



USAID
FROM THE AMERICAN PEOPLE

Issuance Date: August 9, 2019
Closing Date for Questions: August 15, 2019 at 8:00 AM Eastern Time
Closing Date to Receive Applications: September 5, 2019 at 8:00 AM Eastern Time

Subject: Request for Applications (RFA) Number 7200AA19RFA00025

Program Title: Democracy Indicators Monitoring Survey 3 (DIMS3)

CFDA Number: 98.001 - USAID Foreign Assistance for Programs Overseas

To All Interested Applicants:

The United States Agency for International Development (USAID) is seeking applications for a Cooperative Agreement from qualified entities to implement the Democracy Indicators Monitoring Survey 3 (DIMS3) program. Eligibility for this award is not restricted.

USAID intends to make an award to the applicant who best meets the objectives of this funding opportunity based on the merit review criteria described in this RFA, subject to a risk assessment. The applicant must meet the eligibility standards in Section C of this RFA. Instructions for responding to this RFA are contained in Section D. Any questions regarding this RFA must be submitted in accordance with Section D. This funding opportunity is posted on www.grants.gov, and may be amended. It is the responsibility of the applicant to regularly check the Grants.gov to ensure they have the latest information pertaining to this notice of funding opportunity.

USAID will not award to an applicant unless the applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D. The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin registration early in the process.

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 any costs incurred in preparation or submission of questions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense. The Government reserves the right to not make an award.

Thank you for your interest in USAID programs.

Sincerely,

/s/

Brooke Hopper
Agreement Officer
M/OAA/SIDP

SECTION A: PROGRAM DESCRIPTION

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID’s supplement, 2 CFR 700, as well as the additional requirements found in Section F.

A.1 PURPOSE

The title of this activity is Democracy Indicators Monitoring Survey 3 (DIMS3). Through DIMS3, the US Agency for International Development, Bureau of Latin America and the Caribbean, Office of Regional Sustainable Development, Democracy, Human Rights, and Governance team (USAID/LAC/RSD/DRG) aims to support citizen-responsive governance and democratic development with rigorous public opinion research on democratic norms, attitudes, and experiences in the Latin America and Caribbean (LAC) region. This will be achieved through four primary work streams: 1) collaborative, periodic, innovative public opinion surveys and research on democratic values, behaviors, and perceptions in LAC; 2) dissemination of data, analysis, and research about democratic norms and attitudes in LAC; 3) support and development of innovative topics and methodologies in public opinion research and analysis; and 4) building the local capacity of researchers and institutions on survey design, data collection, data analysis and reporting, and evidence based policy making. The foundation of these efforts is longitudinal, country, and comparative cross-national trend analysis on topics relevant to the democracy sector in LAC, such as democratic norms and values, perceptions of institutions, and experiences with corruption, crime victimization, and migration.

A.2 BACKGROUND

USAID/LAC/RSD/DRG advances stability and social inclusion in LAC by supporting stronger governance, democratic practices and values, and safer communities for citizens. USAID’s vision is a more peaceful, secure, and prosperous Western Hemisphere, able to combat crime and corruption, improve governance, address climate change, and create a thriving economic environment.

Given the severity of the challenges in LAC and their negative effects on citizens’ lives, rigorous public opinion survey research and analysis on democratic norms and values serves as an evidence based feedback loop for policy makers, donors, civil society, the media, and governments seeking to effect democratic change and promote democratic development. Institutional strengthening and legislative reforms are important, but are not enough to sustain democracy over time. Democratic norms and values are critical for the long term health and growth of democracy and democratic institutions.

The most effective and precise way to measure prevailing democratic norms in a given country is to conduct public opinion surveys that tap into citizens’ attitudes, perceptions, and behaviors vis-à-vis democracy. Knowing how people perceive government, institutions, and democratic principles is essential for designing and sustaining successful development and democracy assistance programs, as well as for successful, citizen-responsive governance and policies.

Monitoring citizens' attitudes and experiences in the region, and comparing changes in those attitudes and experiences both over time and across the region, is an indispensable tool for USAID, the broader USG, host country governments, citizens, civil society organizations, media, and other donors in the countries in which USAID works.

Despite the need for rigorous data on norms, attitudes, and experiences, there is limited domestic capacity to produce high quality survey research on topics related to public policy in many LAC countries. Where data exists, few actors in the region are able to interpret and disseminate data to broader audiences. While every country in LAC has local firms and institutions that conduct surveys, the use and quality of these surveys varies considerably. Most national firms carry out marketing research, rather than test theories of democratic transitions. Their methods often lack transparency and rigor, rely upon non-random sampling techniques, and do not present user friendly analyses that are aimed at issues relevant to public policy. Most importantly, the firms rarely analyze cross-national trends, incorporate a truly representative sample of the population (including marginalized populations and speakers of indigenous languages), or promote local capacity building for the collection, analysis, or utilization of public opinion research.

Likewise, academia and host country governments rarely support the kind of longitudinal, representative, policy-relevant survey work that is required to monitor and potentially improve democratic governance. There is great need for quality survey research data on matters of public policy and democratic governance in the region. Governing has become more complex as elected leaders are charged with responding to demands from an increasingly engaged and educated citizenry. Evidence based advocacy tools are critical for civil society and the media to engage effectively with local and national governments and other stakeholders (private sector, regional organizations, international financial institutions, etc.). Finally, dwindling development assistance resources require both improved targeting and a more precise understanding of the evolving state of democratic governance and citizen security in the region.

A.2.a DIMS Relationship to Other USAID Activities

For more than a decade, USAID/LAC has supported public opinion survey research into democratic attitudes and behaviors in the LAC region. In 2006 the LAC Bureau launched the Democracy Indicators Monitoring Survey (DIMS) cooperative agreement, awarded to Vanderbilt University, to support ongoing public opinion survey research and public opinion capacity development in the region. DIMS was designed to: (1) support the tracking of changes in democracy and governance over time and in each country; (2) facilitate comparisons across countries and sub-regions; (3) support the development of common indicators of democratic progress that can be used by donors, governments, civil society actors, and participating country actors; (4) better understand the outcomes or effects of USAID's democracy and governance strategies and programs; and (5) support the development of an evidence based learning ecosystem in the region with greater capacity to conduct public opinion research on democratic norms and utilize evidence and public opinion in public policy making and advocacy.

Presently, the public opinion research supported by DIMS2 (implemented by Vanderbilt University) includes survey modules that cover a broad range of democracy, governance, and citizen security topics. Many of these topics will continue to be important for DIMS3. These

topics include: support for democracy and governance, perceptions of insecurity, crime victimization, corruption, trust in individual government institutions, civic participation and protest, voting behavior, and topical areas such as youth and racism. Continuity in survey tools, methods, and content will be critical for DIMS3. The current and future DIMS work also supports dissemination events in the countries where the surveys are performed, reports analyzing country data, multi-variate analysis of survey results, historical trends, comparative research across countries in the region, and capacity building on public opinion research methodology and analysis for local partners and consumers of survey research.

USAID Missions in the region have used - and will need to continue to use - DIMS data in various ways, depending on the local context and each Mission's needs at a given point in time. For example, USAID Missions have collaborated with the DIMS implementer to focus survey efforts where they have the greatest policy and programmatic relevance, while still supporting core survey modules that have the crucial historic datasets for longitudinal trends and comparisons. When there has been close alignment between DIMS survey work and USAID programming areas, Missions (among other donor and civil society actors) have used survey data as important context and programmatic indicators. DIMS3 work will build on these relationships.

USAID prioritizes support for ongoing, institutional research efforts that can build on historical datasets and enable longitudinal and comparative analysis, both nationally for the countries where USAID provides assistance, and regionally. The value of the data collected through DIMS is in the ability to compare to historical and cross-national trends, not just a snapshot in time.

For the sake of continuity in data collection, the current, publicly available survey questionnaires, reports, and methodologies should be consulted. This information includes:

- Survey questionnaires used by the current DIMS implementer:
<http://www.vanderbilt.edu/lapop/core-surveys.php>
- Country and regional reports by the current DIMS implementer:
<http://www.vanderbilt.edu/lapop/studies-country.php>
- Methodology used by the current DIMS implementer:
<https://www.vanderbilt.edu/lapop/methods-practices.php>

A.2.b Policies and Parameters

A.2.b.i USAID Policy Documents Relevant for DIMS3 and Public Opinion Research

The DIMS3 recipient should be cognizant of relevant USAID policies, best practices, and guidelines related to performance monitoring, reporting, and evaluation. A sample of applicable USAID policies and publications that are useful references include:

- USAID, *Evaluation Policy*: <https://www.usaid.gov/evaluation/policy>
- USAID, *Gender Equality and Female Empowerment Policy*:
<https://www.usaid.gov/policy/gender-female-empowerment>
- USAID, *Scientific Research Policy*: <https://www.usaid.gov/policy/scientific-research>

A.2.b.ii Data Use and Access

The recipient must refer to USAID's ADS Chapter 579: USAID Development Data (www.usaid.gov/ads/policy/500/579) and related mandatory references to understand USAID's policies related to the submission of data to USAID's Development Data Library (DDL) and special considerations for federally funded research data.

USAID will have full control and authority over how it uses the data and related products created under the DIMS3 award (survey instruments, reports, presentations, etc.). USAID may publish the data and related products, host the data and products online, or otherwise make them freely available to the general public. The recipient must make available to USAID electronic copies of all data and related products created as part of this award in standard software formats (STATA and/or SPSS for statistical data, Microsoft Word for documents, PowerPoint for presentations).

A core objective of DIMS3 is increasing the utilization of public opinion data on norms, attitudes and experiences in LAC to better inform policy, programming, and public discourse. The recipient will be responsible for making the data and related products available to the public. The recipient must make products, data sets, samples, and methodologies easily accessible to the public as soon as they become available. Access should be free of cost, user friendly, and oriented towards promoting utilization for both basic and advanced users of statistical data.

USAID will support the public's access to all data and related products created under this award. Nevertheless, occasionally the recipient and USAID may work together to identify what, if any, products should be temporarily embargoed, if deemed necessary. According to ADS 579.3.3.3, Embargoes on Data Publication:

“USAID may embargo, or temporarily withhold from public release for a reasonable period (e.g., 12 months), a Dataset resulting from federally funded research while the Dataset is the subject of a pending publication or pending patent application. Implementing partners must still submit the Dataset to USAID, and with agreement of the Contract or Agreement Officer, it can be held as non-public until the conclusion of the embargo period.”

A.2.b.iii Branding and Marking

According to ADS 320.3.3, Branding and Marking Requirements for Assistance Awards:

“USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.” In accordance with 22 CFR 226.91, this policy applies to these assistance awards even when the award does not require any cost sharing (see ADS 303.3.10).”

In general, USAID/LAC/RSD/DRG anticipates that the recipient will co-brand and co-mark all materials and activities funded under the DIMS3 cooperative agreement, in accordance with ADS

320.3.3. Nevertheless, based on its experience supporting other public opinion surveys of democratic governance, USAID anticipates that the recipient or USAID Missions may occasionally request exceptions. According to ADS 320.3.1.3:

“In the event of unanticipated safety, security, or political concerns, or adverse reaction in the cooperating country to USAID marking requirements, the cognizant Principal Officer may waive marking requirements. See 320.3.2.6 for waivers to contract marking requirements, and 320.3.3.2 and 2 CFR 700 for waivers of assistance marking requirements”

If the Agreement Officer’s Representative (AOR) believes that a waiver for branding and marking may be justified, s/he will seek guidance from the Agreement Officer.

A.2.b.iv Protection of Field Staff, Research Subjects, and Data

The safety of the recipient’s field staff and of human research subjects (such as survey respondents) is a priority for USAID.

Data collection from households, especially of democratic governance and citizen security data, can be sensitive in some communities. The act of collecting or presenting sensitive data could cause the recipient or their staff to become targets in some way. In addition, the project’s activities may occur in communities with serious crime and violence, limited state presence, natural disasters, and other risks.

The recipient must communicate regularly with the Washington-based DIMS3 AOR, and with DIMS3 activity managers in each Mission, to discuss or respond to security threats. Depending on local conditions, USAID may encourage the recipient to communicate with host country law enforcement officials to discuss local security concerns and preventive measures. USAID may recommend halting, delaying, or redirecting activities in locations that are deemed to be unsafe, or in response to emerging events or sensitivities.

The recipient must also take appropriate steps to protect the rights, welfare, and anonymity of human research subjects. This includes ensuring that research subjects are participating voluntarily and have given informed consent, and that the data collected is stripped of personally identifiable information to an appropriate level. The recipient will work with USAID to ensure that the Agency’s Scientific Research Policy is followed with regards to human subject protections (<https://www.usaid.gov/policy/scientific-research>).

A.3 OBJECTIVES AND RESULTS

A.3.a Objectives

The primary objectives of DIMS3 are:

Objective 1: Statistically rigorous, cutting edge public opinion data that: (1) accurately captures, tracks, and analyzes citizens’ views related to democratic attitudes and behaviors, citizen security,

and migration in LAC countries (at regional, national, and sub-national level) on a periodic basis (every two years, minimum); (2) monitors long-term trends important to the democracy sector in LAC; and (3) is relevant for informing policy, engagement, and activism around democracy-related issues in LAC for the donor community, participating country governments, civil society actors, and researchers in the United States and in LAC countries.

Objective 2: Improve access to, and utilization of, periodically collected data and analysis by host country stakeholders (civil society organizations, citizens, government, media, donors), USAID, the broader USG, donors, and academia engaged in evidence-based programming, policy-making, and legislation.

Objective 3: Support and develop innovative topics and methodologies in public opinion research and analysis that have the potential to enrich the donor community, participant country governments', and regional civil society actors' understanding of - and ability to respond to - trends and changes in the LAC region.

Objective 4: Advance participant country self-sufficiency by building the local capacity of researchers and institutions on survey design, data collection, data analysis and reporting, and evidence based policy making.

A.3.b Expected Indicators and Results

USAID and the recipient will work together to define the indicators that will measure the success of DIMS3, including indicators that align with the objectives above. USAID is especially interested in working with the recipient to identify appropriate and rigorous outcome and impact indicators for the award. USAID and the recipient will jointly agree on final indicators, annual targets, and indicator definitions that will be included in the Monitoring, Evaluation, and Learning Plan (MEL Plan).

All activities implemented under this award will be subject to evaluation by an independent USAID-funded evaluator. The recipient will be expected to work closely with the evaluator(s), including providing any project specific information requested by the evaluator(s).

USAID expects that DIMS3 will have four broad results:

Expected Result 1: Statistically rigorous, inclusive public opinion data is periodically gathered and analysis is produced that accurately reflects citizens' views related to democratic governance and citizen security in their countries, including regional, national, and sub-national comparative and longitudinal trends.

Expected Result 2: Access to - and utilization of - collected data and resulting analysis by USAID, the broader USG, the donor community, host country stakeholders, local and international civil society organizations, academia, and think tanks is improved.

Expected Result 3: Innovative topics and methodologies in public opinion research and analysis that have the potential to enrich the donor community, participant country government, think

tank, and regional civil society actors' understanding of trends and changes in the LAC region are developed and supported.

Expected Result 4: Self-reliance of host country stakeholders is improved by greater capacity to gather, access, understand, and utilize public opinion data and analysis for policy making, advocacy, discussion, and education.

A.4 ACTIVITY PARAMETERS

A.4.a Geographic Focus

Most of the countries in which USAID envisions supporting survey research through DIMS3 have USAID Missions or programs managed from Washington. While the countries where USAID supports public opinion research may vary over time, USAID currently anticipates supporting survey research, analysis, dissemination, and capacity building efforts in the following countries: Colombia, Dominican Republic, Ecuador, Haiti, Jamaica, Mexico, Nicaragua, Paraguay, Peru, and Venezuela. This list is not exclusive and USAID may choose to add or remove countries from this list over the life of the project, as determined appropriate by USAID. While USAID may not directly support fieldwork, survey research, or dissemination in other countries of the region, USAID may support comparative analysis that includes public opinion research done in other countries from other funding sources, at the discretion of USAID.

USAID and the recipient will agree on the countries in which USAID will support survey research as part of the annual work plan approval process.

A.4.b Gender and Social Inclusion

Gender and social inclusion considerations must be an integral part of DIMS3, both as a constraint and as an opportunity for understanding citizens' experiences with and perceptions of democratic governance in the region. A strategic inclusive approach is crucial for truly representative public opinion research and analysis, and in turn, the impact of such work on programming and policy making. A gender lens is very important through every step of planning and implementation. This may include, for example:

- Ensuring that the local capacity developed in the project, through work with local partners, is not unknowingly favoring one gender or another and is taking proactive steps to ensure that both genders are actively involved in project implementation and capacity building efforts.
- Ensuring that any gender based barriers to survey implementation are adequately addressed.
- Ensuring that survey results are adequately analyzed for gender based findings. This goes beyond the segregation of data by gender, but includes the development of gender oriented analytical studies and policy implications.
- Ensuring that monitoring, evaluation, and learning plans take gender issues into account and plan for gender informed MEL activities.

- Ensuring that measures are taken to incorporate participation from socially disadvantaged groups, indigenous populations, rural populations, and other types and cross-sections of citizens to ensure truly representative results and analysis.

A.4.c Collaboration, Learning, and Adapting

The recipient is expected to contribute to the LAC Bureau's commitment to a multifaceted collaborating, learning, and adapting (CLA) approach to development. The CLA approach is based on the understanding that development efforts yield more effective results if they are coordinated and collaborative. A CLA approach builds in continuous feedback and internal and external learning so that the program can build on what works and eliminate what doesn't.

USAID also anticipates that a strong focus on adaptive management techniques as expressed through staffing skills, structure and culture, business processes, and stakeholder engagement will be particularly important in the implementation of this activity in order to track and adjust to the opportunities to operationally integrate with other activities working on related efforts. Thus, USAID anticipates a CLA approach that tailors CLA to the needs and opportunities of DIMS3, while leaving open options for future evolution in its interpretation and application.

- **Collaborating:** Engage in active, gender informed, collaboration with other key in-country partners to share knowledge around assessments, emerging research, lessons learned, and evaluations. Jointly develop action plans for integrating learning resulting from these activities into improved program implementation.
- **Learning:** Hold periodic learning summits to identify promising practices, disseminate research conducted, work collaboratively to overcome implementation obstacles, and address changing conditions. Results should be used to inform the upcoming year's work plans and activity design across multiple stakeholders, and captured and shared broadly. Specifically define how innovative, gender-informed, and dynamic learning agendas will be developed and implemented with USAID and other stakeholders.
- **Adapting:** Engage in periodic reflection activities using approaches such as after action reviews to identify, capture, and act upon lessons learned. The recipient will demonstrate adaptability that is informed by knowledge gained through learning, and recognize behaviors and incentives necessary to create change. Knowledge gained through learning will influence decision making, resource allocation, and adaptation to contextual shifts. Application of new knowledge to implementation decisions will be reflected in the work plans and the MEL Plan.

Decisions to adapt may be based on, but not limited to, the following:

- Extraneous changes in the operating environment (e.g. emergency or natural disaster, policy changes, insecurity, political transitions)
- Financial and human resource constraints
- Emerging evidence that interventions are not working or could work better if adapted

A.4.d Assumptions

Carrying out public opinion survey research across a wide variety of countries and using state-of-the-art technology and methodology while ensuring an inclusive and representative approach across all populations and geographic territories, is an incredibly complex process that relies on a vast network of local actors and dynamics. The ability to access certain geographic areas – sometimes entire countries – can be impacted or delayed due to security concerns, political developments, conflict, and other factors. This, in turn, impacts the resulting analysis, reporting, dissemination, and capacity building for stakeholders that rely on field data.

While some delays due to insecurity or political instability are almost certain over the lifespan of this activity, this activity design is based on the assumption that periodic fieldwork is not fully prohibited in any particular country due to mitigating factors. Similarly, while USAID focus areas are outlined in the geographic focus discussion, these are based on assumptions around the countries where USAID currently has programs and interests in directly supporting country-level public opinion research. If significant political change were to create a new window of opportunity or increased programmatic focus, USAID may wish to shift or widen the geographic focus of research supported by USAID.

A.4.e Management

The recipient must travel to Washington, DC at least twice a year and be available for regular phone calls and/or video conference calls with USAID staff. Local partners must be able to communicate regularly and effectively with USAID Mission points of contact on in-country activities, in coordination with the recipient and the AOR.

A.5 INTERVENTIONS

The following are illustrative interventions that may be required to achieve the objectives of DIMS3. CLA approaches should be incorporated across all interventions.

Objective 1: Statistically rigorous, cutting edge public opinion data that: (1) accurately captures, tracks, and analyzes citizens' views related to democratic attitudes and behaviors, citizen security, and migration in LAC countries (at regional, national, and sub-national level) on a periodic basis (every two years, minimum); (2) monitors long-term trends important to the democracy sector in LAC; and (3) is relevant for informing policy, engagement, and activism around democracy-related issues in LAC for the donor community, participating country governments, civil society actors, and researchers in the United States and in LAC countries.

Illustrative Interventions:

- Conduct periodic nationally and sub-nationally representative public opinion surveys on democratic governance, employing a common set of survey modules to enable cross-country and longitudinal comparison with historical DIMS data. Surveys in geographic focus countries must be able to track changes in democratic values, norms, and experiences over time in each country using a standardized approach and a common core to enable comparison of trends regionally and at the sub-national level.

- Develop data sets that permit country-to-country comparisons assessing changes in attitudes on democratic values, citizen security, migration, and other policy relevant topics over time.
- Longitudinal and comparative analysis of public opinion survey findings - including cluster and regression analysis - on trends relevant to themes on democratization, citizen security, migration, and other topics developed collaboratively with public policy makers, donors, and others.
- Conduct surveys in various indigenous languages in various LAC countries, where relevant. Publish results in indigenous languages to further enfranchise local populations in the democratic process.
- Consult with stakeholders in country and in donor community when developing survey instruments and sampling frameworks to create opportunities for tailored or additional sample designs that may be relevant for stakeholders (while ensuring consistency among core surveys to enable longitudinal analysis).
- Develop multi-dimensional quality control checks, including quality control of data collection processes, and pursue innovation in data quality.

Objective 2: Improve access to, and utilization of, periodically collected data and analysis by host country stakeholders (civil society organizations, citizens, government, media, donors), USAID, the broader USG, donors, and academia engaged in evidence-based programming, policy-making, and legislation.

Illustrative Interventions:

- Provide user-friendly access to high quality public opinion data to policy makers and citizens in the region, including the donor community, USAID missions, host country governments, academia, and other stakeholders.
- Develop policy- and program-relevant analytical products for a variety of audiences, at different levels (country, regional, sub-regional levels).
- Disseminate relevant trends identified and analytical findings to media, think tanks, public policy actors, civil society, and donor community through the most effective channels for maximum utilization and impact.
- Develop a user-friendly platform for surveys, their methodology, and databases to be publicly accessible, within USAID guidelines for research on human subjects.

Objective 3: Support and develop innovative topics and methodologies in public opinion research and analysis that have the potential to enrich the donor community, participant country governments', and regional civil society actors' understanding of - and ability to respond to - trends and changes in the LAC region.

Illustrative Interventions:

- Build a systemic understanding and analysis of citizens' commitment to and support for democracy across all sectors of society, including policy makers, political parties, academia, voters, and labor unions.
- Engage with academic and other political science experts to ensure surveys and analyses are based on political science theories focused on the role of public opinion and political culture in shaping democracies

- Use multivariate analyses to find empirical linkages between elements of the surveys that may expand the understanding of the relationships between different democratic norms/behaviors/experiences and their impacts on other trends.
- Collaborate and consult with a wide variety of stakeholders (policy makers, donors, civil society actors, participant country governments, and others) to ensure survey, analysis, and dissemination efforts are relevant and useful.

Objective 4: Advance participant country self-sufficiency by building the local capacity of researchers and institutions on survey design, data collection, data analysis and reporting, and evidence based policy making.

Illustrative Interventions:

- Contract with local organizations to collaborate in carrying out DIMS surveys and dissemination efforts.
- Produce survey reports and analyses in non-technical language, with easy to interpret graphs and charts.
- Translate survey results and relevant reports into Spanish at a minimum, and indigenous languages where relevant.
- Present data and analysis in public fora in the countries from which the data are derived, with a lens to build capacity for utilization.
- Improve the capacity of host country stakeholders to gather, access, understand, and utilize public opinion data and analysis for policy making, advocacy, discussion, and education.
- Develop and implement training and hands-on approaches to improve local survey research institutions' ability to conduct and analyze public opinion survey data in a given sub-region.
- Work collaboratively with local partners on data quality innovations, and build their capabilities to implement public opinion research with cutting edge approaches and rigorous quality control.

[END OF SECTION A]

SECTION B: FEDERAL AWARD INFORMATION

B.1 ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

USAID intends to award **one (1)** Cooperative Agreement pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide **\$10,000,000.00** in total USAID funding over a **five (5) year** period.

B.2 START DATE AND PERIOD OF PERFORMANCE FOR FEDERAL AWARDS

The period of performance anticipated is **five (5) years**, beginning approximately October 1, 2019.

B.3 SUBSTANTIAL INVOLVEMENT

B.3.a Areas of Substantial Involvement

It is understood and agreed that USAID will be substantially involved during performance of this Agreement as set forth below.

- (i) Approval of Annual Work Plans. Annual work plans which require approval under this award are described in section **TBD**.
- (ii) Approval of Specified Key Personnel. Key Personnel which require approval under this award are described in section **TBD**.
- (iii) Approval of Agency and Recipient Collaboration or Joint Participation. This includes:
 - Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.
 - Concurrence on the substantive provisions of sub-awards as described in 2 CFR 200.308 and in sections **TBD** and **TBD** of this award.
 - Approval of the recipient's monitoring and evaluation plans as described in section **TBD**.
- (iv) Agency Authority to Immediately Halt a Construction Activity. The AO may immediately halt a construction activity if identified specifications are not met. However, construction activities are not anticipated or allowable under this Cooperative Agreement.

B.3.b Key Personnel

The positions listed below are considered essential to the work being performed. Prior to replacing the individual(s) currently in these positions, the Recipient must notify both the Agreement Officer (AO) and the Agreement Officer's Representative (AOR) reasonably in advance and must submit written justification (including proposed substitutions) in sufficient detail to permit evaluation of the impact on the program. Requests for approval of Key Personnel must include (a) written justification, (b) CV in English, and (c) justification for salary proposed. As appropriate, any related changes to the agreement budget or sub-award arrangements must be

included in the request for approval of Key Personnel. No replacement may be made by the Recipient without the written approval of the AO. Position descriptions and qualifications for each of the Key Personnel below are contained in Attachment **TBD**, Program Description.

The AOR must provide concurrence to the AO for any proposed changes in key personnel, and the AO must approve any replacement of key personnel as listed below:

<u>Title</u>	<u>Name</u>
TBD	TBD

B.3.c Sub-Awards

The sub-awardees listed below are approved for work to be performed under the Program Description as described in Section **TBD**. The Recipient must request approval for any sub-awards not listed below. The AOR must provide concurrence to the AO for any new sub-awards, and the AO must approve any new sub-awards in writing.

<u>Approved Sub-Awardees</u>
TBD

B.4 AUTHORIZED GEOGRAPHIC CODE

The geographic code for the procurement of commodities and services under this program is **935**.

B.5 NATURE OF THE RELATIONSHIP BETWEEN USAID AND THE RECIPIENT

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the DIMS3 program, which is authorized by Federal statute. The successful Recipient will be responsible for ensuring the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The Recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

B.6 SELECTION OF INSTRUMENT

The DIMS 3 activity will support and stimulate rigorous and innovative public opinion research on democratic values, attitudes, and experiences. Through this activity, USAID seeks to support institutions working on public opinion research and the development of approaches, methods, and tools relevant for evidence-based policy and citizen-responsive governance in Latin America and the Caribbean. USAID seeks to support and stimulate increased collaboration between institutions carrying out public opinion research with policy makers, civil society, media, researchers, and the international donor community. An assistance agreement is therefore best suited for this activity.

[END OF SECTION B]

SECTION C: ELIGIBILITY INFORMATION

C.1 ELIGIBLE APPLICANTS

Eligibility for this RFA is not restricted. USAID welcomes applications from organizations that have not previously received financial assistance from USAID.

C.2 COST SHARING OR MATCHING

Cost sharing is not required under this award.

[END OF SECTION C]

SECTION D: APPLICATION AND SUBMISSION INFORMATION

D.1 AGENCY POINT OF CONTACT

Brooke Hopper
Agreement Officer
M/OAA/SIDP
Email: bhopper@usaid.gov

D.2 QUESTIONS AND ANSWERS

All questions regarding this RFA must be submitted via email only no later than the date and time indicated on the cover page of this RFA. Questions will not be accepted after this time, and telephone inquiries will not be entertained. Email correspondence for questions must be directed to the Agency point of contact noted in D.1, above. Answers to questions will be posted as an amendment to this RFA on Grants.gov.

D.3 GENERAL INSTRUCTIONS TO APPLICANTS

1. The applicant is expected to review, understand, and comply with all aspects of this RFA.
2. It is the applicant's responsibility to ensure that all necessary documentation is complete and received on time.
3. The applicant must furnish all of the information required by this RFA.
4. The application must be signed by an authorized agent on behalf of the applicant.

D.4 APPLICATION DELIVERY INSTRUCTIONS

1. Applications submitted in response to this RFA will be received by electronic submission only. Facsimile or hardcopy submissions will not be accepted.
2. Applications in response to this RFA are due no later than the closing date and time indicated on the cover page of this RFA.
3. Technical and Cost Applications must be emailed to the Agency point of contact indicated in Section D.1 of this RFA.
4. Applicants must submit one (1) copy of the Technical Application and one (1) copy of the Cost Application.
5. Technical and Cost Applications must be submitted separately from each other. Technical Applications must not make reference to cost information so that the technical evaluation may be made strictly on the basis of technical merit.

6. The subject line of the Technical Application must read “RFA 7200AA19RFA00025: DIMS3 - Technical Application”.
7. The subject line of the Cost Application must read “RFA 7200AA19RFA00025: DIMS3 - Cost Application”.

D.5 INSTRUCTIONS FOR PREPARATION OF THE TECHNICAL APPLICATION

1. The Technical Application is limited to fifteen (15) pages. Information submitted over fifteen (15) pages will not be evaluated.
2. Applicants must use 8.5 by 11 inch paper, single spaced, Times New Roman 11 point font, and have margins no less than one inch on the top, bottom, and both sides. Number each page consecutively, including the pages in annexes or attachments. Charts or exhibits may use a font size smaller than 11 point as long as they are legible without magnification.
3. The Technical Application must respond to all evaluation factors described below. All critical information from appendices/annexes must be summarized in the Technical Application. All relevant annexes, charts, tables, figures, etc. must be referenced in the application content. A page in the Technical Application that contains a table, chart, graph, etc. not otherwise excluded below is included within the stated page limitation for the Technical Application.
4. The Technical Application must be organized in the following manner:
 - a. Cover Page
 - b. Executive Summary
 - c. Factor 1: Technical Approach
 - d. Factor 2: Key Personnel and Management Structure
 - e. Factor 3: Organizational Capability
 - f. Annexes:
 - (1) Annex A - Management Structure Chart
 - (2) Annex B - Key Personnel CVs
5. The following items ARE NOT included in the fifteen (15) page limitation:
 - a. Cover Page (limited to 1 page)
 - b. Executive Summary (limited to 1 page)
 - c. Annexes:
 - (1) Annex A - Management Structure Chart (limited to 1 page)
 - (2) Annex B - Key Personnel CVs (limited to 3 pages per CV)
6. The Cover Page is limited to one (1) page. The Cover Page must indicate the following information:
 - i. Title: Democracy Indicators Monitoring Survey 3 (DIMS3)
 - ii. RFA Number: 7200AA19RFA00025
 - iii. Name of the applicant
 - iv. Applicant DUNS number

- v. Applicant contact person, address, telephone number, and email address. Applicants are to acknowledge whether the contact person is the person with authority to enter into agreement for the applicant, and if not, that person should also be listed along with their contact information.
 - vi. Proposed sub-awardees listed separately, including sub-awardee DUNS numbers.
7. The Executive Summary is limited to one (1) page. The Executive Summary must summarize the key elements of the applicant's approach, qualifications, and experience. The summary must highlight key points of the application. No information should be presented in the summary that is not in the body of the application.
8. Factor 1: Technical Approach. The applicant must provide a technical narrative that will outline its approach to carrying out the objectives of the Program Description contained in Section A of the RFA. For each objective, detail the proposed approach and interventions. Include plans for collaborating, learning, and adapting during program implementation. Applicants must include plans for maintaining continuity of core data sets established in DIMS2 and earlier AmericasBarometer surveys to enable longitudinal awareness. The objectives of the award require strong local partners with specialized technical skills related to policy-relevant public opinion research on democratic values, citizen security, and migration. Thus, identification and mobilization of strong organizations with appropriate skills will be critical to successful performance. The applicant must describe their approach to identifying and building the capacity of local partners to contribute towards the program objectives. Transparency, data quality, and public dissemination of not only the data, but of sample frames, questionnaires, methodologies, etc are a core tenant of this activity and must be explicitly reflected in the technical approach. The applicant must include a discussion of how gender will be integrated into the approach, in keeping with the parameters of the Program Description.
9. Factor 2: Key Personnel and Management Structure. This section must contain the following:
- a) The applicant must provide the names, titles, and position descriptions of up to three (3) Key Personnel under the award. The individuals proposed as Key Personnel must have the relevant technical and managerial skills required for the proposed positions in order to ensure the program achieves the desired results described in Section A of the RFA.
 - b) A biographical sketch for each proposed Key Personnel candidate that summarizes their qualifications for the position.
 - c) A description of the management structure required for effectively and efficiently responding to the objectives described in Section A of the RFA.
 - d) In Annex A, the applicant must submit a Management Structure Chart that details the proposed management structure of the award, including: lines of communication and responsibility of Key Personnel and any other staff, coordination with sub-awardees,

partner organizations, and/or local researchers, and relative levels of responsibility for implementation.

- e) In Annex B, the applicant must submit CVs for each of the Key Personnel proposed. The CVs must not exceed three (3) pages each. The CVs must be submitted using a standard format determined by the applicant.

10. Factor 3: Organizational Capability. This section must describe the internal capabilities and resources of the applicant to carry out the objectives described in Section A of this RFA. Specifically, the applicant must:

- a) Describe the core technical capacities, resources, and home office support that the applicant has to offer, including the applicant's financial control systems.
- b) Describe the applicant's ability to plan, monitor, and evaluate project implementation and to effectively report results and impact.
- c) Provide a brief description of the applicant's work experience and areas of expertise in implementing public opinion research and products in the scale, scope, quality, and rigor that is outlined in Section A of this RFA.
- d) Describe the proposed field management structure and related financial controls.
- e) Describe the organizational capabilities and expertise of any proposed sub-awardees, if applicable.

D.6 INSTRUCTIONS FOR PREPARATION OF THE COST APPLICATION

1. There is no page limit for the Cost Application.
2. Applicants must use 8.5 by 11 inch paper, single spaced, Times New Roman 11 point font, and have margins no less than one inch on the top, bottom, and both sides. Number each page consecutively.
3. The Cost Application must be submitted in MS Word or PDF and MS Excel format. Cost Narratives must be either in MS Word or PDF format. All spreadsheets must be submitted in MS Excel format with unlocked formulas, and all cells must be visible for Government review.
4. The Cost Application must be organized in the following manner:
 - A. In one (1) MS Word or PDF document:
 - (1) Cover Page
 - (2) Budget Narrative
 - (3) Annexes:

- a. Annex A: Requests for Prior Approval, as applicable
 - b. Annex B: Requests for Approval of Subawards, as applicable
 - c. Annex C: History of Performance
 - d. Annex D: SF-424 Forms
 - e. Annex E: Required Certifications and Assurances
 - B. In one (1) MS Excel document:
 - (1) Summary Budget
 - (2) Detailed Budget
 - (3) Details Budgets for Sub-Recipients, as applicable
5. The Cover Page is limited to one (1) page. The Cover Page must indicate the following information:
- i. Title: Democracy Indicators Monitoring Survey 3 (DIMS3)
 - ii. RFA Number: 7200AA19RFA00025
 - iii. Name of the applicant
 - iv. Applicant DUNS number
 - v. Applicant contact person, address, telephone number, and email address.
Applicants are to acknowledge whether the contact person is the person with authority to enter into agreement for the applicant, and if not, that person should also be listed along with their contact information.
 - vi. Proposed sub-awardees listed separately, including sub-awardee DUNS numbers.
6. The Cost Application must provide sufficient information to support the proposed costs and to enable the Government to perform a cost review. The Cost Application must contain the information and completed forms as detailed in this section. Prior to award, applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the applicant's risk in accordance with 2 CFR 200.205.
- a) Budget and Budget Narrative: The Budget must be submitted as one unprotected Excel document with visible formulas and references and must be broken out by project year, including itemization of the federal and non-federal (if any) amount. Files must not contain any hidden or otherwise inaccessible cells. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable. The Budget must include the following, at a minimum:
- The Summary Budget must be on a separate tab and show all program costs (federal and non-federal, if any), broken out by major budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program.

- The Detailed Budget must be on a separate tab and include a breakdown of all program costs by year. It must be sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for Sub-Recipients, as applicable, must be on separate tabs (1 tab for each sub-recipient) and show a breakdown of all program costs by year. They must include all federal funding and non-federal funding (if any), broken out by budget category and by year for the entire implementation period of the project.
- The Detailed Budget and Budget Narrative must contain the following budget categories and information, at a minimum:
 - 1) Salaries and Allowances: Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The applicant's budget must include position title, salary rate, level of effort, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the applicant. Applicants must provide their established written policies on personnel compensation. If the applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research.
 - 2) Fringe Benefits (if applicable): If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant must use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the applicant must propose a rate and explain how the applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown of all items which comprise the proposed fringe benefits rate and the costs of each, expressed in U.S. dollars and as a percentage of salaries.
 - 3) Travel and Transportation: Provide details to explain the purpose of the trips, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per diem and associated travel costs must be based on the applicant's normal travel policies. When appropriate, please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.
 - 4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property: Must include information on estimated types of equipment, models, supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light

of such factors as: rental costs of comparable property, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

- 5) Subawards: Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the applicant's budget, including those related to fringe and indirect costs.
- 6) Construction: Construction will not be permitted under this award.
- 7) Other Direct Costs: This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The applicant should indicate the subject, venue, and duration of any proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- 8) Indirect Costs: Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:
 - Method 1 - Direct Charge Only
Eligibility: Any applicant
Initial Application Requirements: See above on direct costs
 - Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
Eligibility: Any applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional rate may be set forth in the award subject to audit and finalization. See USAID's Indirect Cost Rate Guide for Non Profit Organizations for further guidance.
 - Method 3 - De minimis rate of 10% of Modified Total Direct Costs (MTDC)
Eligibility: Any applicant that has never received a NICRA
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity

chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

- b) Annex A: Requests for Prior Approvals in accordance with 2 CFR 200.407. Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.
- c) Annex B: Requests for Approval of Subawards. The applicant must submit information for all subawards that it wishes to have approved at the time of award. For each proposed subaward the applicant must provide the following:
- Name of organization
 - DUNS Number
 - Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
 - Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
 - Confirmation that the subrecipient is not listed in the United Nations Security designation list
 - Confirmation that the subrecipient is not suspended or debarred
 - Confirmation that the applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)
 - Any negative findings as a result of the risk assessment and the applicant's plan for mitigation.
- d) Annex C: History of Performance. The applicant must provide information regarding its recent history (within the last five (5) years) of performance for all of its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs. Provide the following information for at least three (3) awards, as follows:
- Name of the Awarding Organization
 - Award Number
 - Activity Title
 - A brief description of the activity
 - Period of Performance
 - Award Amount
 - Reports and findings from any audits performed in the last five (5) years
 - Names of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed. Provide current contact information including the telephone number and email address for each reference.
 - If the applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant should not provide

general information on its performance. USAID reserves the right to obtain relevant information concerning an applicant's history of performance from any sources and may consider such information in its review of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

- e) Annex D: SF-424 Forms. The applicant must include in the cost application the SF-424 series forms listed below. Standard Forms and their related instructions can be accessed electronically at www.grants.gov. Failure to accurately complete these forms could result in the rejection of the application. The following forms are required:
- SF-424
 - SF-424A
 - SF-424B
- f) Annex E: Required Certifications and Assurances. The applicant must complete the following documents and submit a signed copy with their cost application:
- ADS 303mav: Certifications, Assurances, Representations, and Other Statements of the Recipient. This document can be found at:
<http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>
 - Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

D.7 DUN AND BRADSTREET AND SAM REQUIREMENTS

USAID will not award to an applicant unless the applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each applicant (unless the applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

1. Provide a valid DUNS number for the applicant and all proposed sub-recipients.
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov).
3. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, applicants are encouraged to begin the process early. If an applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

D.8 BRANDING STRATEGY & MARKING PLAN

1. The apparently successful applicant will be asked to provide a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer and incorporated into any resulting award.
2. ADS 303mba: Branding Strategy - Assistance (June 2012)
 - a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.
 - b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
 - c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
 - d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
 - e. The Branding Strategy must include, at a minimum, all of the following:
 - (1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.
 - (2) The intended name of the program, project, or activity.
 - (i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at <http://www.usaid.gov/branding>, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.
 - (ii) USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.
 - (iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

- (iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.
 - (v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
 - (3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.
 - (4) Planned communication or program materials used to explain or market the program to beneficiaries.
 - (i) Describe the main program message.
 - (ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.
 - (iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."
 - (iv) Provide any additional ideas to increase awareness that the American people support this project or program.
 - (5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.
 - (6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.
- f. The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
- g. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

(END OF PRE-AWARD TERM)

3. ADS 303mba: Marking Plan – Assistance (June 2012)

- a. Applicants recommended for an assistance award must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and brandmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://www.usaid.gov/branding>. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.
- b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.
- d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.
- e. The Marking Plan must include all of the following:
 - (1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
 - (i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
 - (ii) Technical assistance, studies, reports, papers, publications, audio- visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
 - (iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
 - (iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
 - (v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other

public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

- (2) A table on the program deliverables with the following details:
 - (i) The program deliverables that the applicant plans to mark with the USAID Identity;
 - (ii) The type of marking and what materials the applicant will use to mark the program deliverables;
 - (iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
 - (iv) What program deliverables the applicant does not plan to mark with the USAID Identity , and
 - (v) The rationale for not marking program deliverables.
- (3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
 - (i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
 - (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.
 - (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
 - (iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

- (v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
 - (vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
 - (vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.
- f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
 - g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

D.9 FUNDING RESTRICTIONS

- a. Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.
- b. Construction will not be authorized under this award.
- c. USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer (AO).
- d. Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code specified in Section B of this RFA and must meet the source and nationality requirements set forth in 22 CFR 228.

D.10 ADS 303MBA: CONFLICT OF INTEREST PRE-AWARD TERM (AUGUST 2018)

- a. Personal Conflict of Interest
 - 1. Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have

the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.

2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b. Organizational Conflict of Interest

The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PRE-AWARD TERM)

[END OF SECTION D]

SECTION E: APPLICATION REVIEW INFORMATION

E.1 REVIEW AND SELECTION PROCESS

1. USAID will conduct a merit review of applications to ensure that the applications contain and adequately respond to the requirements of the RFA, with particular attention given to whether the applicants sufficiently address the information requested in Section D.5 Instructions for Preparation of the Technical Application.
2. The information contained in the Cost Application is not scored or weighted, however the Cost Application will be evaluated for cost effectiveness. Other considerations are the completeness of the application, adequacy of budget detail, and consistency with elements of the technical application. Cost estimates will be analyzed as part of the application evaluation process. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.
3. USAID intends to evaluate applications in accordance with Section E of this RFA and make award to the responsible applicant whose application represents the best technical approach.
4. The submitted technical information will be evaluated by a technical selection committee using the merit review criteria shown below. The selection committee may include industry experts who are not employees of the Federal Government.
5. For overall review purposes, technical factors are considered significantly more important than cost considerations.
6. USAID reserves the right to not make an award.

E.2 TECHNICAL APPLICATION EVALUATION CRITERIA

Technical applications will be evaluated in accordance with the following criteria. The criteria below are presented by evaluation factor, with points associated with that factor clearly indicated, so that applicants will know which areas require emphasis in the preparation of applications.

1. Evaluation Factor 1: Technical Approach. (40 Points)

USAID will evaluate the overall soundness and feasibility of the application, including whether the applicant demonstrates sufficient understanding of the objectives and interventions that are described in Section A: Program Description, and the extent to which the applicant provides a clear, logical, technically sound, gender-informed, and feasible approach to meeting the objectives and parameters described in the Program Description.

2. Evaluation Factor 2: Key Personnel and Management Structure. (30 Points)

USAID will evaluate the ability of the applicant's proposed Key Personnel and management structure to effectively and efficiently respond to the tasks described in Section A: Program Description, including the extent to which the individuals proposed as Key Personnel demonstrate the relevant skills, knowledge, and experience appropriate to the position and to successful

implementation of the award; and the efficacy and efficiency of the proposed management structure.

3. Evaluation Factor 3: Organizational Capability. (30 Points)

USAID will evaluate the capability of the applicant to reach program objectives, including the demonstrated ability to coordinate and manage complex field-based public opinion research in the scale, scope, quality, and rigor that is outlined in Section A: Program Description; demonstrated ability to build partnerships that increase the scope, scale, and impact of the public opinion research that will be carried out under this award; and the demonstrated ability to build local capacity for both carrying out rigorous public opinion research within the parameters of the Program Description and for informing policy makers at the local level with relevant analysis and research. The applicant must also demonstrate that the organization has existing operational systems able to efficiently and soundly provide financial oversight and reporting in a complex, field-based environment.

E.3 COST APPLICATION REVIEW

USAID will evaluate the cost application of the applicant under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

USAID will also consider:

1. The extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested
2. Whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency
3. Whether any special conditions relating to costs should be included in the award.

Proposed cost share, if provided, will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (2 CFR 200.207).

[END OF SECTION E]

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

F.1 FEDERAL AWARD NOTICES

Award of the Cooperative Agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated, and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of a fully executed Agreement from the Agreement Officer.

F.2 ADMINISTRATIVE & NATIONAL POLICY REQUIREMENTS

The resulting award from this RFA will be administered in accordance with the following policies and regulations: 2 CFR 200, 2 CFR 700, and ADS 303 Standard Provisions for U.S. Non-governmental Organizations.

F.3 REPORTING REQUIREMENTS

F.3.1 Financial Reporting

F.3.1.a SF-425 Submissions

The recipient must submit via email a copy of the Standard Form 425 (SF-425) on a quarterly basis to the Agreement Officer's Representative (AOR) within thirty (30) calendar days after the end of the Fiscal Year (FY) quarter.

F.3.1.b Accruals

Accruals reports must be submitted to the AOR fifteen (15) days before the end of the FY quarter. The accruals report must include the following information, in a format to be provided by the AOR: (1) Total amount obligated; (2) Total amount invoiced; and (3) Total amount expended but not yet invoiced.

F.3.2 Programmatic Reporting

USAID expects high quality reporting in English. Reports must be professionally executed, avoiding typographical and grammatical errors. The recipient will work with the AOR to define report contents and format after the award. Programmatic reports must be submitted electronically to the AOR in Word, Excel, PowerPoint, or PDF format, as directed by the AOR.

F.3.2.a Annual Work Plans

The initial Annual Work Plan for Year 1 will be due within thirty (30) days of award of the Cooperative Agreement. The recipient must submit the Annual Work Plan for AOR approval.

The plan must cover the period from award date through the first year of the agreement. Changes based on these periodic reviews must be approved by the AOR.

Subsequent Annual Work Plans for Year 2 forward will be due thirty (30) days before the end of each implementation year. These work plans must be reviewed and approved by the AOR.

The Annual Work Plans must be adaptive and serve several purposes, including: a guide to program implementation; a demonstration of links between activities, strategic direction, outcomes and intended results; and a basis for budget estimates as they evolve. The Work Plans should be organized to clearly link activities to the objectives and outcomes described in the Program Description.

In the Annual Work Plan, the recipient should plan to travel to Washington, DC, at least twice a year and be available for regular phone calls and/or video conference call with USAID staff. Annual Work Plans should include plans for collaboration on development of policy relevant research priorities, geographic focus, and capacity building. The recipient must ensure a collaborative process in Work Plan development, consulting with USAID and other relevant stakeholders in preparing the Work Plan to ensure complementarity and shared ownership. Annual Work Plans will be revisited periodically and adjusted as needed.

The Annual Work Plan will be considered a living work plan, with periodic assessments (at least twice per year) to determine if any adjustments are necessary to the work plan in order to achieve objectives. The work plan must include a list of tasks to be completed during the award period, grouped under the objective that they seek to support.

For each task in the Work Plan, the recipient must:

- Explain in brief its connection to the objective
- Define the necessary steps to complete the task
- Assign responsibilities for completing those steps
- Provide any quantitative or qualitative targets and baselines
- Provide a timeline for the implementation of the task

The first Annual Work Plan for Year 1 must include a description of outcome-level activities, timelines and budgets, and identify any start up activities required, as well as critical paths and milestones for the entire period of the agreement. The recipient must include all results and activities described in the Program Description, possible and proposed sub-awards, branding strategy, the management and programmatic tools proposed to implement and monitor the various components of the award, and measure leveraged resources. The first Annual Work Plan for Year 1 must include strategies and timing for consultation and collaboration with USAID/Washington, USAID/Missions, and the donor community on policy relevant priorities, research priorities, and geographic prioritization over the life of the activity. The plan should also include the approach to capacity building, dissemination and incubation of research, and the approach to learning throughout the life of the award.

F.3.2.b Semi-annual and Annual Reports

Progress reports must be submitted on a semi-annual basis (every six (6) months), with the second Semi-annual Report also serving as an Annual Report. Semi-annual and Annual Reports must describe activities, achievements, challenges, future projections, and what learning and adaptation took place. Semi-annual and Annual Reports are due thirty (30) days after the end of each program implementation year or mid-year mark, as applicable.

Semi-Annual and Annual Reports must contain, at a minimum, the following information:

- A brief description of significant political developments and/or relevant events reported in the press or by local informants that affect the overall implementation environment.
- An analytical description of overall program progress towards results that reflects and synthesizes achievements of all partners. This should not be a description of activities from each partner, but rather a broader analysis that examines the progress of all partners in the context of program objectives and expected results.
- Data on all indicators established in the MEL Plan for the award activities. Data should be disaggregated by gender, age, and other historically disenfranchised populations where relevant.
- A comparison of accomplishments to the objectives and sub-objectives established for the period.
- Problems encountered, reasons why established goals were not met, if appropriate, and how challenges or problems will be overcome during the next reporting period.
- A Collaborating, Learning, and Adapting (CLA) section that discusses how the program incorporated CLA principles into implementation. This should also highlight theories or changes that should be tested moving forward, any best practices or lessons learned identified, and how they will be applied.
- A comparison of actual expenditures with budget estimates, including analysis and explanation of cost overruns or high unit costs, and any other pertinent information.
- Priorities for programming during the next reporting period.

F.3.2.c Final Report

The Final Report must be submitted within ninety (90) days of the expiration or termination of the award and must contain, at a minimum, the following information:

- An overall description of the activities under the program during the period of this Cooperative Agreement, and the significance of these activities.
- Present life-of-project results towards achieving the project objectives and the performance indicators, as well as an analysis of how the indicators illustrate the project's impact.
- Elaborate on the issues and problems that emerged during program implementation and the lessons learned in dealing with them.

- Provide comments and recommendations regarding unfinished work and/or future needs and directions for further work.

F.3.2.d Monitoring, Evaluation, and Learning (MEL) Plan

The initial MEL Plan is due within sixty (60) days of signature of the Cooperative Agreement. Updated Annual MEL Plans are due within thirty (30) days of the end of the program implementation year.

The MEL Plan must contain the performance indicators that the recipient proposes to use to objectively measure progress towards achieving the objectives and results described in the Program Description, with definition and unit of measure, as well as baselines and targets. The MEL Plan must be gender-informed, as required in the Program Description. The recipient must consider data quality issues for all indicators reported to USAID. The recipient must conduct Data Quality Assessments (DQAs) for all required indicators. The DQAs must be conducted as soon as the program is implemented and updated at least every three (3) years. These DQAs must be attached to the MEL Plan once completed.

The MEL Plan should be revised as needed over the life of the activity in response to changes in context, learning, updates to the theory of change, and so forth.

USAID is required to report on new indicators in the Foreign Assistance Framework. USAID reserves the right to request that the recipient integrate into the MEL Plan a number of indicators to help USAID measure the immediate program results. The recipient and USAID will agree upon the final choice of performance indicators useful for timely management decisions and credibly reflecting the actual performance of the project. MEL Plan data should meet reasonable quality criteria of validity, reliability, timeliness, precision and integrity, and be disaggregated by gender and age whenever possible.

Key components of the MEL Plan include:

1. Definition and detailed description of the performance indicators to be tracked, including: unit of measure and disaggregation by gender, as appropriate and feasible; disaggregation by age, as appropriate and feasible; justification/management utility; annual baselines/targets; schedule for data collection; and individual responsibility for data collection and availability of data at USAID. The performance indicators should track with the program objectives in the Program Description and must include relevant, gender-informed performance indicators at output and outcome levels, with relevant impact and contextual indicators included where appropriate.
2. The activity's monitoring approach, including relevant, gender-informed performance indicators of activity outputs and outcomes.
3. Any proposed internal and external evaluations; including any relevant preliminary evaluation questions (gender-related evaluation questions should be strongly considered).

4. The activity's learning approach that will include processes and actions designed to:
 - a. identify and fill knowledge gaps through research, knowledge sharing, and outside technical assistance and training
 - b. facilitate application of learning from assessments, evaluations and periodic monitoring and reflection processes
 - c. build sustained knowledge capture and sharing, across activities, partners, and sectors, and with key stakeholders from USAID Missions, partner country government, and other donor funded activities through networking and collaboration
 - d. identify gender-specific learning around both democratic values and attitudes as well as in public opinion research design and implementation
5. Learning actions, including pause and reflect exercises, exchanges with other project activities, field visits, and knowledge capture at activity closeout and life of activity summary report. Learning actions are expected to engage and be useful not only to USAID, but to involve and inform activity beneficiaries.
6. Estimated resources for these monitoring, evaluation, and learning actions that are a part of the recipient's budget.
7. Roles and responsibilities for all proposed monitoring, evaluation, and learning actions.

F.3.2.e Human Subjects and Data Protection Plan

Within sixty (60) days of award, the recipient must submit a Human Subjects and Data Protection Plan that describes how the recipient will protect the rights, welfare, and anonymity of human research subjects and the data gathered from those subjects in accordance with USAID policies (including the Scientific Research Policy), and best practices in scientific and survey research. The Plan may change over the life of the award in response to changing conditions.

[END OF SECTION F]

SECTION G: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

Applications with Proprietary 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 mark the cover page with the following:

“This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. 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 {insert sheet numbers}.”

Additionally, the applicant must mark each sheet of data it wishes to restrict with the following:

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

[END OF SECTION G]