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**UNITED STATES OF AMERICA**  
**AGENCY FOR INTERNATIONAL DEVELOPMENT**  
**MISSION TO JORDAN**



**Issuance Date: 03-13-2003**  
**Closing Date: 04-13-2003**  
**Closing Time: 12:00 PM Jordan Time**

**Subject:** Request for Applications (RFA) Number Lebanon-03-003  
Improved Environmental Practices and Policies

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for Improved Environmental Practices and Policies. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective to implement efficient waste management practices in support of USAID/Lebanon's Strategic Objective 3: "Improved Environmental Practices and Policies". Please refer to the Program Description for a complete statement of goals and expected results.

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

Subject to the availability of funds, USAID intends to award a maximum of four Cooperative Agreements to implement this program. USAID intends to provide approximately \$12,000,000.00 in total USAID funding to be allocated over the 3 year period. USAID reserves the right to fund any or none of the applications submitted.

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

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

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

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

(By U.S. Mail)

Regional Contracting Office  
American Embassy/Amman  
USAID Unit 70206  
APO AE 09892-0206

(By All Other Means of Delivery)

Regional Contracting Office  
American Embassy/USAID  
Abdoun  
Amman, Jordan  
Tel: 592-0101

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

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

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select Business and Procurement from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

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

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section C - Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Aman S. Djahanbani, via facsimile at 962-6-592-1535 or via internet at [rkayyal@usaid.gov](mailto:rkayyal@usaid.gov). If there are problems in downloading the RFA

off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Aman S. Djahanbani  
Agreement Officer

<b>Table of Contents</b>	<b>Page</b>
<b>SECTION A - GRANT APPLICATION FORMAT.....</b>	<b>6</b>
PREPARATION GUIDELINES .....	6
COST APPLICATION FORMAT.....	6
<b>SECTION B - SELECTION CRITERIA.....</b>	<b>10</b>
<b>SECTION C - PROGRAM DESCRIPTION .....</b>	<b>13</b>
<b>SECTION D.....</b>	<b>19</b>
PART I - CERTIFICATIONS AND ASSURANCES .....	19
PART II - OTHER STATEMENTS OF RECIPIENT .....	26
CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS .....	30
KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING.....	32
PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING .	33

## SECTION A - GRANT APPLICATION FORMAT

### PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and three copies and cost portions of applications in an original and one copy.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on page 3 of the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B. Technical proposal is limited to 50 pages typed on standard 8 1/2" x 11" page, single spaced, 12 characters per inch with each page numbered consecutively. Page limit excludes curricula vitae and other attachments.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

### COST APPLICATION FORMAT

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

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

- A. A copy of the program description that was detailed in the applicants program description, on a 3-1/2" diskette, formatted in Word97.
- B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

**LEBANON-03-003**

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
  - the breakdown of all costs according to each partner organization involved in the program;
  - the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
  - the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
  - potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
  - your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).
- C. A current Negotiated Indirect Cost Rate Agreement;
- D. Required certifications and representations (as attached):
- E. Cost share has been recommended to be 25% of the total estimated amount. If the applicant proposes a cost share of less than 15%, it will be deemed as not responsive, and will be removed from further consideration.
- F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
  2. projected budget, cash flow and organizational chart;
  3. A copy of the organization's accounting manual.
- G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
  2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
  4. Has a satisfactory record of integrity and business ethics; and

5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- H. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.
- L. Submission of Applications:
  1. Applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
  2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.
- M. Preparation of Applications:
  1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
  2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
  3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
    - (a) Mark the title page with the following legend:

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

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

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

- N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.
- O. Grant Award:
1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
  2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.
  3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).
- P. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.
- Q. The Contractor/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.
- R. Foreign Government Delegations to International Conferences - Funds in this [contract, agreement, amendment] may not be used to finance the travel, per diem, hotel expenses, meals,

conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the [CO/AO/CTO].

## **SECTION B - SELECTION CRITERIA**

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

### **1. Technical Approach: 40 Points**

- Demonstrated understanding and appreciation of the environmental issues and challenges facing rural areas, especially in the targeted sectors of solid waste and wastewater management. Knowledge of overall development constraints and obstacles facing Lebanon.
- Strength and relevance of the proposed program, its activities and approaches, and their potential to succeed; commitment to activities that are achievable within the life of this award; and to results that are significant enough to warrant investment.
- Support of Government of Lebanon (GOL) and USAID/Lebanon priorities and goals for improving environmental practices and policies.
- Ability to answer the following questions: At the end of three years, i.e., the award period, how will Lebanon be different as a result of your program? What difference will it make in the lives of its beneficiaries and partners?

### **2. Partnership and Collaboration: 10 Points**

- Commitment to collaborative planning and implementation.
- Experience in and commitment to creating viable linkages with all key partners engaged in designing

## LEBANON-03-003

and implementing the program, e.g., PVOs and NGOs, associations, universities, foundations, corporations, businesses, cooperatives, municipalities, communities, etc., particularly those that bring specific expertise, competitive advantages, and complementary experiences well-targeted and adapted to the proposed program.

- Ability to maximize and strengthen the full range of public-private partnerships in selected locales and sectors; and to capitalize on relevant programs implemented through donor, NGO, government, or private resources.

### **3. Organizational Qualifications & Past Performance: 30 points**

#### **a. Qualifications:**

- Appropriateness and capability of the organization to design and implement a broad-based, innovative, and integrated program.
- Demonstrated commitment to promoting improved environmental practices in challenging contexts, as evidenced by organizational goals and past performance.
- Appropriateness and efficiency of the organizational structure, in the home office and in Lebanon, with clear roles and responsibilities for all aspects of financial and program management.
- Ability to mobilize and begin activities in targeted locations within two months of signing the award.
- Quality and relevance of a three-year Implementation Plan, representing the duration of the program, with activity-level details for at least the first 18 months.

#### **b. Past Performance:**

All applicant organizations will be subject to past performance scrutiny. Applicants who are currently working, or have in the past worked on environmental management, waste management, rural development, rural cluster, or other related activities in the Middle East shall submit a matrix as an attachment with names of all organizations both commercial and federal, from which they have received contracts or assistance awards for similar activities over the past three years along with award dollar amounts; description of their work; partner organizations or counterparts; results achieved; and other relevant information that will clarify the depth and breadth of their experience and involvement. Reference information must include addresses, current telephone numbers, current points of contact, award numbers if available. The Technical Review Committee will contact the named references and use the past performance data along with other information, to determine the applicants' responsibility.

Past performance includes demonstrated knowledge, capability, long-term experience with similar types of programs, past performance of organizational and management practices, and established procedures for managing subcontracts/sub-agreements with U.S.-based and developing country institutions.

There will be an evaluation of the relative merits of each applicant's past performance on the basis of its reputation with its former or current partners and others for the areas identified in section 3.a., above. Past performance will also be evaluated on the following characteristics:

## LEBANON-03-003

- adherence to the terms and conditions of its contracts, or grants, including the technical, business, and administrative aspects of performance;
- demonstration of a commitment to partner satisfaction;
- demonstration of a commitment to Management for Results;
- pursuit of excellence in all aspects of its business;
- successful financial performance;
- ability to coordinate effectively with other relevant organizations; and
- past performance in Lebanon

### 4. Personnel: 10 points

- Appropriateness and expertise of personnel devoted to the program (should attach CVs and letters of commitment for proposed key personnel), focusing on
  - Demonstrated technical, managerial, and financial experience and competence in implementing similar types of programs;
  - High level experience in technical fields appropriate to proposed positions and roles;
  - Experience in coordinating diverse activities that produced significant results;
  - Demonstrated experience in the use of varied modalities (e.g., technical assistance, technology transfer, training, information dissemination) to transfer concepts and skills;
  - Experience in working with or knowledge of USAID-supported cooperating agencies, donors, USAID missions, and international counterpart organizations; as well as in similar contexts and countries. Past experience in Lebanon is desirable.

### 5. Performance Monitoring and Evaluation: 10 Points

Performance Management Plans (PMP) capable of

- monitoring the effectiveness and impact of the program;
- articulating the results to be achieved and changes to be effected, with indicators, baseline, and targets consistent with the relevant Intermediate Result (IR), i.e., “Increased Use of Appropriate Waste Management Practices;” and,
- reflecting knowledge of USAID’s unified PMP under its rural cluster program, recognizing that this system, and some of the indicators, may also be relevant for the proposed program.

### Cost Proposal

The proposed costs and supporting budget data will be reviewed to determine: (1) if the financial plan reflects reasonable, allocable and allowable costs; and (2) if it reflects reasonable and realistic cost-sharing contributions, including those to be contributed by partner organizations and recipients.

## SECTION C - PROGRAM DESCRIPTION

### I. Background

#### A. The State of Lebanon's Environment

Lebanon's environment is in peril. Decades of neglect and misuse, fueled by rural-urban migration, population increases, chaotic urbanization, insufficient land use planning, and inefficient management of natural resources, has resulted in the depletion and degradation of land, water, air, coastal, and natural resources. Water quality is rapidly deteriorating from inadequate residential and industrial treatment facilities, misuse of pesticides, and rapid urbanization. Water pollution is adding millions of dollars to health care and clean-up costs annually, reducing real estate values and affecting tourism, fishing, and recreation. Poor collection and disposal of solid waste, particularly in rural areas, has led to open dumping in 80 percent of villages and open burning in 20 percent. Abusive felling, over-grazing, urban development, fires, and pests threaten Lebanese forests and associated ecosystems.

The GOL's wastewater management master plan theoretically covers 75 percent of Lebanon's population – Beirut and 35 secondary cities – only seven of which have facilities under construction, with the remainder under study and under-financed. The master plan for solid waste management, basically landfills contracted to a company with a modern fleet of waste disposal trucks and equipment, covers 40 percent of the population living in greater Beirut and large coastal cities. Both plans, in a nutshell, represent costly, time-consuming solutions for the urban elite, neglecting 25-60 percent of the population living in non-urban areas.

#### B. USAID's Previous Strategy: 1997-2002

Nearly five years ago, following a near termination of U.S. development assistance in Lebanon, the USG decided to revive its bilateral assistance program. Much of it was a reaction to the Israeli occupation and continued conflict in South Lebanon, as well as the widening and very apparent social and economic disparities, especially in rural areas. There was also growing recognition of Lebanon's role in building regional economic cooperation and achieving Middle East peace. The outcome: USAID put in place a five-year \$60 million strategy aimed at

- revitalizing and expanding economic opportunities in rural areas, through small-scale infrastructure and income-generating activities;
- promoting democracy and good governance, building capacity of local municipalities to plan and manage resources efficiently and transparently; and
- improving environmental practices, particularly community-based approaches that promote sustainable agriculture and environmental health.

USAID began its environmental activities in 1997 through its Rural Community Development Cluster (RCDC) program by helping villages put in place environmental management plans and adopt technologies for protection, reforestation, land terracing and reclamation, and drainage. PVO partners created awareness of environmental problems facing rural areas, offering solutions through a number of demonstration activities at local and national levels. To date, some 300 small-scale projects have helped

over 300 villages renew and reclaim over 10,000 hectares of forest and agricultural land, much of which has already resulted in increased crop production and incomes.

By 1999 the single largest quality-of-life demand in rural areas centered on wastewater and solid waste disposal. Communities had no services or technologies appropriate for their needs and lifestyles; municipalities had neither the expertise nor the means to engage in costly treatment and disposal facilities. Recognizing that GOL master plans omitted the word “rural” from their near-term priorities, USAID, working through its PVO partners and with assistance from AUB’s nascent Core Environmental Lab and Water Resources Center, began experimenting with cost-effective, environmentally-sound, appropriate solutions for wastewater and solid waste disposal. In the past two years this team has developed pioneering technologies that currently serve the needs of 37 rural communities with impact spreading to three to five neighboring villages, with five additional projects scheduled for completion this year. These small-scale solutions have already begun improving health and sanitation conditions in rural areas, as well as the quality of streams and certain rivers. There is currently a backlog of demand that will take at least three years to fill.

Why such a demand? At \$50,000-\$200,000 a system, whether wastewater treatment or solid waste recycling and composting, these technologies represent a quick, affordable, maintainable solution. Costs range from two to five times cheaper than government systems and contracting; a ton of solid waste, for example, costs \$35 to dispose of in the most remote area of the North’s Akkar region, compared to \$119/ton in Beirut and \$66/ton in Tripoli. Skeptical at first, the Ministry of Environment has now endorsed and even inaugurated these RCDC technologies, and is encouraging their dissemination to all regions.

On water issues, under a separate activity which began in late 2000, USAID designed a program to: (1) develop on-farm water management and “collaborative planning” methodologies for water users and providers, to maximize the use of scarce water resources, particularly in South Lebanon; and (2) broaden private sector participation among Lebanon’s four water authorities and develop water pricing policies for improved cost recovery. Both activities formally started in September 2002.

## **II. The Next Phase of USAID Assistance: The 2003 – 2005<sup>1</sup> Interim Strategy**

USAID’s intention over the next three years is to build on its success, melding elements of the existing strategy into one that fuses expansion with integration; targets value-added and growth-oriented sectors, geographic areas, and reforms; and promotes economic and political governance in ways that will enhance Lebanon’s competitiveness as a regional and global player. Given the uncertainties in the current environment, USAID has no illusions that this next phase will result in a “prosperous Lebanon embarked on a path of sustainable development,” which is the long-term goal. However, the next three years will continue building a bridge to this goal, recognizing that the economy may stagnate and possibly deteriorate further. Planning assumptions do not anticipate conditions that would preclude expanding productive investment and economic activities in either urban or rural areas.<sup>2</sup>

USAID’s approach to helping Lebanon meet these challenges has six “anchors”:

1. A transition -- from alleviating poverty to creating economic opportunity
2. A focus – on strengthening growth areas, both geographic and productive

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<sup>1</sup> The USAID Interim Strategy 03-05 is available on the USAID/Lebanon web site: [www.usaidlebanon.org.lb](http://www.usaidlebanon.org.lb)

<sup>2</sup> These assumptions include, but are not limited to, the external and internal political and security situations; domestic and international economic performance; the status of South Lebanon; population dynamics, particularly rural-urban migration and emigration; and the state of the private sector.

3. A link – between the rural and urban, inland and coastal
4. An emphasis – on governance, reform, and sustainability
5. An added-value – from synergies within the program
6. A reliance -- on new partnerships and models for economic growth

These anchors will cut-across six strategic areas: expanding economic opportunities, accelerating economic reform; strengthening foundations for governance; improving environmental policies and practices; promoting landmine awareness and victims assistance; and strengthening American Educational Institutions.

The new strategy will capitalize on the initial success of and heightened demand for environmental conservation and health activities, and institutionalize collaborative water management and water pricing policies. Focusing on these three areas, USAID is filling critical gaps that neither the GOL nor other donors are addressing, working on “balanced development” at a national level through an inter-related set of policies and programs.

### **III. Improved Environmental Policies and Practices: The Focus of the RFA**

A recent USAID-sponsored Environmental Program Assessment<sup>3</sup> highlighted the need for improved air quality management, enhanced wastewater and solid waste management, and initiation of long-term reforestation and ecosystem restoration (RER) as potential areas for further USAID interventions to reduce the threat to Lebanon’s environment and to safeguard the health of its people. USAID has elected to focus on one area - waste management (waste water and solid waste) - in its new three year (2003 – 2005) country program strategy.

#### **A. Description of the Program**

USAID’s innovative environmental activities, now benefiting some 100,000 families in rural Lebanon, have demonstrated in many rural municipalities and to the Environment Ministry a viable alternative to large-scale infrastructure and costly service-delivery schemes. One goal over the strategy period is to integrate these appropriate technologies into GOL master plans as *bona fide* solutions rather than stop-gap alternatives. Increasing local participation and ownership in environmental health and water management activities, coupled with PVO-AUB “technical excellence” partnerships, will ultimately enhance the capability of communities and municipalities to manage their environmental resources effectively. USAID estimates that waste management facilities are still needed in about 600 rural communities. Available USAID and municipal resources will cover about 100 -150 communities, with World Bank and EU funds potentially financing another 200.<sup>4</sup> Programs would emphasize the need to strengthen municipal and local community capabilities by promoting best management practices and introducing appropriate techniques.

#### **B. Anticipated Results and Impact**

Expanding appropriate waste disposal technologies to rural areas -- as legitimate technical solutions reflecting the will of local-level decision-makers -- assumes the backing of both the Environment and the Interior/Municipal Affairs Ministries. This is under discussion with the Interior Ministry advocating nationwide diffusion of what it believes are “economies of scale” of the central/urban waste collection model.

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<sup>3</sup> “Lebanon Environmental Program Assessment Report,” Ecodit, Inc., Beirut, August 2002.

<sup>4</sup> Funds would be accessed through the World Bank’s \$80 million Municipal Fund and \$30 million Community Development Project; and the EU’s \$30 million Social Fund. The latter two are dedicated to assisting impoverished rural areas.

USAID analyses indicate this will not be cost-effective or sustainable in rural areas, given that this type of waste collection is already a severe drain on urban municipal budgets. USAID anticipates that the impending passage of the Municipal and Decentralization Laws will place such decisions at the municipal level.

Results over the strategy period will show around 100 to 150 new rural communities, at least 75 of which are integrated into growth poles, implementing sound environmental management plans by using appropriate waste/water disposal technologies, benefiting from access to clean water and waste-controlled environments.

Over the longer-term, i.e., ten years ahead, appropriate and sustainable solid waste/waste water disposal technologies will have expanded nationwide, providing healthful and environmentally-sound solutions to rural communities and municipalities. Rural and peri-urban municipalities in growth-pole areas will be fully engaged in environmental planning and management, focusing on increasing benefits from tourism and other sources of investment and revenue.

### **C. Relationship to USAID/Lebanon's Other Strategic Objectives**

USAID anticipates that these results will also reflect contributions from other elements of the program. This RFA encompasses one of the three intermediate results (IRs) under USAID's "Improved Waste Practices and Policies" Strategic Objective 3 (SO 3): "Increased use of Appropriate Waste Management Practices." The other two IRs are "Improved Participatory Approaches in Water Management," and "Increased Effectiveness of Water Authorities, Laws, and Policies," both of which are being implemented through a separate mechanism.

Waste management activities have a strong link to the other two strategic objectives under USAID/Lebanon's 2003-2005 strategy: "Expanded Economic Opportunities" (SO 1), and "Strengthened Foundations for Governance" (SO 2). These activities will expand economic opportunities for farmers and nursery owners/operators, and will create jobs related to recycling, consulting, engineering design, equipment, construction, operation and maintenance, and monitoring. The program would also enhance municipal capabilities in environmental management related to planning, design, and implementation of local waste management solutions. This would build on and extend USAID ongoing efforts to promote transparency and governance by empowering local government and enhancing its administrative capabilities.

Waste management activities under this program will undoubtedly support sustainable tourism, ecotourism and agricultural activities especially if linked to growth poles (under SO 1), and also improve the quality of life in targeted regions, which will promote resettlement and deter out-migration. Also, interventions at the policy level to promote sound waste management practices would affect all levels of government and serve to strengthen the foundations for governance (SO 2). Also assuming that improved environmental practices would stimulate local economic opportunities (SO 1), municipalities will access additional tax revenues to support further investment and good governance (SO 2).

### **IV. Program Focus**

Based on the information presented in sections I - III (above) of this Program Description, the organizations selected are expected to address the following:

#### **Program Focus**

USAID will fund activities in support of increased use of appropriate environmental management practices in targeted locations throughout Lebanon. Recipients should:

## LEBANON-03-003

1. Articulate a vision for improving environmental management practices in Lebanon over the long- and short-term, showing how this relates to achieving the relevant intermediate result under SO 3. Discuss opportunities and challenges, and how strategies or tactics for implementing the program might change under various conditions.
2. Provide a clear rationale for the selection of the waste management activities assessing their technical, financial, social, political, and ecological characteristics, taking into account such factors as (a) impact on and involvement of targeted beneficiaries; (b) anticipated results and their significance; and, (c) prospects for sustainability; (d) environmental impact; (e) geographical locations; (f) integration into environment management plans that account for recycling, and reuse of treated water.
3. Discuss the range of activities, approaches, and partnerships that would be used to achieve desired results in the targeted locations, ensuring that gender issues are adequately addressed across all dimensions of the program. All activities should demonstrate reasonable prospects for sustainability of proposed benefits by the end of the CA period.

### **Illustrative Activities**

Activities under this RFA will not be limited to what is being illustrated under this section. The following illustrative activities are descriptive and provide a picture of what could be incorporated under the program. They should not be viewed as a prescription or vision for means to improving environmental management practices.

**Expanding appropriate waste water and solid waste treatment facilities** could include providing solutions to local problems at the community level as well as at the regional level by addressing issues like olive oil residues or slaughterhouse wastes. These activities could be integrated within economic growth poles while incorporating lessons learned from past and ongoing projects.

**Capacity building through the demonstration of appropriate techniques for long term sustainability.** Activities could include training of local stakeholders (NGOs, CBOs, municipalities, private sector), developing their planning, and operation and maintenance capabilities, and demonstrating new techniques for waste recycling.

**Testing and improving the efficiency and effectiveness of pilot technologies** could include documenting lessons learned from USAID previous experiences, promoting public-private partnerships to implement sustainable and effective waste management practices, conducting training and awareness sessions on environmental protection and restoration. Issues related to the marketability and quality of recycled materials could also be addressed.

### **Start-Up and Implementation**

It is expected that the recipient will begin activities in the targeted areas within two months of signing the CA. Given USAID's experience, knowledge base, results and lessons learned from previous activities in the field, especially under the Rural Community Development Cluster (RCDC) program, and the recently completed Environmental Program Assessment,<sup>5</sup> it is expected that any additional needs assessments, surveys and studies -- beyond those furnished as part of the RFA -- will be minimal.

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<sup>5</sup> "Lebanon Environmental Program Assessment Report," Ecodit, Inc., Beirut, August 2002.

## **LEBANON-03-003**

Recipients should furnish a three-year Implementation Plan (IP) representing the duration of the program, with activity-level details for the first 12 months. The IP should contain a clear set of phases, each of which has realistic and achievable results. It should also specify contributions to be provided by the applicant, beneficiaries, the government, the private sector, and any other partners. Reporting requirements to be worked out with USAID, will include semi-annual reports with quantifiable results and textual analysis of program implementation.

### **Staffing and Management**

With the possible exception of senior personnel and some finance and administrative personnel, the staff proposed for this program should be dedicated to it full time. The Recipient will be expected to manage the program from Beirut and perform extensive field monitoring. However, since proximity to those towns, communities and villages being served is fundamental to the effectiveness of the program, applicants should consider decentralizing their operations and using qualified staff, partners, and other resources from those areas.

### **Performance Monitoring**

Applicants should furnish a Performance Monitoring Plan (PMP) that clearly articulates the results to be achieved and changes to be effected. The PMP should establish indicators, baselines, and targets consistent with the relevant Intermediate Result (IR), i.e., Increased Use of Appropriate Environmental Management Practices.

PMPs should reflect opportunities for periodic rapid appraisals (or other suitable methodologies) of activities or sectors, to ensure the program is on-track and profiting from lessons learned. Applicants should also consider assessing program effectiveness, potential for sustainability, and possible follow-on phases midway through Year 3.

USAID has a comprehensive unified performance monitoring plan (PMP) under its cluster program, some of the indicators of which may be relevant for the proposed program. Recipients will be expected to formulate a comparable system for monitoring results.

### **Construction**

USAID has considerable experience in the construction of small-scale infrastructure projects under the RCDC program. Applicants should consider construction as a means to an end, not an end in itself. Construction undertaken in this phase should continue to be small-scale and used as a means for solving environmental problems and improving environmental management, while stimulating job opportunities, local materials, supplies, labor and contractors wherever practical.

### **USAID Oversight**

USAID involvement during the course of the award(s) will include approval of all key personnel, and implementation plan(s), performance monitoring plans, and reporting procedures.

### **Environmental Review**

Environmental reviews will be conducted consistent with the requirements of Reg. 11.

**SECTION D**

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

**PART I - CERTIFICATIONS AND ASSURANCES**

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS
  - (a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:
    - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
    - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
    - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
    - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
    - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
  - (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.
  - (c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in

reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1, from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

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

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

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**Alternate II**

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

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

**(a) Instructions for Certification**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or

explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

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

4. CERTIFICATION REGARDING LOBBYING

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

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

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

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

**LEBANON-03-003**

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

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

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

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

**LEBANON-03-003**

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

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

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

**PART II - OTHER STATEMENTS OF RECIPIENT**

1. AUTHORIZED INDIVIDUALS

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

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

- (a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
  - (1) Recipient's name.
  - (2) Recipient's address.
  - (3) Recipient's telephone number.
  - (4) Line of business.
  - (5) Chief executive officer/key manager.
  - (6) Date the organization was started.
  - (7) Number of people employed by the recipient.
  - (8) Company affiliation.
- (c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

**LEBANON-03-003**

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
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(d) **Source, Origin, and Componentry of Goods.** If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different

**LEBANON-03-003**

in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE	GOODS
PROBABLE					
(Generic)	UNIT COST	COMPONENTS	SOURCE	COMPONENTS	ORIGIN

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

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	PROBABLE	INTENDED USE
(Generic)	UNIT COST	SOURCE	ORIGIN		

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

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	PROBABLE	SLUPPIER	NATIONALITY
RATIONALE					
(Generic)	UNIT COST	(Non-US Only)		for NON-US	

- (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

**LEBANON-03-003**

proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

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

**6. PAST PERFORMANCE REFERENCES**

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

**7. TYPE OF ORGANIZATION**

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

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

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

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

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

**LEBANON-03-003**

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

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

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

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

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

Name of Applicant/Subgrantee \_\_\_\_\_

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

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

**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.

**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.

FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex 1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

**LEBANON-03-003**

<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) <input type="text"/> <input type="text"/> - <input type="text"/>		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="text"/> <input type="text"/> A. Increase Award                      B. Decrease Award C. Increase Duration                    D. Decrease Duration E. Other (specify) _____		<input type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District <input type="checkbox"/> H. Independent School Dist. <input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER		9. NAME OF FEDERAL AGENCY	
11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT			
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant			
c. State			
d. Local			
e. Other			
f. Program Income			
g. Total		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If 'Yes', attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

**INSTRUCTION FOR THE SF424**

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have included in their process, have been given an opportunity to review the applicant's submission.

- | Item:  | Entry: | Item:   | Entry: |
|--|--------|---|--------|
| 1. Self-explanatory.   |        | 12. List only the largest political entities affected (e.g., State, counties, cities).  |        |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).   |        | 13. Self-explanatory.   |        |
| 3. State use only (if applicable)  |        | 14. List the applicant's Congressional District and any District(s) affected by the program or project.   |        |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.   |        | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |        |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  |        | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.   |        |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   |        | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.   |        |
| 7. Enter the appropriate letter in the space provided.   |        | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)   |        |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- 'New' means a new assistance award.<br><br>-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |        |   |        |
| 9. Name of Federal agency from which assistance is being requested with this application.  |        |   |        |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested.  |        |   |        |
| 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.  |        |   |        |

BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.	-				
2.	-				
3.	-				
4.	-				
5. Totals					
		Grant Program Function or Activity			
6. Object Class Categories		(1)	(2)	(3)	(4)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (Sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (Sum of 6i and 6j)					
7. Program Income					

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BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program		(b) Applicant	(c) State	(d) Other Source	
8.					
9.					
10.					
11.					
12. TOTAL (Sum of lines 8-11)					
		Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal					
14. Non-Federal					
15. TOTAL (Sum of lines 13 and 14)					
(a) Grant Program		FUTURE FUNDING PERIODS (Years)			
		(b) First	(c) Second	(d) Third	
16.					
17.					
18.					
19.					
20. TOTAL (Sum of lines 16-19)					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

#### General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

#### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

#### Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Page 30 23 - Provide any other explanations or comments deemed necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ½4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ½1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ½794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ½6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ½523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ½3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. ½1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ½276a to 276z - 276a-7), the Copeland Act (40 U.S.C. ½276c and 18 U.S.C. ½874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. ½327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

**ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)**

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED