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Concept Note Closing Date:	March 22, 2012 @ 2:00 p.m. EDT
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Subject: Request for Application (RFA): RFA-0AA-12-000004
Higher Education Solutions Network

Dear Prospective Applicant:

Pursuant to the Foreign Assistance Act (FAA) of 1961, as amended, the United States Government (USG) as represented by the United States Agency for International Development (USAID), Bureau for Policy, Planning and Learning (PPL), Office of Science & Technology (S&T) is seeking applications from organizations interested in implementing a five-year USAID Higher Education Solutions Network program, as fully described in this Request for Applications (RFA). Eligible organizations (see Section III of this RFA) interested in receiving funding for innovative programs are encouraged to carefully read this RFA in its entirety.

The primary goal of this program is to establish institutional partnerships that will create and leverage a virtual network of leading experts who will help USAID solve distinct global development challenges. This network will help USAID identify new solutions and by working together, save money and improve results over time.

Please refer to Section I, the Funding Opportunity Description, for a complete statement of goals, objectives and anticipated outcomes. The successful applicant(s) will be accountable for ensuring achievement of the program objectives as stated in this RFA.

The application process is a two-step process: The first step is to submit a Concept Note by the closing date and time listed in the cover letter above. If initial review by a panel of internal and external evaluators indicates the Concept Note merits further consideration for funding, USAID will request a full application. Representatives from the apparently successful applicants may be asked to convene in Washington, DC in early September.

Please note that the RFA is a limited application submission process. An institution may submit no more than three (3) applications as the lead. Each applicant institution is restricted to two (2) individual institution center applications and a single application serving as the lead (primary) on an application composed of a group of institutions competing for a "Consortium level" award. Institutions are free to serve as collaborating partners (but not the lead) in as many applications as they feel is appropriate and can be programmatically justified. Applications that fail to adhere to this restriction will be viewed as being non-responsive to this RFA and their application will not be reviewed.

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This RFA consists of this cover letter and the following:

1. Section I: Funding Opportunity Description;
2. Section II: Award Information;
3. Section III: Eligibility Information;
4. Section IV: Application and Submission Information;
5. Section V: Application Review Information;
6. Section VI: Award and Administration Information;
7. Section VII: Agency Contacts;
8. Section VIII: Other Information; and,
9. Attachments

This RFA can be viewed and downloaded from the Internet at www.grants.gov and at www.usaid.gov/universities. USAID bears no responsibility for data errors resulting from transmission or conversion processes. If the applicant has difficulty registering or accessing the RFA or related documents, the applicant should contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@grants.gov for technical assistance. Further, be aware that amendments to this RFA may be issued and will be posted on the same Internet site from which you downloaded this RFA. You are advised to regularly check the above Internet site for amendments and are encouraged to sign up for update notifications on the RFA at www.grants.gov.

It is USAID policy not to award profit under assistance instruments, however, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the Agreement program and are in accordance with applicable cost principles 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), 2 CFR 220 for universities (formerly OMB Circular A-21) and the Federal Acquisition Regulation (FAR) Part 31 for -profit organizations, may be paid under the Agreement.

Subject to availability of funds, USAID intends to fund multiple multi-million dollar program(s) to be allocated over a five-year period. USAID anticipates awarding multiple cooperative agreements as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

If you decide to submit an application, it must be received by the closing date and time indicated at the top of this cover letter and pursuant to the instructions in the RFA. Any questions concerning this RFA must be submitted in writing **via email** to UERFA@usaid.gov on or before the deadline for receipt of questions stated in the cover letter of this RFA. Following this period, the questions, if any, (without attribution to the organization), and responses will be posted as a Questions and Responses document, or as an amendment to the RFA if necessary in submitting applications or if the lack of such information would be prejudicial to any other prospective applicant. Submission of questions should be identified in the email subject line as follows: “[ORGANIZATION NAME] Questions on RFA for USAID Higher Education Solutions Network”.

Applicants are requested to submit the technical and cost portions of their applications as separate electronic attachments. Awards will be made to the responsible applicant(s) whose applications offer best value to the U.S. Government.

Issuance of this RFA does not constitute an award commitment on the part of USAID nor does it commit USAID to pay for any costs incurred in the preparation and submission of an application in response to the RFA. In addition, any final award(s) as a result of the solicitation cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is

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anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Thank you for your interest in this USAID initiative. We look forward to your institution's participation.

Sincerely,

/s/

Marcus A. Johnson, Jr.
Agreement Officer
Office of Acquisition & Assistance

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

I.1 Introduction and Purpose

The President’s Policy Directive on Development (PPD-6) highlights the importance of partnership, innovation, and science and technology to achieve development objectives. In this pursuit, the United States Agency for International Development (USAID) is taking a new approach to solving major development challenges. By partnering with universities and research institutions, both in the United States and abroad, USAID will create and leverage a virtual network of experts who are focused on solving distinct global development challenges. Over time, this network will help USAID identify new solutions and by working together, will save money and improve development results.

We expect that the partnerships will focus on complex development challenges and approach these challenges by applying creative, evidence-based and multidisciplinary approaches. We believe that science, technology and engineering will play key roles in these approaches, and also seek ideas from the institutions as to other contributing disciplines, and how faculty, students, and staff will contribute.

The core development objectives that are outlined in USAID’s Policy Framework 2011-2015, which can be found electronically at http://www.usaid.gov/policy/USAID_PolicyFramework.PDF should serve as a guide for the broad types of challenges we seek to address as part of this initiative.

Applicants are encouraged to think creatively and offer new ideas that will address development challenges in a manner that can be scaled and made sustainable by local country governments in order to reduce the need for foreign assistance over time.

I.2 Background

USAID has a long history of partnership with institutions of higher education, research institutes, colleges, and community colleges. The Agency’s academic partners have predominantly focused on either program implementation, or capacity-building through domestic and international programs. USAID seeks to build a new relationship that takes advantage of new trends on campuses, including shifts in institutional structures to reflect more international work, multidisciplinary approaches, and the use of new technologies and programming. USAID’s new Higher Education Solutions Network initiative seeks to leverage these trends in order to maximize results for its development programs by working with leading experts to develop transformative approaches, models and ideas that can be broadly shared and implemented.

This is an opportunity to reimagine how development advancements are tested, incubated and supported to scale up solutions, and create knowledge that advances development progress for the larger development community.

I.3 Program Objectives

The intent of this program is to harness the knowledge, research, and creativity found on higher education campuses to further increase the effectiveness and efficiency of USAID’s development programs while reducing the costs over time.

By leveraging the capacity and knowledge of universities and research institutions, USAID seeks to broaden the capacity of development institutions more broadly, including USAID, developing countries, and other donor organizations. In this way, academic institutions involved in the partnership will serve

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as virtual centers of knowledge that will help USAID and the larger development community better understand problems, and evaluate and develop new solutions to development challenges. Partnering institutions will foster innovations in science and technology, and engage and inspire a new and broader community of scholars and students involved in the complex issues of international development planning, execution, and assessment. Specifically, through the resultant cooperative agreement(s), the academic community will support USAID and other development organizations to improve their analytical capabilities in understanding development challenges and core barriers to addressing them, catalogue solutions to different challenges, catalyze and bring forward novel approaches to addressing development problems, and encourage the development and application of new tools within science, technology, and engineering to improve the efficacy and decrease cost of development interventions.

I.4 Program Goal

The overall goal is to substantially improve the efficacy and impact of USAID's programs and policies by harnessing the power of universities and other research institutions as centers of innovation for development. Through this program, the Agency seeks to be better stewards of public and private funds by increasing the efficiency, efficacy and impact of our policies and programs.

I.5 Overview and Program Rationale

I.5.1 The President's Policy Directive on Development (PPD-6) highlighted the importance of partnership, innovation, and science and technology to achieve development objectives. USAID operationalized the PPD-6 by issuing USAID's Policy Framework 2011-2015, which detailed the principles of partnership, innovation, and science and technology to guide USAID's 80 Missions around the world.

I.5.2 To this end, USAID is transforming its approach to international development through *USAID Forward*, an ambitious reform effort that emphasizes data-driven development based on science (including social sciences), technology and engineering, leveraging universities and federal science agencies, encouraging creativity, and focusing on results and impact.

I.5.3 USAID also recognizes that the United States' future economic growth has been tied to investments in science, technology, and engineering, and that huge potential for economic growth, trade and business linkages exist between the emerging markets and the United States. Universities often serve as incubators for new ideas and approaches that have the power to advance economic interests for the United States while also fostering growth, and economic ties, with other nations.

I.5.4 USAID occupies a unique space in the translation of scientific research and technology to development problems by incorporating tools and knowledge from the social sciences, natural sciences, and engineering. Many of the Agency's greatest successes in international development have integrated science, technology, and engineering. These three disciplines have elevated the Agency's capacity to effectively conceptualize a problem, critically evaluate complex systems and alternative approaches, and better analyze data in order to improve decision-making and development efficacy.

I.5.5 In support of this effort, USAID seeks to create and engage Centers tied to higher education and research institutions to strengthen the Agency's policy and program development, monitoring, and evaluation capacities; catalyze innovation around development; support capabilities in science, technology, and engineering; and attract and retain talent for optimizing international development efforts.

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I.6 Establishment of Centers

I.6.1 USAID will fund two types of Centers that will further knowledge of development and innovation, and engage with a broad range of actors.

I.6.1.1 Consortium Centers are robust collaborations among institutions of higher education and/or other non-profit or for-profit organizations that complement each other's strengths. The purpose of a consortium is to undertake efforts that a single entity could not by expanding the scale, efficacy, and knowledge base of a single center. Applicants are encouraged to be creative in the development of such centers, including the formation of alliances of non-academic institutions. All consortia are strongly encouraged to include developing country or research institutions. A consortium consists of a lead institution that manages sub-awards with partners. Alternatively, a consortium could be formed by a series of partners that create a separate legal identity that serves as the legal entity to which the award is made.

I.6.1.2 Single Institution Centers involve a single higher education institution. Single Institution Centers may collaborate with entities outside of the individual institution; it is up to the institution itself to determine whether the nature of their partnerships actually constitute a consortium.

I.6.2 The Centers may encompass a variety of models and approaches to achieve the core functions and goals of this program.

I.6.3 All Centers will build close relationships with USAID, as well as the broader development community. These relationships will bring creative approaches to USAID's development practice and leverage faculty, staff, and student communities. The Centers also will engage these academic partners around key development challenges and potential solutions facing USAID and the larger development community. The activities of all Centers will be in part co-branded with USAID.

I.6.4 The Centers will enhance the capacity of USAID and the broader development community to understand current and future development challenges. The activities of the Centers will be evidence-based and anchored in science, technology, engineering, and applied development research and analysis. The Centers will significantly enhance the ability of USAID to capture and employ best practices throughout the Agency and introduce new ways USAID can improve the use of science, technology, and engineering for development.

I.7 Program Activities and Outcomes

The Centers will help USAID and the larger development community (1) better define development problems and constraints to their solution, (2) identify, test, and create potential and existing solutions to those problems, and (3) then encourage entrepreneurship, experimentation, and innovation in addressing those problems, with the overall goal of improving the effectiveness of the Agency's development efforts. The Centers will provide the Agency, and the larger development community, with data and analysis in support of development policy and programming. They will apply science and technology and engineering for development – supporting experimentation, creativity, and the incubation of new solutions and new technologies for addressing global problems. And finally, the Centers will provide a venue for students, faculty and the broader academic community to engage in development around critical global problems and encourage problem-focused, multidisciplinary approaches to development.

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Specifically, USAID is seeking applications from universities, research institutions, and other interested applicants that achieve the following three goals for the Agency.

I.7.1 Data and Analysis for Development

Centers will serve as analytical hubs for USAID providing evidence-based objective assessments of development problems, their local contexts, and the barriers to their solution. The analysis and data provided by the Centers will inform its policy development, programming and evaluation functions, as well as allow for better, faster decisions to be made. The Centers will help the Agency better understand demands of the developing world to ensure that Agency programming and development community practice targets critical needs. This analytic capacity, in turn, will position the Agency to best deal with future development challenges.

Potential Outcomes:

- Addressing the Agency's need for development data, evidence, and analysis that can feed into policy and programming, including using geospatial technologies.
- Providing predictive analyses that will help USAID better understand future development trends, including changes due to climate, environment, science & technology, ICT technologies, and political and economic trends, and help position the Agency and the development community to respond to them.
- Establishing multidisciplinary systems analysis for key development challenges, including supporting and building communities of problem solvers in priority areas.
- Advancing the frontiers of effective international development by questioning and critically evaluating past and current efforts, including long-held assumptions, across different sectors.

I.7.2 Development Labs and Analytics for Solutions

Centers will assist in facilitating the Agency's understanding of the range of potential solutions, and gaps, for development problems, particularly those that are based in science, technology, and engineering. Centers may create development labs to ideate, design, adapt, test and evaluate rigorously, and help incubate and scale emerging technologies, systems, and approaches for development, in partnership with USAID, leveraging federal science agencies, higher education institutions, private foundations, and developing countries.

Potential Outcomes:

- Development Labs that can design, adapt, and rigorously test emerging technologies and systems for development with partners in developing countries. Multi-disciplinary centers of excellence at academic institutions to serve as incubators of new development technologies and entrepreneurial business models.
- Solution Analysis Centers to identify, catalogue, and evaluate the range of potential solutions to key development problems, including gaps, against the context to which they may be applied.
- Grand Challenges & New Models for Development. Engagement of the technology community (e.g., companies, technology-based NGOs, entrepreneurs), new donors in development, and developing countries by fostering open and collaborative approaches that will inspire and attract new solvers to create tomorrow's development breakthroughs. Partnership with the Agency to develop, incubate, and promote creative approaches around Grand Challenges, including but not limited to, prizes, open innovation, crowd-sourcing, social

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entrepreneurship, advanced market commitments, and novel integrated delivery platforms among donors, foundations, and developing countries.

I.7.3 Engage Students and Create New Approaches for Development.

The Centers will harness the excitement and energy of students and faculty towards global development challenges by creating new opportunities for American students (in partnership with developing country youth) to engage. Further, the Centers will catalyze multidisciplinary approaches to international development problems, and encourage collaboration across disciplines around understanding and addressing core development problems.

Potential Outcomes:

- Catalyze Global Action. Create a global action network that harnesses science, technology, and innovation for development. Emphasis should be placed on improving efficacy and decreasing costs of development programs. Examples include the adoption of creative new approaches adoption (*e.g.*, prizes, Grand Challenges, crowd-sourcing, social entrepreneurship, integrated delivery platforms and advanced market commitments).
- Support a culture of entrepreneurship in the US and developing countries as a means to address developing country problems, including global health, food security, water, climate change, environment, and conflict.
- Foster multidisciplinary approaches to development and engage more deeply with developing countries. Catalyze orientation around problems, not disciplines.
- Establish campus based Centers that will help develop courses, degree programs, and interdisciplinary student teams to expose students to development innovations, projects and internships, and opportunities for experimentation designed to have impact in the developing world.

I.8 Implementation Strategy

I.8.1 Overview: Each Center is encouraged to build a vision and leverage existing relationships and capacity to build capacity that will in time sustain these efforts. The Centers will work closely with USAID's PPL/S&T, or its designates, but should stand alone and have the capacity to form external partnerships and maintain a unique identity that serves the entire development community. PPL/S&T will provide a coordinated means for the Centers to interact with USAID, as well as coordinate their activities in relation to other Centers and USAID higher education partners. The Centers should build many ties to USAID, its missions, and its developing country constituencies, to integrate fully with the Agency. Centers may focus on a particular region, country or on the entire world, but it is up to the applicant to propose the geographic focus (if any) of an application.

Characteristics of successful Centers include:

I.8.1.1 Creativity and Novelty. USAID is looking for creative new approaches to international development that, as appropriate, deviate from standard practice and focus; are structured around problems, rather than disciplines; and employ social entrepreneurship and open innovation. The Centers are encouraged to engage and integrate disciplines not traditionally involved in development to address development challenges faced by the Agency.

I.8.1.2 Multidisciplinary and Analytical. The Centers will focus on multidisciplinary approaches that attract undergraduate and graduate students, faculty, and staff synthetically across fields such as engineering, entrepreneurship, business, agriculture, law, design, biology, medicine, anthropology,

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economics, and public health to apply their expertise and enthusiasm to development challenges. The Centers should encourage systems and complexity thinking in their approach.

I.8.1.3 Sustainability and Impact. Institutions should ensure that Centers leverage outside resources, are sustainable beyond the duration of the award, and that they are influential beyond the institution and benefit the broader academic community, including students, developing countries, USAID, and the development community. Applicants should demonstrate substantial institutional commitment to the centers beyond the term of the award and integrating the work of the center across the institution or consortium.

I.8.1.4 Leverage. The Centers should leverage additional resources, including private donations, foundation support, developing country institutions and knowledge, private sector investments, social entrepreneurs, design and research institutions, media, and other resource partners and knowledge centers. Each Center is encouraged to match proposed funds with sources and foundations outside of USAID to encourage the Centers to serve the larger development community

I.8.1.5 Partnerships. Partnerships are an important of USAID's approach and will be an integral aspect of the Centers. Applicants must explain how they will scale-up impact and influence beyond their institution or consortia by leveraging external donors, engaging with students in the U.S. and the developing world, partnering with federal science agencies and research institutions (potentially through consortia), and working with the private sector, foundations, NGOs, social entrepreneurs, and other development agencies, in bilateral and multilateral arrangements. Centers may unite USAID expertise with external knowledge. Moreover, this expertise should be complemented with connections to scientific and engineering societies, the National Academies, and technical firms. Centers should build relationships with counterparts in the developing world. In the case of consortia, applicants are strongly encouraged to seek a developing country partners; such partners do not have to be restricted to academia. Non-traditional development partners are welcome.

I.8.1.6 Focused problem solving. The Centers are systems to address development problems, not to house disciplines. The Centers will be idea-driven and outcome-oriented, with results measured against quantitative metrics. Further, they will be organized towards rapid acceleration of solving development challenges rather than traditional incremental solutions. They will help define demand, problems, critical constraints, and identify solutions for the development community, particularly with direction from the field and the Policy Bureau to ensure that it is demand-driven. The Centers will encourage the development of entrepreneurial approaches to sustaining and scaling these solutions.

I.8.1.7 Risk tolerant. The Centers will be encouraged to pursue high-risk, high-reward projects (with appropriate monitoring and evaluation) and provide opportunities for learning from failure in development. It should seek out revolutionary, not gradualistic solutions. It should encourage examination of approaches and techniques from traditional development disciplines and approaches.

I.8.1.8 Independent. The Centers should use provocative, re-thinking of long-held assumptions across various development fields, and demonstrate independence of thought, as a way to advancing the effectiveness of development. Centers should leverage external resources to support their efforts. They should be free of both internal and external constraints in their thinking and approach. Their analysis should be based on evidence.

I.8.1.9 Integrated. The Centers must demonstrate how they will closely integrate with USAID-Washington and its Missions abroad to ensure that the Center's activities and work directly serves to improve the efficacy of USAID's development efforts. Centers should provide deep analysis on issues as

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requested by USAID as a resource to generate value-added analysis catered to development practitioners that will contribute to building USAID's intellectual leadership.

I.8.2 Centers should advance the global missions of higher education institutions while at the same time serving as a transformative force in advancing the national interest in effectively fostering international development and cooperation in partnership with USAID. The Centers must undertake specific activities to facilitate knowledge transfer and dissemination with the intention of supporting new approaches, providing key information to public policy makers, and working closely with USAID.

I.9 Center Management, Network Participation and Information Sharing

I.9.1 Role of the Director/Manager(s). Each Center must have a Director/Manager that provides leadership to develop and lead a diverse team to fulfill the vision of the center. S/he is responsible for the management, staffing, and resource allocation and for serving as the liaison between the Center, USAID, and other Centers. The Director/Manager must ensure that the Center develops the ability to communicate effectively with USAID and the other Centers, including through web-based distribution of information, video-conferencing capability, and other modalities.

I.9.2 National Network Participation. Center Director/Managers(s) are expected to participate in the National Network of Director/Manager(s). This group is charged with addressing common goals, problems and opportunities, and facilitating personnel and resource exchanges as well as ensuring linkages and cooperation among Centers and USAID supported activities. Typical functions of this Network include: facilitating interactions to address research, education, and management issues and opportunities that transcend individual center capabilities; planning joint implementation strategies, workshops, and other forums; implementing the development, use and maintenance of databases and other metrics in response to the requirements of the Government Performance and Results Act and other assessment activities; and arranging for documents or web sites to enhance public understanding of the importance of and National interest in international development.

I.9.3 Information Sharing. As part of the Network, Centers will be required to share reports, published methodologies, case-studies and other materials developed through Center activities. This will facilitate broader programmatic coherence, accelerate lessons learned, open new lines of inquiry, and enhance analysis for USAID and the broader development community.

I.10 Key Illustrative Activities

I.10.1 The application should include a clear set of key activities that might include, but are not limited, to the following:

I.10.1.1 Devising comprehensive systems based solutions to development challenges identified in partnership with USAID;

I.10.1.2 Understanding and disseminating the underlying drivers for technology adoption in low resource settings;

I.10.1.3 Devising new, low-cost approaches to development impact evaluation ;

I.10.1.4 Exploring opportunities to utilize new technologies to analyze the demands of the developing world, solutions and assessment methods;

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I.10.1.5 Devising demand driven solutions and methodologies to define and articulate the needs of development beneficiaries;

I.10.1.6 Engaging students, faculty, industry partners and developing world communities in the search for solutions to development challenges and incubating and facilitating entrepreneurial approaches to scaling and sustaining those solutions;

I.10.1.7 Provide policy development in areas such as fragile states and conflict, resilience, urbanization, growth dynamics, global nature of food security, health systems strengthening to help test assumptions and identify the realm of potential development solutions;

I.10.1.8 Devise methods to connect across disciplines within USAID, including promoting interactions between development policy (Washington) and practice (Missions and regional development program).

I.11 Authorizing Legislation

This program is authorized under the Foreign Assistance Act of 1961, as amended.

I.12 Program Eligibility Requirements

All qualified organizations are eligible to submit an application. See Section III. of this RFA.

I.13 Award Administration:

I.13.1 Resulting awards to U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 226, 2 CFR 220 for universities (formerly OMB Circular A-21), 22 CFR 230 for non-profit organizations (formerly OMB Circular A-122), and OMB Circular A-133 for both universities and non-profit organizations or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for U.S. Nongovernmental Organizations.

I.13.2 Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 22 CFR 220 for universities (formerly OMB Circular A-21), 2 CFR 230 for non-profit organizations (formerly OMB Circular A-122), or 48 CFR 31.2 (for for-profit organizations), and Standard Provisions for non-U.S. Nongovernmental Organizations.

I.13.3 Resulting awards to Public International Organizations (PIOs) will be administered in accordance with Chapter 308 of USAID's Automated Directives System (ADS-308) and Standard Provisions for Public International Organizations.

I.13.4 These policies and federal regulations are available at the following web sites:

I.13.4.1 ADS-303: <http://www.usaid.gov/policy/ads/300/303.pdf>

I.13.4.2 22 CFR 226: http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html

I.13.4.3 22 CFR 220 (formerly OMB Circular A-21)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf

I.13.4.4 22 CFR 230 (formerly OMB Circular A-122)

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www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf

I.13.4.5 OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/index.html>

I.13.4.6 48 CFR 31.2: <https://www.acquisition.gov/far/>

I.13.4.7 ADS-308: <http://www.usaid.gov/policy/ads/300/308.pdf>

I.13.4.8 Standard Provisions for U.S. Nongovernmental Organizations:
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

I.13.4.9 Standard Provisions for Non-U.S. Nongovernmental Organizations:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>

I.13.4.10 Standard Provisions for Public International Organizations
<http://www.usaid.gov/policy/ads/300/308mab.pdf>

SECTION II – AWARD INFORMATION

II.1 Implementation Period of Award

Activities pursuant to this RFA will have an implementation period of five years from the date of award. USAID plans to fund approved activities starting in the current fiscal year, which ends on September 30, 2012. However, activities which are not able to be funded in the current fiscal year will start in the following fiscal year. USAID reserves the right to incrementally fund activities over the duration of the program.

II.1.1 USAID may make a determination to extend some, all, or none of the awards upon satisfactory evaluation of Center activities at the end of the funding period and pending availability of resources.

II.2 Anticipated Funding Availability

II.2.1 USAID anticipates funding multi-million dollar awards as a result of this RFA subject to the availability of funds.

II.3 Anticipated Number of Awards

II.3.1 USAID anticipates making multiple awards as a result of this RFA. Nevertheless, USAID reserves the right to make a single award, to fund parts of applications, or not to make any awards at all. Issuance of this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application

II.3.2 USAID anticipates funding Consortium Centers at between \$4-5 million per year and Single Institution Centers at between \$1-2 million per year over a five year period. Applications above a maximum amount of US\$25 million for Consortium Centers and US\$10 million for Single Institution Centers over a five-year implementation period will not be considered.

II.4 Type of Award(s)/Substantial Involvement

II.4.1 USAID anticipates a strong and close working relationship with the successful applicant(s), and will designate a point of contact to facilitate these relationships. It is anticipated that a cooperative agreement(s) will be awarded as a result of this RFA. However, USAID reserves the right to award grants if deemed to be in the best interest of the USG. Cooperative agreements are identical to grants except that USAID will be substantially involved (active involvement by USAID in certain programmatic elements during the implementation of the activity) in the following areas:

II.4.1.1 approval of the recipient's implementation plans (limited to not more frequently than annually);

II.4.1.2 approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);

II.4.1.3 USAID and recipient collaboration or joint participation which includes one or more of the following:

II.4.1.3.1 Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;

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II.4.1.3.2 USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic) provisions of sub-awards;

II.4.1.3.3 USAID approval of a program monitoring and evaluation [M&E] plan (to the extent that such information is not included in the application);

II.4.1.3.4 USAID monitoring to permit direction or redirection because of interrelationships with other projects.

SECTION III – APPLICANT ELIGIBILITY INFORMATION

III.1 This RFA is issued to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding.

III.2 Central Contractor Registration (CCR) and Universal Identifier: All applicants must be registered in CCR and have a DUNS number unless exempt under 22 CFR 25.100 to be eligible to apply under this RFA. See Section IV.4 and IV.5 of this RFA.

III.3 USAID will **not** accept applications from individuals. Foreign governments, state and local governments and USG departments and agencies may also not apply for USAID funding under this RFA. All applicants must be legally recognized organizational entities under applicable law. The following types of organizations may apply for funding under this RFA:

III.3.1 Colleges and Universities: Qualified U.S. and non-U.S. colleges and universities (including minority serving institutions, community colleges, and women’s colleges) may apply for USAID funding under this RFA. USG and USAID regulations generally treat colleges and universities as NGOs, rather than governmental organizations; hence, both public and private colleges and universities are eligible. Non-U.S. colleges and universities in countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

III.3.2 Non-Governmental Organizations (NGOs): Qualified U.S. and non-U.S. private non-profit organizations may apply for USAID funding under this RFA. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

III.3.3 For-Profit Organizations: Qualified U.S. and non-U.S. private for-profit organizations may apply for USAID funding under this RFA. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible. Potential for-profit applicants should note that, pursuant to ADS 303.5(k) and 22 CFR 226.81, the payment of fee/profit to the prime recipient under grants and cooperative agreements is prohibited. However, if a prime recipient has a (sub)-contract with a for-profit organization for the acquisition of goods or services (*i.e.*, if a buyer-seller relationship is created), fee/profit for the (sub)-contractor is authorized.

III.3.4 Private Voluntary Organizations (PVOs): A local or indigenous PVO, which by definition is a non-U.S. PVO operating in the same foreign country in which it is organized, is eligible to receive funding. Local PVOs are not required to register with USAID. In accordance with 2 CFR 203, a U.S. PVO or an “International PVO,” which by definition is a non-U.S. PVO that performs development work in one or more countries other than the country in which it is domiciled, must be registered with USAID to be eligible to receive funding. For more information on registering with USAID as a PVO, please see: <http://idea.usaid.gov/ls/pvo>.

III.3.5 Faith-Based Organizations (FBOs): USAID has published regulations on participation by FBOs in Agency programs. This guide may be found at: http://www.usaid.gov/our_work/global_partnerships/fbci/rule.html

III.3.6 Public International Organizations (PIOs): Public International Organizations may apply for USAID funding under this RFA. A Public International Organization (PIO) is an international organization composed principally of countries, or any other organization that GC or BFS designates.

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III.4 New Partners

USAID encourages applications from organizations that have never received a direct award from USAID. However, resultant awards to these organizations may be significantly delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their “responsibility” (see below). These organizations should take this into account and plan their implementation dates and activities accordingly.

III.5 Geographic Restrictions

Applicants, (including teaming partners and consortium members) regardless of entity type, may not be from a foreign policy restricted country, i.e., Cuba, Iran, North Korea and Syria.

III.6 “Responsibility” of Applicant

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9 (see also Section IV6.4.7 of this RFA. This means that the applicant must possess, or have the ability to obtain, the necessary management and technical competence to conduct the proposed program, and must agree to practice mutually agreed-upon methods of accountability for funds and other assets provided or funded by USAID.

In the absence of an affirmative “responsibility” determination, an award can ordinarily not be made. However, in rare cases, an award can be made with “special award conditions” (*i.e.*, additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmative determination of “responsibility” cannot be made), but only where it appears likely that the applicant can correct the deficiencies in a reasonable period.

III.7 Cost-sharing and Leveraging

Cost-sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are required to contribute resources from own, private or local sources for the implementation of this program. There is no minimum or maximum amount of cost-sharing, but some amount must be provided. The more in-kind and/or cash contributions from non-USG sources included in the application, the more competitive an applicant will be since cost-sharing demonstrates a strong commitment to the planned activities. Applications that include more in-kind and/or cash contributions from non-USG sources will be more competitive, since cost-sharing demonstrates a strong commitment to the planned activities. Cost-sharing is defined at 22 CFR 226.23. Cost-sharing may consist of cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles. Information regarding the proposed cost-share should be included in the SF 424 and the Budget. The cost-sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the program.

This RFA further encourages applicants to leverage additional resources from private donations, foundation support, developing country institutions, private sector investments, social entrepreneurs, design and research institutions, media, and other resource partners and knowledge centers in this program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. The recommended ratio for leveraging resources is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a project. It may include cost-sharing, but may also include resources that third parties bring to the

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program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

IV.1 Points of Contact/Access To Information

IV.1.1 It is anticipated that this RFA, including any references/hyperlinks/attachments set forth herein, contains everything that a potential applicant will need to apply. However, if additional information is needed, a potential applicant may contact the Agency through the following email address:

UERFA@usaid.gov

IV.1.2 Any prospective applicant desiring an explanation, interpretation, or other information related to the RFA must request it in writing soon enough to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of any resultant award(s) will not be binding. Any information given to a prospective applicant concerning the RFA will be furnished promptly to all other prospective applicants as an amendment to the RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants. All questions must be submitted to UERFA@usaid.gov not later than **March 12th, 2012 @ 2:00 p.m. EST**. Applicants may not hold discussions with USAID PPL/S&T staff regarding any aspect of the RFA without prior consultation and coordination with, and authorization of, the Agreement Officer.

IV.2 Standard Form (SF) 424

IV.2.1 As indicated in Section IV.5.3. below, the Cost/Business Application must include the Standard Form 424 (SF-424) package, which consists of:

IV.2.1.1 SF-424, Application for Federal Assistance (SF 424 Mandatory Form)

IV.2.1.2 SF-424A, Budget Information – Non-construction Programs, and

IV.2.1.3 SF-424B, Assurances – Non-construction Programs

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to non-construction activities should be included on the SF-424A.

IV.2.2 These Standard Forms may be accessed electronically at the following URLs:

<http://www.usaid.gov/policy/ads/300/303.pdf>
www.grants.gov/assets/SF424Instructions.pdf

IV.2.3 Complete copies of the Standard Forms may also be found as **Attachment I** to this RFA.

IV.3 Pre-Award Certifications, Assurances, And Other Statements Of Recipient

IV.3.1 The Cost/Business Application must include the following signed Certifications, Assurances, and Other Statements Of The Recipient, which may be found at:

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

Complete copies of these Certifications, Assurances, and Other Statements of the Recipient may also be found in **Attachment II** to this RFA.

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IV.3.2.1 Part I – Certifications and Assurances, which includes:

- IV.3.2.1.1** For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
- IV.3.2.1.2** A signed copy of the certification and disclosure form for **“Certification Regarding Lobbying”** (see 22 CFR 227)
- IV.3.2.1.3** A signed copy of the **“Prohibition on Assistance to Drug Traffickers”** for Covered Countries and Individuals (see ADS 206)
- IV.3.2.1.4** A signed copy of the **“Certification Regarding Terrorist Financing in Implementing Executive Order 13224”**
- IV.3.2.1.5** Certification of Recipient

IV.3.2.2 Part II - Key Individual Certification Narcotics Offenses and Drug Trafficking, if applicable (see ADS 206);

IV.3.2.3 Part III – Participant Certification Narcotics Offenses and Drug Trafficking, if applicable (see ADS 206);

IV.3.2.4 Part IV – Survey of Ensuring Equal Opportunity for Applicants (**Voluntary**)

IV.3.2.5 Part V – Other Statement of Recipients;

IV.4 General Instructions to Applicants

IV.4.1 Applications should be kept as concise and succinct as possible. Detailed information should be presented only when required by specific RFA instructions and be appropriately organized and referenced. The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration.

IV.4.2 For the purposes of this RFA, the term “applicant” is used to refer to the prime. Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

IV.4.3 The Applicant should retain for its records a copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

IV.4.4 An institution can submit no more than three (3) applications as the lead. Each applicant institution is restricted to two (2) Single Institution Center applications and a single application serving as the lead (primary) on an application composed of a group of institutions competing for a “Consortium level” award. Therefore, each institution may submit a total of three (3) applications as a lead institution: two as an individual institution and one as a leader of a consortium. Institutions are free to serve as collaborating partners (but not the lead) in as many applications as they feel is appropriate and can be programmatically justified. Applications that fail to adhere to this restriction will be viewed as being non-responsive to this RFA and their application will not be reviewed.

IV.4.5 All applicants must provide a Data Universal Numbering System (DUNS) number.

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Submission of a Data Universal Numbering System (DUNS) Number. A DUNS number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by internet at www.dnb.com.

1. Access the web page: <http://www.dnb.com>;
2. Click on D&B D-U-N-S Number;
3. Click on "Are you a government contractor, vendor, or grant recipient?";
4. Click on "Click here to request your D-U-N-S Number via the web";
5. Follow the instructions.

Questions should be directed to Dun and Bradstreet.

IV.4.6 All applicants must be registered in the Central Contractor Registration (CCR) unless exempt under 22 CFR 25.100. Central Contractor Registration (CCR) is the U.S. Government Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>). Organizations that apply and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding. See also the Standard Provisions entitled "Central Contractor Registration and Universal Identifier" and "Reporting Subawards and Executive Compensation" at: <http://www.usaid.gov/policy/ads/300/303mab.pdf> (for Non-U.S. organizations) <http://www.usaid.gov/policy/ads/300/303maa.pdf> (for U.S. organizations).

IV.5 Submission Process

The application process is a two-stage process as follows:

IV.5.1 Stage One: Concept Note

IV.5.1.1 Submission Instructions:

Eligible organizations interested in applying for an award in response to this RFA are invited to submit a Concept Note via e-mail to UERFA@usaid.gov (not to exceed **5 (five)** pages). **Concept Notes not submitted through UERFA@usaid.gov will not be considered.** The electronic file must be labeled as follows: "[Organization Name]: Concept Note and [Organization Name]: Supporting Attachments". Proposed programs should have an estimated value and performance period. In developing the Concept Note, the applicant should carefully consider all information contained in this RFA. The Concept Note must be based on the overall description of the funding opportunity described in Section I of this RFA. USAID may opt to exclude from further consideration any submission which is not within these parameters. The Concept Note must clearly state if the application is for a Consortium Center award or a Single Institution Center award (See Section I.6 above). Only applicants who have submitted a Concept Note will be eligible to submit a Full Application, if requested.

IV.5.1.2 Closing Date and Time:

The email submission of the Concept Note in response to this RFA must be submitted electronically in MS Word or .pdf format and Excel for the budget and shall be due no later than **March 22, 2012 @ 2:00 p.m. EDT**. Concept Notes submitted after this date and time will not be considered. The time stamp on the email received shall serve as the official time of receipt. USAID bears no responsibility for transmission errors or delays.

IV.5.1.3 Concept Note Format

Applicants shall use only single-sided 8.5 inch by 11 inch paper or A4 paper, 1.5 line-spaced pages with each page numbered consecutively. Applicants must use Times New Roman font, size 11 or a similar size typeset. A page in the application which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the 5-page limitation. Information submitted as part of the Concept Note over 5 pages will not be evaluated.

Specifically, the Concept Note must include the following:

IV.5.1.3.1 Cover page shall not exceed **1 (one)** page, and must include the following information (not included in 5 page limit):

- Title of Proposed Program
- Name and address of organization
- Type of institution
 - Describe how the institution meets the requirements under the definition in Section III – Eligibility Information
 - Lead & alternate contact point (contact name; telephone number, and e-mail information)
 - Name of the Proposed Center Director/Manager(s).

IV.5.1.3.2 List of Key Personnel (not included in 5 page limit)

IV.5.1.3.3 Letters of Commitment from proposed partners (not included in 5 page limit)

IV.5.1.3.4 Program Concept Note (not to exceed **5 (five)** pages), including:

- Summarize the technical approach, including how the proposed center or consortium meets the goals, purposes, and characteristics of a center described in this RFA in sections 1.3-1.8.
- Describe the opportunity to improve the efficacy of international development efforts, with a particular focus on USAID’s efforts as outlined in the 2011-2015 Policy Framework.
- Describe how the Center will integrate with USAID in Washington and in its Missions.
- Describe how the Center engages and partners with the developing world.
- Explain how this approach is different from existing activities and programs, but generates creativity and novelty to advance development.
- Provide a concise summary of the program description, program methodology, organizational capability, and expected results.
- Describe how proposed partnerships will enhance the activities and/or support sustainability of the Center
- State the bottom line funding request from USAID and the bottom line funding secured from other sources.
- Explain how this program builds on resources at the institution, and its partners, as well as its past performance with the developing world to accomplish these goals.

IV.5.1.3.5 Concept Note Budget Summary (not to exceed **1 [one]** page)(not included in 5 page limit): Budget summary table stating the total funding requested from USAID and the total funding secured by the applicant from its own resources or other sources (state sources, amounts and type of additional support (cost-share and leverage) for the proposed program. Budget is to be in US dollars (US\$).

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Note: If any sections of the submitted Concept Note exceed the designated page limit, USAID reserves the right in its sole discretion to take any appropriate action, including, but not limited to, excluding the pages in excess of the limit and eliminating the applicant from the competition.

IV.5.2 Stage Two: Full Application

IV.5.2.1 Instructions for Full Technical Applications

If initial review by USAID indicates the Concept Note merits further consideration for funding based on the evaluation criteria (see Section V.1 below), USAID will request a full application. The full application must be in English. The full application should reflect full consideration of all the information provided in the RFA. The full application consists of a Technical Application and Cost/Business Application, as described below. Note that a request for a full application does not represent a USAID funding commitment. Once notified, the applicant shall submit a Technical and Cost/Business Application no later than the date and time indicated below.

IV.5.2.2 Submission Instructions: The Full Application, if requested, must be submitted via e-mail to UERFA@usaid.gov. Full Applications **not submitted through UERFA@usaid.gov will not be considered**. The electronic file must be labeled as follows: “[Organization Name]: Technical Application [Organization Name]: Cost/Business Application”.

IV.5.2.3 Closing Date and Time: The email submission of the Full Application in response to this RFA shall be due no later than **July 17, 2012 @ 2:00 p.m. EDT**. The time stamp on the email received shall serve as the official time of receipt. The USAID bears no responsibility for transmission errors or delays. Late applications will **not** be considered.

IV.5.2.4 Technical Application Format: The technical application shall include (1) a Cover Page, (2) an Executive Summary, (3) a Program Description, and (4) Annexes (Resumes & Letters of Commitment). Page limitations for each section are specified below. Applications must be submitted electronically in MS Word or .pdf format or Excel for the budget in two separate attachments: (a) technical and (b) cost/business application. The electronic files must be labeled as follows: [Organization Name]: Full Technical Application and [Organization Name]: Cost/Business Application. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The technical application should be specific, complete, and concise. The technical application should be keyed to the technical evaluation criteria. (See Section V.2 below)

Applicants shall use only single-sided 8.5 inch by 11 inch paper or A4 paper, 1.5 line-spaced pages with each page numbered consecutively. Applicants must use Times New Roman font, size 11 or a similar size typeset. A page in the application which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the 18-page limitation. Information submitted as part of the Technical Application over 18 pages will not be evaluated.

IV.5.2.5 Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

i) Mark the title page with the following legend:

This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this

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application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets; and

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

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

IV.5.2.6 A more detailed description of the full application is as follows:

The Technical Application shall not exceed 18 pages. Not included in the 18-page limitation of the Technical Application are the following (there is no page limitation on these items unless otherwise stated):

- Cover page (not to exceed 1 page)
- Table of Contents
- Acronym list
- Executive Summary (not to exceed 2 pages)
- Past Performance Dividers
- Attachment which contains biographical information (i.e., resumes and other documentation provided by the Applicant) for proposed key personnel
- Management Structure/Organizational Chart
- Letters of Commitment
- List of Key Personnel
- Gender Analysis
- Environmental Requirements

The application must include the following:

IV.5.2.6.1 Cover Page (does not count against the 18 page limit):

The Cover Page, listing all page numbers and attachments, shall not exceed one (1) page, and must include the following information:

- Name and address of organization(s) involved in the proposed application with the lead or prime applicant clearly identified
- Type of institution
- Please describe how the institution meets the requirements under the definition in Section III – Eligibility Information
- Lead & alternate point of contact for the prime applicant (contact name, title or position with the institution/organization, address,; telephone number, e-mail address and fax numbers)
- Name of the Proposed Center Director/Manager(s)
- Signature of authorized representative of the applicant
- Title of proposed program
- Point of contact, hereafter referred to as the “agent,” with the authority to negotiate and legally bind and sign on behalf of the applicant. The agent’s name (both typed and his/her signature), title or

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position in the organization, email and postal addresses, telephone and fax numbers should be included.

- A summary table that lists the primary applicant and all partner organizations, if any, as well as the percentage of overall program activities of each partner.

IV.5.2.6.2 Executive Summary: (does not count against the 18 page limit): A maximum two page brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of your institution/organization. Describe how the overall program will be managed. State the bottom line funding requested from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.

IV.5.2.6.3 Program Description: The Program Description will contain the main parts of the technical application and shall include the following sections:

IV.5.2.6.3.1 Technical Approach

The applicant shall describe the Center's design, including proposed activities, with an emphasis on strategic fit, creativity and performance, leverage, scalability and sustainability, knowledge sharing and monitoring and evaluation.

IV.5.2.6.3.1.1 Strategic fit

1. Situational analysis: describe how the applicant proposes to address the specific development challenges faced by the developing world as identified in the application;
2. Statement of the goals, objectives, and outcomes of the application. Describe how the application addresses this RFA's core goals and objectives as highlighted in Sections I.3-I.7. Describe how these are likely to evolve in the short term, and over the life of the agreement.
3. Describe how the implementation strategy and characteristics of the proposed Single Institution Center or Consortia will meet the program goals and objectives described in Section I. of this RFA.
4. Explain how achieving the objectives of the proposed activities will advance USAID's development pursuits or objectives as outlined in the 2011-2015 Policy Framework in novel and creative ways to improve the efficacy of development efforts, to lower costs, and to get better results at scale.

IV.5.2.6.3.1.2 Creativity and Performance

1. Method(s) of approach, suggesting how this program will improve understanding of development challenges and incentivize novel multi-sector, multidisciplinary solutions that bridge across traditional academic disciplines and improve the efficacy of USAID's global development efforts, decrease costs of our interventions, and allow USAID to achieve sustainability and reach scale.
2. Means to productively interact and influence the current and future approaches taken by USAID in accomplishing its international development activities, in light of changing nature of international development landscape, and global trends in population, environment, demographics, urbanization, economics, connectivity, and science & technology.
3. Anticipated results and indicative measures and methods to monitor and evaluate results as a performance indicator.

IV.5.2.6.3.1.3Leverage, Scalability, and Sustainability

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1. Identify potential linkages or means of leveraging other diverse higher education and research institutions, foundations, companies, NGOs, and other partners to creatively address development challenges. Applicants must explain how they will scale-up impact and influence beyond their institution or consortia by leveraging external donors, engaging with students in the U.S. and the developing world, partnering with federal science agencies and other institutions (potentially through consortia), and working with the private sector, foundations, NGOs, social entrepreneurs, and other development agencies, in bilateral and multilateral arrangements.
2. Describe why the proposed activities are technically.
3. Describe how the proposed activities will be sustained. Explain how these activities could help build long-term mutually beneficial relationships between USAID and the centers.

IV.5.2.6.3.1.4 Knowledge Sharing

1. Describe how the Center will develop strategies that will allow for the effective and timely transfer of demand analyses, new knowledge and innovations to USAID as well as the broader development community in a way to advance USAID's policies, programming, and implementation in Missions and USAID Washington, as well as in the broader development community.
2. Describe how the program will engage and inspire students, in the developed and developing world, around major development challenges within consortia institutions, as well as the global higher education community through programs, prizes, challenges, and potentially, institutional changes.
3. Describe how the Center will share reports, published methodologies, case-studies and other materials developed through Center activities to facilitate broader programmatic coherence, improve learning on development successes and failures, open new lines of inquiry, and enhance development efficacy for USAID and the broader development community.

IV.5.2.6.3.2 Monitoring and Evaluation Plan

Describe the approach to monitoring and evaluation that the applicant will utilize and why this approach is appropriate. Indicate the process by which the indicators will be developed and how monitoring processes and results will be used to inform project management decisions. Indicate ways in which impact will be evaluated on an ongoing basis and at the end of the activity. Include a strategy for achieving long-term development impact through the completion of intermediate results and benchmarks. These benchmarks (standards by which an activity can be measured or judged) may be general at this time but should serve as a framework for the final specific indicators and benchmarks that will be subsequently agreed upon.

IV.5.2.6.3.3 Organizational Capability and Management Plan

Applicants should provide a clear description of their internal capabilities/resources and relevant work experience/history to demonstrate the capacity to successfully manage the proposed program. In this section, the applicant shall:

1. Explain the core technical capacities/resources and institutional support that the applicant offers and address the applicant's financial control system.
2. Provide a brief description of the applicant's areas of expertise and particular capacities in being able to implement the program, including how the applicant will engage its own internal components to take a multidisciplinary approach.
3. Describe the organizational capabilities and expertise of any proposed sub-recipients, if applicable.

IV.5.2.6.3.4 Key Personnel

1. Applicants must describe each proposed key personnel member's role, technical expertise and estimated time (level of effort) each will devote to the project. Proposed key personnel not yet identified may be shown as "TBD" (to be determined). In addition, list non-key personnel involved on a full and part-time basis and level of effort each will devote to the project.
2. Applicants must provide, as attachments, curriculum vitae and other supporting documentation (including sample publications or other documents) for proposed key personnel indicated in the application.
3. Explain the staffing model and specify the composition and organizational structure of the Center (including institutional support). Provide letters of commitment from key personnel.
4. Key personnel fill positions deemed essential for the successful implementation of the award, and should have relevant technical and managerial experience required for the position.

IV.5.2.6.3.5 Management and Implementation Plan

Describe your management and implementation plan:

1. Applicants must provide a proposed first-year implementation plan proposed in matrix format which describes proposed activities describing what activities and when they will take place during the time frame indicated. First-year implementation plan, inputs, outputs, and measurable outcomes should be realistic and achievable within the proposed budget and timeframe and reflect a grasp of the necessary steps to ensure efficient, effective execution of program activities. Results for the end of the first year should be explicit.

Applicants must identify partners for activities where appropriate and describe all proposed sub-awards in the application. The management plan should include how the partners, including subrecipients in a consortium award, will interact and carry out the proposed activities.

2. Using a tabular format, the first year implementation plan shall summarize main activities, objectives, indicators and measurement methods. Link information coherently to succinctly explain how a particular set of activities will achieve a specific objective, and how they will be measured.

Each table should contain the following:

1. A statement of the proposed program goal and the linked to USAID objectives and goals, as appropriate;
2. Main results-oriented objectives that the program will accomplish;
3. Primary activities intended to achieve each stated objective result(s);
4. Examples of key indicators that will measure the results of each objective; and
5. The measurement and data management methods used to collect and analyze indicator data (data sources, frequency of data collection, and methods for collecting and reporting data).

For each activity proposed, please provide a discussion of how that activity and the expected outcomes will contribute to improving USAID's development programs and/or development impact. As appropriate, please also demonstrate explicitly how each activity involves units within USAID, students and faculty, partners, and as appropriate, developing world partners.

IV.5.2.6.3.6 Past Performance Information

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In an attachment that will not count against the page limit, the application must include a list of the applicant (prime) and their implementing partners' contracts, grants, or cooperative agreements involving similar or related programs over the past three years, to include the location(s), name and current telephone number and/or e-mail address of at least one person knowledgeable of the applicant's work on each such program, award numbers for each program (if available), and a brief description of the work performed. Applicants must provide the information described in Attachment 1 – Past Performance Information.

It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested. USAID reserves the right to obtain past performance information from other sources including those not named in the application. The technical evaluation team will review all applications and may engage the applicant for clarifications or further information as needed.

Note: A past contract, grant, or cooperative agreement is not a prerequisite to apply and scoring of application will not be affected, positively or negatively, simply by the fact that the applicant has or has not been a prior recipient of an award.

IV.5.2.6.3.7 Gender Analysis (no more than 1 page - not included in the page limit)

Gender equality and female empowerment are key to effective and sustainable development outcomes. No society can develop successfully without both increasing and transforming the distribution of opportunities, resources, and life prospects for both males and females so that they have equal power to shape their own lives and contribute to their communities. Women's empowerment is achieved when women and girls acquire the power to think and act freely, exercise choice, and fulfill their potential as full and equal members of society. All USAID programming, project design, implementation, monitoring and evaluation must reflect explicit specification and integration of approaches and actions to advance gender equality and female empowerment. Attention to gender equality and female empowerment is facilitated by directly and systematically consulting with and involving both male and female stakeholders in project design, implementation, and evaluation to identify relevant gender gaps, specific ways to reduce them, and serve the needs of both males and females.

The identification of specific gender equality and female empowerment objectives in programming and project design is based on the findings of gender analysis, which is mandated by the ADS 201.3.9.3. Applicants must briefly describe how gender norms and constraints in the implementation context will affect the project and how the project is likely to reduce or exacerbate existing gender gaps. For instance, will men and women have equal access to participate in the project or activity? Will gender awareness training be necessary to ensure that husbands, families, and communities support female participation in the project? The gender analysis should also identify potential adverse impacts and/or risks of gender-based exclusion that could result from planned activities, such as displacing women from access to resources or assets; increasing the unpaid work or caregiver burden of females relative to males; or increasing the risk of gender-based violence, including sexual exploitation or human trafficking, sexually transmitted diseases, and HIV/AIDS.

IV.5.2.6.3.8 Environmental Requirements (no more than 1 page – not included in the page limit)

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

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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. *Respondent* environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this *RFA*.

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

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

Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

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

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

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.

IV.5.2.6.3.9 Supporting Materials (not included in the page limit):

The applicant must submit the Supporting Materials listed below:

1. Organizational Chart - an organizational chart with the names and positions of those who will be involved in implementing the project.
2. Letter of Commitment Intent - Letter of intent from any existing resource or implementing partners.
3. Attachments - includes institutional and individual capabilities and supporting information. (Be concise).

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IV.5.3 Instructions for Cost/Business Application

The Cost/Business Application must be submitted **separately** from the technical application. The Cost/Business Application will be evaluated in accordance with Section V. of this RFA. If the applicant has established a consortium or another legal relationship among its partners, the Cost/Business Application will include a copy of the legal relationship between the parties. The application should include a full description of the relationship between the applicants including identification of the prime applicant serving as point of contact for the agreement administration, identify of the applicant which will have accounting responsibility, how agreement effort will be allocated.

The following sections describe the documentation that applicants must submit to USAID. While there is no page limit to the Cost/Business Application, applicants are encouraged to be as concise as possible, but still provide the necessary details.

The Cost/Business Application shall include the following:

IV.5.3.1 Part I – SF-424 Package

As indicated in Section IV.2 of this RFA, the applicant shall submit the following:

- SF-424, Application for Federal Assistance
- SF-424A, Budget Information, Non-construction Programs, and
- SF424B, Assurances – Non-construction Programs

IV.5.3.2 Part II – Certifications, Assurances, and Other Statements of Applicant/Recipient

This part of the application should include the “Certifications, Assurances, and Other Statements of Applicant/Recipient” described in Section IV.3 of this RFA.

IV.5.3.3 Part III - Detailed Budget Breakdown (Prime Applicant)

The applicant shall provide a detailed budget breakdown for each year of the program and a summary budget for the full period of performance not to exceed five years. The budget shall include a subtotal for each budget line item and the total estimated amount and must not exceed the amount specified in Section II.2 of this RFA. The budget shall contain a separate column for each source of funds/contributions (i.e., USAID, non-federal, and other federal). The budget must provide a breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.

The electronic version of the budget must be provided in an **unprotected** Microsoft Excel format. The budget should be provided in Microsoft Excel 2007, with the narrative and budget notes provided in Microsoft Word 2007 or Adobe Acrobat (pdf), unless there are formulas that are included. In that case please provide all formulas in Microsoft Excel. Adobe Acrobat files for tables will not be accepted.

Data shall be submitted in Microsoft Excel format with full access to all cells, formulas, spreadsheets, and workbooks. No hidden information, cells, formulas, spreadsheets will be permitted. Information referring to cells that are not accessible will not be evaluated. Budget narratives shall be provided in Microsoft Word or PDF format.

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The detailed budget shall follow the budget line items set forth below, as applicable:

IV.5.3.3.1 Budget Line Items:

- A. Personnel/Salaries and Wages
 - B. Fringe Benefits
 - C. Travel, Transportation and Per Diem
 - D. Overseas Allowances
 - E. Equipment
 - F. Supplies
 - G. Contractual
 - H. Training
 - I. Other Direct Costs
 - J. Indirect Costs
- TOTAL

IV.5.3.3.2 Direct Salaries and Wages

A detailed indication of level of effort, including the position titles, names of proposed individuals to fill each position (if known), number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total direct salaries and wages. Anticipated backfill, overtime/premium pay, and salary increases during the term of the cooperative agreement may be included, but the percentage of increase and the anticipated date(s) of increase must be specified.

IV.5.3.3.3 Fringe Benefits

Fringe benefits, if not included in direct labor or indirect costs, shall be shown as a percentage of salaries, and shall indicate the individuals to whom the fringe benefit rate(s) apply, the salary of each individual, the total fringe benefit costs for each individual, and the total fringe benefits.

Unless the negotiated indirect cost rate agreement (see Section IV.4.3.8 below) specifies the fringe benefit rate(s), the proposed rate(s) shall be supported by a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, retirement, workers' compensation, health and life insurance, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

IV.5.3.3.4 Travel, Transportation, and Per Diem

Estimated travel and transportation costs shall be in accordance with the standard provisions entitled "International Air Travel and Transportation" and "Ocean Shipment of Goods."

The budget shall specify, for each traveler, the itinerary (in terms of locations, and, if possible, dates), the estimated airfares, any transportation costs (*e.g.*, excess baggage, unaccompanied baggage) – including the weights, mode of transportation [air, vessel], and unit prices – and the subtotal of all travel and transportation costs.

Estimated lodging and subsistence costs must be in accordance with the applicant's established policies and practices which are consistently applied (however, the U.S. Government's per diem rates¹ shall be

¹ Available on the internet at http://aoprals.state.gov/web920/per_diem.asp

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used as the test of reasonableness and, if the applicant does not have established policies and practices, the U.S. Government per diem rates shall be used), and should specify, for each traveler and for each trip, the location(s) (departure point and destination), the number of days in each location, the daily rate for each location, and the total lodging and subsistence costs. The lodging and subsistence costs must be consistent with the travel itinerary and the level of effort.

Center budgets must include funds to support regular travel by Center key personnel and others to USAID's Washington Office and for the Director/Manager to attend annual meetings of the Centers.

For miscellaneous travel expenses, such as ground transportation/taxis, airport taxes/transfers, or in-country travel, the basis for the estimate must be indicated, rather than a lump-sum amount. For example, ground transportation/taxis might be \$100, based on 2 round-trips @ \$50; airport taxes/transfers might be \$40, based on 2 round-trips @ \$20; and in-country travel might be \$500, based on 20 days @ \$25.

The budget must distinguish between domestic (U.S.) and international travel.

The budget shall also include the total travel, transportation, and per diem costs.

IV.5.3.3.5 Overseas Allowances

Overseas allowances, if any, (such as Danger Pay or Post Differential, but excluding per diem and shipping allowances, which should be budgeted under "Travel, Transportation, and Per Diem") shall be in accordance with the applicant's established policies and practices that are consistently applied. The *Standardized Regulations (Government Civilians, Foreign Areas)*² will be used as a test of reasonableness for overseas allowances. Each type of allowance should be separately identified.

IV.5.3.3.6 Nonexpendable Equipment

This part of the budget will include nonexpendable equipment and expendable supplies/materials proposed to be purchased by the applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

IV.5.3.3.7 Supplies

This part of the budget will include expendable supplies/materials proposed by the applicant. The detailed budget breakdown for these costs shall include the types and quantities of equipment and materials/supplies to be purchased, the unit prices, and the total costs.

² Available on the internet at <http://www.state.gov/m/a/als/920/>.

IV.5.3.3.8 Contractual

a. Consultants

The budget must specify the position title(s), name(s) of proposed individual(s) to fill the position(s), if known, number of units (days, months, FTEs) for each position, proposed unit rate(s) for each position, and the total consultant costs.

b. Subagreements/(Sub)contracts

The applicant's budget shall include a breakdown of all costs for each subagreement/(sub)contract, and identify the subrecipient/(sub)contractor, if known. The lump-sum(s) must be consistent with the detailed subrecipient/(sub)contractor budgets described in Section IV.4.3.4 (Part IV) below. The Cost/Business Application must indicate whether the instrument will be a (sub)contract or subagreement (see ADS-304³ for a discussion of the difference between acquisition ([sub]contracts) and assistance (subagreements). (Sub)contracts are subject to 22 CFR 226.40-49, the standard provision entitled "USAID Eligibility Rules for Goods and Services." Subagreements are subject to the standard provision entitled "Subagreements."

IV.5.3.3.9 Other Direct Costs (ODCs)

ODCs include costs such as communications and postage, passports/visas, medical exams/inoculations (for international travel), insurance (extra insurance such as medical evacuation for international travel, tort liability, workers compensation, etc.), expendable supplies and materials (as distinct from nonexpendable equipment), report preparation/reproduction, etc. Again, breakdown of all anticipated other direct costs (i.e. the amount, type, and unit cost) and the basis for each estimate should be indicated.

For example, communications costs might be \$600, based on 12 months at \$50. Report reproduction might be \$40, based on 4 reports of 100 pages each @ \$0.10 per page. Expendable supplies and materials must indicate the types of supplies, the quantity of each, the unit price for each, and total costs.

IV.5.3.3.10 Indirect Costs

Estimated indirect costs shall be in accordance with the standard provisions entitled "Negotiated Indirect Cost Rates – Predetermined," "Negotiated Indirect Cost Rates – Provisional (Nonprofits)," or "Negotiated Indirect Cost Rates – Provisional (For-Profits)," as applicable.

The budget shall be structured in such a way as to permit easy identification and application of on-site and off-site, if applicable, the base to which the rate(s) is (are) applied, and the applicant's fiscal year (e.g., October 1 through September 30).

To substantiate the rate(s) and the base(s) of application, the applicant must submit a copy of its current negotiated indirect cost rate agreement Negotiated Indirect Cost Rate Agreement (NICRA), signed by the cognizant U.S. Government audit agency (see Section IV.4.3.8 below). The applicant shall also provide the name and address of the cognizant U.S. Government Audit Agency, and the name and telephone number of the cognizant auditor, if other than USAID.

³ Available on the internet at <http://www.usaid.gov/policy/ads/300/304.pdf>.

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If the applicant does not have a cognizant U.S. Government Audit Agency and/or NICRA, the applicant must submit sufficient information to allow USAID to determine the reasonableness of the rates without a full-scale pre-award audit, *e.g.*, audited financial statements for the last two complete years and the current year to date (or such lesser period of time if the applicant is a newly-formed organization). The financial statements should include the total costs of goods and services sold, including a listing of the various indirect administrative costs, and be supplemented by information on the applicant's customary indirect cost allocation method, together with supporting computations of the basis for the indirect cost rates proposed (*e.g.*, a breakdown of allocation bases and indirect cost pools, the method of determining the rate, annual financial statements, etc.).

Unless the subject is addressed in the NICRA, the applicant must, if applicable, describe when the on-site vs. off-site rate is applied.

If the applicant proposes to charge less than its full indirect cost rate to the cooperative agreement, or proposes not to charge indirect costs, the applicant will still incur indirect costs at the full rate. In such circumstances, the difference between the rate to be charged to the cooperative agreement and the applicant's full indirect cost rate should be reflected as a matching contribution.

IV.5.3.3.11 Branding Strategy and Marking Plan

Applicants should also include in the budget all costs associated with branding, such as press conferences, media and promotional materials, photography, site visits, success stories; and all costs associated with marking, such as plaques, banners, signs, etc.

IV.5.3.4 Budget Narrative

The budget narrative justifies proposed expenses and explains how costs were estimated. Applicants should provide their rationale for cost development, such as the methodology and assumptions used to determine individual costs, *i.e.*, actual current costs incurred, costs obtained through tenders or bids, catalog prices, or published salary tables. A thorough budget narrative will expedite the Cost/Business Application review and prevent applicants from having to provide further justifications following application submission. *For ease of review, budget narratives should follow the order of line items in the detailed budget (top to bottom).*

Note: The Agreement Officer may request additional detailed budget information, following notification to an applicant that it is under consideration for an award. If necessary, the Agreement Officer may conduct discussions to verify cost data, evaluate specific elements of costs and examine data to determine the necessity, reasonableness and allocation of the costs reflected in the budget and their allowability pursuant to the applicable cost principles.

IV.5.4 Part IV – Subrecipient/(Sub)contractor Budgets

Detailed budget breakdowns for each subrecipient/(sub)contractor shall be presented. Subrecipient/(sub)contractor budgets shall not be intermingled. The first page shall be a summary budget, following the same budget format and line items as are set forth in Section IV.4.3.3 above, for the full term of the subagreement/(sub)contract. Following the summary budget, a detailed budget breakdown for each year shall be presented in accordance with the instructions provided in IV.4.3.3 above (for the prime applicant). Explanatory budget notes must also be provided. Each page shall have the year and the subrecipient's/(sub)contractor's name (if known) clearly marked, and be signed and dated by an authorized representative of the subrecipient/(sub)contractor if the specific

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subrecipient/(sub)contractor is a key member of the applicant's proposed implementation team. A tab or colored divider page shall separate each subrecipient's/(sub)contractor's detailed budget breakdown.

IV.5.5 Part V - Negotiated Indirect Cost Rate Agreement

- a. If applicable, the application should include a copy of the applicant's (and each subrecipient's and subcontractor's) most recent NICRA from the cognizant U.S. Government audit agency, and the name, address, and telephone number of the auditor.
- b. Applicants who do not currently have a NICRA from their cognizant U.S. Government audit agency shall submit the following information:
 - Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 - Projected budget, cash flow and organizational chart; and
 - Copy of the organization's accounting manual.

IV.5.6 Part VI- Self-Certification (If Applicable)

If the applicant has self-certified its policies to USAID/Washington, M/OAA/CAM/OCC, (M/OAA formerly known as M/OP) the applicant should submit a copy of such self-certification in this part of the application. Further information may be found at <http://www.usaid.gov/policy/ads/300/30359s1.pdf>.

IV.5.7 Part VII – Evidence of Responsibility

Applicants should submit sufficient evidence of responsibility for the Agreement Officer to make an affirmative determination of responsibility. The following criteria are used by USAID in determining an applicant's "responsibility:"

- (1) Adequacy of Applicant's Program Description, Budget, and Monitoring System.
- (2) Adequacy of the Applicant's Financial Resources for Program Performance.
- (3) Applicant's Ability to Meet Award Conditions:
 - (A) Compliance of Applicant's Accounting and Overall Financial and Program Management Systems with 22 CFR 226.20-28.
 - (B) Compliance of Applicant's System of Reports and Records with 22 CFR 226.50-53.
 - (C) Compliance of Applicant's Internal Control Systems with Applicable USG Cost Principles.
 - (i) Internal Controls.
 - (ii) Personnel Policy is Reasonable under Applicable USG Cost Principles.
 - (iii) Travel Policy is Reasonable under Applicable USG Cost Principles and the U.S. Department of State's *Standardized Regulations (Government Civilians, Foreign Areas)* (<http://aoprals.state.gov/>), and Complies with Fly America Requirements.

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- (D) Compliance of Applicant's Property Management System with 22 CFR 226.30-37.
- (E) Compliance of Applicant's Sub-Award Administration and Monitoring System with OMB Circular A-133 (U.S. NGOs) or the USAID Inspector-General's *Guidelines for Financial Audits Contracted by Foreign Recipients* (<http://www.usaid.gov/policy/ads/500/591maa.pdf>) for non-U.S. NGOs.
- (F) Compliance of Applicant's Purchasing System/Contracting Procedures with 22 CFR 226.40-49.
- (G) Applicant's Absorptive Capacity Given Other Existing and Potential Work Commitments.
- (4) Satisfactory Record of Performance by Applicant.
- (5) Satisfactory Record of Business Integrity by Applicant.
- (6) Applicant is Otherwise Qualified to Receive an Award under Applicable Laws and Regulations (*e.g.*, Nondiscrimination, Lobbying, Debarment/Suspension, Terrorist Financing, etc.).

IV.5.8 Part VIII – Survey on Ensuring Equal Opportunity for Applicants

Executive Order 13279 of December 12, 2002, *Equal Protection of the Laws for Faith-Based and Community Organizations*, provides that, in formulating and implementing policies that have implications for faith-based and community organizations, agencies that administer social service programs supported with Federal financial assistance shall ensure equal protection and opportunity for faith-based and other community organizations.

The Executive Order also requires select Federal agencies, including USAID, to collect data regarding the participation of faith-based and community organizations in social service programs that receive Federal financed assistance. A *Survey on Ensuring Equal Opportunity for Applicants* has been approved by the U.S. Office of Management and Budget (OMB) for this purpose.

The applicant's completion of the survey is **voluntary**, and is not a requirement of this RFA. The absence of a completed survey in an application will not be a basis upon which the application is determined to be incomplete or non-responsive. The information collected through the survey is intended for data collection purposes only.

IV.5.9 Part IX - Branding Strategy and Marking Plan

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant(s) will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before an award will be issued by USAID. These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein. The apparently successful applicant(s) proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. In contrast to exceptions to marking requirements, waivers based on circumstances in the host country, if applicable, must be approved by the Mission Director/Manager or other USAID Principal Officers, see 22 CFR 226.91(j). The Agreement Officer is responsible for evaluating and approving the Branding Strategy and Marking Plan, including any request for exceptions of the apparently successful applicant consistent with the provisions "Branding Strategy," "Marking Plan - Assistance," and "Marking Under USAID-funded Assistance Instruments" as contained in AAPD 05-11 and in accordance with 22 CFR 226.91. No award will be made without a USAID approved "Branding Strategy and Marking Plan".

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Please note that Applicants are encouraged to submit their Branding Strategy and Marking Plan with the Full Application, but are not required to do so. See also Section VIII of this RFA.

SECTION V – APPLICATION REVIEW INFORMATION

Each application submitted in response to this RFA will be reviewed according to the process set forth below.

V.1 Stage 1: Concept Note Evaluation Process and Evaluation Criteria

To be considered for an invitation to submit a Full Application, all applicants must submit a Concept Note with supporting attachments. The Concept Note will be evaluated by a peer technical evaluation committee comprised of internal (USAID) and external evaluators. The evaluation will be based on the following criteria: (1) the application’s relevance to the goals and core development objectives as identified in Sections I.3- I.7 of this RFA; (2) novelty and creativity of the applicant’s technical approach to improve the efficacy of development efforts.

Concept Notes deemed to concisely capture the vision for the Center as evaluated through the two criteria above will be **shortlisted**, and the applicants will be invited to submit Full Applications. Concept Notes that are not shortlisted will not be considered further.

V.2 Stage 2: Full Application Evaluation Process

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

The following evaluation criteria will be used at the full application stage to make an award decision.

The specific evaluation criteria are as follows:

- Technical Approach –60 points
- Organizational Capability and Management Plan - 30 points
- Personnel – 10 points
- Total – 100 points**

V.2.1 Technical Approach (60 points)

This evaluation component contains 5 major sub-criteria - strategic fit; creativity and performance; leverage, scalability and sustainability; knowledge sharing; and monitoring and evaluation which, when combined represent the totality of this technical evaluation factor. Each of these 5 sub-criteria is equally important. Technical applications will be evaluated in accordance with the following sub-criteria:

V.2.1.1 Strategic Fit

V.2.1.1.1 The extent to which the proposed overall strategy, methodology, and analyses are well-reasoned and appropriate for accomplishing the program goals and core objectives of this RFA as outlined in sections I.3-I.7.

V.2.1.1.2 The extent to which USAID’s (and the broader development community’s) ability to solve development problems will be improved if the objectives of the RFA and the application are achieved.

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v.2.1.1.3. The extent to which the proposed center or consortium meet the characteristics of a Center as defined in section 1.8.

V.2.1.2 Creativity and Performance

V.2.1.2 .1 The extent to which the application presents creative new approaches to international development challenges that use the following:

V.2.1.2 .1.1 Novel theoretical concepts, analysis of the demands and needs of the developing world, and multidisciplinary approaches, methodologies or interventions to shift current research or development practice paradigms, and

V.2.1.2 .1 .2 Results of proposed activities to influence current and future approaches to development taken by USAID to accomplish its development activities.

V.2.1.3 Leverage, Scalability and Sustainability

V.2.1.3 .1 The extent to which the application demonstrates the leverage from alternate or external resources necessary to make the activities proposed sustainable.

V.2.1.3.2 The extent to which the applicant structures diverse partnerships with developing world institutions and one or more of the following to promote sustainability, scholarship, and/or entrepreneurship:

- (a) Minority Serving Institutions
- (b) Women's colleges
- (c) Community colleges

V.2.1.4 Knowledge Sharing

The extent to which the applicant proposes to engage and share knowledge with other academic institutions, faculty, students, USAID offices and programs through the proposed activities.

V.2.1.5 Monitoring and Evaluation Plan

The extent to which the monitoring and evaluation plan is realistic and in-line with the objectives and activities set forth in the application.

V.2.2 Organizational Capability and Management Plan (30 points)

The application will be evaluated on the appropriateness, clarity, and logic of the approach to governing, managing and implementing the project. Each sub criterion is of equal importance.

V.2.2.1 The extent the proposed governance and management plan provide appropriate intellectual, leadership and administrative support to achieve the proposed goals and objectives of the RFA.

V.2.2 .2 The extent to which objectives are realistic and logical and are appropriate within the time period allocated.

V.2.2.3 The extent to which the first year implementation plan is realistic and in-line with the objectives and activities set forth in the application.

V.2.3 Personnel (10 points)

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Each sub criterion is of equal importance.

V.2.3.1 The application will be evaluated on the proposed management structure and staffing plan.

V.2.3 .2 The proposed key personnel will be evaluated on their relevant qualifications, to include:

V.2.3 .2 .1 Sufficient technical leadership experience to provide vision, creativity, and leadership to develop and lead a diverse team to fulfill the goals of the Center including appropriate academic credentials, ability to understand academia, development, and government, and experience with effective program monitoring and evaluation techniques; and

V.2.3 .2.2 Adequate experience to oversee the administrative, contracting, financial and logistical aspects of the goals and objectives as described in the application.

V.2.4 Other Factors to Be Considered

While no points are assigned to the below factors they are important and material to the funding decision.

V.2.4 .1 Past Performance

The application will be evaluated on the extent to which the applicant's past performance indicates the potential for success in this project. The following factors will be taken into account in the evaluation of this criterion:

V.2.4 .1 .1 The applicant's prior experience and success in implementing, managing, and evaluating similar activities;

V.2.4 .1 .2 The applicant's record of collaborating closely with various levels of developing country institutions and/or other public and/or private sector partners;

V.2.4 .1 .3 The applicant's prior experience with complex multidisciplinary programs, their creation, implementation, management, and monitoring and evaluation; and

V.2.4 .1 .4 The applicant's institutional administrative and technical support, and facilities and other physical resources available to the center.

V.2.4 .2 Gender Analysis

The application will be evaluated on the extent to which it demonstrates an understanding of how gender constraints and norms in the implementation context will affect the project design and implementation, as well as how the project will change gender norms and empower women. It will also be evaluated on the extent to which opportunities to enhance women's participation and leadership is incorporated into project design, implementation, the results framework, and monitoring and evaluation indicators.

V.2.4 .3 Cost

Costs included in the proposed budget will be reviewed to ensure they are allowable, allocable, and reasonable. Some amount of cost-share is required.

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Cost-Sharing, Leverage and Sustainability. The application will be evaluated on the extent to which it demonstrates cost-sharing from the applicant and leverage from external resources to make the activities proposed sustainable.

Proposed budgets will also be subject to cost realism analysis. The cost realism analysis will verify the applicant's understanding of the requirements, assess the degree to which the cost application reflects the approaches in the technical application, and assess the degree to which the costs included in the application accurately represent the programmatic requirements set forth in the application.

[Note: Applications that do not present realistic costs may risk not being considered for award.]

V.3 TECHNICAL VERSUS COST CONSIDERATIONS

For this RFA, the overall merit of technical application is more important than that of the Cost/Business Application.

V.4 REVIEW AND SELECTION PROCESS

Technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees and external technical experts.

The Cost/Business applications will be evaluated by the Agreement Officer on cost effectiveness and cost realism analysis. An award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

VI.1 Notification of Selection to Applicants

VI.1.1 The authorized agent of the successful applicant(s) will receive electronically for acknowledgement an award document signed by the USAID Agreement Officer obligating the initial increment of funding or the full funding amount, depending on funds available. Only the Agreement Officer may provide such notification to the successful applicant(s). The award document signed by the Agreement Officer is the authorizing document. An award shall be made only when the Agreement Officer makes a positive responsibility determination in accordance with ADS 303.3.9 (See Section III.9 above) that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

VI.1.2 For organizations that are new to USAID or for organizations with outstanding audit findings, USAID will perform a pre-award survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award survey is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award survey does not commit USAID to make an award to an organization.

VI.1.3 The award document will consist of the following:

- Cover Letter;
- Attachment 1: Schedule (to include award-specific information such as performance periods, budgets, payment provisions and reporting requirements, substantial involvement understandings, special requirements/provisions, etc.);
- Attachment 2: Program Description (*i.e.*, the successful applicant's initial or revised technical application/addendum); and
- Attachment 3: Standard Provisions (See Section I.4 of this RFA)

VI.1.4 No costs charged to the proposed award may be incurred before receipt of either a fully executed award or a specific, written pre-award authorization from the Agreement Officer.

VI.1.4.1 The award document or pre-award authorization, if any, will be provided by the Agreement Officer to the successful applicant(s) in hard-copy (original or fax), or electronically.

VI.1.5 Pursuant to ADS 303.7.1.b, the Agreement Officer will electronically notify unsuccessful applicants that they will not be considered further for an award. A debriefing may be provided if requested in accordance with ADS 303.3.7.2

VI.2 Deviations from the Standard Provisions

No deviations to the Standard Provisions that will form Attachment 3 of any award(s) as a result of this RFA are anticipated.

VI.3 GENERAL INFORMATION ON REPORTING REQUIREMENTS

The following reports and related requirements will be included in the cooperative agreement(s) issued as a result of this RFA: a) Annual Implementation Plans; b) Monitoring and Evaluation Plan; c) Quarterly Progress Reports; d) Annual/Semi-Annual Performance Reports; and d) Final Completion Report.

The recipient shall be responsible to USAID for all matters related to the execution of the agreement. Specifically, the recipient shall report to the Agreement Officer, M/OAA/OD and to the Agreement Officer's Representative (AOR), within the office of USAID PPL/S&T, who will be designated by the AO prior to award.

The recipient will be required to report on indicators related to key objectives as specified in the Program Description.

VI.3.1 Programmatic Reporting

Program Performance Reports will be in accordance with 22 CFR 226.51. Unless otherwise agreed prior to award, recipients shall submit the following reports.

VI.3.1.2 Annual Implementation Plan: The recipient will submit annual implementation plans to the Agreement Officer's Representative (AOR) keyed into each US fiscal year of the Cooperative Agreement. The recipient will provide illustrative annual implementation plans for each year of the Cooperative Agreement, which will be finalized in consultation with USAID PPL/S&T. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOR.

1. Contents

The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the Agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the implementation plan.

2. Distribution

Copies of the final implementation plans will be distributed as follows: one copy to the AOR, and one copy to the Agreement Officer.

3. Revisions

In the event that revisions to the annual implementation plans are necessary, the recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOR in writing.

VI.3.1.3 Monitoring and Evaluation Plan: The Recipient will work in consultation with the Agreement Officer's Representative (AOR) and other USAID PPL/S&T staff to develop and execute a final

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M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an on-going basis in collaboration with the AOR.

VI.3.1.4 Progress Reports

The recipient shall submit quarterly progress reports to the USAID PPL/S&T's AOTR to reflect results and activities of each preceding quarter. The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual implementation plan for that quarter. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

VI.3.1.5 Annual/Semi-Annual Performance Reports

Twice yearly, the recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets.

VI.3.1.6 Final Completion Report

The recipient shall prepare and submit a final/completion report to the AOR which summarizes the accomplishments of the Agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement.

VI.3.2 Financial Reporting and Payment

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Advance payments will generally be made if the applicant's systems, policies, and procedures meet USG and USAID requirements (see 22 CFR 226.21 [US NGOs] or the non-US standard provision entitled "Accounting, Audit and Records"), and the recipient has written procedures that minimize the time elapsing between the transfer of funds from USAID to the recipient and disbursement of those funds by the recipient for costs incurred. The recipient may be required to have a U.S. bank account into which payments under the award will be made. If USAID requires accrual information and the recipient's accounting records are not normally kept on the accrual basis, the recipient shall not be required to convert its accounting system, but shall develop such accrual information through best estimates based on an analysis of the documentation on hand.

VI.3.3 Environmental Procedures:

- i) 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 201.5.109 and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of US AID-financed activities are identified prior to a final decision to proceed

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and that appropriate environmental safeguards are adopted for all activities. Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

- ii) 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.
- iii) No activity funded under a USAID grant 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) approved by the Bureau Environmental Officer (BEO).

VI.3.4 Program Income

If the successful applicant(s) is/are a non-profit organization, any program income generated under the award(s) will be added to USAID funding, (and any cost-sharing that may be provided) and used for program purposes as described in 22 CFR 226.24(b)(1.) However, pursuant to 22 CFR 226.82, if the successful applicant is a for-profit organization, any program income generated under the award(s) will be deducted from the total program cost to determine the amount of USAID funding. Program income will be subject to 22 CFR 226.24 for U.S. NGOs or the standard provision entitled "Program Income" for non-U.S. NGOs.

VI.3.5 Authorized USAID Principal Geographic Codes

The authorized geographic code (see 22 CFR 228.1) for the procurement of commodities and services for any award resulting from this RFA is 937 (the United States, the cooperating/recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source) USAID maintains a list of developing countries, advanced developing countries, and prohibited sources, which will be available in USAID's Automated Directives System, ADS 310. See <http://www.usaid.gov/policy/ads/300/310maa.pdf>.

VI.3.6 Title to Property

Title to property financed by USAID under the award(s) will vest in the recipient, and will be subject to 22 CFR 226.30-37 (U.S. NGOs) or the standard provision entitled "Title To and Use of Property (Recipient Title; Over \$50,000) or "Title To and Use of Property (Recipient Title; \$50,000 and Under) for non-U.S. NGOs.

SECTION VII - AGENCY CONTACTS

All questions and comments regarding this RFA must be submitted in writing to UERFA@usaid.gov.

SECTION VIII – OTHER INFORMATION

VIII.1 Policy And Procedure

a) USAID Automated Directive System (ADS), Chapter 303, contains USAID policy and procedures concerning "Grants and Cooperative Agreements to Non-governmental Organizations" and is available on our agency website: <http://www.usaid.gov/policy/ads/300/303.pdf>.

Awards will include language prohibiting transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism; the same will be required in all subcontracts and sub-awards.

b) A grant application will not be viewed as more desirable over another simply because it has a higher budget or covers more geographic areas. Programs with modest scope and budget, which are viewed as having a strong potential for positive impact and results, are preferred over more expensive, less effective programs.

It is possible that an Application recommended for funding does not actually result in an award, due to insufficient availability of funding, or because an the organization is deemed not sufficiently capable of managing a USAID grant, or for other reason(s) which will be provided to the applicant.

A decision not to fund a program may occur at any phase of the evaluation process. No program expenditures will be paid by USAID, except those covered in an award signed by the USAID Agreement Officer. USAID reserves the right to fund any or none of the applications received.

VIII.2 Branding Strategy - Assistance (December 2005)

a) Definitions

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

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

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

b) Submission

The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all

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estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

Submission Requirements

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

1. Positioning

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors]. Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

2. Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

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

3. Acknowledgements

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

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

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

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

c) Award Criteria

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

VIII.3 Marking Plan – Assistance (December 2005)

a) Definitions

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

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

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

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media,

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such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

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

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

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

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

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

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

b) Submission

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

c) Submission Requirements

The Marking Plan will include the following:

1. A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:
 - i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
 - ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

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

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

2. A table specifying:

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

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

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

3. A table specifying:

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

ii) the rationale for not marking these program deliverables.

d) Presumptive Exceptions

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

2. Specific guidelines for addressing each Presumptive Exception are:

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

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

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

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

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

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

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

3. The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved

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exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria

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

VIII.4 Marking Under USAID-Funded Assistance Instruments (December 2005)

a) Definitions

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

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

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

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

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

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

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such

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recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

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

b) Marking of Program Deliverables

1. All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.
2. The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
3. The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
4. The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.
5. The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
6. The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
7. The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
8. The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

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

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

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

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

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

c) Implementation of marking requirements

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

2. When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

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

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

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

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

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

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

iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service

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announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

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

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

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

vii) USAID marking requirements would conflict with international law.

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

d) Waivers

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

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

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

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

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

e) Non-retroactivity

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

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ATTACHMENTS

The following is provided for the referenced documents:

Attachment I - SF-424 Forms http://www.grants.gov/agencies/aapproved_standard_forms.jsp

Attachment II - Certifications, Assurances and Other Statements

Attachment III – Past Performance Information

ATTACHMENT III- PAST PERFORMANCE INFORMATION

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

[Note: The actual dollar amount of awards, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall award. 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.]