



# USAID | MONGOLIA

FROM THE AMERICAN PEOPLE

## FUNDING OPPORTUNITY COVER PAGE

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RFA Clarification Questions Due: **2 September 2011, 1600**  
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**Manila, Philippines Local Time**

Subject: Request for Applications (RFA) Number: **USAID-Mongolia- RFA-438-11-000001**  
RFA Title: **Citizen Engagement and Elections Project (CEE)**

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for Assistance Agreements from all U.S. and non-U.S. qualified organizations for funding to support a program entitled "Citizen Engagement and Elections Project (CEE)." The overall goal of the program is to build capacity of NGOs to provide voter education and mobilize citizens to action, in turn enhance their role in politics; creating an engaged citizenry and spurring civic mindedness leading up to and in the wake of the 2012 elections; and integrating and highlighting technology as a means of communication and information dissemination to enhance NGO efforts and increase connectivity among voters. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The United States Agency for International Development (USAID) is seeking applications to implement the Citizen Engagement and Elections project (CEE) which will focus on citizen education, mobilization and political engagement activities in the period leading up to the June 2012 parliamentary elections in Mongolia. Applications are open to both local nongovernmental organizations (NGO's) and international NGO's. The funding period is for no more than one year and a total of \$450,000 will be granted to up to three (3) organizations. There is no ceiling for individual applicants, and organizations may choose to apply as a partnership based on relative strengths as they relate to the program description.

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, 22 CFR 226.

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

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

USAID expects to award up to three Cooperative Agreements based on this RFA. Subject to the availability of funds, USAID intends to provide approximately \$450,000 in total USAID funding to be allocated over the one (1) year period. USAID reserves the right to fund any or none of the applications submitted.

Awards will be made to the responsible applicants whose applications offer the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or [support@grants.gov](mailto:support@grants.gov) for technical assistance.

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

The applicant shall submit applications in electronic copy. Applications submission in hard copy format is accepted if submission in electronic format is not practicable as described in Section IV.

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

Sincerely,

/S/

Dion L. Glisan  
Contracting & Agreement Officer  
USAID / Philippines  
For USAID / Mongolia

## SECTION I. FUNDING OPPORTUNITY DESCRIPTION/PROGRAM DESCRIPTION

### A. Program Description

#### 1. Purpose

The purpose of the project is to encourage greater citizen participation, mobilization and education in the months preceding the 2012 parliamentary elections in Mongolia. As Mongolia ascends to the Presidency of the Community of Democracies in mid-2011 it will be under considerable scrutiny to provide a strong example for greater transparency and accountability in its democratic processes. In addition, the emphasis on strengthening the NGO sector opens the door for the CEE project implementation. CEE will focus on the increased participation of civil society and NGOs in the elections process to increase civil society's role in the campaign and electoral process, and thereby strengthening accountability and encouraging transparency. Three core activities will be introduced to this end; 1) building the capacity of NGOs relative to the project's objectives, 2) focusing on citizen mobilization and education, in particular youth and women, and 3) integrating information and communication technologies (ICT) for greater outreach and information sharing potential.

The project will fund up to three (3) entities, and is open to both international and Mongolian nongovernmental organizations. Target applicants are local civil society organizations and NGOs which meet the criteria identified in Section II of this RFA. Applicants who meet the criteria may apply for up to \$450,000.

#### 2. Background

After 70 years as a Soviet satellite state, Mongolia peacefully transitioned to a multi party representative democracy in 1991. A civilian government quickly formed to replace the communist regime, introducing popular elections, a new constitution and economic reforms, the process was embraced by Mongolia's citizens who saw greater opportunity and freedoms in the political and economic reforms.

In the 20 years since the democratic transition Mongolia's parliamentary and presidential elections have been deemed largely free and fair by international observers.<sup>1</sup> The first free multiparty election for a two-year caretaker government took place in July 1990, which the Mongolian Revolutionary People's Party (MPRP, now the Mongolian People's Party, MPP) – the ruling party during the years of communist rule - won in a landslide, it continues to dominate politics to this day.

In 1992, a new constitution established Mongolia's parliamentary democracy. The democracy included a popularly elected president as head of state and provided the Parliament, or State Great Hural (SGH), with unlimited legislative power, the authority to form a cabinet and wield executive power, headed by the Prime Minister.<sup>2</sup> Election laws were also passed to regulate expenditures, ensure transparency, define the role of the media and regulate the campaign process. The General Election Commission (GEC) was developed to oversee elections, campaign financing and spending and to educate voters. Parliamentary elections are regulated by the election law which specifies activities and events candidates may undertake in the lead up to the election. The law also provides for free air time on public media channels and regulates gift giving to voters.

The MPP has dominated parliamentary elections since 1992, losing only once in 1996. The DP formed in 2000, represents the five most influential opposition parties in Mongolia, and remains the second largest political party in Mongolia.

The results of the 2008 election, Mongolia's fifth parliamentary election, were widely contested, with accusations of malfeasance. Conflicting results and growing frustration with the MPP led to

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<sup>1</sup> Local NGOs observing the elections recorded numerous malfeasances

<sup>2</sup> Munkh-Erdene, Lhamsuren, *The Transformation of Mongolia's Political System*. Asia Survey, Vol. 50. No. 2 pp 311 – 334. <http://www.ucpressjournals.com>

protests and demonstrations by DP supporters. Within days, the situation had devolved; looting and violence led to five deaths and 700 arrests, allegations of abuse and human rights violations in detention centers were reported, media was silenced for four days. National outrage over the violence and allegations of election fraud overshadowed the MPP's election victory. The MPP urged the DP to join their government to restore a sense of "national solidarity." The 2008 elections resulted in the second power sharing agreement between the MPP and DP.

While the immediate fallout of the elections was resolved, after two consecutive power sharing agreements, voters find the coalition between the DP and MPP better serves the interests of the legislature than the citizens. The two leading political parties are often seen as acting in collusion to protect their interests rather than addressing pressing environmental, social and economic issues. The pre-election period is therefore an excellent opportunity for voters to voice their concerns and frustrations into effective grassroots organizing and outreach to political candidates, and for Mongolia to avoid further riots or protests due to citizen exasperation with their politicians and political system.

Mongolia's natural resource wealth and its potential revenue fuels opportunities for further corruption, consolidation of parliamentary power and enables the confluence of interests between the business sector and politics. Current indicators reveal increases in corruption and transparency and heightening disenfranchisement and disillusion with the political parties and electoral system. At the same time, civil society participation is limited and often dissuaded. The lack of civil participation and contribution to the political dialogue and electoral process curtails the provisions of this democracy and disavows citizens of their democratic and human rights.

While local and international NGO's have monitored election media coverage, campaign financing, and NGO involvement and provided in depth reports, less focus has been given to the process of engaging and involving civil society and voters through education and mobilization activities preceding elections. In this sense, an informed citizen is the best prophylactic against vote buying, election fraud, misallocation of state funds, ineffective candidates and politicians and polling issues.

Elections are a means for citizens to yield control over the direction and composition of their government, they are a direct link between politicians and voters, and add legitimacy and authority to the institution of government. In an evolving democracy such as Mongolia's, elections underscore the commitment to an open and pluralistic form of government. However, with declining rates of voter participation, overt political influence on media coverage and misappropriation of state funds in the campaign process, the electoral process has become politicized and inaccessible for many. Civil society should function as a check on unbridled political power, but has instead been coerced by special and elite interests.

With increased participation in elections, and increasingly informed voters the balance of power can be shifted back to the voters. As a result, elections can be the first step in the process of reversing recent trends including increased corruption and lower government transparency. Increased participation, access to information, and understanding of democratic rights will enhance the political process beyond the elections, reinforce governing principles of democracy and ensure broader dialogue among, politicians, private sector and civil society.

### 3. USAID in Mongolia

USAID's democracy and governance work has, for 20 years, focused on addressing political processes, and the judicial system. USAID activities aim to ensure that government is responsive to citizen needs and upholds the principles of a vibrant democracy. As USAID moves into its next five year strategy period (2012 – 2016), the CEE project will be a small, but turnkey approach to strengthen the basic tenets of a participatory democracy, voter participation, civil society's watchdog and activist role, increase candidate accountability to voters and improve the link between citizen concerns and representation. The US Government (USG) supports Mongolia's ongoing democratic transition which it believes contributes to broad based and sustainable development. Elections are the foundation to establishing strong government, however, the people are as vital to governing as are politicians.

a. Development Challenge

There is an indication of growing dissatisfaction and indifference with political processes in Mongolia. In a recent survey, 58 % of respondents indicated that they were “satisfied” or “rather satisfied” with democracy and the present political system while 40 % were “rather not satisfied” or “not satisfied.” Public opinion polls show that only 17 % of respondents believe that political parties represent the people. Up to 70 % of Mongolians report their lack of trust for political parties according to public perception surveys conducted by the Academy of Political Education.

The 2008 elections, widely contested were also an indication of an electoral system that is poorly regulated and lacks sufficient civic education and participation. While voting is considered largely accessible, minority groups report informal barriers to their registration and participation. Instances of vote buying are common and the registration process is vulnerable to manipulation and fraud. Only a third of Mongolians thought the 2008 local elections were free and fair, with half suggesting malfeasance had occurred. Monitoring teams identified multiple instances of candidates, and parties, making offers of gifts, tuition, food items, free medical services, organizing trainings, distributing cell phones, and hosting lunches and other events in the 2008 elections. The misuse of state vehicles and participation of state employees in support of candidates were also reported.<sup>3</sup> These activities are prohibited by the election law. Voter turnout has declined with each election, from 97% in 1992 to 76 % in 2008. A campaign finance monitoring project for the 2004 elections revealed the misuse of public resources, abuse of state media and hidden advertising in private media channels, all at a cost of millions of dollars to the national budget.<sup>4</sup> Monitoring of the 2005 presidential elections media coverage indicated coverage bias. Between the 2004 and 2008 elections alone, voter turnout fell by 10 %. Citizens are increasingly dissatisfied with government and feelings of political alienation are at 68 %.<sup>5</sup> However, their inability to distinguish between the major parties’ platforms, and willingness to accept money or services in exchange for votes limits the influence of their vote and is a strong indicator that those with the financial means can control elections and policy. It also suggests that more attention should be given to voters education on the election laws, their familiarity with these laws, and as one survey put it, making the ‘moral link’ between their vote and the election, will have a greater impact on the results.

At the same time, political representation of women is narrowing. In 2003, women held nine of the 76 seats in Parliament and one deputy ministerial seat. Today, there are only three women Minister of Parliament (MP) plus one minister and four vice ministers. The Asia Foundation research reveals that incumbents are more likely to win in elections than unknowns, presenting additional obstacles to increasing the number of female representatives who are not duly represented in the current and past parliaments.

The influence of money is an additional obstacle to entering politics, it has also tainted the validity of elections and narrowed the playing field for candidates without the financial resources to compete. To be nominated by a political party, candidates are expected to make a contribution, before the actual cost of running a campaign. The average spent by candidates in 2008 was officially reported as \$127,000, while unofficial reports indicated that the amounts often rose to \$1 million. With 36% poverty rates and annual incomes at about \$1,200 per year, the ability to run is currently limited to the rich business and political elite, or those who receive financial and economic backing. There are no regulations on political party financing, donors to political parties are often motivated by their personal and economic interests and one author suggests that these donations are more akin to bribes rather than political support.<sup>6</sup> This display of economic power in politics diminishes prospects of equality and accessibility

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<sup>3</sup> Voters Education Center, Parliament election Campaign Monitoring 2008. Voters Education Center.

<sup>4</sup> Campaign Finance Monitoring for 2004 State Great Hural Election, Report 2004 Ulaanbaatar

<sup>5</sup> The Asia Foundation “Mongolia Voter Education Survey” a research report 2009

<sup>6</sup> Ch. Tamir, ‘Financing of Political Parties and Sponsors’.

in the political field, leaving little room for average citizens to participate on their terms.

Campaign promises, often concerning welfare payouts, have also characterized elections and resulted in the subsequent strains on the national budget and rising inflation. In the 2008 elections, the DP initially promised US\$760 in social welfare handouts should it win. The MPP countered with US\$1,140. The MPP victory, while contested may be partially attributed to this promise.

As the election system narrows the field to two parties which are considered to have few differences, citizens find fewer candidates representing their interests. As a result, citizens are either less motivated to vote or more driven to participate, but lack the avenues or knowledge to do so. Those marginalized and poor, such as the *ger* residents, are unfamiliar with their rights and options to voice opinions or seek redress. Many *ger* residents focus on providing for their families, which leaves little time for civic participation.

The exclusivity of Mongolian politics and political participation is demonstrated by a parliament that is increasingly male-dominated. Women's representation in parliament has dropped from 12 % in 2000 to six % in 2004 and most recently, in 2008, to four %. The political leadership has made few efforts to support the advancement of women, parliament went so far as to repeal a quota to ensure 30% of candidates were women, just before the 2008 elections. The affront was carried through by TV and newspapers, used to discredit women's political participation.<sup>7</sup> Voter empowerment is necessary at all levels and within all groups.

A strong democracy is largely predicated on the inclusion and inputs of its citizens and its system of checks and balances; with media, civil society and NGOs, often being the most organized and vocal. Due largely to the restrictive legislative and legal environment, Mongolia's civil society lacks experience and influence to serve as a check government. The Freedom of Information Act recently passed after languishing in parliament for many years. To become relevant it must be properly implemented, another formidable challenge. The State Secrecy Act restricts access to information, allowing each state institution to define what is confidential. Libel laws intimidate and quell any criticism of the government. In addition, the sheer number of media organizations, (as of early 2010, there were 3,840 media practitioners in 383 media outlets throughout Mongolia) and NGO's (6,000 at most recent count) dilutes their impact and ability to fundraise. The proliferation of TV channels in Mongolia has not resulted in an increase in the transparency of information. Many of these organizations are often co-opted by business and political elite. Access to financing also curtails activities and independence, many rely on political patronage or do not receive any funding at all, in part due to laws designed to limit their ability to solicit funding.

Periodic reforms to the electoral system have left many confused and the debate surrounding a proportional versus a direct system of representation has obfuscated the need for greater transparency both within the system and among the candidates. Citizens are not properly informed of their rights or the issues being debated and are left confused and disillusioned with the process and the politics.

Recent positive trends such as the President's Citizen's Hall initiative have ushered citizen input to the legislative process. In addition, the government is taking steps to establish NGO/CSO bodies in parliament to liaise and work with these entities. Currently, this sort of openness and relationship is on an institution by institution basis.

b. Project Approach

Many election programs tend to focus on the logistical components of the electoral process: voter registration, the legal framework, polling, vote counting and Election Day monitoring. An effective election cycle must equally consider the inputs – in particular, campaign rhetoric, what candidates are promising, whether they seem to be responding to citizen concerns, how they propose to redress problems, the transparency and distribution of campaign funding and, most importantly, the voters. Without an informed and active citizenry, corrupted politicians may abuse the trust of citizens, ignore voter needs, legislate in self-interest and pursue policies

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<sup>7</sup> <http://www.inwf.org/fondos/mones.html>

for personal rather than social benefit. Legislators are given an agenda during campaigns, and empowered through elections. When there is a lack of input and interaction between candidates and voters, the purpose of the election can easily be diverted for more nefarious purposes. By increasing citizen involvement the election cycle offers an opportunity to reverse such trends by removing perpetrators from power while empowering citizens as stakeholders. The process becomes as important as the outcomes. Direct voter involvement in the election process can usher in new ideas, approaches and mandates. At the heart of elections are the voters who are responsible for making educated and fact-based decisions. Decision making in a democracy should be a result of information, typically gathered from objective sources; media, civil society, government, the community, teachers and neighbors. When these sources are themselves limited by information curtailment or bias, their role is curtailed and other factors such as bribes and vote buying are more likely to influence decision making.

The CEE project, funded by USAID DCHA's Bureau in Washington will be used to help reinvigorate civil society's role in the political process, capitalizing on the period leading up to the 2012 parliamentary elections.

The project is intended to catalyze and enhance civil participation and reassert the role of the public in politics through;

- 1) Building the capacity of NGO's and civic organizations to educate and mobilize voters;
- 2) Enhancing civic participation, in particular women and youth in the political process, especially during the elections cycle;
- 3) Leveraging mobile communications and technology to educate voters and disperse and share information on campaigns.

USAID/Mongolia's focus is on the 'demand side' of democracy; building NGO capacity and empowering citizens to more strenuously engage candidates to elicit greater responsiveness and accountability. This project is essentially an effort to link citizens laterally at the grassroots level, and vertically to politicians and the policy process. With the increasing prevalence of ICT, the project will leverage technology to engage and mobilize a greater number of voters, particular youth and women. The recent approval of the Law on Freedom of Information also works to the advantage of the project's activities and the use of these technologies to access information from government, political parties and candidates.<sup>8</sup>

The use of cellular technology has spread rapidly throughout the country. While predominantly in urban areas there are more and more rural residents who own mobile phones and use SMS/text messaging to communicate and receive information. The internet is less widely used, but it too has become more popular in urban areas, universities, places of business and among youth. The infrastructure to promote and increase internet usage is being enhanced, providing opportunities to access and leverage this technology as well. Televisions and print media are also widely available and should be used by project implementers for the purpose of this project.

Due to declining voter participation and backsliding in democratic indicators, the 2012 elections are an ideal conduit for engaging the public on election participation and voter mobilization and education issues. The significance of focusing on parliamentary elections is due to the legislature's increasing and unchecked power, as well as a growing indication of malcontent with the political process and actors. Considered more influential and powerful than the presidency with authority over budgetary, policy and legislative decisions in all sectors, citizens are increasingly dissatisfied and distrustful of parliament and the two parties that have controlled it. Rarely able to distinguish between the two, the DP and MPP are often accused of acting in their own interests and controlled by special interests.<sup>9</sup>

The project's specific activities will emphasize elements of the democratic process that have

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<sup>8</sup> The law enables citizens to access any information related to state policies, activities and state involved businesses and acts.

<sup>9</sup> Gamba Ganbat, 'The Mass Public and Democratic Politics in Mongolia' A Comparative Survey of Democracy, Governance and Development. Working Paper Series: No. 29. Asian Barometer. Taipei, 2004.

been overtaken by politics; citizen participation, the right to information, debate, participation in government forums and in civil meetings. Civil society is considered the nexus of political engagement. The purpose will be to enhance government accountability, transparency and inclusiveness and achieve equal representation of all citizens in politics and policy.

The project concept will benefit best from implementer(s) which are nonpartisan NGO's and/or CSO's with prior experience in citizen engagement, education or mobilization, elections, political education and awareness building, communications technology and organizations that show the potential to address the identified problems through a cohesive strategy that focuses on the interventions outlined below. As discussed in the 'building capacity' section NGO's are both stakeholder and implementer in the CEE project.

The success of this approach is predicated on a few broad assumptions. 1) Politicians will be open and responsive to citizen input, 2) there will be increased opportunities for citizens to interact with candidates, 3) civil society organizations and NGO's trained in the mobilization and engagement tactics, both in their traditional forms and via ICT, will conduct concerted outreach, mobilize citizens to become more informed about their role in the election, 4) citizens will respond to the approach deployed and will motivate to gather, share ideas and concerns and seek opportunities to interact with candidates and influence the campaign, 5) NGO's will be able to quickly and effectively implement activities in the period leading up to the elections, 6) the project will institutionalize knowledge and technology based assistance to use in future elections and political advocacy efforts.

This project is designed around three complementary components; 1) building capacity of NGO's to provide voter education, mobilize citizens and enhance their role in politics; 2) creating an engaged citizenry and spurring civic mindedness leading up to and in the wake of the 2012 elections; and 3) integrating and highlighting technology as a means of communication and information dissemination to enhance NGO efforts and increase connectivity among voters.

#### 1) NGO Capacity Building

In spite of the 20 years since democracy was established in Mongolia, and with it, the freedom of association, there are over six thousand NGO's in Mongolia representing issues ranging from domestic violence to environmental conservation. As of 2005, just under 100 of these NGO's indicated a focus on human rights and democracy<sup>10</sup>. Due to a challenging enabling policy environment and overcrowding in the NGO sector, some lack the level of efficacy to make them truly relevant and influential. NGO's with funding are sometimes supported and thus controlled, by special interests with small citizen support bases. While the political and legal environment tends to stifle and limit NGO operability; from registering to receiving tax exempt status, the sheer number of NGO's indicates a broad civic-mindedness and the commitment to social change. Despite the obstacles facing NGO growth and influence, there are organizations that have yielded excellent results over the years. The driving theory underlying this aspect is that with the appropriate training, resources and support, these organizations are capable of considerable impact and longevity. This project will help dilute the challenge faced by a select few NGO's by integrating capacity building into the project implementation process. Capacity building is intended to strengthen NGO's role in society and policies and imbue legitimacy and authority on the participating organization. In turn, this will result in more active and effective NGOs in the field of civic participation and education.

In the lead up to the 2012 elections NGO's have an opportunity to become more relevant and proactive arbiters of a demand driven democracy. The CEE project will enhance the ability of NGO's to conduct outreach, engage, mobilize and educate citizens on topics ranging from political campaign financing, voter rights and responsibilities, the role of the General Election Committee, transparency in campaign platforms. NGO's will also learn to collect, verify and disseminate information on elections and candidates to educate citizens.

For applicants that are themselves NGO's but possibly lack the experience or background in this area, a portion of the budget proposal can be dedicated to capacity building to include;

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<sup>10</sup> Open Society Forum "NGO's in Mongolia" A survey report. 2005

training staff and management in outreach, canvassing, social messaging, advocacy, integrating ICT in daily operations and outreach, design the organizational approach to mobilize citizens in the pre-election period. This will require a strong and objective self-assessment of the applicant's abilities in the field. This experiential learning process will be the responsibility of the applicant, which will be required to either prove prior experience in this area or, address the manner in which they plan to develop these capacities. NGO's can capitalize on their proximity to citizens, their familiarity with the community and social structures to access and appeal to voters in this process. NGO's will be expected to have a basic understanding, if not previous experience and involvement in local/national politics and elections and exhibit a spirit of nonpartisanship. While capacity building is linked to the project activities, applicants must demonstrate the basic structure for financial and project management, and outreach and communications.

The creation of a cadre of public activists and community mobilizers is essential to citizen engagement. NGO's with the capacity to access, gather, analyze and disseminate information candidate's campaign platforms, voting records, financial backing and adherence to election laws will be strong advocates for the voters. By fostering citizen trust, educating voters and acting as neutral conduits of information, NGO's will benefit by fostering citizen trust and enhancing their legitimacy and authority as relevant actors in politics and elections.

NGO's are the cornerstone of this project; as community organizers and educators they can encourage additional associations between citizens, politicians, the media and private businesses. These networks will enhance transparency and accountability of politicians to citizens and strengthen the influence of voters on candidates and on elections.

## 2) Enhance civic-mindedness, with a focus on Youth and Women

The cultivation of a more engaged and informed citizenry that actively participates in politics is a key principle of democracy. Voter participation records have been declining steadily since the early 1990's indicating disaffection with the political process. At the same time, poverty and income gaps have grown, corruption has become more prevalent, environmental issues have worsened and the multiparty system is largely dominated by two parties.

While elections are a hallmark of a functioning democracy, without sufficient participation they may become a carte blanche for the political and business elite to monopolize resources, power and information to serve individual purposes. The CEE project will encourage a return to the political activism that defined the democratic transition in 1990 through citizen engagement and mobilization.

Citizen empowerment is largely based on the ability to access and analyze political party information, candidate platforms and rhetoric, and discuss in citizen forums or in exchanges with candidates. The more citizens are educated and informed about their rights and role in the election cycle, the more voters will be actively engaged and take ownership of the campaign process and politics.<sup>11</sup> Citizens who are aware of how an educated ballot casting can make a difference in their lives, will be more likely to seek out information, facts, even opinions in order to make an informed decision and more deliberately yield their influence through the voting process. In Mongolia, there is much room for improvement; 36 % of voters in the 2009 Presidential election did not believe their vote had any influence on the outcome of the election.<sup>12</sup> Almost half of all voters do not know where to file complaints regarding the registration or electoral process.<sup>13</sup> NGO's are vital in redressing these trends.

Women have much to gain through their political involvement. While they are more likely to be unemployed, and be victims of domestic violence or trafficking, they make up just over 50 % of the total population, and of that proportion, 55 % are of voting age and economically active. There are more women in higher education than men. Women have significant

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<sup>11</sup> Eric Bjornlund, Democracy International <http://digest.electionguide.org/?p=2692>

<sup>12</sup> The Asia Foundation Survey

<sup>13</sup> The Asia Foundation Survey

potential for higher achievement in business, politics and society, yet face social and political constraints. Increased engagement in the electoral and political arena would emphasize gender needs and issues and underscore the need for greater inclusivity, particularly during elections. Women's preponderance in NGO leadership, pro-democracy, human rights and women's rights organizations is particularly relevant to CEE activities, and on which the project can capitalize.

Integrating marginalized groups such as women and youth will broaden discussions and diversify campaign rhetoric. With more minorities involved in the political process, the likelihood of their candidacy is increased in the long term, as is the representativeness of parliament. Outreach methods, in particular to minority or disenfranchised groups such as women and youth are extremely important to increase the numbers and diversity of constituents to engage and influence candidates on their platforms.<sup>14</sup> In the 2008 Parliamentary and Local Elections, three women were elected as Members of Parliament (reducing the number of female MP's by 2). Of 356 parliamentary candidates, 65 were women (15%). Female candidates were more successful in the local elections, over 200 of 641 aimag and district candidates. In early 2011, the gender equality law established a quota that ensures equal financial support for male and female candidates. While this is an encouraging step towards ensuring equality during elections, informal sources indicate that campaign costs have risen sharply, largely as a result of private interests and influence. Few female candidates have access to these financial resources. The rising cost of elections and the influence of powerful elite have had a detrimental effect on political transparency and accountability. The result has been an exclusivity associated with candidates and politics and the disenfranchisement of minority groups, including women, low wage earners and younger voters. Paying for votes provides a brief influx of cash for low wage earners, but it is a short term solution that has long term implications on voters' perceptions of the electoral and democratic process. This attitude has led to complacency and allowed business interests and political elites to monopolize the political and electoral system. Vote buying often displaces other well intentioned politicians while also breaking the link between voters and democracy.

Voters who are aware of the long term consequences of vote buying and financial kickbacks may be better equipped to reject these illicit approaches to politicking and push for more substantial reforms that will contribute to long term economic growth, employment programs and address the income gap. Through the CEE project, citizens are expected to become active participants and seek ways to directly interact with the candidates. If no such forums exist, they will, based on their understanding of the democratic process and their rights, push for greater access to the candidate, utilizing legislation and other supporting evidence to assert their rights. Mongolia's youth, are largely products of the democratic system, their political consciousness formed in an age of transition from socialism to democracy and their understanding of government and their level of involvement different from that of their parents and grandparents. NGO's can capitalize on this demographic by implicating them in the process of government as well as the results of legislation. These are ideal windows of opportunity for NGO's to tap into for mobilizing and education activities.

Finally, youth are more likely to use the internet for communicating, accessing information and equally prone to become targets of information campaigns through blogs, online groups or other virtual outreach campaigns. Youth are also more connected via mobile phone technology using short messages (SMS) both to receive and send information. They may also be more receptive to online campaigns and other outreach programs. Empowering this demographic will not only have repercussions on this election cycle, but possibly create a generation of more politically active voters, who can engage politicians, candidates and legislatures for years to come. The CEE project understands that catalytic change may not be possible in the span of the next 10 months, and that deep rooted change may not occur immediately. Rather, it aims to create the foundations of change, heightening political consciousness, activism and engagement among Mongolia's voters. Acknowledging the distinct groups of voters, and the methods by which to reach, inform and mobilize them is essential to endearing them to the democratic process, rather than further alienating them.

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<sup>14</sup> Women comprise 50% of Mongolia's population and youth, 30%.

Women and youth are among the most likely target groups to respond due to their marginalization and relative disillusionment with the current status quo.

### 3) Adapting Technology

In a country where the population is as sparse as Mongolia's and the geography as expansive, tapping into the opportunities presented by ICT, can bridge the inherent chasms in geography and population, as well as counterbalance the relative advantage of the political party networks and their funding apparatus. While NGO's will play a pivotal role in engaging citizenry, they will have to provide them with the tools to connect to neighbors, like-minded voters in their areas and across the country, candidates and parties. Mongolia's vast distances necessitate the use of technology to connect immediately and intimately. This approach will rely heavily on the assumption that many, if not most citizens have access to phones, computers or at the very least television and radio. These tools, combined with information collection, analysis and dissemination skills, will help establish networks of engaged citizens who together contemplate the issues as they see them and as the candidates present them.

NGO's will be the catalysts for integrating ICT in the citizen engagement and information dissemination activities. In addition to the capacity building efforts discussed above, NGO's will need to become familiar with accessing and utilizing ICT for the purpose of political education and voter activism. Whether blogs, website development, establishing SMS/text campaigns and soliciting independent bloggers and editorialists to join in the messaging campaigns, implementers will have to determine the most appropriate methods, channels and use of the technology at hand to define their role in the CEE project but also their ability to adapt and promote change through current technologies.

Integrating ICT for broader and more targeted outreach and information sharing is ideal for groups that are geographically, physically or economically marginalized, groups that are often politically disenfranchised. Their virtual access and participation in the campaign cycle will give voice to their needs, connect them to like-minded or even dissenting voices, and solicit information and news that they may otherwise have not been privy to. The NGO can act as the centralizing and organizing force of online, mobile phone and other ICT voters and channel these needs and opinions to political parties and their candidates. Such a conduit may not have its own political agenda, but act an independent arbiter of the people. This will add value to its role in the political process and again, engender trust and support from the community as well as politicians who can also use the NGO to reach out to concerned citizens. This connectivity is meant as a two way street and can result in a cognitive mass that has more influence on candidates than anyone individual or group may have. Voters who may otherwise be hesitant to attend rallies, forums or even Citizen's Hall, may find the use of online forums or messaging campaigns as more convenient and less intimidating than person to person interactions. With the knowledge that there is a nonpartisan interlocutor between their issues and the candidates, they can be assured that their needs will reach the intended target. In prior elections, candidates have used text messages to communicate with voters, many parliamentarians have their own websites as do the political parties and there is a movement to place voting records online. Voters must not only be made aware of these forums, but also be comfortable enough to use them to their advantage. This will result in a degree of empowerment and encourage citizens to communicate with candidates, track their funding, rhetoric and other campaign activities. NGO's can assist voters track and ground truth campaign rhetoric, the legality of campaign activities and the authenticity of candidate promises. Another avenue of communication is between voters – debate is essential to a democracy and the more people involved, the more likely debate will occur. Debate involves dissention, negotiation and agreement and with open lines of communication, issues will be raised, argued and resolved. Using phones, blogs, the internet and live forums will ensure ideas are circulated and aired not just online and among voters, but through the mainstream media, in households and in parliament, in hopes of creating a collective consciousness and dialogue on politics, politicians and the nature and direction of the country's democracy.

The ICT approach will focus largely on those mediums that are currently most in use in Mongolia, mobile phones, print and broadcast media, and finally, the internet. Television still dominates as the most common source of information for news on politics and elections,

followed by newspapers and radio.<sup>15</sup> While the internet offers a broad and more inclusive forum for discussion via blogs and online chat rooms, it is not widely available across Mongolia. Currently, internet access is limited to 10 % of Mongolians, though efforts are being made to expand coverage. The Government of Mongolia has made it a point to increase connectivity. Most universities and research institutes, government organizations, agencies, banks, and companies in Ulaanbaatar are online, and over 50% of urban centers have high speed internet access. Internet usage comprises 10% of the population and over 70% of Ulaanbaatar dwellers over 12 use the internet on a daily basis. Web-based information from either official sites or those maintained by NGOs to learn how public officials are voting or where they stand on issues are not well maintained or transparent. Though parliamentarians are increasingly using the internet and their websites to share information with their constituents, individuals may not readily or consistently access these sites.

ICT, including blogs and chat rooms, has the potential to reach and connect large number of voters, in particular youth. These forums can be used to plan events, share concerns, voice disenchantment in forums that are safe, anonymous and structured for the purpose of political expression. They present an opportunity to create a critical mass large enough to influence candidates and parties.

The number of mobile phone subscribers increases 100% each year and is increasingly prevalent close to aimag and soum centers.<sup>16</sup> There are currently 2,362,000 mobile phone subscribers and the penetration rate of mobile phones is estimated to be at 88 %.<sup>17</sup> The most recent census revealed that 75% of the population over 7 years of age use cell phones, offering access to a vast swathe of the population.<sup>18</sup> Text messaging is widely used for advertising and offers a potential platform for political campaign messages and news alerts, much as it has for other nonprofits and international organizations seeking to distribute information. Prior USAID funded projects have utilized text and SMS messaging to share commodity prices, grazing land and other livelihood information. As long as the distribution and access to this information is properly advertised, the medium can be effectively leveraged to disperse information and educate.

Mobile phones have been used in the past to distribute information via text messages, and can be tapped into for the purpose of distributing basic facts about the candidates' recent speeches, promises, or political party activities. SMS can also be used by NGO's to provide daily tutorials on citizen rights and suggest ways of engaging in local politics or campaigns. Citizens can also use SMS to communicate to each other, upload information to a central depository (website) and provide information about any indications of campaign corruption, irregularities in spending and reporting or even incidences of potential vote buying.

Mongolians are increasingly tuning in to television. According to a 2005 national statistic yearbook, out of 611,000 households, 320,000 have TV sets. Seventy % of Mongolians watch Mongolian National Broadcasting programs and 50,000 have cable television; while radio is waning in influence, newspapers are in wide circulation.<sup>19</sup> A PACT 2007 evaluation indicated that TV was becoming the preferred medium of entertainment and information. The use of radio and TV to target herders in a USAID funded project revealed that for those who tuned in to the programmed messaging, exhibited greater knowledge and application of information.

ICT is not limited to voters. CEE will encourage candidates to participate in the on-line forums, to converse with citizens, solicit opinions and respond to questions and concerns directly. For individuals who do not have access to a computer or the internet, a portion of CEE funds can be dedicated to the purchase of computers for NGO's to establish technology centers for public use, meeting and discussion. These rooms could be intended for multiple purposes including libraries, classrooms and meeting areas.

The integration of ICT is not meant to be revolutionary in its use, rather it is purposed for

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<sup>16</sup> <http://www.mongolianviews.com/2009/09/85-of-all-mongolians-mobile-phone.html>.

<sup>17</sup> www.buddecom.com

<sup>18</sup> B. Ooluun "Official Census Results Announced" The Mongol Messenger. June 17, 2011. P. 7

<sup>19</sup> Final Destination TV Drama and Directions Radio Drama Monitoring Report, 2007.

increasing communication and education opportunities to learn about the advantages and challenges of pursuing a democratic system. Given Mongolia's size, its poor roads, sparse population and relative isolation, ICT will be a boon to connectivity, allowing NGO's, citizens and other stakeholders to virtually access people over large distances in little time and with minimal cost.

Mongolia's e-government initiative has seen the move of government services to an 'online' option including e-taxes, e-customs, e-procurement and an online citizen registration renewal system. This indicates a top-down avenue for integrating ICT into how citizens interact with their government.

While elections are a cornerstone of the democratic process, they are not the only indicator of a strong democracy. However, citizen education and participation is an essential element to pursuing democratic principles, procedures and human rights. Citizen engagement does not end after the election cycle. It becomes ever more important to hold representatives accountable, monitor policy, budget allocations and ensure transparency for a stronger democracy. CEE will establish the tools and processes for greater civil society participation in the months leading up to the elections, keeping in mind the long term purposes. Integrating ICT will adapt technological advances to remain relevant among youth and an increasingly connected society.

**c. Current USAID Activities In Elections, Civil Society And ICT**

The National Consensus Building Program, implemented by the International Republican Institute is assisting Mongolian government officials and political parties to be more responsive to citizen demands and to equip youth with the knowledge and skills to be active and engaged citizens. With revenues from the mining sector projected to double Mongolia's GDP in the next few years, the drastic increase in budget expenditures from the mining sector will pose a challenge to Parliament and Cabinet to effectively and efficiently allocate government resources. IRI conducts public opinion polls to obtain citizen needs, familiarity and satisfaction with government – poll results are shared with government officials and political parties to integrate into programming. IRI also works with parliamentarians to enhance interactions between government officials and citizens through forums and town hall meetings. IRI also assists with open hearings, town hall meetings and public forums. The youth program focuses on encouraging greater participation and activism among youth through debates, youth forums and roundtables on active civic involvement.

CHF agriculture programs have successfully used SMS/text campaigns to provide herders with information about market prices for their products, market events and other updates regarding market activities.

**d. Coordination With Other Donors**

USAID/Mongolia is embarking on a new strategy that will focus on enhancing government transparency and accountability. In addition to the targeted policy level and technical assistance activities, civil society is a key component of pushing for reforms from the grassroots level and demanding greater responsiveness. The strategy addresses both the demand and supply side of democracy, focusing on government actors and civil society to complete the democratic transition. Funding and time are both limited under the CEE. The use of coalitions, partnerships and networks to leverage both financial and human resources, exchange ideas and increase voter outreach is encouraged. Applications should, in their responses to this RFA discuss how they can increase their impact through partnerships. Care should be given to not duplicate other efforts, complementarity is key in project design.

**e. Required Elements**

**1) Gender Analysis**

USAID has a special interest in the participation of women and is working to improve women's equality and empowerment in developing countries. However, a gender based approach must equally consider the role men and women play, and should not focus on one to the exclusion of the other group. The Agency is increasingly integrating gender into its program planning process. USAID completed a

gender analysis in 2005, which showed that women have a higher share of jobs in professional and white collar occupations than men. However, the higher education levels for women have not directly translated into higher salaries, senior-management, or decision-making positions. Mongolian women have lower levels of income for similar work, and higher levels of unemployment and poverty than men.<sup>20</sup> Women are virtually absent from Parliament and senior decision-making positions in government, holding only three out of 76 seats in the SGH.

With this in mind, recipient(s) should integrate gender considerations into project design, both with the RFA in mind, but incorporating other recent gender assessments including the Asian Development Bank and the United Nation's reports. Gender specific programming must align with USAID specific requirements. Monitoring and evaluation activities should disaggregate data by gender and sex.

## 2) Regional / Geographic Considerations

Mongolia is the least densely populated and seventh largest country in the world. There are few highways, roads or even rail lines that span the country, travel is difficult and can take days to the far eastern and western areas. Each of Mongolia's 21 provinces (aimags) have local capitals and seats of government. As most of the country's active and experienced NGO's are located in the capital city of Ulaanbaatar, where population density is higher (about 1.3 million inhabitants) and the use of mobile technology and internet is more common, the project will focus on the capital with the expected trickle down and distributive effects from the use of ICT. NGO's with branches in other cities will help expand the geographic reach. Areas in which it is most likely that ICT are available, such as the cities of Erdenet and Darhan and aimag centers will also be targeted through online forums, chat rooms, websites and SMS/texts.

Centralizing the project in Ulaanbaatar also allows easy and direct access to parliament and other government bodies, including the GEC, though local government representatives and the local election commissions in the aimags and soums will also be targeted through outreach activities.

### f. Eligibility Information

This RFA is open to local and international NGO's and nonprofit entities with the ability to quickly mobilize and initiate activities in Mongolia. Given the protracted implementation time, the ability to commence with project activities soon after the award is made is a crucial factor. Organizations must demonstrate a strong familiarity with the political environment and operating context for NGO's in Mongolia, exhibit thorough knowledge of the election cycle and campaign season issues, presenting a strong narrative that demonstrates a deep understanding of the interplay of government and citizens and a relevant and well-constructed framework to respond to the issues discussed above, as well as indicate any other, additional issues that may not be covered in this RFA. Applicants must show an ability or the potential to conduct outreach and connect to and organize voters, strong analytical and writing/messaging abilities including the ability to create and produce outreach materials and an adept understanding of the local political-social cultural values.

USAID encourages applications from potential new partners. However, partners with current and past USAID experience will be equally considered.

Cost sharing is not a required component of the application. However, in the interest of building local capacity and building sustainability, the review will look at how applicants look at leveraging resources, whether financial or human to achieving goals. In-kind donations, donations of equipment or time equivalent and technical support will be considered as cost sharing or matching.

All non-US NGO's are subject to a pre-award survey as indicated above.

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<sup>20</sup> Fitch, p. 4

**g. Award Information**

Estimated Funds Available: \$450,000

Number of Anticipated Awards: 1 – 3 organizations

Anticipated Start Date: October 15, 2011

The funds will be awarded on a grants basis to anywhere between one (1) to three (3) NGO's, local and/or international. The anticipated start date is on or around October 15, 2011 for 11 months until on, or around September 30, 2012. With the bulk of activities expected to occur in the period preceding the June 2012 elections.

Applicants can expect to receive a response to their proposals within three (3) weeks of the submission deadline via e-mail.

Successful applicants must be prepared to undergo a thorough pre-award survey conducted by USAID in order to determine the potential awardees financial management and accounting systems, ability to manage and oversee the implementation of the programs and to account for and audit program expenditures as well as their ability to competitively procure goods and services.

**END OF SECTION I. FUNDING OPPORTUNITY DESCRIPTION/  
PROGRAM DESCRIPTION**

## SECTION II. APPLICATION AND SUBMISSION INFORMATION

Applicant's Point of Contact  
Dion Glisan

All applications must use forms:

**SF-424, Application for Federal Assistance**

**SF-424A, Budget Information – Non-construction Programs, and**

**SF-424B, Assurances – Non-construction Programs.**

Offerors will submit their proposal electronically, via internet email, with attachments compatible with Adobe Acrobat (PDF) and Excel MSOffice 2010 in an MS Windows environment, to: [aidmnlorp@usaid.gov](mailto:aidmnlorp@usaid.gov) with copy to Procurement Secretary Irene Narag at [orpmailbox@usaid.gov](mailto:orpmailbox@usaid.gov) by 2:00 PM (Manila, Phils. local time) September 16, 2011. USAID will use the time stamp on the receiving email system to determine date and time of receipt. Late applications (received after 1400 on September 16, 2011) will not be reviewed. If the applying organization experiences technical difficulties, please contact Dion Glisan at (63 2) 552-9925 – *prior to the deadline*.

### A. REVIEW PROCESS

All applications which meet the eligibility and program requirements, and conform to the application preparation and submission instructions, will be reviewed and scored by a panel of USAID reviewers in accordance with the evaluation criteria set forth in this section.

The budget narrative of all applications under consideration for award will be reviewed for what are necessary and reasonable costs to support the program. Upon completion of the initial review of applications, USAID may, as it deems necessary and appropriate, conduct written and/or oral discussions with those Applicants whose applications remain in the competitive range. The decision to conduct such discussions should not be considered a reflection of a final decision about which organization will receive an award, but rather would be part of the evaluation process.

### B. TECHNICAL EVALUATION

Applications will be reviewed on the technical merit of the proposed approaches to the defined development challenge with adjectival ratings of: Excellent, Good, Satisfactory, Marginal and Unsatisfactory. In the rating system, members of the evaluation panel will rate the following areas with the adjectival ratings.

#### 1. Technical Approach

- a. How do the proposed activities address each challenge identified in the preceding sections, given the funding and time constraints?
- b. Degree to which the proposed approach integrates gender and other minority needs.
- c. Extent to which applicant displays knowledge and familiarity with the political and electoral dynamics of the country.
- d. Demonstrate an approach to work with both NGO's, or, in the case of a local applicant, the degree to which capacity to implement activities is shown.
- e. Understanding how ICT can be leveraged to achieve the project objectives.
- f. Exhibit an understanding of voter education and mobilization principles.
- g. Exhibits a reasonable and logical approach to implementing activities in the given time frame with the funds provided.

#### 2. Past Performance of the Organization

Demonstrated relevant experience, including quality of performance in promoting similar democracy and governance programs country with challenges resembling those in Mongolia. Areas of relevant experience would include; engaging civil society and government, mobilization and education processes, behavioral change, NGO training and capacity building. USAID will evaluate the relevance of the past work and how well this work was performed/quality of past performance. Each applicant should provide a list of all contracts, grants or cooperative agreements involving similar

or related program during the past three years. List must include performance location, description of the work performed, and performance references.

### 3. Monitoring and Evaluation Plan

The outline M&E plan will be evaluated for its potential to clearly indicate progress towards achieving sustainable results. The monitoring and evaluation plan will be evaluated on the:

- a. Ability of the M&E plan to quantifiably measure program progress and results using USAID common indicators as well as program-specific/custom indicators.
- b. Capacity to reasonably expect specific impacts and outcome, as well as outputs even as, or if changes are necessary
- c. Indicators are clearly articulated and directly correspond to the stated goals and objectives outlined in the technical application and demonstrate meaningful progress towards objectives.

### 4 Qualifications of Proposed Personnel and Management Capacity

- a. USAID will evaluate the relevant ability, qualifications and experience of key personnel (Director and Program Manager) commensurate in areas of intended activities including political campaigns, voter mobilization, civil society outreach and communication.
- b. Quality and responsiveness of the proposed management structure including home office technical support and management capacity, M&E plans and financials.
- c. Capacity to field a presence, implement and monitor activities and work with other stakeholders effectively and efficiently.
- d. Demonstration of the ability to address USAID communication and outreach requirements including annual reporting, success stories, case studies, media outreach, etc.

Adjective Rating	Definition and Criteria
EXCELLENT	The application strengths demonstrate an excellent understanding of the requirements and the new or proven approach significantly exceeds performance or capability standards. The application has several exceptional strengths that will significantly benefit the government. The application has no weaknesses; normal recipient effort and normal government monitoring will be sufficient to minimize risk. The application is extensive, detailed, and exceeds all requirements and objectives; the institution and the proposed key personnel has the relevant expertise and experience in the areas to be covered by the project, therefore, has a high probability of meeting the requirements with little or no risk to the government.
GOOD	The application demonstrates a good understanding of the requirements and the approach exceeds performance or capability standards. The application has one or more strengths that will benefit the government. Any application weakness has little potential to cause a disruption of schedule, an increase in cost, or a degradation of performance. Normal recipient effort and normal government monitoring will probably be able to overcome difficulties. The application generally exceeds requirements in minor areas; therefore, has a good probability of meeting the requirements with little risk to the government.
SATISFACTORY	The application demonstrates an acceptable understanding of the requirements and the approach meets performance or capability standards. The application has no strengths that will benefit the government. The application has no material weaknesses. Any application weakness can potentially cause a disruption of schedules, an increase in cost, or a degradation of performance. Special recipient emphasis and close government monitoring will probably minimize any difficulties of risk. The application generally meets requirements; therefore, has an acceptable probability of meeting the requirements.

MARGINAL	The application demonstrates a limited understanding of the requirements and the approach only marginally meets performance or capability standards necessary for minimal performance. The application has minor omissions and demonstrates a misunderstanding of the requirement that may be corrected or resolved through discussions without a complete revision of the proposal. The approach has weaknesses that can potentially cause some disruption of schedule, increase in cost, or degradation of performance even with special recipient emphasis, and close government monitoring.
UNSATISFACTORY	The application demonstrates a misunderstanding of the requirements and the approach fails to meet performance or capability standards. The application has major omissions and inadequate detail to assure the evaluators that the applicant has an understanding of the requirements. The application proposes an unacceptable risk and cannot meet the requirements without major revisions.

**5. Past Performance (Important)**

Past performance will be evaluated based on the applicant’s record in implementing related activities and prior success in this type of project:

- Ability to carry out participatory development activities and maintaining positive and effective relationships with partners,
- Timeliness on meeting milestones; and
- Ability to implement activities within budget and use of cost efficient measures.

This criteria will be evaluated by based on the above and will receive an adjectival rating of high, moderate, or low risk. The risk assessment will be based on the applicant’s institutional capability and record and prior success in implementing related activities, as it relates to the probability of successful accomplishment of the required effort.

<i>Assessment of Risk</i>	<i>Standards</i>
LOW	The applicant meets all the requirements and/or standards with regard to past performance. This indicates that the applicant has an excellent likelihood of achieving the objectives of the project.
MODERATE	The applicant does not meet some of the requirements and/or standards with regard to past performance. This indicates that the applicant has an adequate likelihood of achieving the objectives of the project.
HIGH	The applicant does not meet all the requirements and/or standards with regard to past performance. This indicates that the applicant has a marginal likelihood of achieving the objectives of the project.

**C. COST EVALUATION CRITERIA**

**1. Cost Effectiveness and Cost Realism of the Application**

- Is the budget for the proposed project detailed, realistic, reasonable, and cost-effective?
- Has provision been made for the evaluation and monitoring of the proposed project?

Evaluation points will not be awarded for cost. Cost will primarily be evaluated for realism, allowability, and reasonableness. This evaluation will consist of a review of the cost portion of an Applicant’s application to determine if the overall costs proposed are realistic for the work to be performed, if the costs reflect the applicant’s understandings of the requirements, and if the costs are consistent with the Technical Application.

Evaluation of Cost Applications will consider, but not be limited to, the following:

- Cost reasonableness, cost realism and completeness of the cost application and supporting documentation;

- Overall cost control/cost savings evidenced in the application (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements).

Cost realism is an assessment of accuracy with which proposed costs represent the most probable cost of performance, within each Applicant's technical and management approach. A cost realism evaluation shall be performed as part of the evaluation process as follows:

- Verify the Applicant's understanding of the requirements.
- Assess the degree to which the Cost Applications accurately reflect the technical and management approach as well as the risk that the Applicant will be successful in providing the supplies or services for the costs proposed.
- Assess the degree to which the costs included in the Costs Applications accurately represent the work effort included in the respective Technical Applications.

The results of the cost realism analysis will be used as part of the Agency's best value/tradeoff analysis. Although technical evaluation criteria are significantly more important than cost, the closer the technical evaluation scores of the various applications are to one another, the more important cost considerations will become. Therefore, the evaluation of costs proposed may become a determining factor in making the award.

#### **D. METHODS OF APPLICATIONS SUBMISSION**

Offerors will submit their proposal electronically, via internet email, with attachments compatible with Adobe Acrobat (PDF) and Excel MSOffice 2010 in an MS Windows environment, to: [aidmnlorp@usaid.gov](mailto:aidmnlorp@usaid.gov) with a copy to [orpmailbox@usaid.gov](mailto:orpmailbox@usaid.gov). Each email must not exceed 5mb in size. And all files are to be PDF except for cost spreadsheets, which are to be provided as Excel files with cell formulas intact and not exceeding 5mb in file size.

Should offerors send multiple files, they are to be clearly named to allow sequential viewing and/or printing, and the offeror should include instructions in regards to the number of files and their names. Technical and cost proposals are to remain separate. All emails containing proposal files must be received by the closing date and time and should in the address line state "SOL-438-11-000001 Technical or Cost Proposal email number X."

For this RFA, written inquiries may be submitted via email, identifying solicitation number SOL-438-11-000001, to the Agreement Officer at [dglisan@usaid.gov](mailto:dglisan@usaid.gov) with copy to Procurement Secretary Irene Narag at [aidmnlorp@usaid.gov](mailto:aidmnlorp@usaid.gov). Any inquiries, however, must be submitted no later than the designated date and time as specified in the cover letter of this RFA.

Applicants are requested to submit applications for both technical and cost portions. Technical applications must not make reference to pricing data in order that the technical evaluation may be made strictly on the basis of technical merit.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the [www.grants.gov](http://www.grants.gov) opportunity. Final award of any resultant cooperative agreement(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; shall circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Answers to all questions received by the time specified will be issued as an amendment to the RFA. For all inquiries and questions, please provide a contact person's name, phone number and email address. To allow adequate response time, questions must be received by 2 September, 2011; 1730 Addis Ababa Local Time.

1. Address to Request Application Package

This application is found on the internet at [www.grants.gov](http://www.grants.gov) . Potential applicants that cannot download application materials electronically may request paper copies of the RFA by contacting:

*Dion Glisan (Ms.)  
Contracting and Agreement Officer  
Office of Regional Procurement (ORP)  
USAID/Philippines  
Tel.: 63 2)552-9925  
Fax: (63 2)551-9297  
Email: [dglisan@usaid.gov](mailto:dglisan@usaid.gov)*

**END OF SECTION II. APPLICATION AND SUBMISSION INFORMATION**

### SECTION III OTHER INFORMATION

#### A. CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF RECIPIENT REQUIRED FOR COOPERATIVE AGREEMENT AWARD

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

#### PART I - CERTIFICATIONS AND ASSURANCES

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

\_\_\_\_\_ (hereinafter called the "Applicant")  
(Name of Applicant)

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

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

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

##### 2. CERTIFICATION REGARDING LOBBYING (SEE 22 CFR 227)

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned,

to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

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

#### Statement for Loan Guarantees and Loan Insurance

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

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

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

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

### **4. CERTIFICATION REGARDING TERRORIST FINANCING IN ACCORDANCE WITH AAPD 04-14**

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

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

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaeda Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - b. "Terrorist act" means-
    - (i) An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
    - (ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub-national groups or clandestine agents; or
    - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
  - c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
  - d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
  - e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts

to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

**5. CERTIFICATION OF RECIPIENT**

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

RFA/APS No. \_\_\_\_\_  
Application No. \_\_\_\_\_  
Date of Application \_\_\_\_\_  
Name of Recipient \_\_\_\_\_  
Typed Name and Title \_\_\_\_\_  
Signature \_\_\_\_\_  
Date \_\_\_\_\_

**6. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

- (1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For recipients other than individuals, Alternate I applies.
- (4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The recipient certifies that it will provide a drug-free workplace by:
  - (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (B) Establishing a drug-free awareness program to inform employees about--
    - 1. The dangers of drug abuse in the workplace;
    - 2. The recipient's policy of maintaining a drug-free workplace;
    - 3. Any available drug counseling, rehabilitation, and employee assistance programs; and
    - 4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

- (C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b)(1)(A);
- (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the Cooperative Agreement, the employee will—
  - 1. Abide by the terms of the statement; and
  - 2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;
- (F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted—
  - 1. Taking appropriate personnel action against such an employee, up to and including termination; or
  - 2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific Cooperative Agreement:

Place of Performance (Street address, city, county, state, zip code)

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Alternate II

The recipient certifies that, as a condition of the Cooperative Agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the Cooperative Agreement.

**7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]**

(a) Instructions for Certification

- 1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.
- 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- 4. The prospective primary participant shall provide immediate written notice to the department or

agency to whom this application is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this application is being submitted for assistance in obtaining a copy of those regulations.
  6. The prospective primary participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
  7. The prospective primary participant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
  8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
  9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.
  10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions
- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
    - (A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
    - (B) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
    - (C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification; (D) Have not within a three-year period preceding this application/application had one or more public transactions (Federal, State or local) terminated

for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

**PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

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

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_ (MM/DD/YYYY)  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Organization: \_\_\_\_\_  
Address: \_\_\_\_\_  
Date of Birth: \_\_\_\_\_

**NOTICE:**

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

**PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING (SEE ADS 206)**

1. I hereby certify that within the last ten years:
  - a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
  - b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
  - c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_  
Name: \_\_\_\_\_  
Date: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
Date of Birth: \_\_\_\_\_

**NOTICE:**

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

**PART IV - "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)**

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.<sup>[9]</sup>

<sup>[9]</sup>The following footnote should only be included in awards to Alliance for Open Society International (AOSI), Pathfinder, or a member of the Global Health Council (GHC) or InterAction (with the exception of DKT International, Inc.):

“Any enforcement of this clause is subject to Alliance for Open Society International v. USAID, 05 Civ. 8209 (S.D.N.Y., orders filed on June 29, 2006 and August 8, 2008) (orders granting preliminary injunction) for the term of the Orders.”

The lists of members of GHC and InterAction can be found at:

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

(b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

(b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

(i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;

(ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or

(iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

(c) The following definitions apply for purposes of this provision:

"Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.

"Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.

"Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

(e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

**PART V - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."**

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

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

RFA/APS No. \_\_\_\_\_  
Application No. \_\_\_\_\_  
Date of Application \_\_\_\_\_  
Name of Applicant/Subgrantee \_\_\_\_\_  
Typed Name and Title \_\_\_\_\_  
Signature \_\_\_\_\_

## **PART VI - “ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)**

An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multi-sectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

## **PART VII - CONDOMS (ASSISTANCE) (JUNE 2005)**

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID’s fact sheet entitled, “USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at:

[http://www.usaid.gov/our\\_work/global\\_health/aids/TechAreas/prevention/condomfactsheet.html](http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html)

## **PART VIII - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

## **PART IX - SUPPORTING USAID’S DISABILITY POLICY IN COOPERATIVE AGREEMENTS**

“USAID Disability Policy - Assistance (December 2004)

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

<http://www.usaid.gov/about/disability/DISABPOL.FIN.html>

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

## **PART X - OTHER STATEMENTS OF RECIPIENT**

### **1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Email Address
_____	_____	_____	_____
_____	_____	_____	_____

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

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

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

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

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

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

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

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

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

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

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

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

**5. PROCUREMENT INFORMATION**

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

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

\$ \_\_\_\_\_

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

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

TYPE/DESCRIPTION PROBABLE (Generic)	QUANTITY UNIT COST	ESTIMATED GOODS COMPONENTS	PROBABLE GOODS SOURCE	PROBABLE GOODS COMPONENTS	PROBABLE GOODS ORIGIN
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- (e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

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

TYPE/DESCRIPTION NATIONALITY (Generic)	QUANTITY UNIT COST	ESTIMATED (Non-US Only)	PROBABLE SLUPPIER for NON-US
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- (g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property

for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

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

## 6. PAST PERFORMANCE REFERENCES

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

## 7. TYPE OF ORGANIZATION

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

- (a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of \_\_\_\_\_,  an individual,  a partnership,  a nongovernmental nonprofit organization,  a state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or
- (b) If the recipient is a non-U.S. entity, it operates as  a corporation organized under the laws of \_\_\_\_\_ (country),  an individual,  a partnership,  a nongovernmental nonprofit organization,  a nongovernmental educational institution,  a governmental organization,  an international organization, or  a joint venture.

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and sub-contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

**B. ANNEXES**

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**ANNEX I - MANDATORY PROVISIONS**

1. Mandatory Standard Provisions for U.S. Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/303maa.pdf> .
2. Mandatory Standard Provisions for Non-U.S., Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/303mab.pdf> .

## **ANNEX II - BUDGET PREPARATION GUIDANCE**

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

### **Personnel**

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

### **Fringe Benefits & Allowances**

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

### **Travel & Per Diem**

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

### **Equipment & Supplies**

In accordance with 22 CFR 226, ‘equipment’ means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. Applicants may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

In accordance with 22 CFR 226, ‘supplies’ means all personal property excluding equipment, intangible property, debt instruments and interventions.

### **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grant, which should be included in other direct costs.

### **Construction**

N/A

### **Other Direct Costs**

Applicants are to identify all costs associated with training of project personnel. Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The Applicant should provide information on any costs attributed to the project not associated above; i.e., communications, facilitate, fuel vehicles, repair, maintenance and insurance.

**Sub-agreements**

Include in this budget class category all subgrants.

**Indirect Costs/Charges**

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

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

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

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

**SAMPLE COOPERATIVE AGREEMENT BUDGET**

SF 424, Sec. B, Item 6

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

## ANNEX III - ENVIRONMENTAL CONCERNS

### 1. Conditions for Award:

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

Implementing agencies must adhere to USAID's Environmental Compliance Procedures, Title 22, Code of Federal Regulations, Part 216 (22 CFR 2163). Specific procedures for every new and/or amended program or project are set forth in this guidance. In addition, the Contractor/Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

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

### 2. Environmental Regulations and References

USAID's general launching point for information relating to environmental assessments and guidelines are available at:

- a) [http://www.usaid.gov/our\\_work/environment/compliance/index.html](http://www.usaid.gov/our_work/environment/compliance/index.html)
- b) USAID's list of key contacts (Environmental Officers) in Bureaus and Missions at [http://www.usaid.gov/our\\_work/environment/compliance/officers.html#aec](http://www.usaid.gov/our_work/environment/compliance/officers.html#aec)
- c) USAID's Environmental Training Course Materials, including Title 22 of the Code of Federal Regulations, Part 216 that governs the U.S. government's environmental impact abroad. The site also contains various forms and templates relating to Initial Environmental Examinations. <http://www.encapafrika.org/EPTM.htm>

**ANNEX IV - SAMPLE COOPERATIVE AGREEMENT FORMAT AND SCHEDULE**

Mr. X  
President  
XYZ, Organization  
Anywhere, U.S.A.

Subject: Award Number \_\_\_\_\_

Dear Mr. Doe:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as ‘USAID’ or ‘Grantor’) hereby awards to the XYZ Organization (herein after referred to as ‘XYZ’ or ‘Recipient’), the sum of \$\_\_\_\_\_ to provide support for a program in \_\_\_\_\_ as described in the Schedule of this agreement and the Attachment 2, entitled ‘Program Description.’

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending \_\_\_\_\_. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This agreement is made to the XYZ, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program summary"; and Attachment 3 entitled "Standard Provisions."  
[NOTE - Do not include reference to 22 CFR 226 if Agreement is with a Non-US Organization]

Please sign the original and each copy of this letter to acknowledge your organization’s receipt of the grant, and return the original and all but one copy to the Agreement Officer.

Sincerely yours,

Agreement Officer

Attachments:

1. Schedule
2. Program summary
3. Standard Provisions

ACKNOWLEDGED:

XYZ Organization

By: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

FISCAL DATA

A. GENERAL

- 1. Total Estimated USAID Amount: \$ \_\_\_\_\_
- 2. Total Obligated USAID Amount: \$ \_\_\_\_\_
- 3. Cost-Sharing Amount (Non-Federal): \$ \_\_\_\_\_
- 4. Project Number: \_\_\_\_\_
- 5. USAID Project Office: \_\_\_\_\_
- 6. Tax I.D. Number: \_\_\_\_\_
- 7. DUNS Number: \_\_\_\_\_
- 8. LOC Number: \_\_\_\_\_

B. SPECIFIC

(as appropriate)

- 1. MAARD Number: \_\_\_\_\_
- 2. Appropriation: \_\_\_\_\_
- 3. Allocation: \_\_\_\_\_

Part II Sample Cooperative Agreement Format

A. Purpose of Agreement

The purpose of this Agreement is to provide support for the program described in Attachment 2 to this Agreement entitled "Program Description."

B. Period of Agreement

- 1. The effective date of this Agreement is \_\_\_\_\_. The estimated completion date of this Agreement is \_\_\_\_\_.

[Note - For incrementally funded agreements or where pre-award expenses are authorized, add the following sentence:]

- 2. Funds obligated hereunder are available for program expenditures for the estimated period \_\_\_\_\_ to \_\_\_\_\_ as shown in the Agreement budget below.

C. Amount of Award and Payment

[Note - For fully funded agreements use the following:]

- 1. USAID hereby obligates the amount of \$ \_\_\_\_\_ for purposes of this Agreement.
- 2. Payment shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_ [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

- or -

[For incrementally funded awards use the following in lieu of the above:]

- 1. The total estimated amount of this Award for the period shown in B.1 above is \$ \_\_\_\_\_.
- 2. USAID hereby obligates the amount of \$ \_\_\_\_\_ for program expenditures during the period set forth in B.2. above and as shown in the Budget below. The recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the recipient for the expenditure of amounts in excess of the total obligated amount.

3. Payment shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_. [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

4. Additional funds up to the total amount of the grant shown in C.1 above may be obligated by USAID subject to the availability of funds, satisfactory progress of the project and continued relevance to USAID programs.

**D. Budget**

[Note - the items included in the Budget, including local cost financing items, should relate to the results, activities or functions described in Attachment 2 - Program summary, not to specific cost items (such as salaries or travel) except for those listed at items 4-6 below. However, at the discretion of the Agreement Officer, an alternative budget may be appropriate.]

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with \_\_\_\_\_. [Note - For U.S. Organizations cite 22 CFR 226.25; for Non-US refer to Standard Provision entitled "Revision of Grant Budget."]

Total*	From** __to** __		From** __to** __	
	From** __to** __		From** __to** __	
Cost Element	\$U.S. Local Currency		\$U.S. Local Currency	\$U.S. Local Currency
1.				
2.				
3.				
4. Training				
5. Procurement				
6. Indirect Costs overhead				
7. Total \$	_____		_____	_____

\* Use all three columns for incrementally funded grants, otherwise use only this column.

\*\* Insert effective and expiration dates of grant or obligation/funding dates.

**E. Reporting and Evaluation**

**1. Financial Reporting**

The Recipient shall submit \_\_\_ (an original and two copies of \_\_\_\_\_) [Note – Agreement Officer to determine type of report, frequency of reporting periods and address]. Financial Reports shall be in keeping with \_\_\_\_\_ [Note - for US Organizations add: 22 CFR 226.52; for Non-US refer to appropriate Standard Provision]. For U.S. Organizations under Letter of Credit the following language shall be used:

“In accordance with 22 CFR 226.52 the SF 425 and 425A will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1) The SF 425 and 425a (if necessary) will be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) . The SF 425 or 425a (as appropriate) shall be submitted to the Agreement Officer Technical Representative with one copy to the Agreement Officer [NOTE: if Agreement Officer desires a copy].

\* 2) In accordance with 22 CFR 226.70 - 72 [Note: for Non-US organizations refer to appropriate Standard Provision] the original and two copies of final financial reports shall be submitted as follows: M/FM, the Agreement Officer (if requested) and the CTO. The electronic version of the final SF 425 or 425a shall be submitted to HHS in accordance with paragraph (1) above.

## 2. Program Reporting

The Recipient shall submit \_\_\_\_ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to \_\_\_\_ [Note - specify name and title of Agreement Officer Technical Representative and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted \_\_\_\_ [Note - state frequency, not to exceed quarterly] and shall contain the following information \_\_\_\_\_ [Note - state reporting requirements, as related to the Program Description].

### Final Report

The Recipient shall submit the original and one copy to \_\_\_\_ [Note - specify name and title of Agreement Officer Technical Representative and the Agreement Officer, if desired, along with address] and one copy to USAID Development Experience Clearinghouse, ATTN: Document Acquisitions, 1611 N. Kent Street, Suite 200, Arlington, VA 22209-2111 (or e-mail: [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org)).

(NOTE – Agreement Officer to verify ADS 540 for detailed information on which categories of development experience documents should or should not be submitted to CDIE and appropriate format for electronic transmission.)

The final performance report shall contain the following information \_\_\_\_\_ [Note – state reporting requirements, as related to the Program Description].

### F. Special Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized. Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226 which have been approved as deviations for the specific award.]

### G. Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

### H. Title to Property

[Note - Specify to whom title will vest for property, by category if appropriate.]

[Note - For awards having a procurement element greater than \$250,000, add the following:]

### I. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is \_\_\_\_\_.

[Note - For awards with a cost-share element add the following:]

#### J. Cost Sharing

The Recipient agrees to expend an amount not less than \_\_\_\_\_ [Note - put in percentage] of the total activity costs.

[For awards with US or Non-US Organizations which may generate Program Income add the following:]

#### K. Program Income

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-U.S. organizations). Program Income earned under this award shall be applied and used as follows: [Note – Agreement Officers in consultation with the Technical Officer must decide how Program Income will be applied: 1) added to the Project; 2) used to finance the non-Federal share; or 3) deducted from the total Federal share. All three may be picked as long as a descending order (i.e., "excess amounts may be applied to another alternative") is established in accordance with 22 CFR 226.24. Agreement Officers are encouraged to be as specific as possible in detailing the appropriate types of activities Program Income may be applied for when using the additive option as described at 226.24(b)(1).

**ANNEX V - PAST PERFORMANCE INFORMATION**

**PAST PERFORMANCE INFORMATION**

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

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

**END OF SECTION III OTHER INFORMATION**

**END OF RFA 438-11-00001 CITIZEN ENGAGEMENT AND ELECTIONS PROJECT (CEE)**