnipresent threat of spillover of instability and violent extremism to neighboring regions in the NC. Therefore, through the programmatic lens of conflict prevention, the five-year NCAP supported by USAID/Russia will also support appropriate activities in the surrounding regions of the NCFD and SFD.

Since the early 1990s, the North Caucasus region has posed serious instability and security problems for the whole of Russia. During the last decade the Government of Russia reinstalled federal power in the region and has since attempted to implement post-conflict reconstruction and reconciliation initiatives, these have been made possible in part by increased federal subsidies to the republics in the region. However, insufficient resources and lack of attention to certain key supporting elements has threatened prospects for a sustainable peace process. These include:

- need for development of a civil society capable of accompanying good governance and peace process efforts;
- inadequate protection of human rights and
- inattention to the need for efficient, public focused, government administration.

These insufficiencies have generated frictions between government and local populations; in part by-product of inefficient republic-level governance systems unable to effectively respond to populations clamoring for good governance, respect for human rights, and adherence to rule-of-law.

As the gap grows between high public aspirations for improved government (and low expectations that government will actually deliver on needed changes), public protests and political violence threaten to continue. The transition to peace will necessarily entail the introduction of new and more effective local governance practices, civil society capacities, and more effective dialogue and interaction between the two. The work of government -- with the private sector, civil society and community organizations -- will be to help forge partnerships and peaceful processes capable of redressing longstanding social, economic, ethnic and other grievances that have historically undermined confidence in local governments, and which continue to tear at the very fabric of society.

Creating enabling environments for sustainable peace will require focus on institutions and processes in areas such as sustainable development, eradication of poverty, all forms of social inequity, good governance, inclusive democracy, respect for human rights and the promotion of cultures of peace, tolerance and non-violence. Re-building the social infrastructure, strengthening grass-roots organizations and civil management of well-run and respected local institutions are essential parts of conflict prevention efforts.

Civil society's interaction with government has become a prominent feature of today's political and social development in most countries in conflict, or in transition to peace and post-conflict moments. The international community's experience in countries emerging from conflicts demonstrates that in the post-conflict phase, effective civil society organizations (CSOs) and coalitions can enhance the chances of lasting peace by assuming roles such as:

- promoting the establishment of participatory governance through advocacy,
- promotion of local conciliatory customs,
- activities aimed at strengthening the democratic and governance process, assistance in re-building social infrastructure,
- enhancing the citizen interaction with and capacity of local governments,
- strengthening delivery of basic social services, and social integration.

Experience also shows that when greater attention is paid to dialogue and partnerships between local governments and civil society on conflict prevention and community development, conflict stabilization and a gradual transition to lasting peace and social accord are more likely.

Russian law supports citizen engagement in good governance processes. Federal Law 131 contains provisions that require public hearings and create opportunities for citizen input in the budgeting and governance process. Implementation of local governance reform is a critical opportunity to improve government responsiveness and accountability to citizens, to engage civil society in the community development process, and to enable citizens to seek and influence public funding for essential services.

With regard to the media and society; access to media in the North Caucasus -- as compared to other regions of the Russia Federation -- is more constrained. There are fewer local newspapers, and their ability to operate with editorial independence is limited. Like elsewhere in Russia, federal broadcast television is the most widely disseminated form of mass media, and these networks operate with little editorial independence. However, a small number of independent media outlets do exist, usually maintaining their core operations outside of the region and working primarily through the Internet. Free and independent flow of information empowers citizens and civil society to more effectively exercise assessment, monitoring, advocacy and local self-governance accountability functions. Active involvement of the North Caucasus media to address social issues faced in the region would contribute greatly to the overall success of the project. It is essential that regional media professionals (including journalists and bloggers) develop skills necessary to produce ethically balanced and compelling materials on social issues that concern topics of importance to the region, such as broadly defined human rights issues, including migration, poverty, health, women's issues, and similar pressing concerns.

#### **IV. Development Challenge**

The root causes of violent conflict throughout the North Caucasus span a wide range of grievances. Conflict dynamics have been influenced by Chechen conflict in the 90s and the recent rise of violent militancy. When USAID started programming in 2005 in the NC, the objectives were to support Russian authorities in stabilizing NC and support interventions which prevented the escalation of conflict in other republics. In 2009, USAID conducted a North Caucasus programming assessment to consider future interventions which offered to assist in developing the region and mitigating a return to deadly conflict. USAID's new approach is less about post-conflict, humanitarian interventions and more about conflict prevention and promoting local ownership and sustainability. The assessment highlighted the need for better coordination and for interventions to be more holistic, and increasingly targeted at the most at-risk, vulnerable populations.<sup>5</sup>

Based on the 2009 assessment, USAID formulated the development hypothesis that programs which improve daily lives by fostering constructive citizen engagement with public officials result in local government earning public confidence and satisfaction, thus helping reduce violence in the North Caucasus.

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<sup>5</sup> USAID North Caucasus Assessment, 2009

Public confidence and public satisfaction with local governance has been eroded by the conditions of the NC security environment. While a hierarchical mode of governance has been effective in limiting armed conflict, this solution is unsustainable and keeps the population of the region in constant risk of returning to violence. It is necessary to improve governance in the areas of social service provision, municipal resource management, communication with citizens and public engagement. The other side of the equation is fostering citizen engagement and helping citizens to formulate and voice their needs.

Civil society organizations have a key role in accumulating citizens' needs and promoting civil activism to address these needs. However, a number of challenges appear to prevent NGOs from effectively helping citizens to articulate their concerns. Civil society organizations in the North Caucasus suffer from many of the same problems as other NGOs throughout Russia, with a crucial distinction being that their development has been further retarded by the effects of conflict, with their deficiencies generally more severe. NGOs are generally small, personality-driven entities that are dependent on the talents of a few charismatic, enthusiastic and courageous individual(s). As a result, NGOs display attributes incompatible with long-term and sustainable public advocacy, such as:

- poor outreach and support among the local population;
- financial survival by living grant-to-grant;
- lack of strategic management or planning;
- insufficient networking/collaboration with like-minded organizations; and
- a combative mindset toward government authorities.

To exacerbate this situation, the 2006 NGO Registration Law introduced requirements that were beyond the capacity of many marginal NGOs, causing some NGOs to cease operations or become de-registered. The law placed a significant administrative burden on those that remained.<sup>6</sup>

As noted in the background information, the NC municipalities have been isolated from mainstream municipal management reform, a process that took place in many other municipalities of Russia during last fifteen years. The strongly-held cultural traditions of the region and tumultuous relations with federal authorities have marginalized many efforts to bring reform, especially in the realm of governance. To increase public satisfaction with the local government in the region, the project will build on available practices of collaboration between civil society and local government.

The main development problem to be addressed by this project is lack of information available to citizens on the means of articulating public concerns and legal mechanisms of addressing and enforcing these issues.

## **V. Other Activities**

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<sup>6</sup> 2008 NGO Sustainability Index for Central and Eastern Europe and Eurasia  
[www.usaid.gov/locations/europe\\_eurasia/dem\\_gov/ngoindex](http://www.usaid.gov/locations/europe_eurasia/dem_gov/ngoindex)

In 2010 USAID/Russia plans to start the following new projects in the NC in areas of microfinance, entrepreneurship, development of agriculture value chains, local governance, tuberculosis infection control, youth and reproductive health.

For successful implementation of this specific NC NGO Public Advocacy Project, it will be important to incorporate lessons learned from current and planned USAID projects, as well as to draw upon information gleaned from activities of other donors in the North Caucasian Federal District (see Annex B).

The NC NGO Public Advocacy Project requires work in collaboration with the aforementioned Local Governance Project in the North Caucasian Federal District, which USAID plans to implement approximately within the same timeframe.

## **VI. Coordination**

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

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

The NCPC coordinator will provide information, submit analysis and make recommendations to help minimize duplication of efforts in the NC, and ensure that all USAID projects complement each other. She/he will also provide coordination and promote and/or facilitate streamlining of USAID efforts in the region.

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

In addition, it is vitally important to maintain close coordination with the previously mentioned Local Governance Project (LGP) and other programs implemented by international organizations, including the Black Sea Trust, the British Embassy, the World Bank, the UN organizations and other organizations working in the area.

To ensure the maximum impact and long-term sustainability, the projects should seek synergies and coordinate on a wide range of issues with the LGP project which is expected to be announced approximately within the same timeframe as this project. The applicant will disseminate best practices and effective tools for citizen engagement in local governance and community development in effort to expand and deepen democratic governance and public participation. To be successful at addressing the above Objective, both projects should work together, combining their respective capacities. Thus, the selection criteria for regions under the NC NGO Public Advocacy Project, should among other things, consider level of local government commitment to engage directly with citizens. The project anticipates that, LGP will

target sites where viable civil society organizations have engagement with local government to address citizens' concerns. Thus, the geographic selection will identify and prioritize regions where agents of change have been emerging both in the civil society and local governance arena.

To create effective synergies between both projects, the selection of geographic sites should be in close consultation with USAID, striving for at least 50% overlap between target regions. The complementary roles of both projects will create a synergetic multiplier effect on program results. The applicants for both projects should develop procedures for sharing information, results, successful models and lessons learned. To improve the quality of collaboration and enhance projects' efforts, applicants should seek cross-fertilization of experience and cross-participation of target audiences of each project in training and other events conducted under both projects, and regularly update each other on projects accomplishments. The applicants may expect that relevant USAID management units will maintain close collaboration to maximize linkages between the two projects, whenever practical.

## VII. Project goal and outputs

The new NC NGO Public Advocacy Project (PAP) will be implemented as a part of the North Caucasus Assistance Project that falls under the following FAF Program Areas of the Mission's Operational Plan Framework: Civil Society. This project will be housed and funded under the following Foreign Assistance (F) framework's:

Objective 1 "Peace & Security",  
Program Area 1.6 "Conflict Mitigation and Reconciliation,  
Program Element 1.6.1 "Conflict Mitigation",  
Program Sub-element 1.6.1.2 "Peace Dividends"

The program will also contribute to the  
Objective 2 "Governing Justly and Democratically"  
Program Area 2.4 "Civil Society",  
Program Element 2.4.1 Civic Participation,  
Program Sub-Element 2.4.1.2 Civil Society Capacity for Democratic Processes.

The overarching goal of the NGO Public Advocacy Project is constructive citizen /local government interactions resulting in **increased public satisfaction with the effectiveness of local government**. This goal is integral to, and one of the intermediate results of, the North Caucasus Assistance Project (see Attachment A).

The NC NGO Public Advocacy Project will contribute to the attainment of the overarching goal by addressing the project objective *Improved Ability of Local NGOs to Identify and Advocate for Issues of Public Interest* through achievement of the following intermediate results (IRs):

- IR 2.2.1 Public is better informed about ways to express concerns and mechanisms of civic participation in decision making
- IR 2.2.2 Strengthened local NGOs skills to represent and advocate for citizen interests
- IR 2.2.3 Increased engagement of local NGOs with government to effectively address community priorities

A critical assumption for achieving project goal is that the operational environment is favorable for civic initiatives, i.e. that the population is ready to work with NGOs, and the dialogue between the NGO sector and the local government continues.

IR 2.2.1 – Public is better informed about ways to express concerns and mechanisms of civic participation in decision making

Community outreach and public engagement: The grantee will implement activities to equip civil society organizations with the skills, knowledge, and practical experience engage with the population in assessing, formulating and prioritizing community public policy interests and action planning. This will include strengthening community knowledge and use of consensus building mechanisms to constructively engage with local and regional government officials on issues raising the standard of citizen well being and promoting peaceful resolution of citizen concerns. Community outreach activities will raise public knowledge of existing advocacy mechanisms, encourage and facilitate public participation in local government needs assessments and policy formulation, and enable citizen groups to appropriately influence government decision making on issues of public interests. What is sought is for citizens to have the tools and strategies by which they can build an active, lively and respectful dialogue between citizens and local authorities on issues of importance to their communities.

Due to sensitive nature of the civil society work in the North Caucasus, the grantee is not required to indulge in extensive public outreach campaigns, but is encouraged to help local communities and NGOs employ various community outreach practices through simple, community-based (and politically, religiously and ideologically neutral) projects.

IR 2.2.2. – Strengthened local NGOs skills to represent and advocate for citizen interests

NGO capacity building: the implementing project grantee will be required to provide technical assistance and some modest logistics and commodity support to local NGOs, to improve overall capacity of NGOs. Various assessments show that local NGOs require and consistently demand capacity-building support in the following areas:

- organizational and management capacity, including planning and performance evaluation, team building, setting up effective governance structures
- internal financial practices and controls, fiscal management and budgeting, , fundraising, professional staff trainings;
- constituency outreach by introducing effective advocacy, community needs assessments, mobilization and engagement, social marketing;
- lack of professional and organizational skills of NGOs in becoming competitive service providers to the constituencies and policy makers;
- establishing links with Russian institutions such as the Public Chamber and its commissions, the Ministry of Regional Development, local administrations and other agencies that would become partners in developing participatory models and encouraging public participation in local governance

IR 2.2.3 – Increased engagement of local NGOs with government to effectively address community priorities.

Facilitation of NGO – government authorities communication: As in most local governance and community development programs, this program necessarily requires involve of government

officials as integral partners and counterparts to civil society activists in project events. Close work and support of local government officials can help them build and hone critical skills, therefore the grantee will be expected to include government officials, where practical, in training opportunities related to: citizen engagement, participatory methods for citizen dialogue, joint (community/local government) service and community development planning and performance evaluation methods and consultative processes. On the other hand, civil society activists will need to improve their understanding of local policy development and specifics of decision making processes. Although, specific trainings for government representatives are not the focus of this project, local officials should be included in NGO-oriented events and trainings, whenever it is deemed feasible and beneficial for promotion of productive dialogue.

## **VIII. Expected Results**

Illustrative Expected Results include:

IR 2.2.1 – Public is better informed about ways to express concerns and mechanisms of civic participation in decision making

- Local NGOs reach out to local communities to identify issues of public interest and to engage the participation of citizens
- Local NGOs are better equipped to effectively engage with public and help formulate common agenda
- Citizens are better informed about ways to express concerns and mechanisms of civic participation in decision making

IR 2.2.2 - Strengthened local NGOs skills to represent and advocate for citizen interests

- Professional skills, management and financial practices of local NGOs are improved
- Coordination and networking among NC civil society organizations are expanded
- NC NGOs are better integrated/incorporated in regional and national networks
- Local NGOs better understand local policy development and decision making process

IR 2.2.3 – Increased engagement of local NGOs with government to effectively address community priorities.

- Local NGOs are better equipped to effectively engage with government in solving issues of public concerns
- Local NGOs are recognized by local government as effective mediators in decision making process and as professionals that can provide adequate social services

Illustrative indicators:

- Number of community initiatives implemented to address community priorities;
- Number of meetings held by civil society groups on implementing advocacy tools
- Number of polls, focus groups, surveys or community forums conducted to solicit public input
- Number of citizens who participated in community projects
- Number of NGOs participated in trainings on various organizational issues
- Number of local non-governmental organizations supported with sub-grants by the project
- Number of civil society groups advocating for citizens interests
- Number of reports, legislative recommendations, draft laws developed and/or passed

- Number of government-civil society mechanisms for cooperation and action developed
- Number of government officials participated in project activities
- Number of initiatives organized within the project to help civil society engage with local government

Possible interventions include, but are not limited to:

- Training in various aspects of organizational and management capacity: internal financial, management and reporting practices, professional staff trainings, fundraising, communications, outreach to various sectors;
- Training and support to NGOs public communication and public outreach activities: issue polling, community needs assessments, events, interactive media, on-line public forums, civic education programs; advocacy campaigns; improved transparency and accountability standards;
- Small grant projects implementation to utilize skills acquired through trainings;
- Regional, municipal and interregional conferences, forums, youth discussion clubs;
- Interregional and international study-tours and trainings;
- Policy forums for interaction among officials, NGOs and the general public;
- Trainings on public participation in government decision making, public hearings;
- Development of effective tools and channels for ensuring the involvement of NGOs in the policy formulation and decision-making at the municipal and regional level;
- A sub grant programs targeted to increase local NGO capacities by implementing projects beneficial for local communities
- Analysis of legislation, regulations, reports, proposal; technical expertise and technical recommendations to local administrations.

## **IX. Project Approach**

As stated previously, current public satisfaction with local governance in the NC is unambiguously low. In this respect, strong, well-informed, and representative civil society organizations are absolutely critical in helping citizens to formulate and voice their needs. The project will help the NC civil society community to develop its capacity, including capacity to better identify, formulate and address public concerns through developing technical competence, constituency outreach and communication/relations with the local governments.

Developing increased advocacy capacity in local NGOs will require identification of organizations that have the institutional potential, technical expertise and management willingness to participate in the project. At a minimum, the project will require survey work or organizational capacity and possibly competitive processes to identify appropriate organizations. Specific sectors where USAID/Russia is already aware of significant capacity are: human rights monitoring, legal support for citizens & NGOs, educational sector development, public health and youth programming. The project should address specific organizational needs to nurture the institutional growth of the NGO sector in North Caucasus. The project will also facilitate internal ties and exchange of information among NC NGOs as well as ties of NC NGOs with their Russian counterparts through in-country internships with Russian NGOs.

The project will facilitate dialogue between civil society organizations and local authorities, while enhancing citizen engagement and development and implementation of public-government interaction mechanisms. Successful models of constructive and conscientious collaboration

between civil society and local government will help to address issues of local social and economic development, meet community needs, and are expected to increase public satisfaction with the local government in the region.

With the sensitivity of work in the governance sector in mind, the project will seek to engage local and regional officials who understand and are willing to support project goals of improving public satisfaction with the effectiveness of local governance.

## **X. Required Elements**

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

In a broader sense, the North Caucasus region is herein defined as being the autonomous republics of Dagestan, Chechnya, Ingushetia, North Ossetia-Alania, Kabardino-Balkaria, Karachay-Cherkessia, and Adygeya, plus the Stavropol and Krasnodar krais. However, the applicant may suggest other surrounding territories of the NCFD and the Southern Federal district should it be critical for program implementation (good models are developed and available for replication, etc.).

The project will seek to involve local officials and civil society organizations from across the defined territories in accordance with the cross-cutting goal of reducing isolation among project participants. Subsequent focus and concentration of activities will depend largely upon receptivity of local officials and the attitude regional authorities take toward project implementation.

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

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

The project will strive to reduce this isolation by:

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

The NC NGO Public Advocacy Project aims to strengthen links and improve communication between NGOs in the North Caucasus and other regions of Russia so that they can share experience and information, engage in joint projects and reduce their isolation.

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

The NC NGO Public Advocacy Project is required to facilitate the engagement of youth in public advocacy efforts and various activities. Program sponsored trainings will offer to train members of youth and minority organizations on NGO public advocacy issues and encourage them to participate in NGO capacity building and constituency outreach initiatives.

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

The NC NGO Public Advocacy Project will build strategic partnership with government and local communities and encourage positive cooperation between citizens and local authorities to stimulate local community development.

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

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

### ***Focus on Men***

It is important that this program focus adequately on men’s position in the gender equation. Experts agree that conflict-reduction programming should include activities that will stimulate young men to question traditional norms of masculinity emphasizing violence, confrontation and domination in contrast to alternative models of masculinity, more open to negotiation, cooperation and equality. Such activities can lead them to critically discuss the advantages of gender equitable behavior, including taking better care of their own sexual and reproductive health. Involving men in family planning and reproductive health programming is a way to address the root causes and reduce the risk of gender-based violence (GBV). Evidence suggests that attracting young men is essential. For instance, a survey conducted in the Chechen Republic by the Union of Women of the Don indicates that young male respondents tend to be most radicalized in denying women’s political, social and economic rights and upholding discriminating gender stereotypes.

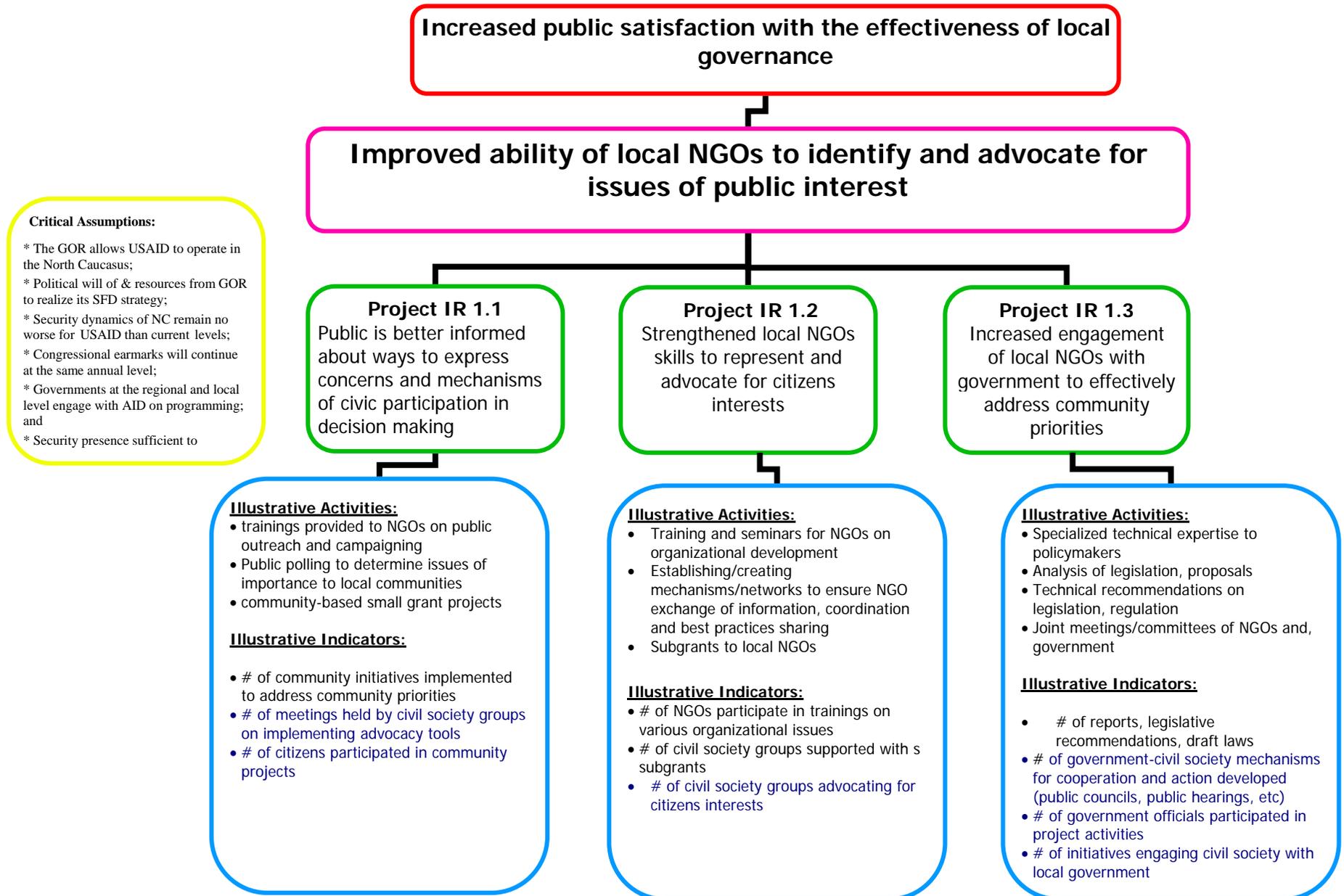
As the goal of this project is to increase public satisfaction with the effectiveness of local governance, it should be emphasized that many bilateral and multilateral agencies see gender equity and equality as an important element of good or effective governance. Effective governance takes into account and responds to the differing needs and priorities of women and men in public spending, policies and legislation. Governance refers to decision-making at several levels, including the households, community, local and national government. All these levels of governance exist interdependently, shaping, for example, whether services take account of both women’s and men’s needs and interests, who benefits most from public expenditure, whether women have control of and access to community resources.

The project should ensure that needs of both male and female community members are identified and addressed through local government planning, decision making and service provision. The project should encourage women’s effective participation in decision-making processes and in procedures for good governance and equally engaging men and women in community based activities and peer to peer exchanges. To ensure equity for women, the project anticipates in some cases more resources may need to be applied to women’s participation, in order to get the desired participation result.

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

The NC NGO Public Advocacy Project will develop strategy and actions that will lead towards continuation of effective policies, approaches and practices when USAID assistance is no longer available.

## NC NGO Public Advocacy Project Framework



## **SECTION II – AWARD INFORMATION**

### **A. Estimate of Funds Available**

Subject to the availability of funds and approval of USAID/Russia's annual Operational Plan, USAID intends to provide approximately \$3.0-3.8 million in total USAID funding for the life of the activity (four years).

### **B. Type and Number of Awards**

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

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

### **C. Start Date and Period of Performance**

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

### **D. Substantial Involvement**

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

- Approval of Annual Implementation Plan by the AOTR;
- Approval of Key Personnel by the AOTR;
- Selection of Advisory Committee members;
- Concurrence on selection of subawardees by the AO;
- Approval of the monitoring and evaluation plan by the AOTR;
- Monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects.

### **SECTION III – ELIGIBILITY INFORMATION**

#### **A. Eligible Applicants**

Qualified applicants must be Russian non-governmental organizations (NGOs). In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners, particularly if they are joined with a more experienced organization.

#### **B. Local Registration**

All local institutions must be registered as a legal entity in Russia.

#### **C. Cost Sharing or Matching**

Cost share at 4% has been recommended for this program.

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

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

## **SECTION IV – APPLICATION AND SUBMISSION INFORMATION**

### **A. Application Package**

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

Potential applicants may also request a copy of the RFA application package by sending a fax to USAID/Russia, Attn. Contracting Office, at (7-495) 960-2141 or 2142, referring to USAID-Russia-DI-10-0006-RFA “North Caucasus NGO Public Advocacy Project”.

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

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

### **B. Point of Contact**

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

### **C. Questions**

Any questions concerning this RFA must be submitted in writing to Donella J. Russell, via internet at [drussell@usaid.gov](mailto:drussell@usaid.gov) and to Galina Ponkratova at [gponkratova@usaid.gov](mailto:gponkratova@usaid.gov) or via fax at (7-495) 960-2140 by 1700 hours local Moscow time on August 9, 2010. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

#### **D. Submission of Applications**

**Applications must be submitted no later than 1700 hours local Moscow time on September 8, 2010. Late applications will be accepted and reviewed at the discretion of the Agreement Officer.**

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

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

Donella J. Russell, Agreement Officer  
American Embassy Moscow  
U.S. Agency for International Development  
Novinsky Boulevard 19/23  
121099 Moscow  
Russian Federation  
Tel: (7-495) 728-5000

- 4. Faxed Applications:** Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

#### **E. Application Preparation Guidelines**

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

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

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

## 1. Technical Application Format

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

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

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

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

Technical applications shall include:

**Cover Page:** A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

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

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

**a. Technical Approach (15 pages or less)**

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

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

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

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

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

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

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

As part of the program approach, applicants shall submit an Award Monitoring Plan (AMP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). Applicants shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting. In particular, applicants must include clear benchmarks and indicators of public awareness about ways to express concerns and mechanisms of civic participation in decision making in selected regions of NC and citizen ability to participate in decision making. Applicants should also include benchmarks and indicators of building the capacity of local Russian organizations, specifically in the area of advocating for citizen interests.

**d. Project Team (3 pages or less)**

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

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

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

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

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

- a. Brief description of organizational history and experience
- b. Examples of accomplishments in developing and implementing similar programs
- c. Relevant experience with proposed approaches

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

### **Annexes:**

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

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

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

## **2. Cost Application Format**

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

The Cost Application shall consist of the following:

- Cover Page
- SF-424, SF-424A and SF-424B (U.S. organizations only)
- Mandatory Certifications and Assurances
- Acknowledgement of any amendments to the RFA
- Budget
- Budget Narrative
- Current Negotiated Indirect Cost Rate Agreement (NICRA)
- Teaming documents (if any)
- Documentation from applicants who do not have a current NICRA or who have never received an award from the U.S. government as explained more fully below.

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

**Cover Page:** A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

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

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

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

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

[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**Mandatory Certifications and Assurances**

Applicants must submit the following mandatory certifications:

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

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

**Acknowledgement of Any Amendments to the RFA**

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

## **Budget**

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

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

## **Budget Narrative**

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

- i) Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- ii) Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.
- iii) Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- iv) Equipment – Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

- v) Materials and Supplies – Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- vi) Communications – Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of this types of costs.
- vii) Subcontracts/Subwards/Consultants – Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- viii) Allowances – Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant’s policies and the applicable regulations and policies.
- ix) Direct Facilities Costs – Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
- x) Other Direct Costs - This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- xi) Indirect Costs - The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

### **Current Negotiated Indirect Cost Rate Agreement (NICRA)**

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

### **Other Documentation**

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

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

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

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

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

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

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

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

## **F. Disclosure of Data**

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

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

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

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

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

## **SECTION V – APPLICATION REVIEW INFORMATION**

### **A. Basis for Award**

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

### **B. Technical Evaluation**

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

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

#### **1. Technical Approach (50 Points)**

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

#### **2. Organizational Capacity (25 Points)**

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

#### **3. Organizational Past Performance (15 Points)**

Past performance in implementing similar activities preferably in the North Caucasus region or other conflict areas.

#### 4. Project Personnel (10 Points)

- Extent to which the qualifications, relevant experience, knowledge and abilities of proposed key personnel and long-term staff are appropriate to their proposed roles and are suited to the successful implementation of the technical approach.
- Relevant past performance of key personnel and long-term staff.

#### C. Cost Evaluation

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

#### D. Review and Selection Process

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application(s) of the most highly-ranked applicant(s) will be opened. To the extent that they are necessary, clarifications or negotiations will then be conducted. The Grant Officer will then select an Apparently Successful Applicant. The Apparently Successful Applicant means the applicant recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Grant Officer. The Grant Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

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

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

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

**E. Anticipated Announcement and Award Dates**

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

## SECTION VI – AWARD AND ADMINISTRATION INFORMATION

### A. Authority to Obligate the Government

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

### B. Award Notices

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

### C. Administrative and National Policy Requirements

**1. Award Format:** The standard format for award will be a grant to a non-U.S. organization, as prescribed in ADS 303, will be used.

**2. Allowable Costs:** Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., nongovernmental recipients.

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

#### 4. Reporting

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

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

The initial work plan must include the recipient’s proposed **Award Monitoring Plan**, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals. Baseline data must be

finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender.

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

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

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

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

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

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

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured, applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

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

- a. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this award.
- b. In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
- c. No activity funded under this award will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")
- d. An Initial Environmental Examination (IEE) [DCN-2008-RUS-007] has been approved for the program funded under this award. The IEE covers activities expected to be implemented under this award. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.
- e. As part of its initial work plan, and all annual work plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Technical Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation. A brief statement describing how the grantee ensures that program activities comply with these terms should be included in annual/quarterly reports.
- f. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- g. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from the Agreement Officer.
- h. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP), the Recipient may be required to:
  - a) Prepare an EMMP describing how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award.

The EMMP shall include monitoring the implementation of the conditions and their effectiveness.

- b) Integrate a completed EMMP into the initial work plan.
- c) Integrate an EMMP into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

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

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

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

### **Safety and Security**

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

security situation as necessary. Registration is done on-line and can be done in advance of travel. Information on registering can be found at the embassy web [www.usembassy.ru](http://www.usembassy.ru) or at the Department of State's Consular Affairs website: <https://travelregistration.state.gov> .”

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

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

## **BRANDING STRATEGY - ASSISTANCE (December 2005)**

### **(a) Definitions**

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

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

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

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

### **(c) Submission Requirements**

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

#### **(1) Positioning**

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with

USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

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

Note: the Agency prefers "made possible by (or with) the generous support of the American" instead of the phrase "funded by." USAID prefers local language translations.

*Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.*

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

## **(2) Program Communications and Publicity**

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

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

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

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

*What is the main program message(s)?*

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

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

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

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

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

### **(3) Acknowledgements**

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

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

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

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

(d) **Award Criteria.** The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

## **MARKING PLAN – ASSISTANCE (December 2005)**

### **(a) Definitions**

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

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

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

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

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

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

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

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

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

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

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

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

application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) **Presumptive Exceptions.**

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

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

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

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

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

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

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

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

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

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

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

## **MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)**

### **(a) Definitions**

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

**Principal Officer** means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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

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

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

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

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

#### **(b) Marking of Program Deliverables**

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

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

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

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

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

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

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

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

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

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

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

*"This study/report/audio/visual/other information/media product (specify) is made*

*possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”*

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

**(c) Implementation of marking requirements.**

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**(d) Waivers.**

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

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

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

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

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

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

## **SECTION VII – AGENCY CONTACTS**

Donella J. Russell, Agreement Officer, and Galina Ponkratova, A&A Specialist  
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## SECTION VIII – OTHER INFORMATION

### Applicable Regulations & References

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

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:

<http://www.usaid.gov/policy/ads/300/303mab.pdf>

- 22 CFR 226

[http://www.access.gpo.gov/nara/cfr/waisidx\\_02/22cfr226\\_02.html](http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html)

- OMB Circular A-122

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

- OMB Circular A-110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

- ADS Series 300 Acquisition and Assistance

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

- SF-424 Downloads

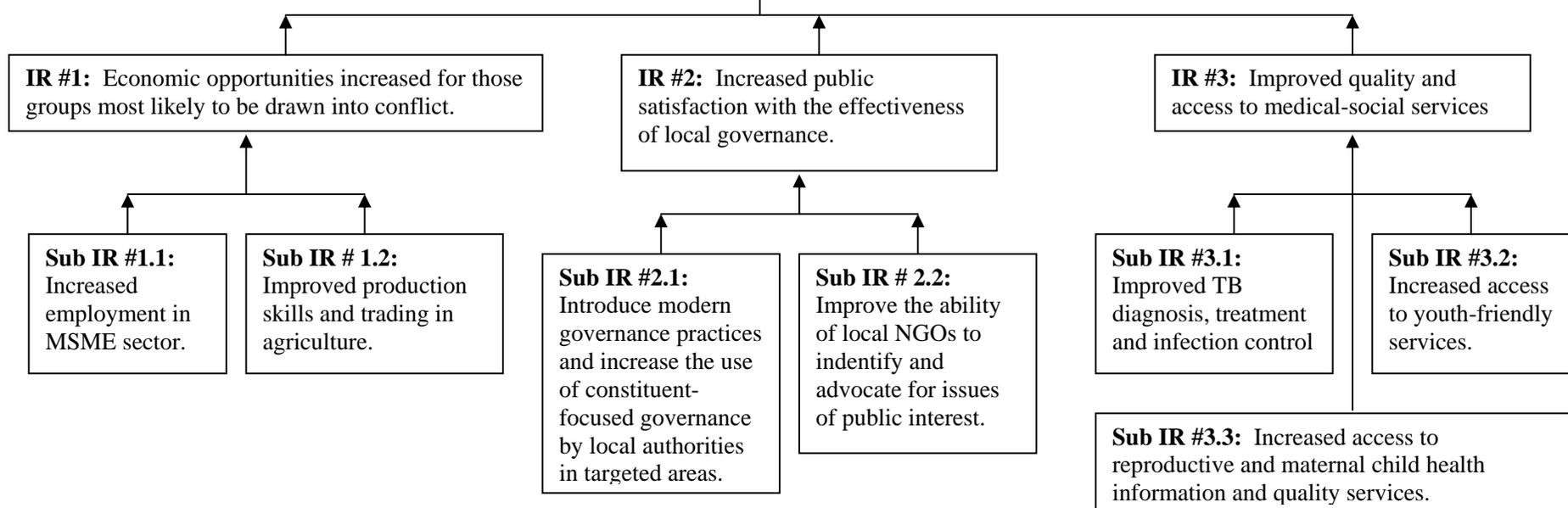
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**ANNEX A**

**OVERARCHING GOAL: Improved local capacity to provide economic, governance, civic and healthcare opportunities will reduce the threat of violence in the North Caucasus.**

- Cross-cutting Elements in NC Programming:**
- 1) Reducing isolation;
  - 2) Engaging youth and diverse groups in the development process;
  - 3) Work in partnership with communities;
  - 4) Awareness of programmatic impacts on issues of gender; and
  - 5) Explore prospects for sustainability of programming.

- Critical Assumptions:**
- \* The GOR allows USAID to operate in the North Caucasus;
  - \* Political will of and resources from GOR to realize its SFD strategy;
  - \* Security dynamics of NC remain no worse for USAID than current levels;
  - \* Congressional earmarks will continue at the same annual level;
  - \* Governments at the regional and local level engage with AID on programming; and
  - \* Security presence sufficient to accommodate program monitoring.



## List of USAID's ongoing projects in the NC

### **1. Improved Community Infrastructure in North Ossetia**

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

Project Dates: July 2006 – October 2011

Location: North Ossetia

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

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

Partner: Center for Fiscal Policy (CFP)

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

Location: North Caucasus, Rostov Oblast, Stavropol Krai

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

### **3. North Caucasus Rural Credit Cooperative and Agribusiness Development**

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

Project Dates: September 2005 – September 2011

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

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

### **4. Small and Medium-Sized Enterprise Policy Advocacy**

Partner: Center for International Private Enterprise (CIPE)

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

Location: North Ossetia-Alania

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

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

### **5. Developing Tools for the Russian Microfinance Sector**

Partner: Russian Microfinance Center (RMC)

Project Dates: July 2007 – September 2010

Location: North Caucasus

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

### **6. Economic Development in the North Caucasus**

Partner: Institute for Urban Economics (IUE)

Project Dates: September 2008 – September 2011

Location: North Caucasus

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

### **7. Comprehensive Model of Tuberculosis Control**

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

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

Location: Adygeya

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

### **8. Civil Society Development in Southern Russia**

Partner: Southern Regional Resource Centre (SRRC)

Project Dates: November 2003 – September 2010

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

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

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

Partner: International Research and Exchanges Board (IREX)

Project Dates: September 2007 – September 2010

Location: North Caucasus

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

#### **10. Community Development Support Program (CDSP)**

Partner: Fund for Sustainable Development (FSD)

Project Dates: July 2006 – March 2011

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

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

**U.S. Agency for International Development**

**PART I**

**CERTIFICATIONS AND ASSURANCES**

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

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

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

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

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

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

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

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

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

successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
(Typed Name and Title)

**2. CERTIFICATION REGARDING LOBBYING**

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

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

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

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

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

**Statement for Loan Guarantees and Loan Insurance**

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

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
(Typed Name and Title)

### 3. CERTIFICATION REGARDING TERRORIST FINANCING

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

- b. “Terrorist act” means-
  - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
  - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
  - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

**Signed:** \_\_\_\_\_ **Date:** \_\_\_\_\_  
(Typed Name and Title)

**4. CERTIFICATION OF RECIPIENT**

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

As applicable:

Grant/Agreement No.: \_\_\_\_\_

Solicitation No.: \_\_\_\_\_

Application/Proposal No.: \_\_\_\_\_

Date of Application/Proposal: \_\_\_\_\_

Name of Recipient: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**PART II**

**OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>
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**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

TIN: \_\_\_\_\_

**3. CONTRACTOR IDENTIFICATION NUMBER -DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.

- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

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

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

DUNS: \_\_\_\_\_

#### 4. **LETTER OF CREDIT (LOC) NUMBER**

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

LOC: \_\_\_\_\_

#### 5. **TYPE OF ORGANIZATION**

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

- (a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual  a partnership,  a non-governmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or
- (b) If the recipient is a U.S. entity, it  is,  is not a Gray Amendment entity, as defined below.
- (c) If the recipient is a Gray Amendment Entity, it is  a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101),  an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU),  a college or university having a student body in which more than 40% of the students are Hispanic American, or  a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).
- (d) If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

**6. PAST PERFORMANCE REFERENCES**

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

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**7. OMB CIRCULAR A-133 OR SIMILAR AUDITS**

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

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**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.

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**9. PROCUREMENT INFORMATION**

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

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

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

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

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

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



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

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

## ANNEX D

### **SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

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

[http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd04\\_08.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf)