



USAID | COLOMBIA

FROM THE AMERICAN PEOPLE

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Questions Due: March 21, 2014/3:00 P.M. (Local Colombian Time)
Proposals Due – Stage One: April 11, 2014/3:00 P.M. (Local Colombian Time)
Proposals Due – Stage Two: TBD

**Subject: Request for Applications (RFA) No. RFA-514-14-000007 (Amendment 1)
Civil Society Strengthening Activity**

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Colombia, is seeking assistance for a four-year activity to strengthen the capacity and accountability of Colombian civil society organizations and enable them to achieve effective development results. This will be accomplished by: 1) strengthening the organizational capacity of civil society organizations, and 2) enabling Colombian civil society organizations to effectively advocate, monitor, and provide services.

The Recipient will be responsible for ensuring achievement of the program objectives. Please refer to the Section I, Funding Opportunity Description for a complete statement of goals and expected results.

Subject to the availability of funds, USAID intends to provide approximately US \$15,000,000 in total USAID funding to be allocated over a period of four (4) years. USAID reserves the right to fund one or more applications.

This RFA will be composed of two stages: Stage 1 and Stage 2. Only applicants who achieve the highest scores in Stage 1 will be contacted by USAID directly and asked to submit a full application for Stage 2.

This RFA is being issued and consists of this cover letter and the following:

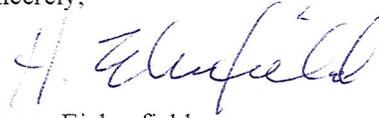
1. Section I, Funding Opportunity Description;
2. Section II, Award Information;
3. Section III, Eligibility Information;
4. Section IV, Application and Submission Information;
5. Section V, Application Review Information;
6. Section VI, Award and Administration Information;
7. Section VII, Agency Contacts;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

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. The application must be submitted electronically to the following e-mail addresses: BogotaUsaidOfficeAA@usaid.gov and emarkovs@usaid.gov.

Any questions concerning this RFA must be submitted in writing via e-mail to BogotaUsaidOfficeAA@usaid.gov and to Mr. Erik Markovs, Negotiator, at emarkovs@usaid.gov, no later than the due date specified in this cover letter.

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 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, the applicant is hereby notified of these requirements and conditions for award. The application is submitted at the risk of the applicant; should circumstances prevent award of the grant, all preparation and submission costs are at the applicant's expense.

Sincerely,

A handwritten signature in blue ink, appearing to read "H. Eichenfield".

Harvey Eichenfield
Agreement Officer
Office of Acquisition and Assistance

Table of Contents	Page
SECTION I - FUNDING OPPORTUNITY DESCRIPTION.....	4
SECTION II - AWARD INFORMATION.....	16
SECTION III - ELIGIBILITY INFORMATION	17
SECTION IV - APPLICATION AND SUBMISSION INFORMATION.....	18
SECTION V - APPLICATION REVIEW INFORMATION	26
SECTION VI - AWARD AND ADMINISTRATION INFORMATION.....	29
SECTION VII - AGENCY CONTACTS.....	33
SECTION VIII - OTHER INFORMATION.....	34



SECTION I - FUNDING OPPORTUNITY DESCRIPTION

Civil Society Strengthening Activity

A. PURPOSE

USAID/Colombia is seeking assistance for a four-year activity to strengthen the capacity and accountability of Colombian civil society organizations and enable them to achieve effective development results. It will do this through 1) strengthening the organizational capacity of civil society organizations, and 2) enabling Colombian civil society organizations to effectively advocate, monitor, and provide services.

B. BACKGROUND AND PROBLEM STATEMENT

Background and development challenges regarding civil society organizations

Civil society organizations in Colombia have played a vital role in public policy, development, and peace-building throughout the country's history. This "third sector" has evolved from a limited group of small, primarily religious organizations delivering a narrow range of services to thousands of organizations providing nearly a third of the country's education, health care, development and housing services and contributing 2% of the country's GDP. Civil society organizations have been actively involved in major legal and policy debates, in promoting economic and social development, and in advocating on behalf of the vulnerable populations throughout the country.

Civil society organizations face challenges in achieving financial and organizational sustainability. On the one hand, active government and private sector support has created a relatively favorable funding environment for civil society organizations. The growth in the number of corporate and family foundations, which has tripled over the last two decades, has generated new opportunities for local non-profits to secure funding and human resources. A large proportion of organizations in Colombia also engage in self-financing activities, such as charging fees for products and services or collecting dues from members.

Also, the growth of funding opportunities has generated competition among organizations, along with demands by donors for greater transparency and accounting for results. Although some organizations have developed considerable capacity to raise and manage funds, many others lack sustainable sources of financing. Many organizations, especially those that function at the community level, lack core organizational capacities necessary to manage finances transparently, to plan and implement their programs, or to measure their activities' results.

Despite these challenges, significant opportunities have emerged for strengthening the capacity of Colombian civil society organizations to achieve effective development results. Although the size, capacity, and transparency of civil society organizations vary in every sector, a number of resources exist for enhancing civil society capacity. Several organizations, associations and for-profit firms have developed expertise in organizational development aimed specifically at civil society organizations. These organizations, associations, and for-profit firms have developed detailed methodologies that start with comprehensive organizational assessments and work through training and mentoring programs informed by international best practices. These organizations have also developed a variety of modalities

for organizational strengthening support, ranging from the provision of services to larger and/or better funded organizations in exchange for fees, to the selection of organizations in targeted sectors for training and mentoring programs. Several associations have also sought to enhance the environment for civil society development through the development of networks and associations, by promoting self-regulation and voluntary transparency initiatives, and in working to stimulate demand among private sector foundations and Government of Colombia (GOC) agencies for improved accountability. A number of universities and research centers have developed capacity for analyzing and developing relevant policy and legislation, and for conducting program evaluations. All of these developments and emerging capacities provide opportunities for expanding civil society activities and enhancing their sustainability. Nonetheless, significant disparities remain among regions, populations and organizations in their access to these opportunities and their capacity to achieve effective development partnerships and results. These disparities highlight the need for greater access to organizational strengthening services for targeted civil society organizations as a way of enhancing their capacity to achieve development results.

Background and development challenges for justice programming involving civil society organizations

The justice sector's treatment of gender-based violence cases and its difficulties in addressing the victimization of women calls for greater involvement of civil society organizations. Although the judiciary's high courts are proactive in promoting gender issues, there is a significant gap in the justice sector's inability to respond to gender-based violence cases and other cases that involve victimization of women.

For many vulnerable women, the pressing demands of daily survival are as important as their demands related to the criminal justice system. Oftentimes, issues related to their daily survival are dependent upon civil law issues involving women's labor rights, rights to information, medical rights, educational rights, and other rights. Unfortunately, the policies, laws, and legal tools that should exist at the local level to promote these rights are absent or not implemented. Civil society has a vital role in promoting women's civil rights at the local level.

Background and development challenge for human rights programming involving civil society organizations

Civil society organizations have played an increasingly critical role in monitoring, oversight, and shaping national policies and procedures, but suffer acutely from weak institutional structures and practices, especially at the local and regional levels. Historically, Colombian civil society organizations have played important roles to influence and check GOC action to protect and defend human rights. That role has become yet more crucial in the current context of ambitious policy reforms, ongoing peace negotiations, and preparations for an eventual post-conflict transition.

The role of civil society and its ability to effectively advocate and represent human rights interests has gained importance throughout these key developments, and will be put to the test as the country moves further in the direction of policy implementation and a potential transition out of conflict. Regardless of the results of peace negotiations, violence and human rights concerns will inevitably be heightened and take center stage as the country evolves and adapts to a rapidly-changing social and political context. Civil society must maintain a credible position as equal partner and counterbalance to the GOC, particularly at the critical local and regional levels, and be prepared to confront new and emerging human rights demands.

Background and development challenge for elections and political processes programming involving civil society organizations

Today, one of the major obstacles to conflict resolution and peace in Colombia is the deeply entrenched connection between political actors, criminal organizations and other actors engaged in unlawful activities. This demonstrates that, despite the implementation of consolidation and counternarcotic strategies designed to end the conflict, illegal groups are using indirect tactics to continue their control and influence. In addition, the current legal framework and GOC institutions remain weak in their efforts to fight corruption at the local level: the decentralization model has not been modified to correct its deficiencies; local institutions continue to be weak and incapable of controlling resources and promoting the well-being of their constituents; national level institutions have not put in place mechanisms to control the funds that are transferred to the regions; national institutions lack the capacity to oversee elections and guarantee a transparent process; and finally, impunity is a major issue as less than 3% of alleged electoral crimes have been investigated.

There is not a comprehensive GOC response to these problems. Rather, its response is piecemeal. Civil society has a critical role to play at the national, regional, and local levels in pressing for a government response. Fundamental to civil society's work is the need to increase the political participation of citizens.

Background and development challenge for good governance programming involving civil society organizations

Despite GOC initiatives focused on building state presence in the regions dating back to 1958, the GOC has long been Bogota-centric to the detriment of the regions. The national government's inability to establish effective state presence in many places in the regions has been a significant contributor to conflict, corruption, and a lack of development in those regions.

There is a growing recognition on the part of the national government that the lack of good governance in the regions weighs heavily on its inability to successfully establish effective state presence in the regions. Initiatives such as the royalties reform and the development of Contratos Plan manifest the GOC's intent to curtail corruption and promote the more effective use of resources at the regional and local levels. However, these developments cannot, by themselves, create a culture of good governance at the local level. Such a culture can only be built upon the broad restructuring of the system of incentives and disincentives for good governance at the local level that has been established by the national government. Given the vast array of interests at the national, regional, and local levels which benefit from the current governance paradigm, it is unlikely that the GOC will be able to forcefully and rapidly expand its initial efforts to improve governance at the local level. It is incumbent upon civil society to press for reform at the national and sub-national levels.

C. EMPHASIS AND LINKAGE TO USG STRATEGY AND OTHER USAID PROGRAMMING

This project will support Development Objective 1 under the Mission's Country Development Cooperation Strategy, Effective Presence of Democratic Institutions and Processes in Targeted Areas. Specifically, the project will seek to improve the functioning of municipal governments, transparency and accountability, good governance, political participation, access to justice, and respect for human rights. These activities will particularly support the implementation of a possible peace agreement in these and related sub-sectors, particularly at the local level.

This activity will support USAID Forward's Implementation and Procurement Reform (IPR). As part of IPR, USAID is working to increase the use of direct partnerships with local organizations. Through direct partnerships, USAID will contribute to strengthening local civil society and private sector capacity to improve aid effectiveness and sustainability of results.

D. PROGRAM DESCRIPTION

The overall goals of this project are to strengthen the capacity of Colombian civil society organizations to promote the effective presence of democratic institutions and processes in targeted areas.

These goals will be reached by providing assistance to Colombian non-profit organizations to strengthen their organizational capacity, and sub-grants to enable Colombian organizations to effectively monitor, advocate, and deliver services.

Objective 1: Strengthened Organizational Capacity of Civil Society Organizations

The project will support efforts to strengthen the organizational capacity of targeted Colombian civil society organizations to achieve effective development results. Organizational strengthening activities will be conducted by qualified organizations with substantial experience providing organizational development and institutional strengthening support to Colombian non-profit organizations. These "Intermediate Support Organizations" (ISOs) will serve as a crucial component of the program. In addition to providing resources for strengthening specific NGOs, the program will provide resources to Colombian ISOs to enable them to improve their capacity to deliver effective organizational strengthening services, and expand the range, quality, and geographic scope of services they provide to other civil society organizations.

Applicants should propose mechanisms that stimulate the demand for organizational strengthening services among civil society organizations. In addition, the program should build upon and support successful organizational strengthening programs and models within the country and avoid displacing existing service providers. The implementing partner(s) should also ensure that the ISO(s) providing organizational strengthening services under this program are responsive and accountable primarily to the needs of the recipient of the services. USAID therefore recommends that rather than providing organizational strengthening services itself, applicants design mechanisms that create incentives for civil society organizations to procure their own organizational strengthening services from qualified ISOs. Such mechanisms may include incentive grants, provision of vouchers to sub-grant recipients for ISO services, holding competitive applications, among other approaches. USAID encourages the applicant to propose innovative mechanisms that are appropriate to various regional contexts and sectors in Colombia. The mechanisms proposed should maximize the use of experienced and capable Colombian organizations, experts, and personnel, while drawing from the services of international experts and organizations when appropriate.

Result 1.1: Enhanced organizational capacity of targeted civil society organizations.

The activity will strengthen the internal capacity of targeted civil society organizations to achieve effective development results, including, but not limited to, recipients of sub-grants under Objective 2. Applicants are encouraged to develop innovative models and approaches to providing these services in order to maximize demand for these services, as well as the ISOs' responsiveness to the needs of individual organizations. Services should include specific training activities as well as ongoing mentoring and consultations in response to need over an extended period of one year or more.

Support to individual organizations should start from a baseline diagnostic assessment to identify strengths and weaknesses based on a sound organizational assessment methodology that reflects Colombian and international best practices. Objectives and benchmarks should be developed for each organization using the baseline assessment, and training and mentoring should be tailored to organizational needs. Support should also include mid-term and final evaluations to assess progress from the initial baseline.

Training and mentoring topics should address the full range of organizational development needs, including, but not limited to, planning and strategic management, organizational governance, management and administration, human resource management, financial management, fundraising and resource mobilization, program planning and management, report-writing and information management, monitoring and evaluation, communication and outreach, leadership and team dynamics, conflict management and negotiation, as well as USAID-specific grant management requirements. Topics may also include programmatic skills such as advocacy, lobbying, research and analysis, public awareness, and public participation.

Result 1.2: Increased financial sustainability of civil society organizations.

The program will work with targeted civil society organizations, including but not limited to recipients of sub-grants under Objective 2, to help them achieve long-term financial sustainability. Approaches should include assistance in leveraging funds from private and public sector sources, supporting the expansion of self-financing activities such as fees-for-service or collection of dues, and facilitating long-term financial planning and diversifying funding sources. This assistance may be provided in conjunction with the civil society support activities described under Result 1.1. In addition, the implementing partner(s) will work to enhance the financial sustainability of the civil society sector as a whole by cultivating networks of donors, establishing partnerships with foundations, and helping to link non-profit organizations with relevant sources of funding within and outside Colombia.

Result 1.3: Strengthened capacity of Intermediate Support Organizations.

The project will provide resources to Colombian organizations with experience in strengthening the capacity of civil society organizations in order to enable them to expand the range of services they provide, improve their quality and responsiveness to need, increase the number of beneficiaries, and ensure availability and access to these services throughout the country. Support to these ISOs may be provided in a variety of forms, ranging from sub-grants to long-term partnership agreements. The program should enable these organizations to strengthen their institutional capacity, including by improved staffing patterns, developing peer-to-peer learning and support networks, participating in relevant trainings, and tapping into local, regional and international resources and networks relevant to civil society strengthening.

Required Indicators for Objective 1

- Number and percentage of assisted civil society organizations with improved scores on organizational capacity assessments
- Amount of public or private funds leveraged and mobilized to fund assisted civil society organizations
- Number of civil society support services and resource centers in previously underserved regions

Objective 2: Enable Non-Governmental Organizations to Effectively Advocate, Monitor, and Provide Services

The project will use a portion of the award to provide grants to Colombian organizations to support their efforts to advocate for improved laws, policies and services, monitor their implementation, and deliver effective services. The sub-grants may support a variety of activities and approaches, including but not limited to advocacy, research and analysis, monitoring government performance, training and capacity-building, and civic education and awareness-raising. The sub-grants may support work at the local, regional or national levels. The sub-grants should include cross-cutting emphasis on building sustainable organizational capacity, fostering citizen participation, ensuring inclusion of vulnerable and marginalized groups in program management and implementation, and strengthening linkages between citizens and the state. The implementing partners should encourage partnerships and alliances with public and private sector organizations whenever possible and appropriate, and leverage public and private funds to expand supported activities.

The implementing partner(s) will be responsible for all aspects of grant management, including selection, ongoing support and mentorship, and reporting to USAID on results. At the same time, the implementing partner(s) should ensure that sub-grant recipients develop their own organizational capacity to manage financial, programmatic and reporting requirements by the end of the program. Toward this end, all sub-grant recipients under the civil society strengthening activity should receive organizational development support under Objective 1. In addition, all sub-grants under this activity must include funding for core management and administrative expenses in addition to operational and programmatic expense, in order to enable these organizations to operate effectively and to overcome capacity gaps. The implementing partner(s) should also ensure transparency and accountability of sub-grant recipients through the establishment of clear reporting and financial management requirements.

The organizations receiving sub-grants will be selected through transparent and competitive selection procedures. The selection may be conducted through a broad call for proposals that includes various sectors and regions of activity, or through more calls aimed at specific results, sectors or geographic areas. In some cases, USAID/Colombia may provide recommendations and guidance to the implementing partners during the grantmaking process.

In defining the selection criteria for sub-grants, the implementing partner(s) must set out a strategic approach for each expected result based on an analysis of needs, capacities and gaps, including specifying the regional and sector focus, target beneficiaries and priority activities. The selection criteria should also include the organization's commitment and capacity to achieving the specified results, its potential to support networks and synergies with public and private sector organizations, the degree to which it receives assistance from other donors, the likelihood that USAID/Colombia assistance will make a material difference in its functioning, and its potential for organizational sustainability.

Result 2.1: Improved Access to Justice.

Through civil society work on gender issues, more women at the local level will have an improved understanding of their substantive and procedural rights in the criminal realm under Colombian law. At the same time, several women's groups at the local level will have improved the condition of women in their areas and helped to gain greater control over their lives through the use of policy, laws, and tools that take advantage of their civil rights under Colombian law.

Result 2.2: Increased Respect for Human Rights.

This project will support efforts of civil society to increase individuals' and communities' understanding of their rights and mechanisms available to protect them, and to promote a broad culture of respect for human rights. The rights of traditional, as well as emerging categories of human rights defenders will be highlighted, with an emphasis on local and regional areas in which organizations and networks are particularly weak or vulnerable to the influence of illegal armed actors. As a result of this project, civil society's role as a counterweight to the GOC will be strengthened. In addition, the capacity and ability of non-governmental organizations to effectively interact with GOC authorities, participate in the implementation and evaluation of policies and mechanisms to prevent human rights abuses, and monitor and oversee the government's implementation of human rights processes and policies will be improved. Finally, the project will support civil society efforts that monitor, oversee, and strengthen the GOC's response to human rights violations. This will include strengthening the role and ability of civil society to participate in investigation, sanctioning, and both individual and collective reparations or restitution proceedings.

Result 2.3: Increased Transparency in the Electoral Process.

This project will support efforts of civil society at the national, regional, and local levels to push for electoral reform and political transparency to fight corruption at the local level and its effect on the electoral process. As a result of these efforts, there will be an increased capacity of government institutions and civil society organizations at all levels to promote democratic and transparent elections and political processes, prevent corruption at the local level, and reduce the influence of illegal groups and other actors engaged in unlawful activity in the electoral process. Civil society organizations at the national level will enhance their capacity to advocate for and oversee democratic and transparent electoral processes.

Result 2.4: Improved Good Governance.

This project will support civil society efforts to improve good governance through the GOC's restructuring of the incentives and disincentives for good governance, to include enforcement of laws. This will necessarily involve analytical work in understanding precisely how the governance paradigm in Colombia impedes good governance at the local level, awareness raising of the damage caused by the current system, and advocacy for structural reform. These efforts will take place at the national, regional, and local levels given that research from all three levels needs to feed awareness raising and advocacy and political impediments to change exist in force at all three levels. As a result of these efforts, there will be a greater recognition of the need for the GOC to change the governance paradigm in Colombia, there will be a robust dialogue between the GOC and civil society on the need to restructure incentives and disincentives for good governance at the local level, and GOC efforts to do so on a greater scale will be underway. This activity will also support civil society efforts to provide monitoring and oversight of departmental and municipal governments not only as part of the research needed to provide the analytical basis for reform, but also as a way of tracking the results of the implementation of reform initiatives.

Required Indicators for Objective 2

- Number of domestic civil society organizations engaged in monitoring or advocacy work on justice, human rights, elections and political processes, and good governance receiving USG support
- Number of human rights defenders and organizations trained and supported
- Number of beneficiaries of vulnerable populations receiving human rights and justice services
- Awareness of available channels to access formal and alternative justice services

- Number of substantive measures adopted by political parties, electoral institutions, and civil society organizations to increase transparency in the electoral process
- Number of legal or policy measures that enhance access to justice, strengthen human rights, promote good governance, or expand participation of vulnerable groups influenced by civil society advocacy
 - Amount of private and public sector resources mobilized to address the needs of vulnerable populations

E. PROGRAM REPORTING AND EVALUATION

Annual Work Plans

Annual work plans shall be required for the life of the contract. All work plans must be in professional-level English and include a description of the principal tasks and assistance activities to be undertaken by the recipient for the period under each activity component, a proposed schedule for such activities, a listing of principal counterparts for each proposed activity, and a description and estimate of the amounts of technical expertise, training, and other support resources that would be required to carry out the plan as proposed. Work plans must also describe the accomplishments expected for each activity or combination of activities and explain how and to what extent those accomplishments will contribute to achieving the activity's overall targets, benchmarks, and results. Work plans must be broken down by quarter.

The work plan for year one must be submitted for USAID/Colombia approval 60 calendar days after issuance of the cooperative agreement, following which USAID/Colombia shall have the opportunity to provide comments. After the receipt of USAID/Colombia comments, the recipient must revise and submit a final version within 10 working days for USAID approval. The work plan for each subsequent year must be submitted to USAID/Colombia for approval 30 calendar days prior to commencement of the next USG fiscal year (no later than August 31), following which USAID/Colombia must have the opportunity to provide comments. After the receipt of USAID/Colombia comments, the Recipient must revise and submit a final version within 10 working days for USAID/Colombia approval.

Financial Reporting

The Recipient shall submit on a quarterly basis an electronic copy via e-mail of the Standard Form 425 or Standard Form 425a, Federal Financial Report, to the Agreement Officer's Representative (AOR) and the Agreement Officer (AO), unless notified of a change in AO or AOR, in which you would then send the documents to the replacement. Financial Reports shall be in keeping with 22 CFR 226.52.

Activity Reporting

The Recipient shall submit an electronic copy of a performance report to the AOR and the Agreement Officer (AO), unless notified of a change in AO or AORs, in which you would then send the documents to the replacement. The performance reports, no more than 20 pages long and in professional-level English, are required to be submitted quarterly no later than 30 calendar days after completion of each of the four quarters in USAID's fiscal year, quarters ending on December 31, March 31, June 30, and September 30, for the life of the activity.

These reports must summarize progress against the results, benchmarks, and milestones defined in the work plan and should include a description and analysis of results achieved, problems encountered and proposed solutions, planned activities not completed, lessons learned, planned activities for the next quarter, and factors influencing (positively or negatively) the prospects for achievement of program benchmarks and results. Any failure in regard to progress towards achieving established results, benchmarks, milestones and indicators must be documented and clearly justified. Any required or

recommended changes or updates to the work plan must also be included in quarterly technical reports. Quarterly performance reports will be submitted in electronic form. Reporting on activities and deliverables in the quarterly performance report must track the presentation of activities and deliverables in the work plan.

Finally, each quarterly performance report must include information that demonstrates the impact that the activity has had during the reporting period on its beneficiaries. This includes the preparation of fact sheets and success stories, including photos and quotations about the activity's work, especially at the community and individual levels.

The recipient is expected to develop the format of its quarterly reports according to USAID/Colombia direction and Mission standardized procedures.

Final Report

The recipient must submit a detailed final report of no more than 40 pages, not including annexes, in professional-level English 60 days prior to the termination of this cooperative agreement. This report must include, but is not limited to: (1) a summary of program implementation, accomplishments and shortcomings in achieving program goals and results; (2) reasons why expected results were not met, if applicable; (3) commentary upon the status of all Colombian organizations and institutions with which the contractor worked, with emphasis on institutional development, Colombianization, their expected future activities, and their capacity to develop and sustain future programs in similar programmatic areas; and (4) a list of all host country, international donor, and financial institution contacts and collaboration. The final report must be submitted in lieu of the last quarterly technical report. USAID/Colombia will provide comments within 15 working days. After receipt of the comments, the Recipient must revise and submit a final version within 10 working days for USAID/Colombia approval. Once the final technical report is accepted by USAID/Colombia, one electronic copy of the final report must be submitted to the AOR.

The recipient shall submit an electronic copy via e-mail of the final report to the AO, AOR, and one copy, in electronic (preferred) or paper form of final documents to the Development Experience Clearinghouse to one of the following addresses: (a) Via E-mail: docsuubmit@dec.cdie.org; (b) Via U.S. Postal Service: Development Experience Clearinghouse; 8403 Colesville Road, Suite 210; Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>. The final report shall include, at a minimum the information required by 22 CFR 226.51(d).

The recipient must develop a Monitoring and Evaluation (M&E) Plan. This M&E plan is due along with work plan (60 days after award). After the receipt of USAID/Colombia's comments, the recipient must revise and submit a final version within 10 calendar days for USAID approval. The recipient must work with the USAID/Colombia M&E Program in the design of the M&E plan which will include, but not be limited to, indicators used to measure the impact of the activity, end of program and annual indicators and targets, performance measures and means of verification, as well as data sources, collection methodologies and data quality assessments for each indicator as well as any other indicator that USAID might need to track in relation to this activity, baseline data. The recipient must collect baseline data for the M&E plan during the activity's start-up.

In addition, USAID/Colombia will carry out a performance evaluation of the activity. The purpose of the performance evaluation is to assess the achievements in terms of relevance, performance and success.

F. MANAGEMENT AND IMPLEMENTATION PLAN

The applicant is encouraged to propose a staffing and management pattern for executing the work that it believes will be feasible and best achieve the results anticipated under this Program. The proposal shall include a staffing plan with specific position titles and level of effort for each position. The management structure and staffing plan should relate directly to the approaches, strategies, and activities proposed for achieving the results, and include anticipated short-term technical assistance needs, organizational structures, and project management mechanisms deemed important by the applicant. The applicant should demonstrate how it intends to coordinate with existing USAID/Colombia activities and relevant stakeholders.

G. KEY PERSONNEL

Key personnel are those considered to be essential to the work being performed under this contract. Three (3) positions will be identified as key personnel for this activity:

Program Director

The Program Director will oversee all aspects of the program. The individual would be the principal liaison with both the USAID Assistance Officer's Representative (AOR) and other U.S. Government officials as required. The Program Director should have at least seven years of progressively responsible experience in development project management, and possess sound understanding of political, social and economic development issues in Colombia, including challenges facing civil society and non-profit organizations. Experience on the international level is highly desirable, including experience working with international organizations, implementing partners, and/or civil society organizations. The Program Director should have an advanced degree or equivalent experience in a relevant field. Strong communication, management, and interpersonal skills are also required. Fluency in spoken and written Spanish is required.

Grants Managers (2)

Given the significant number and value of sub-grants expected under this Cooperative Agreement, USAID anticipates the need on the implementing partner's part for the employment of at least two Grants Managers, with the understanding that up to four experienced Grants Managers may be needed. The Grants Managers will be responsible for all phases of conducting grants programs, from the development of solicitations through monitoring, evaluation and promotion of successful sub-grants as they conclude. The Grants Managers will provide guidance as necessary to all potential sub-grantees on the requirements of the proposal preparation and submission process, financial management requirements, and any other administrative requirements pertinent to working with a USAID-financed activity. The Grants Managers will assure that all reporting, both technical and financial, is in order and serve as liaisons for coordination of the sub-grant recipients' work under sub-grants with that of other technical experts and their counterparts working under the program.

The Grants Managers should have at least five years of grants management experience, or equivalent development experience, as well as management and administration skills, experience in analyzing budgets, project monitoring and evaluation, and team building and management, so as to manage sub-awards effectively. The Grants Managers should also be familiar with United States Government grant rules and regulations, especially in terms of reporting, financial management, invoicing, monitoring audits of grantees, and file management. The Grants Managers should possess sound understanding of challenges facing civil society and non-profit organizations in Colombia. Experience on the international

level is highly desirable, including experience working with international organizations, implementing partners, and/or civil society organizations. Experience in monitoring programming and evaluation is preferred.

The Grants Managers should have at least an undergraduate degree in a relevant field; an advanced degree or equivalent experience in a relevant field is preferred. Strong communication and interpersonal skills are also required. Fluency in spoken and written Spanish is required.

Key personnel are suggested by the applicant, but subject to approval by USAID/Colombia prior to their employment under the contract.

Although not key personnel, USAID will also expect to see at least the following positions/personnel identified in the applicant's staffing plan:

Finance Manager
Monitoring and Evaluation Specialist
Gender or Inclusive Development Advisor
Technical Writer

Key personnel and other technical staff proposed should reflect significant experience and success in obtaining the type of results required by this scope of work. The candidates must be able to work with a wide range of counterparts and beneficiaries, from USAID representatives and senior-level GOC officials to NGO representatives and grass roots civil society.

Key personnel must be fluent in oral and written Spanish. The contractor's proposed staffing team and management approach must incorporate strong English language abilities that ensure effective communication with USAID and other USG entities, as well as to assure high-quality writing and reporting at a professional English level.

H. AWARD ADMINISTRATION

22 CFR 226, OMB Circulars, and the Standard Provisions for U.S. Nongovernmental Recipients will be applicable. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. These documents may be accessed through the world-wide-web at: [22 CFR PART 226](#), [OMB Circulars](#), and [Standard Provisions for Non-U.S. Nongovernmental Organizations](#).

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 organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the agreement when awarded.

I. APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

(a) The provisions of 22 CFR Part 226 and the Standard Provisions that will be attached to the agreement upon award are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any awards or subawards made to Non-US organizations, the "Standard Provisions for Non-US Nongovernmental Grantees" shall apply. All recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

[END OF SECTION I]

SECTION II - AWARD INFORMATION

A. ESTIMATE OF FUNDS AVAILABLE

Subject to the availability of funds, USAID intends to provide approximately US \$15,000,000 in total USAID funding for the life of the activity.

B. NUMBER OF AWARDS CONTEMPLATED

USAID expects to make one award under this RFA. USAID reserves the right to fund the application(s) submitted.

C. START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is four (4) years. The estimated start date is on or about July 31, 2014.

D. TYPE OF AWARD

The award will be a cooperative agreement.

According to [ADS 303.3.11](#), USAID substantial involvement under a Cooperative Agreement may include the elements listed below which are directly and specifically tied to the Program Description. The intended purpose for USAID's substantial involvement during the administration of the award is to help the Recipient achieve the supported objectives of the Cooperative Agreement. In this regard, USAID anticipates the following direct involvement in the carrying out of this Program:

1. Approval of the Award Recipient's Implementation Plans; to include measures to devolve authority and control to local organizations over the life of the strategic plan.
2. Approval of Specified Key Personnel; for changes to Key Personnel, USAID approval is required and proposals should be resubmitted to USAID AOR.
3. Agency and Recipient Collaboration or Joint Participation:
 - a. Approval of recipient's monitoring and evaluation plans;
 - b. Collaboration on targets established; USAID will provide input on appropriateness of targets and revisions thereto, based on knowledge of performance under other USAID programs, to maintain internal consistency of performance indicators;
 - d. Coordinate public events related to program activities with USAID public information officers, especially as related to information dissemination related to projects;
 - f. Approval of the grants manual.

[END OF SECTION II]

SECTION III - ELIGIBILITY INFORMATION

A. APPLICANT

1. USAID will not accept applications from individuals. All applicants must be legally recognized organizational entities under applicable law. Local organizations are eligible and encouraged to apply, as well as consortiums of local organizations. A local organization applicant must be locally recognized under the laws of the country in which it is domiciled. A local organization does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of Colombia. Local organizations by this definition are not international organizations. When applying to the solicitation, local organizations are required to attach official documentation of their formal status in the host country.
2. USAID encourages applications from potential new partners.
3. Applicant must have a DUNS number; if the applicant doesn't have a DUNS number, it is required to obtain one before award (if successful). For information, see [ADS 302sao, Guidance for Obtaining a DUNS Number](#).

B. COST SHARE

In addition to USAID funds, cost sharing is an important element in the relationship that exists between USAID's Missions and the implementing partner. To broaden the impact of the program to the fullest extent and for this program to be successful in achieving its results, it is important that the recipient have a financial stake in the success of the program. Cost share is strongly encouraged, and may include in-kind contributions and equipment. For more detail information on cost share, click on the following link: [ADS 303.3.10](#).

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

A. POINT OF CONTACT/QUESTIONS

Any questions concerning this RFA must be submitted in writing via e-mail to BogotaUsaidOfficeAA@usaid.gov and to Mr. Erik Markovs, Negotiator, at emarkovs@usaid.gov by the due date specified in the cover letter.

Please note: There will only be one (1) round of questions and answers throughout the RFA process, therefore applicants should submit all questions, including questions about Stage One and Stage Two, by the due date specified in the cover letter.

B. CONTENT AND FORM OF PROPOSAL

This RFA will consist of a two-tiered evaluation: Stage One and Stage Two. All organizations that meet the eligibility criteria outlined in SECTION III (A) are invited to apply as part of Stage One.

Only applicants whose proposals are ranked the highest during Stage One will be contacted by USAID/Colombia to submit a proposal for Stage Two. All other applicants will not be eligible to participate in Stage Two.

Any pages in excess of the page limits specified in Section C and D will not be reviewed.

C. STAGE ONE: INITIAL PROPOSAL PACKAGE

All applicants who meet the criteria for eligibility outlined in SECTION III (A) may apply.

The application must be received by the deadline, in order to be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the Stage One applications. If the application is incomplete and not directly responsive to the terms, conditions, specifications, and provisions of this RFA, it may be categorized as unacceptable and eliminated from further consideration.

The application should be prepared according to the format outlined below. The application should be submitted no later than the date and time indicated on the cover letter of this RFA. The application must be prepared in English. If the application is in any other language, it will be treated as non-responsive and eliminated from further consideration.

The application must be submitted via e-mail to the e-mail addresses specified on the cover letter with up to 5 attachments (2MB limit) per email compatible with MS Word, and/or Excel in a MS Windows environment.

Applicant is reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt.

Applicant must retain for their records copy of the e-mails and application and all enclosures which accompany the application.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted.

The Stage One application must consist of the following:

1. Executive Summary (2 pages)
2. Concept Paper (2 pages)
3. Financial Statements (no page limit)
4. Grantmaking Experience Table (no page limit)

EXECUTIVE SUMMARY

Applicants must submit a two (2) page Executive Summary based on the following criteria:

1. Management/Financial Capacity – In this section the applicant will demonstrate its management and financial capacity, including 1) demonstrating experience in managing annual budgets of \$2 million dollars or more (or its equivalent in Colombian pesos), but please note: *the \$2 million dollars should not be inclusive of money being managed for the purpose of making sub-awards, rather it must be programmatic or operational funds*; (2) demonstrating experience in having managed donor funding effectively; (3) demonstrating the ability to work outside major population centers in Colombia (i.e. outside of Bogota, Cali, Medellin, Cartagena and Barranquilla), and having established networks and contacts in these areas.

Audited financial statements for the period from 2010-2012 and later information if available should be included as attachments to the Stage One proposal.

2. Past Performance – The applicant will demonstrate experience in managing project activities similar to the scope outlined in Section D, Program Description. The description of Past Performance should include the location, budget, funding sources and results of the past activities.

3. Grants Management Experience (no page limit) – The applicant will demonstrate the capacity to simultaneously manage multiple grants. Applicants must provide details on the grants managed over the last three years (2011-2013). At a minimum, organizations should have experience in managing 10 or more grants totaling more than \$1 million in grants over the period of 2011-2013.

Attachments (financial statements, grant management experience) will not count against the two (2) page limit for the Executive Summary.

CONCEPT PAPER

In addition, applicants must submit a two (2) page Concept Paper describing their proposed technical approach, ensuring it is within the parameters described in Section D, Program Description. Specifically, the concept paper must include the following:

1. Strategy - Explain the specific problem to be addressed, the expected goals to be achieved, how this program supports the areas of interest in this RFA, and a short description of the strategy to be used to achieve the proposed goals.

2. Development Plan and Activity Description - Include a short description of the activities that will be undertaken to achieve the proposed objectives, and provide a general time line of activities.
3. Beneficiary Population, Geographic Coverage of the Program, and Gender – Include a description of targeted beneficiaries; list the preferred sub-districts in which to implement the proposed activity, and the sub-districts where willing to be considered in event the stated preference cannot be met; and address gender.
4. Expected Impact - Outline expected results and impacts and the mechanisms proposed to measure and monitor progress, achievement and sustainability.

D. STAGE TWO: FINAL PROPOSAL PACKAGE

Only applicants chosen during Stage One and contacted by USAID/Colombia, are eligible to respond as part of Stage Two. Applicants must submit the following documents by the closing date specified in the cover letter.

D1. STAGE TWO: REQUIRED FORMS

Applicant must submit the application using the SF-424 series, which includes the:

- [SF-424, Application for Federal Assistance](#),
- [SF-424A, Budget Information – Non-construction Programs](#), and
- [SF-424B, Assurances – Non-construction Programs](#).

D2. STAGE TWO: PRE-AWARD CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF-424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements:

- a. A signed copy of [ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions](#), which includes:
 1. **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs** (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
 2. **Certification on Lobbying** ([22 CFR 227](#));
 3. **Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals** ([ADS 206, Prohibition of Assistance to Drug Traffickers](#));
 4. **Certification Regarding Terrorist Financing**; and
 5. **Certification of Recipient**
- b. Other certifications and statements found in [ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions](#):

1. A signed copy of **Key Individual Certification Narcotics Offenses and Drug Trafficking**, ([ADS 206.3.10](#)) when applicable;
2. A signed copy of **Participant Certification Narcotics Offenses and Drug Trafficking** ([ADS 206.3.10](#)) when applicable;
3. **The Survey on Ensuring Equal Opportunity for Applicants;**
4. Other Statements of Recipients.

D3. STAGE TWO: APPLICATION PREPARATION GUIDELINES

The application must be submitted in two separate files: (a) Technical Application; and, (b) Cost or Business Application.

The application must include only one prime applicant, which shall enter into sub-agreements or sub-contracts with partnering institutions. In this case, the Prime Applicant will be responsible for establishing and maintaining sub-agreement and/or contracting relationships with proposed partners. For the purposes of this RFA, the term “applicant” is used to refer to the prime and any proposed partners.

The application must be received by the deadline, in order to be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section V addresses the technical evaluation procedures for the application. If the application is incomplete and not directly responsive to the terms, conditions, specifications, and provisions of this RFA, it may be categorized as unacceptable and eliminated from further consideration.

The application should be prepared according to the structural format set forth below. The application should be submitted no later than the date and time indicated on the cover letter of this RFA. The application must be prepared in English. If the application is in any other language, it will be treated as non-responsive and eliminated from further consideration.

The application must be submitted via e-mail to the e-mail addresses specified on the cover letter (Technical and Cost or Business Application must be sent in separate files) with up to 5 attachments (2MB limit) per email compatible with MS Word, and/or Excel in a MS Windows environment. There has been a problem with the receipt of *.zip files due to anti-virus software. Therefore, Applicant is hereby discouraged from sending files in this format as we can not guarantee their acceptance by the internet server. The subject of each email should read as follows: “RFA-514-14-000007 Title: “Civil Society Strengthening Activity (SCSA) - E-mail 1 of [#]”.

Applicant is reminded that e-mail is NOT instantaneous, in some cases delays of several hours occur from transmission to receipt.

Applicant must retain for their records copy of the e-mails and application and all enclosures which accompany the application.

Telegraphic or faxed application is not authorized for this RFA and will not be accepted.

If the Application is submitted late, incomplete or is considered to be non-responsive to this RFA, it may be eliminated from further consideration.

E. STAGE TWO: TECHNICAL APPLICATION FORMAT

The Technical application should be specific, complete and presented concisely. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program, and take into account requirements of the program and evaluation criteria found in this RFA.

The Technical Application should contain the following sections: (1) Cover Page; (2) Application Executive Summary; (3) Program Narrative; (4) Implementation Plan; (5) Institutional Capability and Past Performance; and, (6) Annex (Resumes & Letters of Commitment). Page limitations are specified below for each section; application must be written in English and on letter paper (8-1/2 by 11 inch), single spaced, 12 pitch type or larger, and have at least one inch margins on the top, bottom and both sides.

If the Applicant includes 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.”

1. **Cover Page:** A single page (1) with the names of the organizations/institutions involved in the proposed application. In the case of a group, please indicate the lead or primary applicant clearly; followed by any proposed subgrantees and/or contractors (hereafter referred to as “subs”), including a brief narrative describing the unique capacities/skills being brought to the program by each institutions. In addition, the Cover Page should include information about a contact person for the prime applicant, including this individual’s name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed.
2. **Application Executive Summary:** A two (2) page brief description of proposed activities, goals, and anticipated results (both quantitative and qualitative). Briefly describe technical and managerial resources of your organization. Describe how the overall program will be managed. State the bottom line funding request from USAID and the bottom line funding secured from other sources (state sources and amounts) for the proposed program.
3. **Program Narrative:** In twenty-five (25) pages or less, please describe your proposed strategy and approach and the experience and personnel capabilities of the Applicant, excluding bio-data

and other attachments. The narrative should provide a clear description of what the Applicant proposes to do and application's structure should reflect the evaluation criteria listed in Section V. The following sections should be included:

4. **Implementation Plan:** In ten (10) pages or less, provide a project implementation plan (chart) including main activities of the project. List on the vertical axis the activities, and on the horizontal axis the following information: (a) name of implementer(s); and (b) time frame, noting estimated dates of completion. Indicate when the proposed program will be fully operational.
5. **Institutional Capability and Past Performance:** In five (5) pages or less, include a description of all contracts, grants, and cooperative agreements which the applicant has implemented involving similar or related programs over the past three years with USAID or with other organizations (both commercial, governmental, and NGO). Include the following:
 - a) Name and address of organization for which the work was performed;
 - b) Current telephone number of responsible representative of the organization for which the work was performed;
 - c) Agreement (or grant/contract) name and number (if any), annual amount received for each of the last four years, and beginning and ending dates; and
 - d) Brief description of the project/assistance activity and a summary of results achieved.
6. **Annexes:** Applicant must include as Annexes the resumes and letters of commitment for each individual who will work at least 75% of his/her time on the program. The resumes must be no more than two pages each, and the letters of commitment must not exceed a single page each.

F. STAGE TWO: COST/BUSINESS APPLICATION FORMAT

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

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

1. The Cost/Business application must be completely separate from the applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance."
2. The cost application should use the budget format shown in the SF-424A. If there are any training costs to be charged to this Agreement, they must be clearly identified.
3. The budget to be presented under Cost/Business Application should relate to results specified in Section I above, and delineate the cost inputs or each result, and a disaggregation between the USAID (Federal Share) and cost-share (Non-federal share) of the total program cost.
4. The proposed budget should provide cost estimates for the management of the program (including program monitoring, baseline assessments and assessments for environmental compliance). Applicant should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

5. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.
6. The breakdown of all costs according to each partner organization or subcontractor/subgrantee involved in the program.
7. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
8. The breakdown of the financial and cost share, if any, of all organizations involved in implementing this agreement.
9. Potential contributions of non-USAID or private commercial donors to this agreement.
10. A procurement plan for commodities.
11. The required Certifications under Section IV - C, should be included with the cost proposal.
12. To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following section provides guidance on the inputs for the program line items for the Federal Share requested, and should correspond to the table below.
13. Budget Notes: an accompanying budget narrative by line item which provides in detail the total costs for implementation of the program and achieving results your organization is proposing per year. Please include the breakdown of all input costs according to each partner organization involved in the program and the breakdown of the financial and in-kind contributions of all organizations.
 - i. **Personnel Salaries and Wages:** Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
 - ii. **Fringe Benefits:** If the applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
 - iii. **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the applicant's normal travel policies (applicant may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
 - iv. **Other Direct Costs:** This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, etc. The narrative should provide a breakdown and support for all and each other direct costs.

- v. **Indirect Costs:** The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Note: Local Institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government. Therefore no indirect costs should be included in the cost/business application submitted by local NGOs. Local institutions submitting applications should treat all indirect costs as direct costs.
- vi. **Seminars and Conferences:** The applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- vii. **Foreign Government Delegations to International Conferences:** Funds in this agreement 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.
- viii. **Source and Nationality Requirements:** Goods and services provided by the Recipient under this USAID-financed award shall have their source and nationality in the United States, the recipient country, and developing countries other than advanced developing countries, in accordance with the policies in ADS Chapter 310 and 22 CFR Part 228.

[END OF SECTION IV]

SECTION V - APPLICATION REVIEW INFORMATION

A. STAGE ONE: EVALUATION CRITERIA

The Stage One application will be screened by a Technical Evaluation Panel at USAID/Colombia. Following the review of the applications, a letter will be sent to all applicants detailing the outcome of the review.

The Stage One technical evaluation criteria are based on a 100 point scale. 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.

- Management/Financial Capacity – 35 points

The applicant demonstrated its management and financial capacity, including 1) demonstrating experience in managing annual budgets of \$2 million dollars or more (or its equivalent in Colombian pesos); (2) demonstrated experience in having managed donor funding effectively; (3) demonstrated ability to work outside major population centers in Colombia (i.e. outside of Bogota, Cali, Medellin, Cartagena and Baranquilla), and having established networks and contacts in these areas.

- Grants Management Experience – 35 points

The applicant demonstrated the capacity to simultaneously manage multiple grants by having managed 10 or more grants totaling more than \$1 million in grants from 2011-2013.

- Concept Paper – 20 points

The applicant demonstrated a strong understanding of how to technically approach the project, including defining a clear Strategy, describing the Development Plan and Activity Description, describing the beneficiary population, geographic coverage of the program, gender, and description of the expected impacts.

- Past Performance – 10 points

The applicant demonstrated experience in managing project activities similar to the scope outlined in Section D, Program Description, and provided location, budget, funding sources and results of the activities to demonstrate experience.

B. STAGE TWO: EVALUATION CRITERIA

The technical applications will be screened by a Technical Evaluation Panel at USAID/Colombia. Following the review of the applications, a letter will be sent to all applicants detailing the outcome of the review.

USAID reserves the right to determine the final funding level of the resultant award.

Technical Evaluation Criteria

The technical evaluation criteria are based on a 100 point scale. 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 must organize the narrative sections of their applications with the same headings and order as the selection criteria.

1. Technical Understanding and Proposed Approaches – 55 points
 - a. Extent to which the application proposes clear, innovative, appropriate, and sustainable approaches to achieving the objectives and results of the program (35 points).
 - b. Demonstrated understanding of the key challenges currently facing democracy and governance sub-sectors in Colombia (10 points).
 - c. Extent to which a logical and coherent technical proposal is presented with benchmarks that demonstrate program approaches, objectives, a timeline and expected results. Additionally that planning shows consideration for flexibility to respond to a potential peace agreement (10 points).
2. Key Personnel and Management Structure – 25 points
 - a. Proposed key personnel represent a reasonable effort to ensure managerial and technical staff that has relevant professional qualifications and experience appropriate to manage and achieve the specified results (15 points).
 - b. Extent to which the proposed management and implementation structure is feasible, includes a sound management and organizational structure, provides adaptive project management mechanisms, and demonstrates coordination with existing USAID/Colombia activities and relevant stakeholders (10 points).
3. Institutional Capacity – 10 points

Demonstrated organizational knowledge and institutional capacity to develop, manage and implement assistance programs of a similar size and complexity.
4. Past Performance – 10 points

Demonstrated successful track record in implementing similar or relevant programs.

Cost Evaluation Criteria: Cost has not been assigned a weight but will be evaluated for general reasonableness, realism, appropriateness, cost-effectiveness, allowability, and allocability. The cost realism analysis is intended to: (1) verify the Applicants understanding of the requirements; (2) assess the degree that the Cost application reflects the approaches in the Technical application, and (3) assess the degree that the cost included in the Cost application accurately represents the work effort included in the Technical Application.

C. BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; 22 CFR 226.91.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the “apparent successful applicant,” as defined in the regulation. The apparent successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in 22 CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions “Branding Strategy,” “Marking Plan,” and “Marking of USAID-funded Assistance Awards” contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to “exceptions” to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see 22 CFR 226.91(j). (Visit <http://www.usaid.gov/branding/assistance-awards/> for additional information.)

See Section VIII.

D. AWARD

Award will be made to the applicant if the application offers the best value, cost and other factors considered. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

The Agreement Officer’s decision about the funding of an award is final and not subject to review. Any information that may impact the Agreement Officer’s decision shall be directed to the Agreement Officer.

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

[END OF SECTION V]

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

Notice of Award signed by the Agreement Officer is the authorizing document, which shall be transmitted to the Recipient for countersignature to the authorized agent of the successful organization electronically, to be followed by original copies for execution.

A. ROLES AND RESPONSIBILITIES

The recipient shall be responsible to USAID/Colombia for all matters related to the execution of the agreement. Specifically, the recipient shall report to the USAID Agreement Officer Representative (AOR) located within the Democracy and Human Rights Office (DHR).

B. ANNUAL IMPLEMENTATION PLANS AND REPORTING

1. **Reporting:** All written documentation must be submitted in professional-level English. Report must be submitted to USAID in Times New Roman 12-point font unless otherwise agreed or directed by USAID. The reports listed below are the initial reports required by the recipient. Based on the evolving nature of the agreement, USAID may provide modified reporting requirements.
2. **Annual Work Plans:** Annual work plans shall be required for the life of the contract. All work plans must be in professional-level English and include a description of the principal tasks and assistance activities to be undertaken by the recipient for the period under each activity component, a proposed schedule for such activities, a listing of principal counterparts for each proposed activity, and a description and estimate of the amounts of technical expertise, training, and other support resources that would be required to carry out the plan as proposed. Work plans must also describe the accomplishments expected for each activity or combination of activities and explain how and to what extent those accomplishments will contribute to achieving the activity's overall targets, benchmarks, and results. Work plans must be broken down by quarter.

The work plan for year one must be submitted for USAID/Colombia approval 60 calendar days after issuance of the cooperative agreement, following which USAID/Colombia shall have the opportunity to provide comments. After the receipt of USAID/Colombia comments, the recipient must revise and submit a final version within 10 working days for USAID approval. The work plan for each subsequent year must be submitted to USAID/Colombia for approval 30 calendar days prior to commencement of the next USG fiscal year (no later than August 31), following which USAID/Colombia must have the opportunity to provide comments. After the receipt of USAID/Colombia comments, the Recipient must revise and submit a final version within 10 working days for USAID/Colombia approval.

3. **Financial Reporting:** The Recipient shall submit on a quarterly basis an electronic copy via e-mail of the Standard Form 425 or Standard Form 425a, Federal Financial Report, to the Agreement Officer's Representative and the Agreement Officer, unless notified of a change in

AO or AOR, in which you would then send the documents to the replacement. Financial Reports shall be in keeping with 22 CFR 226.52.

4. **Activity Reporting:** The Recipient shall submit an electronic copy of a performance report to the AOR and the Agreement Officer (AO), unless notified of a change in AO or AORs, in which you would then send the documents to the replacement. The performance reports, no more than 20 pages long and in professional-level English, are required to be submitted quarterly no later than 30 calendar days after completion of each of the four quarters in USAID's fiscal year, quarters ending on December 31, March 31, June 30, and September 30, for the life of the activity.

These reports must summarize progress against the results, benchmarks, and milestones defined in the work plan and should include a description and analysis of results achieved, problems encountered and proposed solutions, planned activities not completed, lessons learned, planned activities for the next quarter, and factors influencing (positively or negatively) the prospects for achievement of program benchmarks and results. Any failure in regard to progress towards achieving established results, benchmarks, milestones and indicators must be documented and clearly justified. Any required or recommended changes or updates to the work plan must also be included in quarterly technical reports. Quarterly performance reports will be submitted in electronic form. Reporting on activities and deliverables in the quarterly performance report must track the presentation of activities and deliverables in the work plan.

Finally, each quarterly performance report must include information that demonstrates the impact that the activity has had during the reporting period on its beneficiaries. This includes the preparation of fact sheets and success stories, including photos and quotations about the activity's work, especially at the community and individual levels.

The recipient is expected to develop the format of its quarterly reports according to USAID/Colombia direction and Mission standardized procedures.

5. **Final Report:** The recipient must submit a detailed final report of no more than 40 pages, not including annexes, in professional-level English 60 days prior to the termination of this cooperative agreement. This report must include, but is not limited to: (1) a summary of program implementation, accomplishments and shortcomings in achieving program goals and results; (2) reasons why expected results were not met, if applicable; (3) commentary upon the status of all Colombian organizations and institutions with which the contractor worked, with emphasis on institutional development, Colombianization, their expected future activities, and their capacity to develop and sustain future programs in similar programmatic areas; and (4) a list of all host country, international donor, and financial institution contacts and collaboration. The final report must be submitted in lieu of the last quarterly technical report.

USAID/Colombia will provide comments within 15 working days. After receipt of the comments, the Recipient must revise and submit a final version within 10 working days for USAID/Colombia approval. Once the final technical report is accepted by USAID/Colombia, one electronic copy of the final report must be submitted to the AOR.

The recipient shall submit an electronic copy via e-mail of the final report to the AO, AOR, and one copy, in electronic (preferred) or paper form of final documents to the Development Experience Clearinghouse to one of the following addresses: (a) Via E-mail: docssubmit@dec.cdie.org; (b) Via U.S. Postal Service: Development Experience Clearinghouse; 8403 Colesville Road, Suite 210; Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online: <http://www.dec.org/index.cfm?fuseaction=docSubmit.home>. The final report shall include, at a minimum the information required by 22 CFR 226.51(d).

6. **Monitoring and Evaluation Plan (M&E):** The recipient must develop a Monitoring and Evaluation (M&E) Plan. This M&E plan is due along with work plan (60 days after award). After the receipt of USAID/Colombia's comments, the recipient must revise and submit a final version within 10 calendar days for USAID approval. The recipient must work with the USAID/Colombia M&E Program in the design of the M&E plan which will include, but not be limited to, indicators used to measure the impact of the activity, end of program and annual indicators and targets, performance measures and means of verification, as well as data sources, collection methodologies and data quality assessments for each indicator as well as any other indicator that USAID might need to track in relation to this activity, baseline data. The recipient must collect baseline data for the M&E plan during the activity's start-up.

In addition, USAID/Colombia will carry out a performance evaluation of the activity. The purpose of the performance evaluation is to assess the achievements in terms of relevance, performance and success.

7. **Monitoring systems:** The recipient must have a monitoring system in place that will allow it to have data disaggregated by region, municipality, gender, date and activity. The information must be uploaded to Monitor and also made available to USAID upon request.
8. **Branding:** USAID regulations require all programs, projects, activities, public communications, and commodities we (partially or fully) fund to be 'marked' with, or visibly bear, the new USAID Standard Graphic Identity that communicates our aid "From the American People". The recipient shall submit as part of its application a Branding Strategy that describes how the program, project or activity is named and positioned, how it is promoted and communicated in accordance with AAPP 05-11 & 22CFR 226.91. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see 22 CFR 226.91(j).
9. **Environmental Compliance:** The Recipient will ensure that mitigate environmental measures are implemented when necessary throughout the life of the award and that timely amendments are undertaken as needed with the relevant Bureau Environmental Officer approval in writing.
10. **Approval of all research reports and any material designed for results dissemination:** USAID will approve research reports and any material designed for results dissemination for the public to make sure content is suitable and Recipient is complying with USAID branding regulations.

[END OF SECTION VI]

SECTION VII - AGENCY CONTACTS

The Agreement Officer for this Award is:

Ms. Curtrice Dorsey
Administrative Agreement Officer
U.S. Agency for International Development
Carrera 45 No. 24B - 27, Gate 2 (Post 2)
Bogotá, Colombia
E-Mail: cdorsey@usaid.gov

The Acquisition and Assistance Specialist for this Award is:

Mr. Erik Markovs
Acquisition Assistant
U.S. Agency for International Development
Carrera 45 No. 24B - 27, Gate 2 (Post 2)
Bogotá, Colombia
E-mail: emarkovs@usaid.gov

[END OF SECTION VII]

SECTION VIII - OTHER INFORMATION

A. BRANDING STRATEGY – ASSISTANCE (JUNE 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

b. The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

(i) USAID prefers to have the "USAID Identity," comprised of the USAID logo and landmark, with the tagline "from the American people" as found on the USAID Web site at transition.usaid.gov/branding, included as part of the program or project name.

(ii) USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.

(iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

(v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

(i) Describe the main program message.

(ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

(iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."

(iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

e. The Agreement Officer will consider the Branding Strategy's adequacy in the award criteria. The Branding Strategy will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement

B. MARKING PLAN – ASSISTANCE (JUNE 2012)

a. Applicants recommended for an assistance award must submit and negotiate a "Marking Plan," detailing the public communications, commodities, and program materials, and other items that will visibly bear the "USAID Identity," which comprises of the USAID logo and brandmark, with the tagline "from the American people." The USAID Identity is the official marking for the Agency, and is found on the USAID Web site at <http://transition.usaid.gov/branding>.

b. The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c. Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d. The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Marking Plan must include all of the following:

(1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:

(i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;

(ii) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

(v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

(2) A table on the program deliverables with the following details:

(i) The program deliverables that the applicant plans to mark with the USAID Identity;

(ii) The type of marking and what materials the applicant will use to mark the program deliverables;

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

(iv) What program deliverables the applicant does not plan to mark with the USAID Identity, and

(v) The rationale for not marking program deliverables.

(3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:

(i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral.

Identify by category or deliverable item, examples of material for which an exemption is sought.

(ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

(iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.

(iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.

(v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.

(vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f. The Agreement Officer will consider the Marking Plan's adequacy and reasonableness in the award criteria, and will approve and disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

g. If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

C. LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.

b) Construction means —construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

c) Agreement Officers will not approve any subawards or procurements by recipients for construction activities that are not listed in paragraph d) below. USAID will reimburse allowable costs for only the construction activities listed in this provision not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.

d) Description

Construction is not eligible for reimbursement under this award.

e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.

D. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently, if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

(1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.

(2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at www.ccr.gov/).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at fedgov.dnb.com/webform).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:

(i) A governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization; and

(v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you, as the recipient, award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

ADDENDUM (JUNE 2012):

d. Exceptions. The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the Central Contractor Registration (CCR) do not apply, at the prime award or subaward level, to:

- (1) Awards to individuals
 - (2) Awards less than \$25,000 to foreign recipients to be performed outside the United States (based on a USAID determination)
 - (3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns.
- e. This provision does not need to be included in subawards.

E. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of First-Tier Subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.(1) of this award term to www.fsrs.gov.

(ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

(i) The total Federal funding authorized to date under this award is \$25,000 or more;

(ii) In the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and bawards); and (iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

(i) As part of your registration profile at www.ccr.gov/.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt, as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

(i) In the subrecipient's preceding fiscal year, the subrecipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

(ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

(i) To the recipient.

(ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

If in the previous tax year you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- (1) Subawards, and
 - (2) The total compensation of the five most highly compensated executives of any subrecipient.
- e. Definitions.

For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR 25:

- (i) A governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization;
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. __,210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations”).

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

- (i) Receives a subaward from you (the recipient) under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or subrecipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax-qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF SECTION VIII]