

USAID/DCHA/CMM
Annual Program Statement
FY 12 Conflict Mitigation and Reconciliation Programs and Activities
APS-OAA-12-00001

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT
Bureau for Democracy, Conflict, and Humanitarian Assistance
Office of Conflict Management and Mitigation (USAID/DCHA/CMM)
1300 Pennsylvania Avenue, N.W. Washington D.C. 20523

ISSUANCE DATE: January 18, 2012

CLOSING DATE: March 9, 2012

SUBJECT: USAID/DCHA/CMM Annual Program Statement (APS) for Conflict Mitigation and Reconciliation Programs and Activities (Funding Opportunity No. APS-OAA-12-000001)

Pursuant to the Foreign Assistance Act of 1961, as amended, the United States Government (USG), as represented by the U.S. Agency for International Development (USAID), Bureau for Democracy, Conflict, and Humanitarian Assistance (DCHA), Office of Conflict Management and Mitigation (CMM), invites applications for funding from qualified U.S. and non-U.S., non-profit or for-profit non-governmental organizations (NGOs), and international organizations (PIO or IO) to carry out activities that mitigate conflict and promote reconciliation by bringing together individuals of different ethnic, religious or political backgrounds from areas of civil conflict and war in the countries listed below.

The purpose of this APS is to disseminate information to prospective applicants so that they may develop and submit applications for USAID funding. This APS: (A) describes the types of activities for which applications will be considered; (B) describes the funding available and the process and requirements for submitting applications; (C) explains the criteria for evaluating applications; and (D) refers prospective applicants to relevant documentation available on the internet. USAID/DCHA/CMM anticipates awarding multiple grants and/or cooperative agreements as a result of this APS.

Below is the list of eligible countries for which applications may be submitted under this APS. In preparing applications, please refer to the Mission-specific country and regional guidelines in Attachment 1: List of Eligible Countries and Country-Specific Instructions.

<u>Africa</u> Angola Burundi Cote d'Ivoire East Africa Regional Ethiopia Guinea Bissau Kenya Rwanda Senegal Uganda Zimbabwe	<u>Asia, Europe, and Eurasia</u> Bosnia & Herzegovina Burma Cambodia Georgia Indonesia Kyrgyzstan Nepal Russia Tajikistan <u>South America</u> Peru
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To be competitive under this solicitation, applications must be fully responsive to all directions in this APS document, as well as to the Mission-specific focus points outlined in Attachment 1.

TABLE OF CONTENTS

1.	APS Scope and Objectives.....	6
2.	Award Information.....	8
2.1	Program Duration	8
2.2	Anticipated Funding Available	8
2.3	Award Size Thresholds	8
2.4	Anticipated Number of Awards	8
2.5	Type of Award(s)/Substantial Involvement	8
2.6	Cost-Sharing (Matching)	9
2.7	Program Income	10
2.8	Authorized Geographic Code	10
2.9	Applicant Conferences	11
3.	Applicant Eligibility.....	11
3.1	Types and Nationalities of NGOs	11
3.2	Registration as a Private Voluntary Organization (PVO)	12
3.3	New Partners	12
3.4	Other USG Agencies	12
3.5	Public International Organizations (PIOs)	13
3.6	Applications for Additional/Continued USAID Funding of On-going Programs	13
3.7	“Responsibility” of Applicant	13
3.8	Characteristics of Projects that are not Well-Suited to Reconciliation Fund Programming	13
4.	Application and Submission Requirements.....	15
4.1	General Application Instructions	15
4.2	Format	15
4.3	Specific Application Instructions	16
4.3.1	Technical Application.....	16
4.3.2	Cost Application	22
4.3.3	Attachments to Cost Application	24
4.4	Submission Instructions and Deadlines	24
4.4.1	Electronic Submission	24
4.4.2	Application Submission Deadline.....	25
4.4.3	Estimated Timeline	25
4.5	Application Evaluation Process	26
4.6	Applicant Pools	27
4.7	Evaluation Criteria (100 points total)	27
5.	Award and Administration Information.....	30
5.1	Pre-award Surveys	30
5.2	Post-award Reporting	30
5.3	Other Considerations	31
5.3.1	Environmental Protection and Compliance	31
5.3.2	Implementation of E.O. 13224 – Executive Order on Terrorist Financing (March 2002)	32
5.3.3	USAID Disability Policy – Assistance (December 2004)	32
6.	Attachments	34

6.1	Attachment 1: List of Eligible Countries and Country-Specific Instructions	34
6.2	Attachment 2: Definitions of Cross-Border and Multi-Country Activities	45
6.3	Attachment 3: USAID Mission and Regional Mission Points of Contact	46
6.4	Attachment 4: Certifications, Assurances, and Other Statements of the Applicant/Recipient	48

DCHA/CMM Background

The Office of Conflict Management and Mitigation strives to create programming that effectively prevents, mitigates and manages the causes and consequences of violent conflict, instability and extremism. DCHA/CMM leads USAID's efforts to identify and analyze sources of conflict, supports early responses to address the causes and consequences of instability and violent conflict, and seeks to integrate conflict mitigation and management into USAID's analysis, strategies and programs.

- 1 DCHA/CMM manages this APS in accordance with a central source of funding for reconciliation. To meet "people-to-people" conflict mitigation and reconciliation together individuals of different ethnic, religious or conflict and war in the countries listed in Attachment 1:

List of Eligible Countries and Country-Specific Instructions. Programs that provide opportunities for adversaries to address issues, reconcile differences, promote greater understanding and mutual trust and work on common goals with regard to potential, ongoing, or recent conflict will receive consideration for funding under this APS.

The Reconciliation Fund Managed by DCHA/CMM

The first funding opportunity for USAID's Conflict Management and Mitigation (CMM) Reconciliation Programs Fund was global in scope and launched in 2004. In fiscal year 2011, the program's total estimated cost was nearly \$26,000,000, of which approximately \$10,000,000 was designated to support programs in Israel, the West Bank and Gaza. In FY12, **there will be two separate funding opportunities: one for Israel, the West Bank and Gaza, and one for the global reconciliation program (estimated total funding \$15.5 million). This funding opportunity is only for the global reconciliation program, and covers the countries listed in Attachment 1: List of Eligible Countries and Country-Specific Instructions.**

DCHA/CMM Points of Contact

A list of USAID Mission/Regional Mission points of contact is provided as **Attachment 3: USAID Mission and Regional Mission Points of Contact**. Upon award, the Mission Agreement Officer must appoint an Agreement Officer's Technical Representative (AOTR) to provide technical and administrative oversight of the specific award.

For any acquisition questions regarding this APS, kindly contact USAID/M/OAA/DCHA/ Ousmane Faye, ofaye@usaid.gov. After the closing time and date for applications (see section 5.4 below), the relevant USAID Mission/Regional Mission Agreement Officer will be the official point of contact for all applicant inquiries.

1. APS Scope and Objectives

The objective of this APS is to make significant strides in the overall goal of conflict mitigation, peace, and reconciliation in selected eligible conflict-affected countries (see **Attachment 1: List of Eligible Countries and Country-Specific Instructions**). In addition, this APS seeks to contribute to USAID's developmental objectives in an affected country or countries.

“People-to-people” programs are one approach among many to conflict mitigation. While a diversity of programs and approaches may be considered people-to-people in nature, most entail bringing together representatives of conflict-affected groups to interact purposefully in a safe space. This type of work addresses divisions within a community that may be rooted in group differences such as ethnicity or religion, status, class, or political affiliation. People-to-people projects generally address patterns of prejudice and demonizing that reinforce the perceived differences between groups and hinder the development of relationships among parties to a conflict. The aim is to create opportunities for a series of interactions between conflicting groups in the community to promote mutual understanding, trust, empathy, and resilient social ties.

This funding opportunity is intended to fund conflict mitigation programs with a people-to-people approach, and to derive lessons learned and best practices for future people-to-people programming. Lessons learned will be incorporated into future programs and funding opportunities, and will inform DCHA/CMM's research agenda for conflict management and mitigation. DCHA/CMM is currently undertaking a global evaluation of grants implemented since 2004 under this APS.

Successful applications under this funding opportunity will describe a people-to-people approach based on a context and conflict analysis that leads to a concrete program change hypothesis. Programs should be based on best practices, build capacity of local partners, and incorporate gender analysis into the proposed approach. DCHA/CMM recognizes that societies prescribe separate and distinct roles for men and women. These roles shape their experiences of and participation in violent conflict. Effective programs are based on a thorough understanding of male and female experiences, and consider how to leverage both groups in mitigating conflict. Successful applicants will incorporate gender into the context analysis, technical narrative, and monitoring and evaluation plan. When the roles of men and women are not relevant to a program's design, the applicant must demonstrate why its inclusion is not appropriate.

Applications should reflect thoughtful consideration of any risks that may result by bringing together conflicting parties and should provide sufficient explanation of how appropriate safeguards will be put in place to avoid intensifying the conflict or creating harmful situations for participants. It is not satisfactory to simply indicate that the program will do no harm. This fundamental principle dictates that interventions must not place participants at greater risk than they would otherwise face without the intervention. For additional guidance on a ‘do no harm’

approach to conflict mitigation and reconciliation, please see the link to *People-to-People Peacebuilding: A Program Guide* per footnote below.¹

USAID supports the Aid Effectiveness agenda, including the New Deal for Engagement in Fragile States endorsed at the 4th High Level Forum on Aid Effectiveness in Busan, South Korea. Central to this agenda is the strengthening of the relationship between state and society and the fostering of legitimate and effective formal and informal institutions. As described in *People-to-People Peacebuilding: A Program Guide*, and in alignment with the Busan outcome document, effective conflict mitigation and reconciliation programs address both the attitudinal and institutional dimensions of conflict. Therefore, USAID considers the most effective people-to-people projects to be those that explicitly and purposefully create linkages between their immediate objectives and high-level or large-scale peace processes or structural reforms.

Applications that reflect strong local engagement are highly encouraged (i.e., applications submitted by local institutions and/or organizations, applications that include local partners in conducting substantive work, and/or applications that include components focused on strengthening the technical and organizational capacity of local organizations and institutions). USAID also notes that peacebuilding is most effective when locally owned. Applicants that demonstrate their efforts are aligned with governmental peacebuilding priorities, including as outlined in New Deal commitments, are encouraged where applicable.

¹ Please see “People-to-People Peacebuilding: A Program Guide” on CMM’s publication page at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMMP2PGuidelines2010-01-19.pdf

2. Award Information

3.1 Program Duration

The duration of programs funded under this APS is for a minimum period of 12 months and up to 36 months from the date of award. USAID reserves the right to incrementally fund activities over the duration of the program, if necessary, depending on program length, performance against approved program indicators and availability of funds.

3.2 Anticipated Funding Available

USAID anticipates approximately US\$15,500,000 will be available to support the program(s) or activity(ies) described herein, although final funding levels will depend on content, quality number of applications received, needs, availability of funding, and competing priorities.

3.3 Award Size Thresholds

Applications below a minimum amount of US\$100,000 or above a maximum amount of US\$1,200,000 will not be considered.

Applications in the amount of \$100,000 to \$500,000 will *only* be considered from local organizations. A local organization applicant must be a local non-governmental organization (NGO) recognized under the laws of the country in which it is domiciled. For specific purposes of this APS, a local NGO does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of, the host country or region. Local organizations by this definition are not international organizations.

Note: Local applicants may submit more than one application for funding in FY2012 if they chose to do so. Specifically, they may submit an application under this Global APS solicitation in the funding range of \$100,000 to \$500,000, as well as an application for over \$500,000.

3.4 Anticipated Number of Awards

USAID plans to make multiple awards under this APS, subject to the availability of funds. 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 APS does not constitute an award commitment on the part of the USAID, nor does it commit the USAID to pay for any costs incurred in the preparation and submission of any application.

3.5 Type of Award(s)/Substantial Involvement

USAID anticipates that a grant(s), cooperative agreement (s), will be awarded as a result of this APS.

Depending on the application(s) that is/are received and selected, USAID may decide to be “substantially involved” in the implementation of the program, and therefore award a

cooperative agreement(s) instead of a grant(s). Cooperative agreements are identical to grants except that USAID may be substantially involved in one or more of the following areas:

1. USAID approval of the recipient's implementation plans (limited to not more frequently than annually);
2. USAID approval of specified key personnel (limited to 5 positions or 5% of the recipient's total team size, whichever is greater);
3. USAID and recipient collaboration or joint participation, which includes one or more of the following:
 - a. Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;
 - b. USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - c. USAID approval of a program monitoring and evaluation (M&E) plan (to the extent that such information is not included in the application);
 - d. USAID monitoring to permit direction and redirection because of interrelationships with other projects; and
 - e. USAID authority to immediately halt a construction activity, if applicable.

Please note: Depending on the application (s) that is/are received and selected, USAID may decide to award a fixed obligation grant (FOG) instead of a grant to all eligible organizations.²

3.6 Cost-Sharing (Matching)

1. NGOs

NGOs are not required to include counterpart funding. However, applications that include additional 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 and will be rewarded under the "cost-effectiveness" evaluation criterion. Cost-sharing will be subject to 22 CFR 226.23 and the standard provision entitled "Cost Sharing (Matching)" (U.S. NGOs) or the standard provision entitled "Cost-Sharing (Matching)" for non-U.S. NGOs.

2. Public International Organizations (PIOs)

PIOs are not required to include counterpart funding, although applications that include additional in-kind and/or cash contributions from non-USG sources will be more competitive, since they demonstrate a strong commitment to the planned activities and will be rewarded under the "cost-effectiveness" evaluation criterion set forth in Section 4.7 below. While the term "cost-sharing" is not used in USAID grants and cooperative agreements with PIOs, the concept of cost-sharing is manifested by the USAID requirement that USAID must have audit rights, and that the

² The Fixed Obligation Grant is appropriate for supporting specific projects when the USAID Agreement Officer is confident that a reasonable estimate of the actual cost of the overall effort can be established and USAID can define accomplishment of the purpose of the grant through defined milestones. USAID's policy concerning FOGs has been revised. Please refer to ADS 303.3.25 at <http://www.usaid.gov/policy/ads/300/303.pdf>

recipient must comply with USAID's procurement requirements, if USAID will be the sole contributor to a trust fund established by a PIO.

2.7 Program Income

1. NGOs

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. 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.

2. PIOs

If the successful applicant(s) is/are a PIO, any program income generated under the award(s) will be **added to** USAID funding (and any non-USAID funding that may be provided) and used for program purposes.

3.8 Authorized Geographic Code

1. NGOs

USAID's rules for the source, origin, and componentry of goods (other than "restricted goods," as described in ADS 312 [<http://www.usaid.gov/policy/ads/300/312.pdf>]), and the nationality of suppliers of goods and services (other than delivery services, as described in ADS 314 [<http://www.usaid.gov/policy/ads/300/314.pdf>]), which are financed by USAID under the award(s) resulting from this APS, are set forth in 22 CFR 228 (http://www.access.gpo.gov/nara/cfr/waisidx_10/22cfr228_10.html). These rules do not apply to procurement by the recipient or sub-recipients with cost-sharing or program income funds. Except as authorized under USAID's "Local Procurement" rules (see 22 CFR 228.40),³ or unless a waiver is approved, applicants should assume the authorized geographic code (see 22 CFR 228.03) for the award(s) resulting from this APS is 000 (United States only), unless the total value of goods and services to be procured by the recipient and all sub-recipients, if any, during the life of the award is valued at \$250,000 or less, in which case the authorized geographic code is 935 subject to the recipient's compliance with the order of preference and file documentation requirements set forth in paragraph (b)(1) of the standard provision entitled "USAID Eligibility Rules for Goods and Services."

2. PIOs

³ The USAID Administrator has approved a blanket waiver authorizing local procurement from the cooperating country in an amount of up to \$5 million of commodities and services per USAID award.

Please note that USAID's procurement rules do not apply to awards to PIOs unless USAID is the sole contributor to a trust fund established by the PIO. If USAID is the sole contributor, the same rules, as prescribed in subparagraph (a) above for NGOs, will apply.

3.9 Applicant Conferences

USAID missions may offer to host a conference for prospective applicants after this APS funding opportunity is posted and before the funding opportunity closes. In any such case, the USAID mission will announce this through its regular public announcement channels, and USAID/DCHA/CMM will post an amendment to the APS on <http://www.grants.gov> so that all potential applicants are able to look up the time and place for all applicant conferences. Not all USAID missions will offer applicant conferences.

3. Applicant Eligibility

USAID will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law.

The following types of organizations may apply for funding under this APS.

4.1 Types and Nationalities of NGOs

1. Non-Governmental Organizations (NGOs)

(1) U.S. and Non-U.S. Non-Profit Organizations

Qualified U.S. and non-U.S. private non-profit organizations may apply for funding under this APS. Foreign government-owned parastatal organizations from countries that are ineligible for assistance under the FAA or related appropriations acts are ineligible.

Local organizations are encouraged to apply for funding under this APS. **Please note: It is the intention of this APS that only local organizations are eligible to apply for awards in the amount of \$100,000 up to \$500,000. All organizations are eligible to apply for awards over \$500,000 to \$1,200,000.** A local organization applicant must be a local non-governmental organization (NGO) recognized under the laws of the country in which it is domiciled. For specific purposes of this APS, a local NGO does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of, the host country or region. Local organizations by this definition are not international organizations. When applying to the APS, local NGOs are required to attach official documentation of their formal status as an NGO in the host country. Local NGOs are not required to register with USAID.

A local organization which is a subsidiary, member entity or affiliate of organizations located outside of the host country is eligible to apply as a qualified non-U.S. not for profit organization for grants in the amount of over \$500,000 to \$1,200,000.

(2) U.S. and Non-U.S. For-Profit Organizations

Qualified U.S. and non-U.S. private for-profit organizations may apply for funding under this APS. 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 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.

(3) U.S. and Non-U.S. Colleges and Universities

Qualified U.S. and non-U.S. colleges and universities may apply for funding under this APS. 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. Please note however this APS is focused on people-to-people programming that addresses divisions within a community that may be rooted in group differences such as ethnicity or religion, or status as a returning ex-combatant, displaced persons, or refugee. Projects in this arena address the prejudice and demonizing that reinforces the perceived differences between groups and hinders the development of relationships between conflict parties. The aim is to create opportunities for a series of interactions between conflicting groups in the community to promote mutual understanding. Thus, this APS is not intended to fund individual research endeavors.

4.2 Registration as a Private Voluntary Organization (PVO)

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 NGOs are not required to register with USAID. In accordance with 2 CFR 203, a U.S. PVO and 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://www.usaid.gov/our_work/cross-cutting_programs/private_voluntary_cooperation/reg.html

4.3 New Partners

USAID encourages applications from new partners. However, resultant awards to these organizations may be delayed if USAID must undertake necessary pre-award reviews of these organizations to determine their “responsibility” as discussed in 3.7. These organizations should take this into account and plan their implementation dates and activities accordingly.

4.4 Other USG Agencies

USG departments and agencies may not apply for funding under this APS.

4.5 Public International Organizations (PIOs)

PIOs are eligible to apply for funding under this APS. Please see Automated Directives Series (ADS) 308 for USAID policy on defining PIOs. <http://www.usaid.gov/policy/ads/300/308.pdf>

4.6 Applications for Additional/Continued USAID Funding of On-going Programs

On-going projects that demonstrate a significant proposed change in scope or direction in response to a conflict and its contextual analysis, or are an extension of current programs and activities will be eligible for funding. Such programs should clearly explain in their application their progress to date and update the conflict context for their program. Information on current USAID programs can be found at: <http://www.usaid.gov> and more information about DCHA/CMM programs can be found at: http://www.usaid.gov/our_work/cross-cutting_programs/conflict/.

3.7 “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. 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.

3.8 Characteristics of Projects that are not Well-Suited to Reconciliation Fund Programming

There are many potential projects searching for resources that will lead to substantial outcomes. However, only a subset of these are a good fit for DCHA/CMM’s reconciliation fund objectives. DCHA/CMM understands that applicants’ time is valuable, and thus wishes to clearly state not only the characteristics of applications that may be likely to receive funding (see evaluation criteria in Section 4.7 but also to clearly state the characteristics of applications that are not well-suited for DCHA/CMM consideration. Examples of activities that are not suitable include:

- Projects that do not clearly include a people -to -people component and clearly articulate this theme throughout the application.

- Projects that are individual research endeavors with limited interaction with in-country stakeholders and/or minimal in-country activities.
- So-called study tour projects that do not clearly articulate why the theory of change is dependent on removing beneficiaries from the conflict context and/or clearly project how these interactions will be sustained in a safe way on return.
- Projects that focus entirely on standard development practice with no reference to the conflict context.

4. Application and Submission Requirements

5.1 General Application Instructions

Applications received by the deadline (see section 5.4.2) will be reviewed for responsiveness to the requirements set forth in this APS, specifically section 5.3.

5.2 Format

1. As detailed further below, the application (composed of the technical and cost sections) is limited to the following page limits: 12 for technical application, 3 for the cost application for amounts under 500k and 5 for amounts over 500k plus the specified attachments below which **do not** count against the technical or cost application page limit. Additional information will not be accepted or reviewed by the technical evaluation committees.
2. Specified technical application attachments are limited to the following. These attachments do not count towards the 12 page limit for the technical proposal. Please note that no other technical application attachments will be considered under the evaluation criteria:
 - a. Curricula Vitae for key personnel, including program director or equivalent are required, and are limited to a maximum of three (3) key personnel with a page limit of three (3) pages for each proposed key personnel position.
 - b. Illustrative first-year activity plan, limited to three (3) pages
 - c. Monitoring and evaluation plan, limited to three (3) pages
 - d. Past Performance References, one (1) page maximum per reference (see section 5.3)
 - e. Proof of qualifying status as a local NGO, if applicable
3. Applications must be submitted in English and in U.S. dollars.
4. Applications should use single-spaced pages with each page consecutively numbered, and use a font not any smaller than Times New Roman Font 12 or a similar size typeset. Applications must have margins of not less than one inch on all sides and must be formatted in the portrait style (not landscape) for all text portions.
5. Applications must be submitted electronically, by the application deadline, via email attachment using Adobe PDF, Microsoft Word and/or Excel. **Do not submit electronic copies in .zip format.**
6. The application must consist of two electronic files, labeled “Country Name-Organization Name-TECHNICAL-APS- **OAA-12-000001**” and “Country Name-Organization Name- COST-APS- **-OAA-12-000001**”. Printed hardcopies are not requested nor required by the closing time and due date. (Hard copies and/or supplemental information with live signatures may be requested thereafter by the cognizant Agreement Officer or DCHA/CMM.)
7. **The subject line of the email transmitting the application must also contain the following: Country name-Organization name-Project title (for example: “Zambia-Acme Partners-Conflict Mitigation Project”), and the body of the email must**

contain specific reference to the full title of the application and include full contact information for the applicant.

This APS is the official source document for your application. Oral explanations given before submission of the application will not be evaluated; only the written application will be evaluated. Applicants should retain for their records a copy of the application and all attachments/enclosures which accompany their application. USAID will only consider applications conforming to the prescribed format.

The federal grant process is now web-enabled. Beginning November 1, 2005, the preferred method of distribution of USAID APS' and submission/receipt of applications is electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This APS and any future amendments can be downloaded from <http://www.grants.gov>. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the APS, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@usaid.gov for technical assistance. Applicants may upload applications to www.grants.gov; **however, electronic submissions are required to be e-mailed to CMMAPS@usaid.gov and to the USAID Mission or Regional Mission point of contact as stated in Attachment 3 (Section 6.3) below.** DCHA/ CMM will confirm receipt of applications; if your organization has not received an official confirmation your application will not be considered for review. USAID bears no responsibility for data errors resulting from transmission or conversion processes. It is important that interested organizations sign-up for e-mail updates with Grants.gov so that as any future amendments to this APS are posted, alerts will be received.

5.3 Specific Application Instructions

5.3.1 Technical Application

The technical application must contain the following components:

1. Cover page (separate page, **not more than one page**): The cover page must include the funding opportunity number APS-OAA-12-000001, names of the organizations/institutions involved (with the name of the lead or primary applicant clearly identified), title of the application, USAID Mission or Regional Mission to which the application is being submitted, country name, whether this is a cross-border or multi-country application, and the applicable countries. Any proposed sub-partners should also be listed. In addition, the cover page should clearly state if the applicant is a qualified local organization, provide a contact person for the primary applicant, including the individual's name, title or position with the organization/institution, mailing address, email address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, and, if not, the contact information for the appropriate person with authority to negotiate should also be listed.
2. Executive summary (separate page, **not more than one page**): The executive summary must summarize the key elements of the applicant's technical application, including, but

not limited to, the technical narrative (see next section), and provide NO COST FIGURES other than the total amount of USAID funds requested, and any cost-sharing and/or public-private partnerships leveraging, if applicable.

3. Technical narrative (10-page maximum, excluding any attachment pages as specified within this APS): **Applicants are encouraged to organize the narrative sections of their technical applications in the same order as the evaluation criteria and include the major components below. However, applicants are not limited to the following order for purposes of logically sequencing their proposed programs. Please note that gender integration and a ‘do no harm’ approach should be reflected throughout the application, not restricted to a single statement.**

The technical narrative will be evaluated in accordance with the evaluation criteria set forth in section 4.7 below and must include the following sections:

Approach and Methodology:

Context & Conflict Analysis. The application must identify the sources of conflict and impediments to reconciliation in a brief context and conflict analysis. A conflict analysis is the systematic study of the profile, causes, actors, and dynamics of conflict. The analysis must touch upon the sources of grievance and resilience, the key actors and resources that could facilitate the transformation of grievances into violence, and any upcoming events which might trigger violence or represent an opportunity to bring adversaries together. The analysis must explicitly examine the separate and distinct way men and women experience the conflict. The context and conflict analysis must also include a brief description of other donor, government, private sector or NGO activities to address the identified problem, including gaps in current programming and response.⁴

Gender Integration. The program design must recognize gender in a substantive and integrated manner. Recognizing the different cultural roles of males and females, proposals will describe specific approaches for assuring equitable participation and capitalizing on men’s and women’s potential to contribute to conflict mitigation. The program activities should reflect the gender analysis articulated in the context analysis. **Applicants should provide a detailed rationale if gender is not relevant to the proposed activity.** For more guidance on gender analysis and integration, please see the following references:

- ADS 201.3.9.3 “Gender Considerations” (<http://www.usaid.gov/policy/ads/200/201.pdf>)
- ADS 201.3.11.6 “Project/Activity Planning Step 2: Conduct Project-level Analysis as Needed” (<http://www.usaid.gov/policy/ads/200/201.pdf>)

⁴ Applications can review the USAID Conflict Assessment Framework for further understanding of conflict analysis available at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/docs/CMM_ConflAssessFrmwrk_8-17-04.pdf This is DCHA/CMM’s guiding publication for conducting in-country assessments of sources of grievances and resilience and may assist in clarifying what is expected in this section.

Applicants are strongly encouraged to consider the guidance contained in UN Security Council Resolution 1325 on Women, Peace and Security. For additional information, please see http://www.peacewomen.org/security_council_monitor/ and http://www.usaid.gov/our_work/cross-cutting_programs/conflict/in_the_spotlight.html

Theory of Change. The applicant must include a program hypothesis that clearly explains the theory or theories of change that underlie the programmatic approach that it has taken in its application. Simply put, a program hypothesis outlines the if-then statement underlying the proposed intervention. In general, a theory of change states what expected (changed) result will follow from a particular set of actions. A simple example would be, “If I add more fuel to the fire, then it will burn hotter.”

As applied to the conflict field, theories of change refer to the assumed connections between various actions and the result of reducing conflict or building peace. The proposed theory of change must be clearly linked to the grievances and resiliencies presented in the conflict analysis.

Each application must have a specific theory of change in its program hypothesis. Applicants are encouraged to look at broader literature on theories of change to inform their own program hypothesis.⁵

*People-to-People Approach*⁶. Successful applications under this funding opportunity must incorporate the people-to-people approach based on a context and conflict analysis that leads to a concrete program change hypothesis and programmatic solution. Proposed people-to-people activities must address gaps in current responses to a conflict as identified in the context and conflict analysis.

Effective programs should be based on best practices, build the capacity of local partners, and incorporate gender analysis into a proposed approach. Such an approach may include (but is not limited to) the following activities:

- Break down barriers amongst parties through personal contact
- Identify and address issues of mutual concern that establish common ground for cooperation and coexistence
- Seek reconciliation for past violence or ongoing grievances between opposing parties in a conflict
- Strengthen the technical and organizational capacity of local organizations to fulfill the above functions, as appropriate

⁵ Additional information on Theories of Change as they apply to conflict mitigation and peacebuilding may be found in *Theories of Change and Indicator Development in Conflict Management and Mitigation*, available at http://pdf.usaid.gov/pdf_docs/PNADS460.pdf; and *Reflective Peacebuilding: A Planning, Monitoring, and Learning Toolkit* available at: http://kroc.nd.edu/sites/default/files/reflective_peacebuilding.pdf or on the *Beyond Intractability* web-site: http://www.beyondintractability.org/essay/theories_of_change/?nid=1256.

⁶ Please see “People-to-People Peacebuilding: A Program Guide” on CMM’s publication page at http://www.usaid.gov/our_work/cross-cutting_programs/conflict/publications/other_usaid.html.

Implementation Plan

Implementation. The applicant must demonstrate how the proposed activities build upon one another and are logically sequenced in order to achieve the desired outcome based on the proposed approach and methodology. If the application is for a continuation of a current program, it must articulate progress to date and how continued funding would lead to greater sustainability. The application must identify and address gaps in current responses to the conflict, as identified in the context and conflict analysis and including any gender-related opportunities or constraints or articulate why such constraints do not apply. The application must outline any moments of opportunity where recent or upcoming events provide openings to further reconciliation, where applicable. The applicants should also discuss moments or actions which may derail reconciliation and how the applicant is prepared to address these challenges. The applicant must submit an illustrative first year activity plan which sets out a realistic outline of tasks and deliverables, anticipated time frames, challenges, opportunities and due dates, and persons responsible for achieving each task. The activity plan must include benchmarks for local partner capacity building, if applicable.

Do No Harm: The implementation plan must also explain, in detail, how the program will ensure the safety of all participants and does not put individuals or communities at risk as a consequence of the program. Further, the applicant must explain how the proposed program will not exacerbate tensions in a way that will spark further violence or at least mitigates against any risk of such (do no harm).

Local Engagement and Sustainability. This section must describe strategies that will be employed to sustain the activities beyond USAID funding and contribute to building the capacity of communities to address their own concerns in the future. One way this can be done is through meaningful partnerships with local organizations. Applicants are strongly encouraged to demonstrate a clear understanding of the role that local organizations and institutions are playing or can play in conflict mitigation and peacebuilding. When feasible, it is preferable that local partners are at the forefront of USAID-supported peacebuilding efforts. It is for this reason that funding has been set aside specifically for local organizations. However, even in cases where the primary applicant is not a local organization, it is strongly encouraged that the applicant work closely with local partners on all phases of program design, implementation, and evaluation. Applicants are therefore required to outline how local perspectives have contributed to the conflict analysis as well as the program design, how the applicant will engage with local partners through program implementation and evaluation, and how the applicant will work with its local partners to build both the organizational and technical capacities of the local organizations with which they are engaging, as appropriate. In cases where an applicant (i.e., non-local) was not able to partner with a local organization or institution, does not consider it feasible to do so, or does not consider it in the program's best interest, the applicant must clearly explain in the proposal why that is the case.

The proposed activity must promote, strengthen and be supported by sustainable local organizations that can champion sound concepts, innovative practices and changes beyond the life of the award. **If the application includes partnerships with local organizations, and is over \$500,000, the application must include a capacity building plan to include building technical skills in conflict and peace-building as well as organizational management capacity.**⁷ Please note that local organizations are not required to develop a capacity building plan unless they are applying for an award over \$500,000. However, all applicants are strongly encouraged to develop a capacity building plan as a development best practice.

Organizations applying for funding under this APS up to \$500,000 are strongly encouraged to demonstrate how they are fostering the growth of lasting formal and informal peacebuilding institutions beyond the life of the program.

Performance Monitoring and Evaluation Plan

This section should provide a description of Applicant's approach to monitoring and evaluation which the program will utilize and why this approach is appropriate. When considering evaluation, the application should understand the USAID Evaluation Policy released in January 2011 which states USAID's renewed focus on evaluation as a complementary and reinforcing relationship with other efforts to focus projects on achieving measurable results.⁸

Performance monitoring plans should be designed to measure the direct and near-term consequences of project activities with a goal to inform management and implementation approaches. Each performance monitoring and evaluation plan should include the following components in this plan:

- A list of the types of baseline data that must be collected to demonstrate impact of the program;
- The process by which the indicators will be developed and how monitoring processes and results will be used to inform project management decisions;
- The ways in which impact will be evaluated at the end of the activity including how impact will be attributed to the activity;
- 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);
- A plan for collecting and responding to the concerns of program beneficiaries/constituents and other stakeholders.

⁷*Capacity building* is considered to be organizational and technical strengthening to assist recipients to improve their implementation planning and management, monitoring and evaluation and other organizational systems critical to effective service delivery and organizational sustainability. Technical capacity development should include strengthening the local organization's ability to effectively engage in conflict mitigation and/or peacebuilding, for example, so they can eventually assume the central responsibilities associated with the program.

⁸ <http://www.usaid.gov/evaluation/USAIDEvaluationPolicy.pdf>

Results must be clearly articulated and directly correspond to the stated goals and objectives outlined in the technical application and directly correlated to the theory of change. Monitoring and evaluation methods must be specific, measurable, realistic and applicable to the goals and objectives. Plans must also include gender-sensitive indicators and sex-disaggregated data as appropriate.

The monitoring plan, if appropriate, should include indicators for local partner capacity development, including a baseline assessment using an established organization capacity assessment tool or framework. As appropriate, applications by non-indigenous organizations or corporations also should include a plan with appropriate benchmarks for transferring the responsibilities for the technical and substantive elements of the program to local partners.

Proposed indicators should move beyond collecting data on just inputs and outputs for their program, and propose relevant outcome and impact indicators (or proxies) to measure and track the effect of the program on the parties involved and the potential for conflict. The monitoring plan incorporates indicators for local partner capacity building. For more information on developing indicators, including gender-sensitive indicators, please see the following reference:

- ADS Chapter 203: Assessing and Learning (<http://www.usaid.gov/policy/ads/200/203.pdf>)

The application must also include plans and resources for evaluation. *Evaluation* is the systematic collection and analysis of information about the characteristics and outcomes of programs and projects as a basis for judgments to improve effectiveness, and/or inform decisions about current and future programming. In keeping with USAID policy, evaluations should be

- Integrated into the design of projects;
- Unbiased in measurements and reporting;
- Relevant to the most important questions regarding project performance, accountability and learning;
- Based on the best methods, taking into consideration time, budget, and other practical considerations;
- Oriented toward reinforcing local capacity, for example by relying on evaluation specialists from partner countries; and,
- Transparent, with clear commitments to full and active disclosure of finding.

Institutional Capabilities and Past Performance

Organizational and Team Capabilities: The application must briefly describe the applicant's organizational history and experience. If partners are proposed, their organizational history and experience should be described and the applicant should demonstrate that the partner organization has been consulted and has agreed to participate in the proposed activities. The

applicant should demonstrate success in supporting peace and reconciliation activities, people-to-people activities, or positive experience working with the proposed target population in its respective geographic area.

The composition and organizational structure of the proposed project team must be well described, including team member titles, roles and requisite technical expertise. The team, as backed by the overall organization, should be well matched to the approach and methodology.

The applicant should provide sufficient information on the technical and managerial experience of the project director as well as other relevant project management staff identified by the applicant. The applicant must provide experienced, qualified personnel in relevant disciplines and areas for project management and professional staff positions and include an organogram of project staffing.

Evaluation of Past Performance References

DCHA/CMM will review past performance references to evaluate the extent to which the applicant demonstrates the successful implementation of other projects similar in magnitude, complexity, objectives and contexts. Despite the presence of this evaluation criterion, newer organizations and applicants with little or no prior related grant awards are highly encouraged to apply for DCHA/CMM awards and are eligible for consideration, notwithstanding a lack of past performance references. USAID reserves the right to obtain past performance information from all relevant sources, including those not named in applicant's proposal.

When past performance information is present, applicants shall furnish award numbers and other details with contact information for no more than three similar projects funded over the past three years by USAID, or any other government entity or third party source. The details shall include the following: name of the organization or agency which funded the project(s), award number, point of contact's name, mailing address, email address and phone number, and the overall dollar value of the project. The applicant must include information on any problems encountered, and the applicant's corrective action(s). Applicants must not provide general information on their performance. Applicants may describe any quality awards or certificates that indicate exceptional capacity to conduct the program described in this APS.

USAID must consider the information provided, and may use past performance information obtained from sources other than those identified by the applicant, in the evaluation of the applicant's past performance, and must determine the relevance of similar 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. Past performance information may be used for responsibility determination.

5.3.2 Cost Application

The cost application section for applications ranging from \$100,000 to \$500,000 must not exceed three pages plus specified attachments, and the cost application section for applications over

\$500,000 to \$1,200,000 must not exceed five pages plus specified attachments, and both must include the following:

1. *Budget and Budget Narrative:* The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word). The budget must clearly show how funds will be used to support the activities proposed in the applicant's Technical Narrative. The budget must display unit costs and costs by year (if applicable) and must include sub-cost applications for each component. Suggested line items include, but are not limited to, the following: personnel, fringe benefits, office rent, utilities, equipment, communications, local travel, internal and/or external evaluation, and sub-grants. The budget narrative must explain all costs – and the basis of those costs – contained in the budget. The budget narrative must detail the total costs for implementation of the proposed program for the full program period of up to 36 months. Please note: applications over \$500,000 which include partnership with local organizations are required to include provision of financial resources to the local organization for the purposes of building management and technical capacity of the local organizations.

DCHA/CMM encourages prospective partners to focus resources in project implementation rather than salaries, equipment and supplies. The budget **will be reviewed for cost realism** in accordance with the evaluation criteria.

2. SF 424, 424A, and 424B (excluded from the three-page limit) should be signed by the applicant and submitted as an electronic file:

- SF-424, Application for Federal Assistance
- SF-424A, Cost application Information - Nonconstruction Programs
- SF-424B, Assurances - Nonconstruction Programs

These forms are available at http://www.grants.gov/agencies/approved_standard_forms.jsp.

3. The breakdown of all costs to each partner organization (subaward) involved in the program.

4. The breakdown of all financial and in-kind cost share, if any, of all organizations involved in implementing the proposed activities.

5. Potential contributions of non-USAID or private sector donors to the proposed activities.

The USAID-funded portion of the proposed application must be a minimum of \$100,000 and a maximum of \$1,200,000. As stated in Section 3 above, **it is the intention of this APS that only local organizations are eligible to apply for awards in the amount of \$100,000 up to \$500,000. All organizations are eligible to apply for awards in the amount over \$500,000 to \$1,200,000. Organizations must submit proof of their qualifying status as a local organization.**

Organizations need not submit signed Assurances, Certifications, and Other Statements, provided as Attachment 4 to this APS at the time of their original submission. Only organizations that are referred to the second stage of competition need submit this documentation. Organizations will be notified if/when such documents must be submitted. These pages will not count against the page limit.

5.3.3 Attachments to Cost Application

The following optional attachments do not count against the page limit:

1. Supporting data/documentation of the various proposed costs, if any.
2. Joint venture/partnership agreements or drafts: If the applicant is a joint venture or partnership, the application should clearly identify the lead organization. The financial plan must include a copy of the agreement between the parties to the joint venture/partnership and an explanation of the proposed accounting system to be utilized post-award. The agreement and/or accounting system explanation should be included as an annex to the application and will not be counted against the page limit.

The agreement must include a full discussion of the relationship between the firms, including the following: which firm will have responsibility for negotiation of the award; which firm will have accounting responsibility; how work will be allocated, overhead calculated (note that fee/profit is specifically prohibited), and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

Please note: Non-local applicants are strongly discouraged from requiring local organizations to sign exclusivity agreements.

5.4 Submission Instructions and Deadlines

5.4.1 Electronic Submission

Two separate electronic files, Technical Application and Cost Application, inclusive of any allowed attachments, must be emailed to both CMMAPS@usaid.gov and to the USAID Mission or Regional Mission point of contact (see Attachment 3).

Please note: Electronic submissions through <http://www.grants.gov> are optional. Although applications are not required to be submitted through Grants.gov, applicant registration facilitates obtaining a DUNS number and registering with the U.S. government's Central Contractor Registry. Applicants should note that applying through Grants.gov requires registration through the Central Contractor Registry.

It is the applicant's responsibility to ensure that files are complete and transmitted by the deadline however USAID will confirm receipt of applications as they are received. USAID bears no responsibility for data errors or omissions. USAID may accept applications past the

deadline due to transmission difficulties that are not the fault of, or within the control of, the applicant with the approval of the USAID Mission/Regional Mission Agreement Officer.

Facsimile proposal submissions will not be accepted without advance approval of the Agreement Officer. To contact an Agreement Officer, applicants should go through the USAID point of contact for the relevant country/regional mission (see Attachment 3).

The following submission instructions apply depending on the number of countries involved in the proposed activities:

- **Single country activities:** Single country applications should be submitted to the relevant USAID Mission point of contact for review (see Attachment 3) and to CMMAPS@usaid.gov.
- **Cross-border and multi-country activities:** Applications for cross-border and multi-country activities should be submitted to the email address of the USAID Mission point of contact in the country where the majority of the activities are slated to take place. If the application is reviewed positively, the USAID Mission will forward the application to the APS point(s) of contact in the other affected country or countries to secure the Missions' consent to the outlined activities before recommending it for funding (see Attachment 2 for more information on cross-border applications).

5.4.2 Application Submission Deadline

While this APS is open for 180 days from the date of issuance, USAID plans to review only one batch of applications under this funding opportunity. Applications received no later than **5:00 p.m. local Mission time on Friday, March 9, 2012** will be included in the first batch of applications for review. USAID reserves the right to request additional batches of applications if there are sufficient funds available; however, applicants are strongly encouraged to apply by the deadline noted above for full consideration.

This APS may be amended either to establish subsequent deadlines for additional batches of applications or to indicate that an award(s) has/have been made and that no further funding is available.

5.4.3 Estimated Timeline

After each submission date, participating USAID Missions and Regional Missions will have approximately 30 days to review the applications received and to submit the Mission Technical Evaluation Reports with the applications recommended for funding to DCHA/CMM. Organizations recommended for funding to DCHA/CMM will be contacted and asked to submit Signed Assurances, Certifications and Other Statements at this time. This is in no way an indication that organizations will receive funding under this APS. Concurrently and within approximately 30 days of DCHA/CMM's receipt of the Mission Evaluation Reports and funding recommendations, DCHA/CMM will convene a technical evaluation committee to review the Missions' recommendations and select applications to be recommended for funding. These recommendations will then be provided to implementing USAID Missions/Regional Missions

for negotiation, responsibility determinations and award. *It can take up to six months or longer for organizations to be notified of the status of their applications.*

Prior to making an award under this competition, USAID may perform a pre-award survey for organizations that are new to working with USAID or for organizations with outstanding audit findings. Accounting systems, audit issues and management capability questions may be reviewed as part of this process. If notified by USAID that a pre-award survey is necessary, applicants must prepare in advance the required information and documents. A pre-award survey does not commit USAID to make an award to any organization.

DCHA/CMM reserves the right to adjust these timelines as the number of applicants and other scheduling may require.

5.5 Application Evaluation Process

Applications received by the deadline of **5:00 p.m. local Mission time on Friday, March 9, 2012** and responsive to this APS will be evaluated in accordance with the criteria set forth in this section of the APS using the process outlined below:

Step 1: Applications must be reviewed by a USAID Mission/Regional Mission Technical Evaluation Committee (TEC) within approximately 30 days after the submission date. The USAID Mission/Regional Mission TEC will review all applications in accordance with the evaluation criteria set forth in section 4.7. If an applicant has submitted an application for cross-border or multi-country activities and the USAID Mission/Regional Mission TEC reviews the application positively and intends to recommend it for funding, the chairperson of that TEC must first secure the concurrence of each affected Mission and Regional Mission for the outlined activities.

Each USAID Mission or Regional Mission will prepare a technical evaluation memorandum to document the review process, rank all applications reviewed and recommend applications to DCHA/CMM for funding. At the completion of the step one review, the USAID Mission/Regional Mission will notify all unsuccessful applicants that their applications were not forwarded to DCHA/CMM for step two consideration. Those referred for further consideration will be contacted and asked to submit the Signed Assurances, Certifications, and Other Statements.

Step 2: Upon receipt of the USAID Mission/Regional Mission reports, DCHA/CMM will convene a TEC in Washington D.C. This TEC must review all Mission/Regional Mission recommended applications per the APS evaluation criteria and make final recommendations for negotiation and award. The DCHA/CMM/Washington TEC chairperson will prepare a technical evaluation memorandum to document the review committee's selections for execution by the Mission/Regional Mission Agreement Officer(s).

The final selection for awards will be based on the step two application review and recommendations by the DCHA/CMM/Washington TEC. At the completion of this step and all

necessary procedural elements, USAID/Washington will notify each successful and unsuccessful step two applicant by email.

5.6 Applicant Pools

Please note: In FY 2012, there will be two pools of applicants considered for funding under this APS as follows:

1. \$100,000 to \$500,000: Only local organizations are eligible to apply for funding in the amount of \$100,000 to \$500,000. Local organizations must be recognized under the laws of the country in which they are domiciled. For specific purposes of this APS, local organizations do not include subsidiaries, affiliates, or member entities of organizations located outside of or organized outside of the host country or region. Local organizations must clearly state this status on the cover sheet and submit evidence of their eligibility for this component of the APS.
2. Over \$500,000 to \$1,200,000: All eligible applicants, including local organizations, are eligible to apply for funding in the amount over \$500,000 to \$1,200,000.

5.7 Evaluation Criteria (100 points total)

The criteria and sub-criteria listed below serve as the standard against which **all** applications must be evaluated. Instructions on proposal preparation with further detail for each section can be found in section 5.3.1.

1) Approach and Methodology (40 points)

- a. Context & Conflict Analysis (10 points):** The extent to which the application identifies the sources of conflict and impediments to reconciliation, as it relates to the applicant's proposed activities, in a brief context and conflict analysis that includes an assessment of the separate and distinct way men and women experience the conflict, as applicable. The analysis must provide a treatment of both specific drivers of local conflict/peace as well as the larger context in which the conflict is taking place that may be impacting upon localized drivers.
- b. Theory of Change (15 points):** The extent to which the application clearly explains the theory or theories of change that determined the programmatic approach and specifically demonstrating the if-then hypothesis behind the programmatic approach, e.g. if XX happens, then YY will occur. The extent to which the application clearly and logically explains the assumed connections between various actions and the goal of reducing conflict or building peace in a particular conflict context and looks beyond the grant with attention to prospects for long-term sustainability.
- c. People-to-People Approach (15 points):** The extent to which the proposed methodology and activities are rooted in a people-to-people approach to conflict mitigation and reconciliation. The extent to which the application explains how the proposed people-to-people activities will mitigate the sources of conflict and impediments to reconciliation identified in the context and conflict analysis.

2) Implementation Plan, Sustainability and Local Engagement (40 points)

- a. Implementation (20 points)** The extent to which the applicant demonstrates an implementation approach with logically sequenced program activities in order to achieve the desired outcome connected to the articulated theory of change to achieve the overall goal of conflict mitigation, peace and reconciliation in the identified countr(ies). The extent to which the activities reflect an understanding of men's and women's cultural norms, capitalize on their potential to mitigate conflict, and take steps to assure equitable participation. When the roles of men and women are not relevant to a program's design, the applicant must clearly demonstrate why its inclusion is not appropriate. The extent to which the applicant outlines moments of opportunities for or challenges to reconciliation/peace building and how the applicant will address these. The extent to which the illustrative first year activity plan sets out a realistic outline of tasks and deliverables, anticipated time frames, challenges, opportunities and due dates, and roles and responsibilities of key personnel.
- b. Do No Harm (10 points)** The extent to which the applicant ensures the safety of all participants and does not put individuals or communities at risk as a consequence of the program. The extent to which the applicant clearly examines the possibility for and prepares to mitigate any risk of exacerbating tensions in such a way that will worsen the drivers or conflict or spark violence.
- c. Local Engagement (10 points):** The extent to which the proposed activity or activities are likely to be sustained beyond the grant and contribute to building the capacity of communities to address their own concerns in the future. Applications will be evaluated on the extent to which they promote, strengthen and are supported by sustainable local organizations or approaches that can champion sound concepts, innovative practices and changes beyond the life of the award including the attention to capacity building of local partners (for applications over \$500,000). Applicants should outline how local perspectives have contributed to the design, implementation and evaluation and how these efforts are being incorporated and/or built upon to realize success. Capacity building plans (only for applicants over \$500,000) will be evaluated according to the extent that they propose a balanced approach for building technical and organizational skills for local actors in peace building and reconciliation.

3) Monitoring and Evaluation Plan (5 points)

The extent to which results are clearly articulated and directly correspond to stated goals and objectives as outlined in the approach and methodology section. The extent to which the monitoring and evaluation methods are specific, measurable, realistic and applicable and contain a robust plan for evaluation in keeping with the technical requirements outlines in Section 4.3.1. The extent to which there is appropriateness of proposed gender-sensitive indicators and sex-disaggregated data.

4) Institutional Capabilities and Past Performance (10 points)

a) Institutional Capabilities (5 points)

The extent to which applicants offer evidence of their technical resources and organizational expertise by demonstrating the depth of experienced personnel in projects in relevant disciplines/areas including the curriculum vitae of the proposed project director or equivalent; proposed partner capabilities and expertise; proposed management structure including an organogram.

b) Past Performance. (5 points)

Applicants will be evaluated based on their past performance, specifically the extent to which the applicant provides the information as described in Section 4.3.1. Each applicant will be rated on the extent to which references of past performance indicate the applicant's ability to successfully complete the proposed program based on quality of prior performance, compliance with deadlines, and cost control.

5) Cost Realism and Cost Effectiveness (5 points) The cost application allocates sufficient and appropriate funding for all elements of program implementation and activities including evaluation. The cost application maximizes the allocation of resources for program activities, including capacity building, as appropriate.

5. Award and Administration Information

An award must be made only by the USAID Mission/Regional Mission Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

6.1 Pre-award Surveys

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may 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 any award.

6.2 Post-award Reporting

Copies of all required programmatic reporting must be submitted to both the Agreement Officer's Technical Representative (AOTR) and to DCHA/CMM at CMMAPS@usaid.gov

(1) NGOs

Programmatic reporting requirements must be in accordance with 22 CFR 226.51 and as agreed with USAID prior to program implementation.

(2) PIOs

Programmatic reporting requirements must be in accordance with the recipient's standard reporting prepared for all donors in which case, USAID may require the same reporting requirements as for NGOs (see preceding paragraph above).

(3) Financial Reporting

Financial reporting will depend on the payment provisions of the award, which cannot be determined until after the successful applicant(s) is/are selected. Quarterly program performance reports will be due 30 days after each reporting period. The final report will be due not later than 90 days after the expiration of the agreement.

Relevant Documentation

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.

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

- ADS-303:
<http://www.usaid.gov/policy/ads/300/303.pdf>
- 22 CFR 226:
http://www.access.gpo.gov/nara/cfr/waisidx_03/22cfr226_03.html
- 22 CFR 220 (formerly OMB Circular A-21)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a21.pdf
- 22 CFR 230 (formerly OMB Circular A-122)
http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a122.pdf
- OMB Circular A-133 - Audits of States, Local Governments and Non-Profit Organizations
<http://www.whitehouse.gov/omb/circulars/index.html>
- 48 CFR 31.2:
<http://www.arnet.gov/far/>
- Standard Provisions for U.S. Nongovernmental Organizations:
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>

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. Standard Provisions for Non-U.S. Nongovernmental organizations are available at <http://www.usaid.gov/policy/ads/300/303mab.doc>.

Resulting awards to public international organizations will be administered in accordance with Chapter 308 of USAID's ADS (ADS-308), including the Standard Provisions set forth in ADS-308.5.15.

These documents are available for further information:

- ADS-308
<http://www.usaid.gov/policy/ads/300/308.pdf>
- Survey on Ensuring Equal Opportunity for Applicants
<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>
SF-424 Cost application/Cost Application Documents
http://www.grants.gov/agencies/approved_standard_forms.jsp.

6.3 Other Considerations

6.3.1 Environmental Protection and Compliance

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 the Code of Federal Regulations (22 CFR 216) and in USAID's

Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. In addition, the recipient must comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.

No activity funded by USAID 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, duly signed by the governing Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

For activities implemented through the FY12 CMM APS, the recipient will contact the CMM office representative or contracting officer at the mission for the applicable RCE or IEE under the authority of the Bureau Environmental Officer (BEO) for the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA).

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

Amendments (as Needed): If the awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the environmental 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 environmental documentation is submitted and written approval is received from USAID.

6.3.2 Implementation of E.O. 13224 – Executive Order on Terrorist Financing (March 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the Contractor/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

6.3.3 USAID Disability Policy – Assistance (December 2004)

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

USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under any Grant or Cooperative Agreement awarded pursuant to this APS. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

6. Attachments

7.1 Attachment 1: List of Eligible Countries and Country-Specific Instructions

The following list of eligible countries has opted to participate in the FY12 APS process. These countries have chosen to prioritize people-to-people activities as a contributing approach to mitigating conflict and peace building. Legislative restrictions and special instructions related to each country may be found at the base of the country list. In addition to those restrictions and instructions, applicants must be mindful that legislative or other prohibitions on assistance may become applicable to a particular country at any time.

Please note that several countries have country specific guidelines for APS applications that must be considered by applicants, as specified below. Applicants for countries without specific guidance should follow the instructions and criteria outlined in the main body of this solicitation.

Africa

Angola
Burundi
Cote d'Ivoire
East Africa Regional
Ethiopia
Guinea Bissau
Kenya
Rwanda
Senegal
Uganda
Zimbabwe

Asia

Burma
Cambodia
Indonesia
Nepal
Europe and Eurasia
Bosnia and Herzegovina
Georgia
Kyrgyzstan
Russia
Tajikistan

Latin America and the Caribbean

Peru

Please note: Applications to the East Africa Regional Mission can include activities in: Burundi, Somalia, Democratic Republic of Congo, Kenya, Rwanda, and Uganda but must be cross-border or multi-country programs. Single country activities may not be submitted to the regional mission but should be submitted to the mission for the country in which activities will take place. Please also see the Mission specific criteria below for East Africa.

While APS activities are limited to the countries/areas as discussed in Attachment 1, meetings only in a country not on the List of Eligible Countries under this APS, are permissible if the neutrality of the meeting location or the security of participants is an issue. Costs relating to these meetings such as travel and per diem, conference room rental, non-alcoholic beverages at the meetings, may be proposed in the Cost Application subject to overriding USAID policy, U.S. legislative and host/third country restrictions.

Country and/or Region specific guidelines. Please note that the following statements reflect the preferences and requirements of various participating missions, but all applications must still address all of the instructions and criteria outlined above.

AFRICA

Angola

USAID/Angola will not consider applications for less than \$500,000. USAID/Angola will accept applications that address:

- Protection, reintegration and recovery for returning or mobile populations in key border areas including combating sexual violence and violence against children.
- Mediate and Mitigate conflict through the rule of law and access to justice for victims of violence, arbitrary detentions, police brutality, human trafficking and land tenure.

Burundi

USAID/Burundi welcomes proposals from international and/or Burundian organizations that apply a conflict lens to election-oriented programming which achieves conflict mitigating and elections-related goals of political inclusion. In support of the GOB's focus on attaining MCC threshold status by controlling corruption and improving democratic rights, illustrative examples could include, but are not limited to:

1. Educating youth, both outside and within the youth wings of political parties, on positive engagement in political processes and encouraging them to avoid violence, or
2. Encouraging dialogue among divergent political actors with the goal of bringing the currently self-disenfranchised parties back into the political process. Political dialogue could address, for example, electoral law reform, the reconstitution of and meaningful engagement in the Political Parties Forum, or pre-campaign revisions for the Parties' Code of Conduct.

Applicants are highly encouraged to integrate women's participation and perspectives as agents of peace, reconciliation, development, growth, and stability as outlined in the U.S. National Action Plan on Women, Peace, and Security.

Cote d'Ivoire

Proposed activities should focus on increasing social cohesion while addressing key issues that may impede future reconciliation and potentially drive new conflict. Planned activities should particularly focus on the provision or restoration of livelihoods for conflict affected groups, access to land and protection of property rights for conflict affected populations and / or engagement of conflict affected youth in socially and economically productive activities. Activities can be located in one or more post-conflict areas where the risks of renewed intra-

community conflict are high. The proposed intervention should maximize any synergies with existing conflict mitigation/prevention and reconciliation related initiatives.

East Africa Regional Mission

USAID/EA will consider applications which fall into one of the following two programmatic categories both incorporating people to people approaches identifying and addressing issues of mutual concern that establish common ground for cooperation and coexistence. As indicated above, activities must be cross-border or multi-country in scope.

- Support the establishment and strengthening of local cross-border mechanisms for conflict management and reconciliation among/between key stakeholders on both sides of the border, including local government and civil society groups, business, traditional authorities, and other stakeholders, as appropriate, to manage/mitigate on-going potential conflict triggers in the Somali Cluster (Somalia-Kenya border areas) and the Karamoja cluster (Kenya-Uganda border areas). Preference will be given to applications that build on and strengthen existing mechanisms, where they exist, and link any new mechanisms to existing regional conflict early warning and response structures. Examples of local mechanisms include cross-border peace committees and cross-border networks of mediation councils, women’s groups, and other civil society conflict mitigation groups.
- Encourage objective dialogue and networking to strengthen existing regional Great Lakes civil society forums (comprised of members from DRC, Rwanda, Burundi, and/or Uganda) which are working, in collaboration with regional bodies and other stakeholders, toward an internationally credible “conflict-free” mineral trade in the Great Lakes Region, including those which play critical roles monitoring human rights and sexual and gender-based violence (SGBV) related to “conflict mineral” extraction and areas of extraction.

Ethiopia

USAID/Ethiopia will consider applications addressing the following issues:

1. Advancing the role of women and youth in peace-building, and
2. Improving the ability to manage natural resources to increase resiliency to climate change and conflict, especially in information-poor, rural communities.

Applicants will need to show how the proposed programs will collaboratively work with the Government of Ethiopia to advance their efforts to improve peace-building and religious tolerance. The applicant must also be registered to operate in Ethiopia, under the Charities and Societies Act (CSA). This is applicable for both local and foreign NGOs. Local Universities are exempt from the CSA. Applicants can find information on this at:

<http://www.ethiopia.gov.et/English/Forms/Pages/Formsbytopic.aspx?TG=NGOs>

Kenya

Kenya's new constitution presents enormous opportunities for positively engaging communities around issues that remain drivers of conflict. Implementing the new constitutional reforms as envisioned, however, is laden with uncertainty and fear. Vested elites also see these reforms as threatening the status quo.

This rise in conflict is especially worrying around the themes of land and devolution. Redrawing boundaries, electing local officials, and changes in land policy have further heightened fears around the exclusion of minorities and given rise to negative ethnicity. Communities must not only understand the problems, but have constitutionally based solutions that can address the problems.

The Mission remains particularly concerned around potential conflict in the Rift Valley (heart of the post-election violence in 2007-08), Nairobi slums (where various ethnic groups live in close proximity) and the Coast. Recent months have seen the Coastal area escalate in prominence, based on the emergence of quasi-secessionist and armed movements targeting vulnerable youth. Initiatives focused on addressing intractable challenges in this marginalized region -- while linking them to national institutions and solutions -- is an increasing priority.

Rwanda

USAID/ Rwanda will consider applications that holistically:

- Focus on land disputes management;
- Have a value of at least \$450,000 for local organizations;
- Have a value of at least \$ 1 Million for International organizations;
- Have a minimum duration of 24 months.

Senegal and Guinea Bissau

USAID/Senegal is accepting APS applications that target Senegal and/or Guinea Bissau. USAID/Senegal encourages applicants to develop applications which seek to address or mitigate one or more of the factors identified as potential drivers of conflict and violence in the 2009 Senegal Sub-Regional Conflict Assessment. Awarded efforts under this APS must also be technically complementary to and coordinated tightly with the Mission's current programs in Senegal. The Sub-Regional Conflict Assessment and other background documents of interest to applicants are posted on the Mission's website at <http://senegal.usaid.gov/en/node/22>.

USAID/Senegal particularly encourages applications that seek to promote resolutions of conflict associated with 1) cross-border issues in Guinea Bissau and Senegal affected by the 29-year conflict in the Casamance and increases in illicit cross-border activities including money laundering, drug and arms trafficking, and trafficking of persons; or 3) resource use or distribution, including but not limited to the extractive industries, water use, land use or distribution, land tenure, etc. Applicants should seek to involve youth and women in peace

building interventions, contribute to UN Resolution 1325 (recognizing the critical need to protect women and girls from violence; to involve them as decision makers in conflict resolution, and training; and to end cultures of impunity), and strengthen the role of civil society to resolve conflicts and promote peace. For a cross-border program, USAID would like to encourage new partnerships with local organizations, in particular those that already have a physical presence at least one or more countries in the sub-region.

Uganda

USAID/Uganda's approved Country Development Cooperation Strategy (CDCS) includes a Special Objective (SpO) on Karamoja that emphasizes strengthening peace and security structures in the region, in addition to improving infrastructure and livelihoods. The SpO aligns with the Government of Uganda's strategy for Karamoja, which seeks "to contribute to human security and promote conditions for recovery and development in Karamoja." Under this framework, People to People reconciliation should encompass the areas below:

USAID/Uganda will focus on supporting activities in the Karamoja sub-region that seek to promote inter-ethnic reconciliation between Karamojong and contiguous communities such as Teso, Sebei, Acholi and Lango, as well as support activities between ethnic communities within the Karamoja region (such as the Bokora, Matheniko, Pian, Jie, Dodoth, Ik, etc.). The program would work with existing local government structures, community based organizations and traditional institutions to prevent and manage conflict and promote reconciliation. Activities should seek to support indigenous structures as opposed to creating new externally imposed ones. Focus will be placed on building the capacity of key local peace actors and potential spoilers including women, youth and councils of elders where appropriate in mitigating conflict and promoting reconciliation. Preference will be given to proposals that build on previous peace-building initiatives and coordinate with ongoing ones (whether donor-funded or locally led) and those that leverage resources from other donors or partners.

Zimbabwe

USAID/Zimbabwe's objective is to focus on protective and preventative strategies to reduce community-level violence and conflict based on political processes, particularly around the pending referendum and elections. USAID Zimbabwe encourages responses to this APS to focus on attitude change for communities to promote peace and reject violence. This may include conflict resolution with groups of individuals that have been perceived as drivers of conflict, early warning systems (EWS) and response mechanism, and enhanced protection mechanisms for human rights defenders. The proposed approach should be community-driven and innovative and have a clear focus on youth and gender. Geographically, the Mission anticipates programming to take place in "hot spots" such as swing constituencies and areas with a demographically significant youth population such as urban centers.

The proposals must also be technically complementary to and coordinated tightly with the Mission's current programs in Zimbabwe. The CMM-funded activities will contribute to the

USAID/Zimbabwe's Democracy, Human Rights and Governance (draft) Intermediate Result "Citizens are mobilized to make their voices heard" by enabling civil society to better represent the needs of citizens and communities to better protect themselves from intimidation and violence. **Prior to receiving proposals**, USAID/Zimbabwe will host a bidders conference in country. All interested bidders should contact the Mission's Point of Contact.

ASIA

Burma

Since there are a number of statutory provisions affecting assistance for Burma, assistance under this APS may be provided for Burma only if notwithstanding authority is available to overcome those statutory provisions. An example of notwithstanding authority which might be available for activities under this APS is the notwithstanding authority associated with "promotion of democracy". All proposals submitted in response to this APS for Burma must undergo USAID legal review and receive USAID legal approval. Such legal review and approval will ensure that any assistance provided will be consistent with applicable Executive Orders (including EO 13047, 13310, 13448, 13464), OFAC Burmese Sanctions Regulations, licenses issued pursuant thereto, and applicable Department of Commerce Export Regulations.

Cambodia

USAID/Cambodia requests applications from civil society organizations that seek to promote community-level peace and reconciliation activities to bridge the residual divisions among citizens and help Cambodians heal from the atrocities committed by the Khmer Rouge regime over 30 years ago. Activities should focus on researching, recording, archiving, protecting and publically disseminating information related to the genocide, mass crimes, and human rights abuses that occurred during the Khmer Rouge regime of 1975-1979. Using the people-to-people approach, applications should clearly reflect how program activities will bring together the viewpoints of different groups, including the victims of the Khmer Rouge, former Khmer Rouge cadres, youth that were born after the genocide, and ethnic groups that have been particularly persecuted, such as the Muslim Chams. The people-to-people approach focusing on community-level reconciliation activities aims to complement the ongoing national reconciliation process led by the United Nations Khmer Rouge Tribunal and the Royal Government of Cambodia.

Indonesia

Contemporary views of Indonesian political culture are largely dominated by a vision of a peaceful and diverse nation navigating challenges posed by rising expectations created from its middle income status and slowly consolidating enduring democratic institutions and practice. In many respects, this is accurate, and though Indonesia's democratic transition remains marked by extensive patron clientelism and corrupt business practice, it also remains a stable regional power and a reliable US ally. However, Indonesia is also marked both by a history of violence. While overt and sustained violent conflict such as was experienced in Aceh is resolved, the challenges

of maintaining a multiethnic society spread over a vast geography where state authority is sometimes weak leave Indonesia vulnerable to recurring violent incidents.

For example, peace in Aceh is being tested by a contentious set of local elections for governor, mayors and county executives, in which the incumbent party representing former combatants is refusing to take part; violence in the province is once again rising. Violence targeted at religious minorities (particularly Christians and Ahmadiyah) continues with limited state willingness or ability to enforce legal protections. Finally, the past months have seen a significant increase in tension in the far eastern provinces of Papua and West Papua fueled in large part by the perception of years of exploitation and official neglect.

USAID/Indonesia already supports a number of activities focused on Papua as well as activities consistent with People to People Reconciliation (P2PR) in other parts of the country. As Indonesia wrestles with these sorts of challenges, P2P approaches as supported by the CMM Annual Program Statement hold great promise. Targeted proposals by local and international organizations may be able to assist Indonesia in reinforcing a culture of peace, living up to its reputation of tolerance, and ultimately could contribute to democratic consolidation fully consistent with the USAID Mission strategy and development objectives.

USAID/Indonesia will accept applications according to the following requirements.

- 1) Applicants are strongly encouraged to consider activities that are specifically linked to overall mission development objectives existing mission activities both thematically and geographically; and
- 2) Programs must be focused on areas of Indonesia which face significant risk of violent conflict, including Papua and West Papua. Areas where there is a particular vulnerability to resource based conflicts are of interest. Proposals that include activities outside high conflict provinces or districts will be considered as long as they have a clear and direct analytical link to drivers of conflict. Activities that aim to increase understanding and tolerance across ethnic, religious, cultural, and political divides are particularly welcome.
- 3) Programs must involve youth and women as meaningful participants, offers' should propose methods to assure such inclusion; and
- 4) Programs should support activities that link at least one of the following USAID Mission objectives through direct people-to-people reconciliation: health, education, economic growth/livelihoods, environment and democracy and governance.

Nepal

USAID/Nepal encourages APS applications that focus on conflict mitigation and coexistence efforts. Applicants must use innovative approaches to peace building that are targeted towards communities that are unstable and conflict-affected. These include communities hosting internally displaced people, ex-combatants, disqualified combatants, squatters (“tillers”),

landless, and property seized by Maoists. Programs should address the drivers of conflict in the target area and provide tangible benefits to beneficiaries in order to demonstrate peace dividends. USAID/Nepal strongly encourages submissions by national organizations and expects that activities will be implemented at the local level (Village Development Committee area to the District Development Committee level).

All activities should identify which at-risk population (youth, women, disabled, etc.) the program will prioritize while encouraging participation by and between all ethnic, caste and religious groups in the target areas. Activities must reflect creative and innovative approaches to address drivers of conflict, and produce tangible and sustainable development benefits.

USAID/Nepal encourages APS applications that seek to engage in one, or more, of the following areas:

- 1) Communal tensions/conflicts: Activities that engage communities that are experiencing tensions and/or conflict between ethnic, caste or religious groups. In particular activities should address conflict resulting from increased division and polarization of communities and absence of the locally elected representation
- 2) Vulnerable populations: Activities that address the needs of populations made vulnerable as a result of the national or regional conflict. In particular activities should address conflict resulting from inadequate access to resources, poor legal protection, absence of transitional justice mechanisms, or lack of peace dividends
- 3) Resource-based conflict: Activities that address emerging community-based conflicts, such as land issues, which are likely to result from the decisions made during the peace process including the distribution of resources and new federal-drawn divisions. This may include, but not be limited to, food security, water use, land use, return of seized property, and resource extraction.

EUROPE AND EURASIA

Bosnia & Herzegovina

USAID encourages projects which bring together people from both entities and promote inter-ethnic reconciliation by supporting joint activities among people of different ethnic, political and religious backgrounds. USAID welcomes civil society activities which engage youth, minority returnees, war veterans and/or war victims and promote respect, acceptances and appreciation of the rich diversity of BiH cultures. Applications should target and ensure active involvement of a wide range of key stakeholders and decision makers (government, business, religious and political leaders, NGOs, public institutions) and seek bottom-up buy-in. Programs should take a People-to-People (P2P) approach and include innovative approaches to include media in programming.

USAID Bosnia and Herzegovina encourages applications that focus on the process of reconciliation and address underlying aspects of conflict and promote healing and forgiveness among ethnic Bosnian populations.

Understanding that reconciliation is a long term process USAID/BiH will not consider applications for less than 24 months.

Georgia

USAID's Mission in Georgia will consider applications for programming that seek to increase access by the international community to the breakaway regions of Abkhazia and South Ossetia, and expand humanitarian access, bolster residents' ability to access outside sources of information, and promote cross-boundary contacts, with a goal of reducing the risk of renewed fighting and reducing the level of fear and mistrust. Applicants should take note that U.S. policy supports Georgia's sovereignty and territorial integrity within its internationally recognized borders. The Mission believes that encouraging and facilitating engagement between local populations on both sides of the Administrative Boundary Lines (ABL) and between de facto and Georgian authorities is an essential part of maintaining short-term stability and ensuring lasting reconciliation.

Applicants are encouraged to:

- Focus on a limited number of coherently structured short- and medium-term interventions, clearly indicating how these interventions would help pave the way for longer-term conflict mitigation.
- Draw on people-to-people activities for divided communities across both ABLs.
- Build on USAID's current and past activities for conflict-affected communities in the areas of healthcare, youth, and cross-community interaction.
- Promote women's participation in proposed activities.
- Reflect creative and innovative approaches to address the drivers of conflict, and aim at tangible development benefits.

Kyrgyzstan

USAID/Kyrgyz Republic seeks applications for conflict mitigation and reconciliation programs focusing on direct engagement with local organizations working in areas outside of Bishkek and targeting women, youth, the rural poor, and other traditionally underserved populations.

Kyrgyzstan is a transitioning democracy that has, since independence, witnessed two revolutions and recurrent ethnic clashes – following the June 2010 violence in the south, almost 2000 citizens were left dead or missing. Resurgent ethnic nationalism and the bulging youth population, coupled with a collapsing education system has enabled various drivers of community conflict. Following many years of state-forced atheism, various religious identities have taken hold in rural communities, some versions of which were bred in the conflict-bound spaces of the Fergana Valley and Tajikistan/Afghanistan range. A lack of state resources,

dwindling education system, and a growing population living at the fringes of society have created pockets of potential conflict in a system highly corrupt system with a weak adherence to rule of law. Without specific, targeted attention to cementing the bonds between individuals of disparate yet commingled ethnic and political groups, a spark of violence in one area could easily spread. Mitigating this potential conflict is a priority of the U.S. government in Kyrgyzstan.

Special consideration will be paid to programs which will align with and leverage the work of the current OTI program in Kyrgyzstan, which will end in July 2012.

Kyrgyzstan will only accept proposals over \$500,000.

Russia

USAID/Russia is seeking applications from Russian NGOs to carry out activities in the North Caucasus (Dagestan, Chechnya, Ingushetia, North Ossetia, Kabardino-Balkaria, Karachaevo-Cherkessia, and Stavropolskiy Krai) focused on the following areas:

- protecting and enforcing rights (particularly, of women), including through awareness raising;
- helping youth to meaningfully engage in their communities;
- providing livelihood opportunities for women, youth, and other marginalized groups; and
- fostering dialogue and cooperation between diverse groups in the community.

The suggested activities should be aligned with the overarching goal of USAID/Russia's North Caucasus Assistance Project (NCAP)⁹, which aim to address root causes of conflict and foster peace and stability in the region, and include those North Caucasus regions with the most urgent need for such projects. Applicants are encouraged to present innovative ways of using information and communication technologies for the purposes of conflict mitigation and rights advocacy and protection.

Applications should propose activities with costs ranging from a minimum of \$100,000 to a maximum of \$500,000.

Tajikistan

USAID/Tajikistan encourages applications for people-to-people reconciliation and conflict mitigation programs that will engage directly with indigenous civil society organizations which work outside of Dushanbe and with traditionally underserved populations, such as youth, women, and ethnic minorities.

Tajikistan is an ethnically mixed, regionally fractured country that is still recovering from the legacy of its disastrous civil war in the early 1990s. Tajikistan's beleaguered citizens, most of

⁹ See http://russia.usaid.gov/documents/1625/North+Caucasus+fact+sheet_english.pdf.

whom live in rural areas, have been hit hard in recent years by disasters running the gamut from freezing winters to mudslides to severe food shortages; the country particularly is vulnerable to the next shock, be it a natural disaster, territorial incursion, or massive power outage. As USAID's current Tajikistan Stability Enhancement Program comes to an end in FY2012, and as USAID/CAR refocuses its regional portfolio on strengthening civil society and building local capacity, the moment is ripe to bring re-catalyze track II diplomacy here, allowing currently disparate ethnic, regional, and/or political factions on common goals such as cross-border connections with Afghanistan, participation in regional civil society work, and supporting citizen demands for better service delivery.

LATIN AMERICA AND THE CARIBBEAN

Peru

USAID/Peru encourages applications that address social conflicts that stem from or impact upon natural resource use or distribution, including but not limited to extractive industry activity, water use, land use or distribution and the impact on local communities. Preference will be given to applications focusing on the following five regions: Loreto, Amazonas, San Martin, Ucayali, and Madre de Dios. Preference will also be given to proposals designed to strengthen the capacity of marginalized groups (indigenous people and women) to constructively participate in dialogue and negotiation processes related to social conflict.

7.2 Attachment 2: Definitions of Cross-Border and Multi-Country Activities

Cross-border Activities

Proposed activities focus on a unified group (e.g. cultural or ethnic group) where the population straddles a border with a majority of activities in one country. Project areas must be contiguous. As an example, activities might target a group of refugees living in two neighboring countries. Another example might be activities to address tribal conflict between sub-groups that move across, or maintain strong cultural, economic, or political connections that transcend existing border structures.

Applications for cross-border activities should be sent to the USAID Mission in the country where the majority of the activities are slated to take place. If the application is reviewed positively, and before recommending it for funding, the USAID Mission will forward the application to the APS point of contact in the other affected countries to secure the Missions' consent to the outlined activities. Responsibility for negotiation, award and management of the award will reside with the Mission in the country where the majority of the activities take place.

If an equal number of activities is slated to take place in each of the participating countries, the cross-border applicant must identify one country to serve as the Lead Applicant for the application. The application should then be sent to the USAID Mission for the country where the Lead Applicant is located. If the USAID Mission reviews the application favorably, the Lead Mission will then forward the application to the APS point of contact in each of the other affected countries to secure the Mission's consent to the outlined activities.

8 In order for an application to be considered eligible for affected by the activities proposed in the application Eligible Countries (see Attachment 1: List of Eligible Countries and Country-Specific Instructions).

Multi-country Activities

Proposed activities take place in non-contiguous and/or disparate geographic areas but the project's focus must have a unifying element or rationale such as targeting a unified cultural group, shared environmental issue, etc.; for example, nomadic populations or Somali refugees in the Horn of Africa.

Applications for multi-country activities should be sent to the point of contact for the relevant USAID Regional Mission (see Attachment 3). If more than one Regional Mission would be affected, applications should be submitted to the Regional Mission with responsibility for the country/countries where the majority of activities are slated to take place. If the application is reviewed positively, and before recommending it for funding, the Regional Mission will forward the application to the USAID Mission APS points of contact in the affected countries to secure the Missions' consent to the outlined activities. Responsibility for negotiation, award, and management of the award will reside with the Regional Mission.

8.1 Attachment 3: USAID Mission and Regional Mission Points of Contact

A list of USAID Mission/Regional Mission points of contact is provided below. Upon award, an Agreement Officer's Technical Representative (AOTR) must be appointed by the Mission Agreement Officer to provide technical and administrative oversight of the specific award.

For any questions regarding this APS, kindly contact Ousmane Faye at 202-567-4184 or ofaye@usaid.gov. After the closing time and date for applications, the relevant USAID Mission/Regional Mission Agreement Officer is the official point of contact for all applicant inquiries.

Contact Information for Regional Missions

Country	Point of Contact	Email	Telephone
Angola	Ranca Tuba (primary) Analdina Nouemou (secondary)	rtuba@usaid.gov anouemou@usaid.gov	+244 222 64 1243 (Ranca)
Bosnia & Herzegovina	Mirjana Valjevac	mpopovic@usaid.gov	+387-33-704-000 x 4327
Burma	Judy Dunbar	jdunbar@usaid.gov	+66-2-257-3229
Burundi	Jean-Claude Niyongabo	NiyongaboJ@state.gov	+257 22 207 334
Cambodia	April O'Neill (primary) Rethy Seng (secondary) Shally Prasad (secondary)	aoneill@usaid.gov rseng@usaid.gov sprasad@usaid.gov	+855-23-728353 (Rethy) +855-23-728352 (Shally)
Cote d'Ivoire (please direct all inquiries to both contacts)	Rob Kevlihan Krista Desgranges	rkevlihan@usaid.gov desgrangeska@state.gov	+233-302-741-858 (Rob) +225 2249 4434 (Krista)
East Africa	Wendy Marshall Katelin Maher	wmarshall@usaid.gov kmaher@usaid.gov	+254 (0) 20 862 2333 +254 (0) 20 862 2191
Ethiopia	Carol Wilson	cawilson@usaid.gov	+251-91-130-6855
Georgia	David Dzebisashvili	ddzebisashvili@usaid.gov	+995 32 254-4160 x 4160
Indonesia	Zeric Smith	zsmith@usaid.gov	+62-21-34359000 x 9324
Kenya	Monica McQueary Azimi	mmcqueary@usaid.gov	+254-02-(0)724-256-758
Kyrgyzstan	Kevin Gash	kgash@usaid.gov	+996 312 551241 x4479
Nepal	Sabita Shrestha	sashrestha@usaid.gov	+ 977-1-4007200
Peru	Claudia Rohrhirsch Cara Thanassi	crohrhirsch@usaid.gov cthanassi@usaid.gov	+511-618-1242 (Claudia) +511- 618-1241 (Cara)
Russia	Tatsiana Hulko	thulko@usaid.gov	+7 495 7285000 (x4913)

Rwanda	Paul Kaiser Gilbert Mwenedata	pkaiser@usaid.gov gmwenedata@usaid.gov	+ 250-252-596400 + 250-252-596400
Senegal and Guinea Bissau	Allyson Gardner Mohamed Dansoko	agardner@usaid.gov mdansoko@usaid.gov	+221-77-611-6635 +221-77-339-6340
Tajikistan	Kevin Dean	kdean@usaid.gov	+10-992-37-229-2000 x2602
Uganda	Ambrose Olaa (primary) Xavier Ejoyi (alternate)	aolaa@usaid.gov xejoyi@usaid.gov	+256-772221690 +256-772221228
Zimbabwe	Monique Murad	mmurad@usaid.gov	+263 4 252590

8.2 Attachment 4: Certifications, Assurances, and Other Statements of the Applicant/Recipient

The following clarifications and explanations are provided to Attachment 4 to this APS for Certifications/Assurances.

- A. Reference PART I, item 5. CERTIFICATION OF RECIPIENT. The Application No. should be left blank. Under “Name of recipient,” indicate the person at your organization authorized to negotiate and sign award documents. For the “Certification of Recipient,” generally either the head of the organization or the contract person with authority to negotiate, should provide the signature.
- B. Under PART II – KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING, the principal investigator or Project Director should complete and sign this. Prior to the time of any award, the Agreement Officer’s Technical Representative (AOTR) is responsible for identifying any other key individuals. If the principal investigator or Project Director, is not currently available, this can wait until prior to the time of award.
- C. PART III – PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING, refers specifically to individuals involved in any participant training process. If applicable to the Application, this can wait until the time of award or post-award.
- D. PART IV – CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED “CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING is limited in applicability only to those Applications involving HIV/AIDS. The Name of Applicant is the organization, the requested Typed Name and Title refers to the person at your organization authorized to negotiate and sign award documents.



Certifications, Assurances, and Other Statements of the Applicant/Recipient

Certifications, Assurances, and Other Statements of the Applicant/Recipient¹⁰
(May 2006)

Table of contents

Part I – Certifications and Assurances

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

Part IV – Certification of Compliance with the Standard Provisions Entitled “Condoms”
and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of
Prostitution or Sex Trafficking.”

Part V – Survey on Ensuring Equal Opportunity for Applicants

Part VI – Other Statements of Recipient

¹⁰ 07/25/07

Certifications, Assurances, and Other Statements of the Applicant/Recipient (May 2006)

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

Part I – Certifications and Assurances

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

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the

USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. Certification Regarding Lobbying

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

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

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

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

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification must be

subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website :

<http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

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

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

5. Certification of Recipient

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

APS/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Certification of Compliance with the Standard Provisions Entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking.”

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

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

APS/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

Part V – Survey on Ensuring Equal Opportunity for Applicants

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

<http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf>

Part VI – Other Statements of Recipient

1. Authorized Individuals

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

Name	Title	Telephone No.	Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

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

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

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

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

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
_____	_____	_____
_____	_____	_____

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

production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

TYPE/QUANTITY DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. Past Performance References

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

7. Type of Organization

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

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

8. Estimated Costs of Communications Products

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