



USAID | COLOMBIA

FROM THE AMERICAN PEOPLE

Issuance Date: May 8, 2015
Questions Due: May 19, 2015/3:00 P.M. (Local Colombian Time)
Pre-applicants' Conference: May 21, 2015/8:00 A.M–12:00 M
American Embassy, Carolina Conference Room,
Carrera 45 No. 24B - 27, Gate 2 (Post 2)
Applications Due: June 22, 2015/3:00 P.M. (Local Colombian Time)

Subject: USAID/Colombia Notice of Funding Opportunity (NFO) No. 514-15-000007, Public Opinion Activity (POA)

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Colombia, is seeking applications from qualified local organizations, profit and non-profit Nongovernmental Organizations (NGOs) in Colombia (see Section III), for a Cooperative Agreement to implement a program entitled “Public Opinion Activity - POA”, as described in Section I, of this NFO. The authority for this NFO is found in the Foreign Assistance Act of 1961, as amended.

Subject to the availability of funds, USAID intends to provide not to exceed US\$3,000,000 in total USAID funding to be allocated over a period of five years. USAID reserves the right to fund one or more applications.

Pursuant to Mandatory Standard Provisions Allowable Costs (December 2014), 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 program and are in accordance with applicable cost standards, may be paid under the Cooperative Agreement. This restriction does not apply to procurements under this award made in accordance with the Standard Provision, “Procurement Policies (see Section VI.F).”

USAID will assess the prime applicant’s capacity to manage proper implementation. Applicants under consideration for this award that have never received funding from USAID will be subject to a Pre-Award Risk Assessment to determine fiscal responsibility, ensure adequacy of financial controls and verify compliance with Section III of the NFO.

For the purposes of this Activity, this NFO is being issued and consists of this cover letter and the following sections:

- I. Funding Opportunity Description;
- II. Federal Award Information;
- III. Eligibility Information;
- IV. Application and Submission Information;
- V. Application Review Information;
- VI. Federal Award and Administration Information;
- VII. Federal Awarding Agency Contacts;
- VIII. Other Information.

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

To be eligible for award, the Applicant must provide all required information in its application, including the requirements found in any attachments to this NFO which can be found on www.Grants.gov and USAID/Colombia webpage.

Any questions concerning this NFO must be submitted in writing via e-mail to BogotaUsaidOfficeAA@usaid.gov and to Mr. German Gutierrez, Acquisition and Assistance Specialist, at ggutierrez@usaid.gov, and copied to Ms. Curtrice Dorsey, Agreement Officer, e-mail cdorsey@usaid.gov no later than the due date specified in this cover letter.

USAID is planning on conducting a pre-applicants conference, in order to clarify questions and requirements of this NFO, on the date and time shown in this cover letter. If you plan to participate in this conference, we will appreciate that you confirm by e-mail to ggutierrez@usaid.gov, the number of participants (no more than three (3) by organization, the names and identification numbers, on a date no later than the due date for submission of questions, in order to coordinate the access to the building.

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, to Mr. German Gutierrez, Acquisition and Assistance Specialist, at ggutierrez@usaid.gov and copied to Ms. Curtrice Dorsey, Agreement Officer, e-mail cdorsey@usaid.gov.

Issuance of this NFO does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application or any other costs associated with the pre-awarding process. In addition, final award of any resultant award 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.

Thank you for your interest in USAID/Colombia programs and activities.

Sincerely,



Curtrice Dorsey
Agreement Officer
Office of Acquisition and Assistance

ATTACHMENTS:

1. Certifications, Assurances, Other Statements of the Recipient and Funding Opportunity Standard Provisions
2. Budget Template

3. Guidance for Obtaining a DUNS Number (Data Universal Numbering System)
4. Guidance on Branding and Marking Under Assistance Instruments

Table of Contents	Page
SECTION I – FUNDING OPPORTUNITY DESCRIPTION	6
A. ACTIVITY OVERVIEW	6
B. BACKGROUND AND PROBLEM STATEMENT	6
D. KEY PRINCIPLES (OTHER CONSIDERATIONS).....	9
ACRONYM LIST	12
SECTION II – FEDERAL AWARD INFORMATION	13
A. ESTIMATE OF FUNDS AVAILABLE	13
B. RANGE OF EXPECTED FUNDING LEVEL	13
C. START DATE AND PERIOD OF PERFORMANCE OF INDIVIDUAL AWARDS	13
D. SUBSTANTIAL INVOLVEMENT	13
E. AUTHORITY TO OBLIGATE THE GOVERNMENT	13
SECTION III - ELIGIBILITY INFORMATION	15
A. ELIGIBILITY REQUIREMENTS	15
B. COST SHARE.....	16
C. DUN AND BRADSTREAN UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER AND SYSTEM FOR AWARD MANAGEMENT (SAM).....	17
SECTION IV - APPLICATION AND SUBMISSION INFORMATION	18
A. GENERAL INSTRUCTIONS.....	18
B. PREPARATION GUIDELINES	18
C. TECHNICAL APPLICATION FORMAT.....	21
D. COST APPLICATION FORMAT	26
SECTION V - APPLICATION REVIEW INFORMATION / MERIT REVIEW CRITERIA	35
A. EVALUATION CRITERIA	35
B. MERIT REVIEW CRITERIA	35
C. COST APPLICATION EVALUATION	36
D. REVIEW AND SELECTION PROCESS	37
SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION	38
A. AGREEMENT AWARD	38
B. PERFORMANCE REPORTING.....	39
C. PAYMENT TERMS FOR AWARD.....	42
D. RELEVANT POLICY AND REGULATORY REFERENCES	42
E. SPECIAL PROVISIONS	42
SECTION VII – FEDERAL AWARD AGENCY CONTACTS.....	59

SECTION VIII - OTHER INFORMATION..... 60

**ATTACHMENT 1: CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE
RECIPIENT AND FUNDING OPPORTUNITY STANDARD PROVISIONS 60**

ATTACHMENT 2 – BUDGET TEMPLATE..... 70

**ATTACHMENT 3 - GUIDANCE FOR REGISTERING IN SAM AND OBTAINING A DUNS
NUMBER (DATA UNIVERSAL NUMBERING SYSTEM) 71**

**ATTACHMENT 4 – GUIDANCE ON BRANDING AND MARKING UNDER ASSISTANCE
INSTRUMENTS 83**

SECTION I – FUNDING OPPORTUNITY DESCRIPTION

Public Opinion Activity (POA)

A. ACTIVITY OVERVIEW

The overall goal of the Public Opinion Activity (“The Activity”) is to provide data and analysis about democratic governance to inform USAID/Colombia’s programs in the country, to enhance the capacity of local stakeholders to gather, access, understand, and utilize data for public policy formation and advocacy and to provide the different stakeholders with statistical information for decision-making. The Public Opinion Activity will also strengthen the Recipient’s capacity to effectively provide and disseminate accurate, useful and high quality information.

The proposed Activity will support three of the Mission’s development objectives under the Mission’s Country Development Cooperation Strategy, Effective Presence of Democratic Institutions and Processes in Targeted Areas; Reconciliation Advanced Among Victims, Ex-Combatants and Other Citizens; and Improved Conditions for Inclusive Rural Economic Growth. As a result, this Activity will play an important role in achieving the Mission Goal, “Colombia more capable of successfully implementing a sustainable and inclusive peace.” A better understanding of citizens’ perceptions towards key areas of democratic governance, reconciliation and economic growth makes it more likely that Colombia will be positioned to implement a peace agreement or otherwise carry out a post-conflict transition. This Activity will also 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.

B. BACKGROUND AND PROBLEM STATEMENT

The success of many Government of Colombia (GOC) priorities geared towards ending the conflict and supported by USAID/Colombia, such as support for victims, protection of human rights and response to citizens’ needs, relies on the quality and responsiveness of elected officials to develop and implement public policies and deliver public services.

Monitoring democratic attitudes and experiences in Colombia is a critical tool for policy makers, the GOC, private citizens, civil society, the U.S. Government (USG) and media that engage in developing and implementing public policy.

Colombia is living in an environment of uncertainty due to the peace negotiations between the GOC and the *Fuerzas Armadas Revolucionarias de Colombia* (Spanish acronym FARC) guerrillas that have been taking place for over two years. There is a possibility that peace negotiations could start with other armed groups in the country. Given the possibility of a peace agreement and its implementation, the need is greater than ever for quality data on matters related to opinions of public policy and democratic governance as well as the need for having the capacity to provide this type of data in the Country.

USAID/Washington has supported a biannual survey to measure citizens’ perceptions and attitudes towards democracy since 2006. This survey takes place throughout the whole continent and has expanded its coverage from 13 countries in 2006 to 26 countries in 2014.

USAID/Colombia has supported a yearly survey in the country since 2005¹. The survey has provided a broad scientific analysis of democratic values of a nationally representative sample of Colombians. It has also generated serious debates and reflection among Colombian media, political leaders, academics, and political parties about key aspects of democratic strengthening, including anti-corruption and trust in democratic institutions. The yearly survey has served as a critical source of baseline data for measuring the state of Colombian democracy.

C. ACTIVITIES

The overall goal of this Activity is to fill a gap in the array of surveys that exist in Colombia. For instance, Colombia has many organizations that conduct surveys. However, the quality and objectives of these surveys vary considerably. Most country survey firms carry out marketing research, with survey work dominated by election-season pollsters or commercial interests. Firms' methods often are confidential, rely on non-random sampling techniques, or sample in urban areas only. The firms seldom analyze national trends, or promote sustainable local capacity beyond their own needs. Likewise, academia and the GOC rarely fund the kind of longitudinal, representative, policy-related survey work that is required to monitor opinion of democratic governance. For these reasons, the Activity will:

- Enhance the capacity of a local organization to conduct technical surveys and in-depth analysis of statistical data on citizens' perception towards democratic governance.
- Strengthen the capacity of a local organization to produce and disseminate information that is useful for USAID, the GOC, academia, Civil Society Organizations (CSOs) and citizens for decision-making.

The above objectives will be implemented through the following components:

Component 1: Survey Research

Activity 1.1: Biannual Survey of Democratic Attitudes in Colombia

Under this Activity, the Recipient will enhance its capacity to conduct surveys and conduct a biannual survey throughout the country and a biannual oversample on specific regions or topics, analyze and disseminate the data. The biannual survey will measure Colombians' perceptions and attitudes towards democratic governance. The Recipient will conduct surveys of a broad range of democracy and governance topics, such as support for democracy, perceptions of insecurity, crime victimization, corruption, trust in government institutions, interpersonal trust, civic participation and protest, voting behavior, gender equality and female empowerment issues and political tolerance. In addition, the Recipient will include specific questions on the armed conflict, the ongoing peace process, reconciliation, reintegration of ex-combatants and a possible post conflict scenario. The Recipient is required to request USAID approval of the questionnaires.

¹ All the reports can be accessed at the web page of the Observatorio de la Democracia http://obsdemocracia.org/sec_.php?idsection=8&idssubsection=18

The surveys must have a direct relationship with the development of USAID/Colombia policy and programming and GOC priorities and must be carried out within six months after the start date of the Cooperative Agreement. The following surveys will be performed on a biannual basis as coordinated with the Agreement Officer Representative (AOR). The Recipient must specify the relevant categories for data disaggregation.

Activity 1.2: Biannual Samples on Specific Topics

The Recipient will carry out “biannual special samples” in years different from the years when the “biannual surveys” described in Activity 1.1 are conducted. The biannual sample will target specific populations, regions or to get an in-depth knowledge on concrete topics. For example, the Mission may request a representative sample of municipalities in which it plans to target programming, or special questions focused on a given program area, or a focus on a specific population.

Expected results for Component 1:

- A biannual national survey that measures the perception of Colombians towards a wide range of democratic governance issues.
- A biannual special sample that provides in depth knowledge on targeted populations, regions or topics.

Component 2: Data Dissemination and Analysis

The primary focus of this Activity is to make the results of the national survey and the special samples a permanent tool for decision-making and policy discourse. To achieve this, target audiences (the USG, GOC, academics, civil society, international donors and media) need to have permanent access to the results of the surveys and be able to use them on a regular basis.

Activities for component 2:

Activity 2.1: Data dissemination for USAID and stakeholders

A wide variety of intended audiences should feel empowered and capable of using the data and analysis in some format. Through this Activity, the Recipient will focus on using information both to empower local stakeholders and to improve evidence-based decision-making and programming.

The Recipient must develop a communications and outreach strategy, carried out during the life of the Activity, which must identify the different audiences to whom these results might seem of relevance. The Recipient must identify convincing and creative channels to reach these audiences through both formal and informal ways. For example, the Recipient could consider that formal presentations are not the best way to reach certain stakeholders. To be able to use the data, a target audience may need more one-on-one assistance or informal meetings on specific topics. The Recipient must explain how it plans to make the data and analyses available for public consumption.

The Recipient will follow –up and report on the impact of the publications and formal and informal outreach on the different audiences to whom the communications and outreach strategy has been targeted.

Expected results for Component 2:

- Local stakeholders (GOC, USG, the media, and civil society) have increased access to high-quality survey data for public policy formation, public discourse, advocacy, and journalism.
- A local organization provides support to local stakeholders in the understanding and use of statistical survey data and analysis.

D. KEY PRINCIPLES (OTHER CONSIDERATIONS)

1. Link to GOC and USAID Priorities

It is envisioned that through the life of the Activity the questionnaire will have to be adaptable to reflect the needs of USAID or the GOC. Specific questions will need to be included to measure the perception of Colombian citizens on issues that may arise. For example, additional questions may be required on issues such as reintegration, community acceptance of demobilized or other subjects that contribute to have a Colombia more capable of successfully implementing a sustainable and inclusive peace.

2. Strengthening local capacity

Following USAID local solutions objectives, USAID/Colombia promotes long-term sustainable development through activities focused on supporting and strengthening local organizations. Through the implementation of this award the Recipient will work on building and strengthening its own capacity not only to comply with USAID/Colombia regulations but also to enhance its technical and communications capacities to provide quality data related to opinions of public policy and democratic governance.

3. Gender and Social Inclusion

In line with USAID's Gender Equality and Female Empowerment Policy², USAID's Lesbian, Gay, Bisexual, and Transgender Individual (LGBTI) Vision for Action³, and policies regarding Persons with Disabilities, the Recipient is required to integrate gender and social inclusion-based interventions into the Activity including employing the services of a Specialist(s) and adopting a Gender/Social Inclusion Strategy as part of work plans, reports, and other Activity documents.

The Recipient must ensure that survey results are adequately analyzed for findings relevant to gender and social inclusion. This goes beyond the segregation of data by sex, but includes the development of gender and social inclusion-oriented analytical questions and identifying implications of the findings. The Activity will integrate a strategic discussion of gender and social inclusion throughout every step of

² <http://www.usaid.gov/sites/default/files/documents/1870/GenderEqualityPolicy.pdf>

³ USAID's [LGBT Vision for Action](#): Promoting and Supporting the Inclusion of Lesbian, Gay, Bisexual, and Transgender Individual

implementation. In addition, the Recipient must ensure that sample results are adequately analyzed for gender and social inclusion-based findings. Applicants must explicitly integrate gender and social inclusion as part of Activity dissemination, to ensure that all the stakeholders fully understand the implications of these issues in democratic attitudes.

Having a gender/social inclusion focus throughout the implementation of the Activity is key given that the end goal of this award is to enhance local capacity to gather, analyze and disseminate data that is useful for public information and advocacy and to provide the different stakeholders with statistical information for decision-making. A main stakeholder is the GOC, which is challenged by implementing gender and social inclusion-related legislation and to enforce respect for the human rights of women, girls, LGBTI community and persons with disabilities.

For instance, there are no institutional mechanisms to ensure that municipalities incorporate gender concerns into the selection, design, or implementation of local development projects; women's organizations have not been able to effectively participate in municipal planning exercises to ensure that local governments promote gender equity; justice sector officials have not responded to cases of gender-based violence (GBV), especially against women and members of the LGBTI community, with much effectiveness; and local officials are particularly insensitive in responding to women alleging human rights violations. Attitudes towards marginalized populations in general have had an especially deleterious impact on municipal service delivery, citizen participation, access to justice, and respect for human rights.

In addition, the ongoing peace process and possible peace implementation will pose new challenges to the GOC, particularly in regard to gender-based violence (GBV) addressed through transitional justice measures and women's participation in the peace implementation⁴.

For these reasons, this Activity can play an important role in sensitizing the GOC, academia, CSOs and citizens in general, on the need to address gender equality and female empowerment, and social inclusion concerns and guarantee respect and inclusion for women and girls, men and boys, the LGBTI community, and persons with disabilities.

4. Communication and Outreach

USAID/Colombia promotes public affairs efforts of U.S. assistance programs in Colombia to raise public awareness, understanding and support for USAID/Colombia-funded goals and activities. To complement this vision, the Recipient will enhance USAID's outreach and communications by developing an outreach strategy to local stakeholders. This effort will focus on attracting local stakeholder's interest and support for this Activity. The main purpose of this Activity is to inform and enrich public policy debate and provide useful information to the different stakeholders (the USG, GOC, academics, civil society, international donors and media) to inform decision-making and programming. To achieve this goal, the results of the surveys must be widely

⁴ <http://www.usaid.gov/sites/default/files/documents/1870/GenderEqualityPolicy.pdf>

disseminated through formal and informal means to target audiences to empower them to use the information on a regular basis.

In addition, the Recipient will maintain fluent communication with USAID. The Recipient will prepare and share with USAID fact sheets and success stories describing the impact of the Activity as requested. The Recipient will coordinate with the USAID AOR and USAID's Information and Communications office to provide information on this Activity, and collaborate on public diplomacy events and visits.

5. Science, Technology and Innovation

USAID supports the application of new technologies, approaches, and methods to address human development needs and help use existing technologies and approaches to empower more people, more cost effectively, and more rapidly⁵. The Recipient must propose full use of science and technology for the development of the questionnaires, the national survey and special samples.

This Activity is not intended to be an academic exercise. Therefore, the Recipient must demonstrate the use of science, technology and innovation in the implementation of communication and dissemination of the results. This will include innovative methods to make the information produced under this award available to the different stakeholders, and original ways in which they can be influenced to use the information and analysis in a permanent way.

6. Authorized geographic code

The authorized geographic code for procurement of goods and services under this Award is **937** as described in CFR 228.

7. Environmental compliance / environmental assessment and monitoring

The POA and its components will develop analyses, studies, academic or research workshops falling within the classes of actions described in Section 216.2(c)(2), "Categorical Exclusions" of 22 CFR Environmental Procedures Part 2016.

⁵ ADS200.3.1.2 <http://auslnxapvweb01.usaid.gov/ADS/200/200.pdf>

ACRONYM LIST

AAPD	Acquisition & Assistance Policy Directives
ADS	Agency Directive System
AO	Agreement Officer
AOR	Agreement Officer Representative
CCN	Cooperating Country Nationals
CIB	Contract Information Bulletin
CDCS	Country Development Cooperation Strategy
CFR	Code of Federal Regulations
COP \$	Colombian Pesos
CORE	Community-Oriented Reintegration of Ex-combatants
CSI	Civil Society Organizations
DRG	Office of Democracy, Human Rights and Governance
EEO	Equal Employment Opportunity
DUNS	Dun and Bradstreet Universal Numbering System
SAM	System for Award Management
FARC	Fuerzas Armadas Revolucionarias de Colombia
FICA	Federal Insurance Contributions Act
GBV	Gender-based Violence
GOC	Government of Colombia
IPR	Implementation and Procurement Reform
LAC	Latin American Countries
LGBTI	Lesbian, Gay, Bisexual, and Transgender Individual
NGOs	Nongovernmental Organizations
NFO	Notice of Funding Opportunity
NICRA	Negotiated Indirect Cost Rate Agreement
PAD	Project Appraisal Document
POA	Public Opinion Activity
Q&A	Questions and Answers
SC	Selection Committee
USAID	United States Agency for International Development
USG	United States Government

[END OF SECTION I]

SECTION II – FEDERAL AWARD INFORMATION

A. ESTIMATE OF FUNDS AVAILABLE

Subject to the availability of funds, USAID intends to provide up to US\$3,000,000 in total USAID funding for the life of the Activity.

B. RANGE OF EXPECTED FUNDING LEVEL

USAID expects to award one cooperative agreement⁶ under this NFO. USAID reserves the right not to fund the application(s) submitted.

Funding for accepted application(s) will be provided on an incremental basis subject to the availability of funds and successful performance. USAID reserves the right to change the funding amounts, cycle, and terms of the Cooperative Agreement as a result of availability of funding and US Government requirements. Should such changes occur, the Recipient will be appropriately notified.

C. START DATE AND PERIOD OF PERFORMANCE OF INDIVIDUAL AWARDS

The period of performance anticipated herein is five (5) years as of the effective date of the award.

D. SUBSTANTIAL INVOLVEMENT

USAID will remain substantially involved over the life of the Cooperative Agreement to assist the Recipient in achieving the expected outcomes and results of the Activity. On behalf of USAID, the AOR will be substantially involved in the following⁷:

- a. **Approval of the Applicant's Implementation Plans.** Annual Implementation Plans describe the specific activities to be carried out under the Agreement, including outreach and communications strategy for the year.
- b. **Approval of Specified Key Personnel.** All key personnel changes must be submitted for AOR approval.
- c. **Agency and Applicant Collaboration or Joint Participation.** There are specific elements in the Funding Opportunity Description for which USAID's technical knowledge would benefit the Recipient's successful accomplishment of stated program objectives. In these cases, the AOR will be involved through:
 1. Concur on the selection of subaward Recipients and/or the substantive provisions of the subawards;
 3. Approval of the questionnaire for the national sample and special samples.

E. AUTHORITY TO OBLIGATE THE GOVERNMENT

⁶ <http://inside.usaid.gov/ADS/glossary.pdf>

⁷ <http://www.usaid.gov/sites/default/files/documents/1868/303.pdf>

The Agreement Officer (AO) is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either a fully executed Agreement or a specific written authorization from the AO.

In the event of any inconsistency between the sections comprising this NFO, it must be resolved by the following order of precedence:

- a. Section V - Application Review Information;
- b. Section IV - Application and Submission Information;
- c. Section I - Funding Opportunity Description;
- d. Cover Letter.

[END OF SECTION II]

SECTION III - ELIGIBILITY INFORMATION

A. ELIGIBILITY REQUIREMENTS

- a. **Limited to Local Organizations**⁸: All local organizations, including local faith-based and other community organizations, as well as consortiums, joint ventures or other established local partnerships, are eligible to apply. To be eligible for an award, the Applicant must submit its application, in its entirety. Interested Local organizations should successfully demonstrate in their applications that they are capable of and have the capacity to deliver services in Colombia. USAID encourages applications from potential new partners. This competitive process is **only limited to local organizations**.

USAID will not accept applications from individuals or international organizations. All applicants must be considered local organizations and legally recognized entities under applicable Colombian law. A local organization does not include subsidiaries, affiliates, or member entities of organizations located outside of, or organized outside of Colombia. In addition to local legal requirements, local organizations must comply with USAID requirements for local organizations. USAID defines local organizations as follows⁹:

- (1) Is legally organized under the laws of;
- (2) Has as its principal place of business or operations in;
- (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and
- (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country receiving assistance.

For purposes of this section, 'majority owned' and 'managed by' include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.

To be eligible for award of a cooperative agreement, in addition to other conditions of this NFO, organizations must be a politically neutral, and have a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

- b. Foreign entity" means an organization that fails to meet any part of the "local organization" definition.

⁸ Per ADS 303.3.6.4. and ADS 303.3.6.5 b(2) <http://auslnxapvweb01.usaid.gov/ADS/300/303.pdf>

⁹ Local applicants interested in applying to this RFA are encouraged to review the virtual training program on the public USAID website page on "How to Work with USAID" program on the public USAID website page on "How to Work with USAID" (<http://www.usaid.gov/work-usaid/get-grant-or-contract/trainings-how-work-usaid>). Specifically, the training module "Effectively Responding to USAID Award Solicitations" (<http://www.usaidallnet.gov/partner-learning/3/>) explains best practices in drafting a response to a solicitation, such as understanding the various parts of a response, developing a time-conscious approach, and becoming familiar with the evaluation process.

“Recipient country” refers to Colombia.

Organizations that do not meet the above criteria will be eliminated from the competitive process. In addition, in the case of consortiums, local partnerships, and joint ventures, each member organization must comply with the requirements for a local organization stated above. The prime holder must clearly be identified in the submitted application.

When applying to the solicitation, local organizations are required to attach the following documents as well as those documents described in Section IV, to support an eligibility determination following official documentation as demonstration of their formal status in the host country (documentation will be considered attachments and will not count against any page limits (see Section IV D.):

- Certificate of Chamber of Commerce
- Minute of Incorporation of the Entity
- Updated By-laws
- Structure of the corporate bodies (including Statutory Audit)
- List of members of the corporate bodies and minutes attesting their appointment.
- Memorandum of Understanding or Agreement(s) in place in case of a consortium
- Determine what entity in the consortium will be acting as the prime when implementing the Activity. If the entity is outsourcing services related to the administrative or financial functions it will be important to have the names of the outsource entities.

B. COST SHARE

The minimum requirement for cost share under this award will be an amount equivalent to **5%** of USAID contribution to the Activity (e.g. if the amount proposed is \$3,000,000 the cost share must be \$150,000). Cost share may be in any combination of cash or in-kind support (e.g. voluntary service, donated supplies, etc.) as defined in the Standard Provisions.

USAID endorses cost sharing as an important principle in USAID-Applicant relationships. Cost share is required for this award. Cost share is defined by USAID as the resources a recipient contributes to the total cost of an agreement. Cost share becomes a condition of an award when it is part of the approved award budget. Cost share must be verifiable from the Recipient’s records and can be audited in accordance with the Standard Provision (Cost Share (June 2012))¹⁰ and ADS 303.3.10.

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 Activity to the fullest extent and for this Activity to be successful in achieving its results, it is important that the recipient have a financial stake in the success of the Activity.

USAID/Colombia considers there is enough expertise and technical capacity within the country to carry out the proposed Activity. For this reason, the competition of POA has been limited to local organizations. Previous analysis of possible bidders showed a multiplicity of actors in survey market including big firms with high level of profits as well as academic institutions and nonprofit organizations with a considerable technical level.

¹⁰ <http://auslnxapvweb01.usaid.gov/ADS/300/303.pdf> and <http://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf>

C. DUN AND BRADSTREAN UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER AND SYSTEM FOR AWARD MANAGEMENT (SAM)

Applicants (unless the applicant is an individual or Federal awarding agency that is exempted from those requirements under 2 CFR §25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR §25.110(d)) are required to:

- (i) Be registered in SAM before submitting its application;
- (ii) Provide a valid DUNS number in its application; and
- (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

USAID may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements and, if an applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another applicant.

To begin the registration process, please visit the following websites:

DUNS number: <http://fedgov.dnb.com/webform>

SAM registration: <http://www.sam.gov>

The registration process **may take many weeks to complete**. Therefore, Applicants are encouraged to obtain them early so that, if selected, the award will not be delayed. Completion of an early registration does not constitute any commitment on the part of the U.S. Government to make an award.

For information on how to obtain a DUNS Number see Attachment 3 (English and Spanish versions), or use the following link: <https://www.sam.gov/portal/SAM/#1>

[END OF SECTION III]

SECTION IV - APPLICATION AND SUBMISSION INFORMATION

A. GENERAL INSTRUCTIONS

Applications must demonstrate the full range of the applicants' capabilities to undertake all the activities proposed in this Activity. Applicants may determine that to ensure the full range of capabilities required by this Activity and to strengthen collective efforts that provide assistance across sectors and geographic areas of need, they will partner with other institutions, other local organizations, and other technical support partners with proven experience and knowledge of local conditions. A successful application will demonstrate the applicant's proven capacities and experiences to lead in strategic decision making and program implementation.

If the Applicant teams with other organizations, the Applicant will include a sub-grantee/consortium management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting, including a detailed description of defined roles and responsibilities, and/or methods proposed to establish new relationships. It is necessary to describe how elements of the cooperative agreement will be implemented through any types of partnership. It is expected that applicants will have continuous field presence to ensure effective on-the-ground implementation. The Applicant will designate one individual (Program Director) to be the liaison with USAID/Colombia. USAID/Colombia will designate an AOR as the counterpart to that person within USAID/Colombia on the technical and management issue concerning the implementation of the Activity.

B. PREPARATION GUIDELINES

1. General

Applicants must submit the technical and cost portions of their applications in separate volumes so that they may be reviewed separately. Award will be made to that responsible Applicant(s) whose application(s) best meets the requirements of this NFO and the selection criteria contained herein.

Applicants must review, understand, and comply with all aspects of this NFO. Failure to do so may be considered as being non-responsive and may be evaluated accordingly.

To facilitate the competitive review of the applications, USAID will provide to the Selection Committee (SC) the sections and pages conforming to the format and page limitations. Any other information submitted will not be provided to the SC and will not be evaluated.

Each Applicant must furnish the information required by this NFO. The Applicant must sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications.

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

- a. Mark the title page with the following legend:

"This application includes data that must not be disclosed outside the U.S. Government and must 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 must 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 pages ____."; 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."

2. Application Submission

Applications must be submitted electronically in two separate parts: (a) technical and (b) cost or business application to BogotaUsaidOfficeAA@usaid.gov, Acquisition and Assistance Specialist, e-mail: ggtierrez@usaid.gov **and** copied to Ms. Curtrice Dorsey, Agreement Officer, and e-mail: cdorsey@usaid.gov. Applications must be submitted with the name and address of the Applicant and the NFO number. Applicants must confirm with ggtierrez@usaid.gov that their electronic submissions (either via grants.gov or via e-mail) were successfully received by the required due date. The complete funding opportunity including all the attachments can be found at the following link: <http://www.grants.gov/>.

3. Late or Incomplete Submissions

The application must be received by the date and time included in the cover page of this funding opportunity, in order to be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications which are submitted late or incomplete run the risk of not being considered in the review process. USAID may review and consider late or incomplete applications if:

- (i) USAID's treatment of the material is consistent with the terms of the NFO,
- (ii) All late applications are treated the same,
- (iii) They are evaluated before any agreements are awarded under the NFO and
- (iv) The AO consents in writing to the review of late or incomplete applications.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format.

Applicants must take into account the expected delivery time required by the application transmission method they choose, and are responsible to ensure that the electronic copies are sent to the right e-mail address by the due date and time specified in the cover letter. For this NFO the initial point of entry to the government infrastructure is USAID's Washington mail server. Applicants will receive a confirmation from USAID via e-mail.

Applications must be specific, complete, and concise in order to be considered as responsive to the terms and conditions of this funding opportunity. The applicants are urged to examine this funding opportunity in its entirety, in order to assure that the application contains all the necessary information, provides all required documentation and is complete in all respects since evaluation of the application will be based on the actual material presented and not on the basis of what is implied. You must ensure that your Cost Application is consistent with your Technical application in all respects since the Cost Application may be used as an aid to determine the applicant's understanding of the technical requirements in accordance with ADS 303.3.6.6.

Applications must respond directly to the terms, conditions, specifications and provisions of this NFO. Applications not conforming to this NFO will be determined as non-responsive, thereby eliminating them from further consideration.

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

4. Explanations to Prospective Applicants

Any prospective Applicant desiring an explanation or interpretation of this NFO must request it in writing to the e-mail addresses set forth in the NFO cover letter within the specified date and time in the cover letter of this NFO. The questions and answers (Q&A) will be posted as an amendment to the NFO on www.grants.gov. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective grantee concerning this NFO will also be furnished to all other prospective grantees as an amendment to this NFO, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective grantees.

There will be **only** one (1) round of questions and answers throughout the NFO process, therefore applicants should submit all questions by the due date specified in the cover letter.

5. Content and form of application Package

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 (14MB limit) per e-mail. Telegraphic or faxed application is not authorized for this NFO and will not be accepted.

- a. Preferred software for electronic submissions: Microsoft Word (for narrative text) or Excel (for tables). PDF files are acceptable. Please be advised that applicants are required to submit their budget breakdown in Excel. *The excel sheets must not be password protected.*

After you have sent your applications electronically, please immediately check your own e-mail to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the e-mail or make note in the filename if submitted via

grants.gov that it is a "corrected" submission. Each Applicant is responsible for their submissions.

- b. Please do not send the same e-mail to us more than one time unless there has been a change, and if so, please note that it is a corrected e-mail.
- c. Your organization must appoint one person to send in the e-mail submissions who will serve as the contact person for future communications regarding this NFO.
- d. If you send your application by multiple e-mails, please indicate in the subject line of the e-mail whether the e-mail relates to the technical or cost application, and the desired sequence of multiple e-mails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your cost application is being sent in two e-mails, the first e-mail should have a subject line which says: "[organization name], NFO number, Cost Application, Part 1 of 2".

6. Unnecessarily elaborate applications

Unnecessarily elaborate applications beyond those sufficient to present a complete and effective application in response to this NFO are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

7. Other Submission Requirements

The application must include only one prime applicant, which may 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 NFO, the term "applicant" is used to refer to the prime and any proposed partners.

C. TECHNICAL APPLICATION FORMAT

The technical application will be the most important item of consideration in selection for award of the proposed Activity. The application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals and objectives of this Activity. Therefore, it must be specific, complete and concise.

The Technical Application narrative section ***must not exceed 25 typed pages in English*** (12 font size Times New Roman Font, single spaced, typed in standard 8.5 x 11 paper size with one-inch margins both right and left and each page number consecutively).

INFORMATION SUBMITTED OVER THE PAGE LIMITATION (25 PAGES) WILL NOT BE EVALUATED. The following will be counted as part of the page limitation:

- Cover page (not counted against page limit) ;
- Table of contents, listing all page numbers and attachments (not counted against page limit);
- Executive Summary;
- Narrative:
 - Goals and Objectives;

- Technical Approach including a Communications & Outreach Plan
- Proposed Outcomes/Results
- Management Approach and Staffing:
 - Management Plan;
 - Institutional Capabilities
 - Staffing Plan: Key Personnel (including partnership and sub-award arrangements where applicable)

Annexes: Promotional literature and materials regarding the applicant **must not** be submitted as part of the annexes. The following items are not subject to the page limitation and will not be counted (a page in the technical application, which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the “page” limitation):

- Resumes for Key Personnel and long-term professional staff, proposed position descriptions;
- Branding Strategy and Marking Plan (two pages summary is only required as part of the application package);
- Charts providing information on management structure, matrixes demonstrating staff skills, and organizational chart(s);

All other items not listed as an annex are included in the above page limitation. Please number pages as “Page # of Page #” where a page number combined indicates a page that is expected from the 25 page limitation.

Annexes can be numbered separately and should be numbered as “Annex 1: 1 of X, Annex 1: 2 of X”, etcetera. Pages must be paginated at the bottom.

Technical Application Format

The Technical Application must respond to the objectives and activities and indicators described under the Section I of this NFO, the applicant may propose additional activities to achieve the described objectives and results. It should also contain a description of key strategies, activities and approaches, as well as the synergies among them that the proposed partner will pursue in order to accomplish the desired results described in Section I, as well as the rationale for selecting them. Gender issues should also be addressed. Interested applicants must provide a detailed technical application and demonstrate how it will achieve the overall goal, program objectives and results as previously described. Applicants must organize the technical application to follow the information set forth below.

There is no preference to use the Activity title given in this NFO. Applicants are encouraged to develop their own specific Activity title as part of their application. However, use of the successful applicant’s proposed title or an alternate title is solely at USAID’s discretion.

The technical application must be keyed to the technical merit review criteria outlined in Section V, and contain only the requested information. The technical application must be organized and presented in the following order for ease of reviewing by the Selection Committee (SC):

1. **Cover Page:** Describe 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.

2. **Table of Contents:** The Table of Contents should list all parts of the technical application, with page numbers and attachments.
3. **Application Executive Summary:** 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 activity 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 Activity.
4. **Technical Approach Narrative:** The Technical Approach, as revised during negotiations, will become the Program Description of any resulting Cooperative Agreement. It must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed. It must outline specific, focused activities; identify how and where (e.g. geographic locations and level: local, national, etc.) those activities will be implemented; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the Activity has been completed.

The Applicant’s Technical Approach must present a thorough understanding of the political context in the country; the main challenges and actors; understanding of citizen’s perceptions towards democracy and governance topics.

For component 2 of the technical approach the Applicant must submit a Communications & Outreach Plan: The Applicant must describe how it will use innovative and high-impact information and communication technologies to share Activity achievements and enhance the use of the information produced. The Applicant must present a communications and outreach strategy that will detail the different audiences and stakeholders that will use the information produced and identify creative channels to access each of these audiences. The Applicant must describe how communication activities will be implemented and must reflect through its programming the integral role of communication as a development tool to help achieve the Activity objectives and impact.

5.. **Management Approach and Staffing**

a. **Management Plan:**

The Management Plan must describe the technical resources and expertise that the Applicant and any proposed partners will utilize in implementing the proposed Activity and how these resources will be organized to deliver the desired outcomes and meet USAID’s expectations for reporting, coordination, and communications. It must specify the composition and organizational structure of the implementation team (including long and short-term personnel, home office

support, field office(s), and sub-applicants) and briefly describe each proposed staff member's role, technical expertise, and estimated amount of time s/he will devote to the Activity. The Applicant must also describe the role and location of any specific proposed sub-partners (local NGOs, or other appropriate entities) that will implement activities in partnership with the Applicant; the comparative advantage of the team in implementing the proposed activities; and the approach for managing any proposed sub-partners.

b Institutional Capability:

The Applicant must provide evidence of and describe its organizational knowledge, capability and experience in managing similar programs, and describe its comparative advantage in implementing the proposed activities. Applicants must furnish evidence that they have the ability to plan, implement and monitor the program effectively. They must demonstrate their experience in the geographic and program areas identified in Section I. They must demonstrate organizational experience in managing relevant programs in terms of the activities specified in Section I of this solicitation and the program size. Applicants must clearly describe their demonstrated ability to manage multiple complex activities involving collaborative efforts, and maintain clear and effective lines of communication between and among stakeholders, including host country governments, the donor, and implementing partners and sub-partners. In addition, Applicants must demonstrate an expertise to work collaboratively with host government and other stakeholders to achieve the Activity goals and objectives, and draw on local expertise with a focus on capacity building of local organizations and institutions.

The Applicant should provide the same information for all the proposed major sub-grantees.

c. Staffing and Key Personnel:

The Applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the Activity. The Applicant must specify the composition and organizational context of the entire implementation team, including home office support. Applicants must propose key personnel (not to exceed 2) as deemed appropriate to implement the major activities described in Section I. In an annex to the technical application, Applicants must provide resumes and proposed position descriptions for the candidates proposed for all key personnel and long-term professional positions. The resumes should indicate the names of the proposed personnel, and demonstrate that the proposed key personnel and long-term professional staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Resumes must be no more than three (3) pages in length for each proposed individual and must be presented in chronological order starting with most recent experience. Key personnel will be assessed on the appropriateness of their academic background, expertise and years of experience working on project activities similar to their designated duties and responsibilities for this program. References may be checked for all proposed long-term personnel. Applicants must provide current contact information, phone and e-mail address for at least three (3) references for each proposed Key Personnel.

The Applicant must have personnel with practical experience in either social research, democracy and governance and/or experience in local capacity building. Key personnel must have an advanced degree in a relevant field, PhD preferred. The candidates must be able to work with a wide range of counterparts and beneficiaries, including USAID officials, senior-level GOC officials, academia, and CSOs.

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

Key personnel will be:

- (1) Program Director: The Applicant is required to appoint a Program Director. The Program Director will be responsible for technical leadership and administrative oversight of the Activity and will serve as the principal institutional liaison to USAID. The Program Director will be responsible for the day-to-day management of the Activity and will ensure the Activity is progressing appropriately and meeting its targets. The Program Director must reside in Colombia for the life of the Activity. The required qualifications for the Program Director are:
 - Fluent spoken, written and reading abilities in Spanish and English.
 - A post graduate degree in a field relevant to social sciences, survey and/or social research and analysis. PhD preferred.
 - A minimum of seven years of experience with social research (e.g. qualitative and quantitative methodologies, statistics, survey design, fieldwork manuals, enumerator training, etc.).
 - A minimum of three years management experience. This entails conducting follow-up on the progress toward meeting the Activity's objectives and providing overall guidance and direction, focusing the activity team on achieving agreed-upon targets and objectives.
 - Knowledge of the Colombian political and democratic context.
 - Previous experience in developing collaborative working relationships with counterparts, other contractors and international organizations and donors.

- (2) Technical Expert: The technical expert must have at least four years of experience in social research. S/he must be an individual with strong social and writing skills, and with extensive experience in developing and/or applying quantitative and qualitative methodologies. The technical expert must reside in Colombia for the duration of the Activity. The required qualifications are:
 - Fluent spoken, written and reading abilities in Spanish.
 - A post graduate degree in a field relevant to social sciences, survey and/or social research and analysis. PhD preferred.
 - At least four years of progressively responsible experience in social research and analysis.
 - At least three years of specific experience in survey design and implementation.

- Knowledge of the Colombian political and democratic context.
- Previous experience in developing collaborative working relationships with counterparts, other contractors and international organizations and donors.

Although not key personnel, a candidate for the following position must be identified in the applicant's proposed staffing plan.

(3) Communications and Outreach Expert: The communications expert must reside in Colombia for the duration of the Activity and must have the following qualifications:

- At least seven years of demonstrated ability to develop formal and informal contacts with the private sector, the media and the GOC.
- At least five years of experience in developing media and communications strategies that has successfully reached different audiences in the public and private sector.
- Knowledge of the Colombian media and political context.

The Applicant must propose an organizational structure that is most effective in implementing the proposed Activity. As required under substantial involvement, specified key personnel will be approved by USAID.

D. COST APPLICATION FORMAT

The Cost or Business Application must be submitted separately from the technical application. Certain documents are required to be submitted by a successful Applicant in order for the AO to make a determination of responsibility. The following sections describe the documentation that Applicants for Assistance awards must submit to USAID prior to award. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

The Cost Application must include:

- Cost Application
 - Required forms SF-424
 - Pre-award certifications, Assurances and Other Statements of the Recipient
- Budget (Excel Format)
- Budget Narrative
- Cost Share

Annexes:

- Documents to support Eligibility Determination (Local Organization)
- Evidence of SAM Registration and DUNS Number
- Documents to support History of Past Performance
- Branding Strategy and Marking Plan (2 pages limit)

1. Cost Application:

Applicants should note that USAID will not reimburse pre-award costs, or costs for preparation of applications. The cost application must include the funding requested

from USAID and the funding secured from other sources (Cost share see Section III B.), stating sources and amounts for the proposed program.

A. Required Forms: 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" as described below.

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

B. Pre-Award Certifications, Assurances and Other Statements of the Recipient:

In addition to the certifications that are included in the SF-424 (described above), all applicants must provide the following certifications, assurances and other statements with the application:

- a. A signed copy of [ADS 303mav, Certifications, Assurances, and Other Statements of the Recipient and Solicitation Standard Provisions](#)¹¹, which includes: (**See Attachment 1** for complete set of certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions).
 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. Other Statements of Recipients.

2. **Budget (Excel Format):** In addition to the above mentioned documents, the applicant must submit an Excel budget un-protected spread-sheet (attached to the Cost Application) that includes details line item information using formulas. See Attachment 2 of this NFO for budget template and the budget format shown in the SF-424A.

¹¹ <http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

3. **Budget Narrative:** Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. Detailed budget narratives which explain the basis of estimate, such as market surveys, price quotations, current salaries, historical experience, etc. (cost realism and cost reasonableness) and supporting justification of all proposed budget line items must be included.
- A. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices.
 - B. The breakdown of all costs according to each partner organization (or sub-grantee) involved in the program.
 - C. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
 - D. The breakdown of the monetary and in-kind contributions of all organizations involved in implementing the expected Cooperative Agreement.
 - E. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
 - F. The procurement plan for commodities.
 - G. Indicate the name, annual salary, and expected level of effort of each person charged to the Activity. Provide resumes showing work experience and annual salary history for at least the three most recent years for all identified and proposed long/short term key and non-key personnel.
 - H. If not included in an indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employees, and explain the benefits included in the rate.
 - I. The same individual information for consultants must be provided as for regular personnel.
 - J. Travel, per diem and other transportation expenses must be detailed in your application to include number of international trips, expected itineraries, number of per diem days and per diem rates.
 - K. Specify all equipment to be purchased and the expected geographic source.
 - L. Financial Plans for all proposed sub-grants and subcontracts must have the same format and level of detail as those of the Applicant. Following the Applicant's detailed budget breakdown, detailed budget breakdowns for each sub-recipient/ (sub) contractor must be presented. Sub-recipient/ (sub) contractor budgets must not be intermingled. The first page must be a summary budget, following the same budget format and line items as are set forth above for the full term of the sub-agreement/subcontract. Detailed budget notes which explain how the subawards'

proposed budget was reviewed and how a determination was made that it is fair and reasonable must be provided.

- M. 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.). A copy of the latest Negotiated Indirect Cost Rate Agreement (NICRA), if applicable and if your organization has such an agreement with the US Government;

Note: Local Institutions usually do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government.

Applicants that do not have a NICRA, have the option to submit the proposed budget including all administrative costs as direct costs; or may choose to charge up to 10% of modified total direct costs. If the prospective applicant chooses the rate, the AO must incorporate the 10% indirect cost rate in the award budget and the recipient must follow the requirements in ADS 303 and the Standard Provision for Indirect Costs and must submit the following information:

- a. Copies of the Applicant's financial reports for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID.
 - b. Projected budget, cash flow and organizational chart, and
 - c. A copy of the organization's accounting manual.
- N. If there are any training costs to be charged to this Cooperative Agreement, they must be clearly identified.

The following information should also be taken into consideration when developing the budget:

Labor - Direct salaries and wages for each year of the Cooperative Agreement must be in accordance with the organization's established personnel policies, the applicable cost principles and the current salary history of proposed LT/ST employees. To be considered adequate, the policies must be in writing, applicable to all employees of the organization, is subject to review and approval at a high enough organizational level to assure its uniform enforcement, and result in costs which are reasonable and allowable in accordance with applicable cost principles. The narrative should include a level of effort analysis specifying personnel, rate of compensation, and amount of time proposed for key and non-key personnel. Anticipated salary increases during the period of the Agreement should be included.

Additional Requirements for Personnel Compensation

Limitations

- (1) Salaries and wages must be reflective of the "market value" for each position. Salaries and wages may not exceed the Applicant's established policy and practice, including the Applicant's established pay scale for equivalent classifications of employees, which must be certified by the Applicant. No individual salary or wage

may exceed the employee's current salary or wage, or the highest rate of annual salary or wage received during any full year of the immediately preceding three (3) years without the approval of the AO.

Applicants must consider an **Exchange Rate of COP \$2,200** per US\$1 to estimate its costs.

- (2) Base pay, or base salary, is defined as the employee's basic compensation (salary) for services rendered. Taxes which are a responsibility or liability of the employee are inclusive of, and not additive to, the base pay or salary. The base pay excludes benefit and allowances, bonuses, profit sharing arrangements, commission, consultant fees, extra or overtime payments, overseas differential or quarters, cost of living or dependent education allowances, etc.
- (3) This USAID-funded activity implemented under the anticipated Cooperative Agreement will be for an estimated period of performance of five (5) years; also referred to as the Award Period. Unless the Applicant demonstrates otherwise to the USAID Agreement Officer's satisfaction, Cooperating Country Nationals (CCNs) employed by the Applicant solely to work under the USAID-funded project under this Agreement are considered by USAID as employed by the Applicant for a specified period not to exceed the Agreement Period. This provision must be interpreted in accordance with applicable cost standards as described in the Standard Provisions for Allowable Costs (December 2014).

Fringe Benefits - If accounted for as a separate item of cost, fringe benefits should be based on the Applicant's audited fringe benefit rate, supported by a Negotiated Indirect Cost Rate Agreement (NICRA) or historical cost data. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g. health and life insurance, etc.) and the costs of each, expressed in dollars and as a percentage of salaries. Fringe Benefits for local staff should be accounted in accordance with Colombia labor law.

Supplies and Equipment - Differentiate between expendable supplies and nonexpendable equipment (NOTE: Equipment is defined as tangible nonexpendable personal property including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit, unless the Applicant's established policy establishes nonexpendable equipment anticipated to be required to implement the Activity, specifying quantities and unit cost.)

Allowances, if any, must be broken down by specific type and by person and must be in accordance with the Applicant's established policies.

Travel and Per Diem - The narrative should indicate the purpose of trip(s), number of trips, domestic and international, and the estimated unit cost of each. Specify the origin and destination for each proposed trip, duration of travel and number of individuals traveling. Proposed per diem rates must be in accordance with the Applicant's established policies and practices that are uniformly applied to federally financed and other activities of the Applicant.

Other Direct Costs (ODC) - could include costs such as communications, office rental, utilities, report preparation costs, passports, visas, medical exams and inoculations,

insurance (other than the Applicant's normal coverage), other filed office operation costs, etc. The narrative, or supporting schedule, should provide a complete breakdown and support for each item of other direct costs.

Proposed (Sub) contracts/agreements - Applicants who intend to utilize subcontractors or sub Applicants should indicate the extent intended and a complete cost breakdown, as well as all the information required herein for the Applicant. Extensive (sub) contract/agreement financial plans should follow the same cost format as submitted by the Applicant.

An award will be made only when the AO makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For the organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to perform a pre-award risk assessment.

Branding & Marking - USAID anticipates that reasonable budget is estimated in order to cover the branding and marking costs which are in accordance with the applicant's technical approach.

Communication & Outreach - USAID anticipates that a robust dissemination of the results of surveys and other information will be required. Therefore, Applicants must consider the appropriate level of budget in accordance with their proposed technical approach.

Data collection, analysis, and reporting costs - Applicants are required to include it as a separate line item in their budgets to ensure that adequate resources are available.

Audit - The recipient must have an annual audit conducted in accordance with the "Guidelines for Financial Audits Contracted by Foreign Recipients" issued by the USAID Inspector General, for any recipient fiscal year in which the recipient expends a combined total of \$300,000 or more in all USAID awards, either directly or through another USAID contractor or recipient, excluding fixed price contracts and fixed obligation grants (See Standard Provision Accounting, Audit, and Records (December 2012)).

Translation Services - Translation costs can be included if necessary.

- 4. Cost Share:** Applicants must be aware that all cash contributions and non-Federal in-kind contributions must meet all the criteria set forth in ADS 303.3.10.1 and the Standard Provision Cost share (June 2012). Applicant cost share may be in any combination of cash and in-kind support including, staff salaries, volunteer time; valuation of donated supplies, equipment, and other property; and use of unrecovered indirect costs (see note), which are necessary and reasonable to achieve program objectives and which are verifiable from the Applicant's records. Award will be made to responsible applicants whose applications offer the greatest value, cost and other factors (i.e. technical evaluation criteria) considered.

Note: If the Applicant decides to include as part of the cost share, Administrative Costs, make sure that these costs are not included as part of the Indirect Cost Rate (see part 3 above) to avoid duplication.

USAID requires applicants to demonstrate their commitment to the Activity's success by addressing the requirement for cost sharing. Applications that do not meet the minimum cost share requirement, when applicable, **are not eligible** for award consideration. Cost sharing, will be evaluated for cost effectiveness and cost realism.

In the award budget: Recipients are required to include cost share expressed as a dollar figure rather than a percentage to assist in monitoring the amount after award (using the exchange rate described above). The budget notes should describe the composition of cost share (indicating the amount that will be in cash and in-kind) and a description. In-kind contributions are allowable as cost share in accordance with the Standard Provision, "Cost Share" for non-U.S. organizations.

Annexes

A. Documents to Support Eligibility Determination:

As described in the cover letter, USAID is seeking applications from qualified local organizations in Colombia. When applying to the funding opportunity, local organizations are required to attach the following official documentation as demonstration of their formal status in the host country (documentation will be considered attachments and will not count against any page limits (see Section III) :

- Certificate of Chamber of Commerce,
- Minute of Incorporation of the Entity,
- Updated By-laws
- Structure of the corporate bodies (including Statutory Audit);
- List of members of the corporate bodies and minutes attesting their appointment.
- Memorandum of Understanding or Agreement (s) in place in case of a consortium
- Determine what entity in the consortium will be acting as the prime when implementing the Activity. If the entity is outsourcing services related to the administrative or financial functions it will be important to have the names of the outsource entities.

Local Organizations are encouraged to review the following link <http://www.usaid.gov/work-usaid/get-grant-or-contract/trainings-how-work-usaid>, with information on how to do business with USAID.

B. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)

- Evidence of SAM registration;
- DUNS number.

C. **History of Performance:** Applicants must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include the

performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers and e-mail address.

Applicants must include up to five (5) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by your organization in the last three years involving programs similar to the program proposed in your application. Each applicant must provide past performance references for itself and each proposed sub-recipient. The past performance evaluation will be part of USAID's level of risk assessment and will be focused on the applicant's record of complying with agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to agreement schedules, including administrative aspects of performance, history of reasonable and cooperative behavior and commitment and concern for the interest of the customer, and the competency of personnel who worked on the agreement. Include the following for each award listed:

- a. Name of awarding organization or agency
- b. Address of awarding organization or agency
- c. Place of performance of services or program
- d. Award number
- e. Amount of award
- f. Term of award (start and end dates of services/program)
- g. Name, current telephone number, current fax number and e-mail address (if one is available) of a responsible technical representative of that organization or agency. This information **is REQUIRED**.
- h. Brief description of the program

Applicants must also include the three (3) most relevant U.S. Government and/or privately funded contracts, grants, cooperative agreements, etc. received by each major sub-grantee proposed. A major sub-grantee is one whose proposed cost exceeds **25%** of the Applicant's total proposed cost. Include the same information as listed above. USAID may contact references and use the past performance data, along with other information to determine the Applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

Evidence of Responsibility:

Applicants must have established financial management, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations governing the specific award mechanism. The successful potential awardee will be subject to a financial responsibility determination issued by a warranted Agreements Officer in USAID that may include a pre-award risk assessment and/or an audit. The successful applicant will be required to submit additional documents necessary for the AO as described in ADS 303.3.9.

- D. Branding Strategy and Marking Plan:** It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or sub-award must be appropriately marked with the USAID identity. USAID requires the submission

of a Branding Strategy and a Marking Plan by the “apparently successful applicant.” The apparently successful applicant’s proposed Marking Plan may include a request for approval of one or more exceptions to the marking requirements in accordance with ADS 320.3.3 and 2 CFR 700.348. The AO reviews and approves the apparently successful applicant’s Branding Strategy and Marking Plan (including any requests for exceptions), consistent with the provisions “Branding Strategy,” “Marking Plan,” contained in the Certifications, Assurances, Other Statement of the Recipient and Solicitation Standard Provisions, and “Marking and Public Communications Under USAID-funded Assistance” contained in [ADS 303mab, Standard Provisions for Non-U.S. Nongovernmental Organizations](#) and [ADS 320, Branding and Marking](#).

Although points will not be assessed for evaluation purposes, **applicants must briefly describe (not to exceed two pages)** how they will promote USAID identity, U.S. Government’s support for this Activity and the Activity’s achievements in **Colombia**. A full Branding Strategy and a Marking Plan will be requested to the “Apparent Successful Applicant” only.

More information on Branding Strategy and Marking Plan are available in Attachment 4 and the following link <http://www.usaid.gov/sites/default/files/documents/1868/320.pdf>

[END OF SECTION IV]

SECTION V - APPLICATION REVIEW INFORMATION / MERIT REVIEW CRITERIA

A. EVALUATION CRITERIA

The technical applications received will be screened for completeness. And a merit review conducted by a SC at USAID/Colombia. Following the merit review of the applications, a letter will be sent to all applicants detailing the outcome of the review.

Applications will be evaluated in accordance with the merit review criteria identified below. Subject to the availability of funds, USAID expects to award **one** cooperative agreement. An award will be made to the responsible applicant/partner whose application offers the greatest value, cost, integrated approach, financial viability, innovative solutions, and other factors considered. USAID reserves the right to determine the resulting level of funding for any award made under this NFO.

The technical application must set forth in detail the conceptual approach, methodology, and techniques for accomplishment of the stated Activity objectives. The application must define results and benchmarks for monitoring progress in achieving the results.

USAID reserves the rights to determine the resulting level of funding for any cooperative agreement made under this NFO.

The SC will review applications based upon the merit review criteria set forth below which have been tailored to the requirements of this NFO.

The merit review criteria are based on an adjectival 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 merit review of applications, applicants must organize the narrative sections of their applications with the same headings and order as the selection criteria.

After evaluation of applications, USAID expects to select the applicant which will receive the award to implement the Activity. Once this choice is made, USAID may engage in discussions or negotiations with the selected applicant(s) regarding any matter to be covered in the final program description. However, USAID may also award without discussions with the selected applicant.

To facilitate the review of applications, applicant must organize the narrative sections of technical applications according to the merit review criteria set forth below.

B. MERIT REVIEW CRITERIA

Criteria below will be evaluated with equal weight.

Technical Approach

USAID will evaluate the technical quality, responsiveness, political awareness, and creativity of the applicant's proposed approach to achieve the objective and results outlined in the Funding Opportunity Description, including the key principles. The technical approach must include assumptions, opportunities, challenges and constraints for achieving each of the results, as well as how those challenges and constraints would be addressed. The technical

approach must also discuss which technical areas and activities will be prioritized and why and how activities will be developed.

Management Approach and Institutional Capability

USAID will evaluate the quality of the proposed management structure for this award, including, but not limited to: evidence of an effective activity development and implementation process that ensures synergies and complementarities among the activity components and with the GOC. The structure must demonstrate how the applicant will effectively utilize other local organizations and capabilities that demonstrate value added in achieving the expected results. In addition, USAID will evaluate the Applicant's demonstrated capability of managing similar programs in terms of activities and program size as described in Section IV will be evaluated.

Staffing and Key Personnel

USAID will evaluate the responsiveness, appropriateness and quality of the proposed staffing and technical positions as related to Section I and proposed technical approach. In addition, USAID will consider the roles and relationships between key personnel and how they will help the applicant achieve the required results. For proposed key staff, USAID will consider the technical capabilities and the ability to form effective and productive relationships with host country counterparts.

C. COST APPLICATION EVALUATION

Evaluation points will not be awarded for cost. Cost applications will be reviewed for general reasonableness, allocability and allowability. A detailed cost analysis will be performed only for the apparent successful applicant to determine the reasonableness and allocability of costs in the budget, and the allowability of the costs under the applicable cost principles. The review of the proposed budget for the apparent successful applicant will determine the extent of the apparent successful applicant understanding of the financial aspects of the Activity and the ability to perform the activities within the amount requested. In addition, the analysis will include whether the apparent successful applicant's plans will achieve the Activity's objectives with reasonable economy and efficiency.

Evaluation of the apparent successful applicant's cost application will consider but not be limited to the following.

- Cost reasonableness;
- Cost effectiveness and realism;
- Consistency with the technical application;
- Completeness and adequacy of proposed budget information;
- Overall cost control/cost savings evidenced in the application (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements); and
- Cost share used will be evaluated as a sub-element of cost effectiveness (See Section III.B of this NFO).

D. REVIEW AND SELECTION PROCESS

Applications will be reviewed by USAID personnel. Final selection of the award is determined by the AO and Award will be made to the responsible Applicant whose technical application is considered the highest rated and upon successful negotiation of the proposed budget.

[END OF SECTION V]

SECTION VI – FEDERAL AWARD ADMINISTRATION INFORMATION

A. AGREEMENT AWARD

1. The Government plans to award **one** cooperative agreement resulting from this NFO to the responsible Applicant whose application conforming to this NFO offers the greatest value in terms of the merit review criteria (see Section V. of this NFO). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
2. The Government may award a cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application must contain the Applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more Applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one Applicant.
3. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.
4. Following selection for award and successful negotiations, a successful applicant will receive an electronic copy of the notice of the award signed by the AO which serves as the authorizing document. The AO will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.
5. An award will be made only by the USAID AO upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.
6. The reporting requirements indicated in this section will be incorporated as part of the award made under this NFO.
7. Unsuccessful applications will not be returned to the Applicant.
8. Pre-award Risk Assessments

For organizations that are new to working with USAID or for organizations with outstanding audit findings, USAID may perform a pre-award risk survey to assess the applicant's management and financial capabilities. If notified by USAID that a pre-award risk assessment is necessary, applicants must prepare, in advance, the required information and documents. Please note that a pre-award risk assessment does not commit USAID to make any award (See Section IV. D).

B. PERFORMANCE REPORTING

1. Reporting requirements

All written documentation (correspondence, reports, information sheets, etc.) for submission under this cooperative agreement must be written in English, unless otherwise stated. USAID/Colombia will provide guidance on reporting standards related to the reporting schedule. At a minimum, all documents must be provided in MS Word (or MS Excel or MS PowerPoint) and PDF (unlocked) formats. All written documentation and distribution must be done with prior consultation with USAID/Colombia.

The Recipient must submit one electronic copy via e-mail of all reports to the AOR for his/her approval, no later than each deadline specified below. In addition, one copy must be submitted to:

(a) Online: <http://www.usaid.gov/results-and-data/information-resources/development-experience-clearinghouse-dec>

(b) By mail (for pouch delivery):
USAID Development Experience Clearinghouse
M/CIO/ITSD/KM/DEC
RRB M.01-010
Washington, DC 20523-6100

For questions on DEC submissions, contact

M/CIO/ITSD/KM/DEC
Telephone: +1 202-712-0579
E-mail: DocSubmit@usaid.gov

2. Annual Work Plan

The work plan serves as a detailed guide to Activity implementation and, once approved, represents an agreement as to the nature and timing of discrete tasks and interventions. Work plans will identify a logical sequence of steps to be undertaken to implement each program component and must include an associated timetable. Discreet tasks may include workshops and seminars, outreach events, and information dissemination activities such as publications and reports. It is essential that the document be concise so as to ensure that it will be a simple reference tool for the implementer to track progress against the approved implementation schedule, and for USAID to monitor and evaluate performance through the work plan year and to ensure that award objectives are accomplished on time, on budget, and in accordance with expectations. Each annual plan will form the basis for an annual management review conducted by USAID and the AOR to assess program directions, priorities, achievements, and prior year implementation results, as well as management and implementation impediments, and to make recommendations for revisions, as appropriate.

The work plans will include proposed activities for the given year, time frame for implementation of annual activities, detailed budget, review of previous year's

accomplishments (if applicable), problems, and progress towards achieving award results and proposed annual accomplishments and progress towards achieving results. The annual work plan budget should be consistent with the detailed budget estimate submitted and approved by the AO.

All work plan activities must be within the Funding Opportunity Description and must fully integrate gender considerations. Work plan activities must not alter the cooperative agreement program description or terms and conditions in any way; such changes may only be approved by the AO, in advance and in writing. Thereafter, if there are inconsistencies between the work plan and the program description or other terms and conditions of the agreement, the agreement will take precedence over the work plan.

Additionally the work plan must include a yearly communications and outreach strategy, carried out during the life of the Activity identifying the different audiences, convincing and creative channels to reach these audiences through both formal and informal ways and how the data the strategies to make the data and analyses available for public consumption.

Due date: Within 60 days following award, the Recipient must submit the first annual work plan. USAID will provide written comments to the Recipient within 30 days after receipt of the draft work plan. The Recipient will revise and submit the revised work plan no later than 15 days after receipt of comments. If acceptable, the USAID AOR will provide a written approval of the final work plan to the Recipient. Failure to have an approved work plan in place may be viewed as a failure to comply with essential terms and conditions of the award. Significant revisions to the approved work plan will require the additional written approval of the AOR For subsequent years, 60 days before the end of each Activity year; the Recipient will submit an annual work plan for the following year.

3. Progress reports

As part of USAID/Colombia's Performance Review and Annual Report process, the Recipient must submit quarterly and Annual Progress Reports, describing major Activity results towards achieving expected results, success stories, any problems encountered, and plans for the following quarter and year. Performance Management Progress Reports will consist of both narrative and quantitative sections (progress tables).

Quarterly Progress Report: The Recipient will submit quarterly reports that give insight into the progress of planned activities. The narrative report will include qualitative and quantitative information describing activities carried out and specific results achieved during the quarter. In addition, the narrative report will indicate key implementation challenges encountered and how they were or are planned to be resolved.

Due date: Reporting periods will coincide with USAID fiscal year quarters, with reports due no later than thirty (30) days after the end of each quarter, e.g. (or by any other schedule agreed upon with the AOR):

USG Fiscal Year Q1: October 1 to December 31 Quarterly Report due January 31

USG Fiscal Year Q2: January 1 to March 31 Quarterly Reports due April 30

USG Fiscal Year Q3: April 1 to June 30 Quarterly Report due July 31

USG Fiscal Year Q4: July 1 to September 30 Quarterly Report due October 31

The report should also include budgeted versus actual expenditures (along with a brief analysis of any variance).

Annual Report: The Recipient must submit an annual report covering activities of the previous USG fiscal year. The Recipient must provide a succinct presentation of Activity achievements, objectives, and targets in the previous year, with supporting discussion to explain any shortfalls. The Recipient must summarize progress, provide an analysis of impact based on activities completed or in progress, identify success stories, and suggest resolution of any outstanding issues. Annual reports must provide data for incorporation into USAID's annual reporting, as relevant. This should include the follow-up and reporting on milestone events that would help demonstrate progress towards achieving the Activity's long-term results. Additional information to be addressed in performance reports includes: a comparison of actual accomplishments with the goals and objectives established for the period, reasons why established goals were not met, if appropriate, and other pertinent information including, when appropriate, analysis and explanation of cost overruns or high unit costs.

Due date: By October 15 every year.

Final Report: The final report must include, at a minimum the information required by ADS 303.3.18. The Final Report must contain the following information covering the full period of the Award: an executive summary of the accomplishments and results achieved; an overall description of the activities and accomplishments; a summary of problems/obstacles encountered during implementation; an assessment of the performance in accomplishing the Activity's objectives; significance of these activities; findings; comments and recommendations; other pertinent information.

This report should eliminate politically sensitive or proprietary information. Reports should incorporate as many graphics (maps, photos, charts, etc.) as possible and should include all Activity and evaluation tools and materials, in annex.

This report must contain a summary and discussion of all activities conducted under the award, the results achieved, and the impact of the Activity. The Recipient must submit the monitoring of and reporting on significant milestone events that would help demonstrate progress towards the description of program success, including the final targets, data sources, collection methods, and baseline information or a timeline for collecting it. This should include narrative descriptions of success at the Activity end. This report must not exceed 60 pages, although Annexes may be appended.

Due date: A draft final report must be submitted 30 days prior to the end of the award. Once comments are provided by the AOR, final report will be submitted within 90 calendar days after the completion date of the Award.

Closeout Plan: The Recipient will submit a demobilization plan to the AOR for approval. The demobilization plan must include a) draft property disposition plan, b) plan for the phase-out of Activity operations, (c) delivery schedule for all reports or other deliverables required under the agreement, and (d) timetable for completing all required actions in the demobilization plan, including the submission date of the final property disposition plan to the AO.

Due date: Six months prior to the completion date of the Award.

4. Financial reports

Financial Reports must be in keeping with ADS 303 and the Standard Provisions for Non-U.S. Nongovernmental Organizations.

Quarterly Financial Report: The Recipient must submit on a quarterly basis a Financial Report as part of the Progress Report (see above). Cost share must be included as part of the progress report and financial reporting.

Quarterly Accrual Report: The Recipient must submit accrual information. Due date: Within 20 days before the end of each quarter (i.e., March 10, June 10, September 10, and December 10).

Quarterly Projected Expenditures: The Recipient must submit projected expenditures for the quarter. Due date: Within 20 days before the end of each quarter (i.e., March 10, June 10, September 10, and December 10).

C. PAYMENT TERMS FOR AWARD

Payment method will be established based on the results of the pre-award responsibility requirements in ADS Chapter 303 and/or the need of the organization, either Advance or Reimbursement payments in accordance with the Standard Provisions for "Advance Payments" or "Cost Reimbursement" and "Accounting, Audit, and Records. The Award Budget will be made in Dollars, and payments will be made to the Recipient in Colombian Pesos (COP \$), at the U. S. official exchange rate at the time of process.

The recipient must submit to the payment office at USAID/Colombia, a fully completed and signed SF-1034 including the supporting documents for payment.

D. RELEVANT POLICY AND REGULATORY REFERENCES

Resulting awards to Non-U.S. Non-Governmental Organizations will be administered in accordance with ADS-303 and Standard Provisions for Non-U.S. Non-Governmental Organizations.

- ADS 303 is available at: <http://www.usaid.gov/ads/policy/300/303>
- Standard Provisions for Non-U.S. Non-Governmental Organizations are available at: <http://www.usaid.gov/ads/policy/300/303mab>

E. SPECIAL PROVISIONS

1. U.S. Executive Orders and Law Regarding Terrorism

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

2. Non-Federal Audits

The Recipient must have an annual audit conducted in accordance with Standard Provision “Accounting, Audit and Records (December 2012)” which can be found as specified using the link provided above.

3. Environmental Compliance/Environmental Assessment

Environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this NFO.

- a. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID’s activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID’s Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. [Recipients] environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this [NFO].
- b. In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter must govern.
- c. No activity funded under this [CA] will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)
- d. As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID AOR and Mission Environmental Officer (MEO) or Bureau Environmental Officer (BEO), as appropriate, will review all ongoing and planned activities under the resulting award to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- e. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it must prepare an amendment to the documentation for USAID review and approval. No such new activities must be undertaken prior to receiving written USAID approval of environmental documentation amendments.

- f. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation must be halted until an amendment to the documentation is submitted and written approval is received from USAID.
- g. Note: IEE LAC-IEE-11-40 for this activity has been approved with Categorical Exclusion dated December 30, 2013.

4. Electronic Payments System

- a. Definitions:
 - “Cash Payment System” means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.
 - “Electronic Payment System” means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.
- b. The recipient agrees to use an electronic payment system for any payment under this award to beneficiaries, subrecipients, or contractors.
- c. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:
 - Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
 - Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
 - Cash payments to vendors below \$3,000, when payment through an electronic payment system is not reasonably available.
 - The Recipient has received a written exception from the AO that a specific payment or all cash payments are authorized based on the Recipient’s written justification, which provides a basis and cost analysis for the requested exception.
- d. More information about how to establish, implement, and manage electronic payment methods is available to recipients at <http://solutionscenter.nethope.org/programs/c2e-toolkit>.”

5. Intellectual Property

As per ADS 318.3.2.3 Copyrights and Assistance Agreements: The USG reserves a royalty-free, non-exclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes and to authorize others to do so.

- a) The recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. USAID reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.
- (b) Recipients are subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR part 401, "Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements."
- (c) The Federal Government has the right to:
 - (1) Obtain, reproduce, publish or otherwise use the data first produced under an award; and
 - (2) Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.
- (d)(1) In addition, in response to a Freedom of Information Act (FOIA) request for research data relating to published research findings produced under an award that were used by the Federal Government in developing an agency action that has the force and effect of law, the Federal awarding agency must request, and the recipient must provide, within a reasonable time, the research data so that they can be made available to the public through the procedures established under the FOIA. If the Federal awarding agency obtains the research data solely in response to a FOIA request, the agency may charge the requester a reasonable fee equaling the full incremental cost of obtaining the research data. This fee should reflect costs incurred by the agency, the recipient, and applicable subrecipients. This fee is in addition to any fees the agency may assess under the FOIA (5 U.S.C. 552(a)(4)(A)).
- (2) The following definitions apply for purposes of this paragraph (d):
 - (i) *Research data* is defined as the recorded factual material commonly accepted in the scientific community as necessary to validate research findings, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues. This "recorded" material excludes physical objects (e.g., laboratory samples). *Research data* also do not include
 - (A) Trade secrets, commercial information, materials necessary to be held confidential by a researcher until they are published, or similar information which is protected under law; and
 - (B) Personnel and medical information and similar information the disclosure of which would constitute a clearly unwarranted invasion of personal privacy,

such as information that could be used to identify a particular person in a research study.

- (ii) *Published* is defined as either when: (A) Research findings are published in a peer-reviewed scientific or technical journal; or (B) A Federal agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.
 - (iii) *Used by the Federal Government in developing an agency action that has the force and effect of law* is defined as when an agency publicly and officially cites the research findings in support of an agency action that has the force and effect of law.
- (e) Title to intangible property and debt instruments acquired under an award or subaward vests upon acquisition in the recipient. The recipient must use that property for the originally-authorized purpose, and the recipient must not encumber the property without approval of USAID. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the standard provision "Title to and Use of Property (December 2014)".

6. 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 AO from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.
- a. Failure to submit and negotiate a Branding Strategy within the time frame specified by the AO 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 AO 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:

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

The intended name of the program, project, or activity.

USAID prefers to have the "USAID Identity," comprised of the USAID logo and brand mark, 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.

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.

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

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.

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.

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

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

Describe the main program message.

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

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.”

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

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

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.

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

7. 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 brand mark, 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 AO 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 AO 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 AO 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:

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:

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

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;

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

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

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 Applicant is encouraged to otherwise acknowledge USAID and the support of the American people.

A table on the program deliverables with the following details:

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

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

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

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

The rationale for not marking program deliverables.

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:

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.

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.

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.

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

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

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.

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

- f. The AO 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.

8. 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) AOs 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

[Type of construction and location(s)]
- 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.

9. USAID Implementing Partner Notices (IPN) Portal for Assistance (July 2014)

(a) Definitions

“Universal bilateral amendment” means those amendments with revisions or new requirements or provisions that affect all awards or a designated class of awards, as specified in the Agency notification of such revisions or new requirements.

(b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

- (1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and**
- (2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.**

(c) Procedure to register for notifications.

Go to <https://sites.google.com/site/usaidipnforassistance/> and click the "Register" button at the top of the page. Recipient representatives must use their official organization e-mail address when subscribing, not personal e-mail addresses.

(d) Processing of IPN Portal Amendments

The Recipient may access the IPN Portal at any time to review all IPN Portal amendments; however, the system will also notify the Recipient by e-mail when the USAID IPN Portal Administrator posts a universal bilateral amendment for Recipient's review and signature. Proposed USAID IPN Portal amendments distributed via the IPN Portal are applicable to all awards, unless otherwise noted in the proposed amendment.

Within 15 calendar days from receipt of the notification e-mail from the IPN Portal, the Recipient must do one of the following:

- (1)** (a) verify applicability of the proposed amendment for their award(s) per the instructions provided with each amendment; (b) download the amendment and incorporate the following information on the amendment form: award number, organization name, and organization mailing address as it appears in the basic award; (c) sign the hardcopy version; and (d) send the signed amendment (by e-mail or hardcopy) to the AO for signature. The Recipient must not incorporate any other changes to the IPN Portal amendment. Bilateral amendments provided through the IPN Portal are not effective until the both the Recipient and the AO sign the amendment;
- (2)** Notify the AO in writing if the amendment requires negotiation of additional changes to terms and conditions of the award; or
- (3)** Notify the AO that the Recipient declines to sign the amendment.

Within 30 calendar days of receipt of a signed amendment from the Recipient, the AO must provide the fully executed amendment to the Recipient or initiate discussions with the Recipient.

10. Limitation on Subawards to Non-Local Entities (July 2014)

- (a) By submission of an application and execution of the award, the applicant/recipient agrees that at least fifty (50) percent of the cost of award performance incurred for personnel must be expended for employees of the prime/local entity.
- (b) By submission of an application and execution of the award, the Applicant/Recipient represents that it is an individual, a corporation, a nonprofit organization, or another body of persons that:
 - (1) Is legally organized under the laws of;

- (2) Has as its principal place of business or operations in;
 - (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and
 - (4) Is managed by a governing body the majority of who are citizens or lawful permanent residents of the country in which this award will be primarily performed.
- (d) For purposes of this provision, “majority owned” and “managed by” include, without limitation, beneficiary interests and the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means.

11. Representation by Organization Regarding A Delinquent Tax Liability or A Felony Criminal Conviction (August 2014)

- (a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that
- (1) Was “convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or
 - (2) Has any “unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

For the purposes of section 7073, it is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

- (1) The Applicant represents that it is [] is not [] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
- (2) The Applicant represents that it is [] is not [] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not

being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

12. Central Contractor Registration and Universal Identifier Identifier (December 2014)

- 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 2 CFR 200 subpart F Audit Requirements).
- (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 AO determines, in writing, that these requirements would cause personal safety concerns.

e. This provision does not need to be included in subawards.

13. Reporting Subawards and Executive Compensation (December 2014)

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.fsr.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 subawards); 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 2 CFR 200 subpart F Audit Requirements).
 - (ii) 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.

14. Prohibition on providing Federal Assistance to entities that require certain internal confidentiality agreements - Representation (April 2015)

- (a) In accordance with section 743 of Division E, Title VII, of the Consolidated and further Continuing Resolution Appropriations Act, 2015 (Pub. L. 113-235), Government agencies are not permitted to use funds appropriated (or otherwise made available) under that or any other Act for providing federal assistance to an entity that requires employees, subawardees or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or

statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

- (b) The prohibition in paragraph (a) of this provision does not contravene requirements applicable to Standard Form 312, Form 4414, or any other form issued by a Federal department or agency governing the non-disclosure of classified information.
- (c) By submission of its application, the prospective recipient represents that it does not require employees, subawardees, or contractors of such entity seeking to report fraud, waste, or abuse to sign internal confidentiality agreements or statements prohibiting or otherwise restricting such employees, subawardees, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

[End of Section VI]

SECTION VII – FEDERAL AWARD AGENCY CONTACTS

The Agreement Officer for this Award is:

Ms. Curtrice Dorsey
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. German Gutierrez
Acquisition and Assistance Specialist
U.S. Agency for International Development
Carrera 45 No. 24B - 27, Gate 2 (Post 2)
Bogotá, Colombia
E-mail: ggutierrez@usaid.gov

[END OF SECTION VII]

SECTION VIII - OTHER INFORMATION

ATTACHMENT 1: CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF THE RECIPIENT AND FUNDING OPPORTUNITY STANDARD PROVISIONS

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

Part I – Certifications and Assurances

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

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

- (a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site:

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

- b. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - c. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification -
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means -

- (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
- (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
- (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

5. Certification of Recipient

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

These certifications and assurances are given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial

assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States will have the right to seek judicial enforcement of these assurances. These assurances are binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign these assurances on behalf of the recipient.

Notice of Funding Opportunity or

Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual

Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the

Department of State and require that certain key individuals of organizations must sign this Certification.

If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001. 9

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

Part IV – Other Statements of Recipient

1. Authorized Individuals

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

Name Title Telephone No. Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

- (a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the Application.
- (b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:
- (1) Recipient's name.
 - (2) Recipient's address.
 - (3) Recipient's telephone number.
 - (4) Line of business.
 - (5) Chief executive officer/key manager.
 - (6) Date the organization was started.
 - (7) Number of people employed by the recipient.
 - (8) Company affiliation.
- (c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

- (a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.
- (b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

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

TYPE/DESCRIPTION (Generic) _____

QUANTITY _____

ESTIMATED UNIT COST _____

- (d) Source If the recipient plans to purchase any goods/commodities which are not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located in the cooperating country at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Additionally, "available for purchase" includes "offered for sale at the time of purchase" if the commodity is listed in a vendor's catalog or other statement of inventory, kept as part of the vendor's customary business practices and regularly offered for sale, even if the commodities are not physically on the vendors' shelves or even in the source country at the time of the order. In such cases, the recipient must document that the commodity was listed in the vendor's catalog or other statement of inventory; that the vendor has a regular and customary business practice of selling the commodity through "just in time" or other similar inventory practices; and the recipient did not engage the vendor to list the commodity in its catalog or other statement of inventory just to fulfill the recipient's request for the commodity.

TYPE/DESCRIPTION _____

QUANTITY _____

ESTIMATED GOODS _____

PROBABLE GOODS _____

PROBABLE (Generic) _____

UNIT COST _____

SOURCE _____

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

TYPE/DESCRIPTION _____

QUANTITY _____

ESTIMATED _____

PROBABLE _____

INTENDED USE (Generic) _____

UNIT COST _____

SOURCE _____

- (f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in accordance with the Standard Provision "USAID Eligibility Rules for Procurement of Commodities and Services," indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier.

TYPE/DESCRIPTION _____

QUANTITY _____

ESTIMATED _____

PROBABLE SUPPLIER _____

NATIONALITY _____

RATIONALE (Generic) _____

UNIT COST (Non-US Only) _____

FOR NON-US _____

6. Past Performance References

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

7. Type of Organization

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

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

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

[End of Attachment 1]

ATTACHMENT 2 – BUDGET TEMPLATE

Budget format is provided in Excel Format

[End of Attachment 2]

ATTACHMENT 3 - GUIDANCE FOR REGISTERING IN SAM AND OBTAINING A DUNS NUMBER (DATA UNIVERSAL NUMBERING SYSTEM)



Quick Start Guide for Entities Interested in Being Eligible for Grants

How to register your entity to be eligible for GRANTS in SAM:

Before you register, you need to know the following:

- What is an Entity?**

In SAM, your company/business/organization is now referred to as an "Entity."

 - REGISTERING IN SAM IS FREE.**
 - If you were registered in CCR, your company's information is already in SAM. You just need to set up a SAM account. See the "Migrating Roles" Quick Start Guide.
- Your Entity's DUNS Number**

You need a DUNS to register your entity in SAM.

 - If you do not have a DUNS number, you can request a DUNS number for free by visiting D&B at <http://fedgov.dnb.com/webform>
 - It takes 1-2 business days to obtain a DUNS.
- Your Entity's Taxpayer Identification Number (TIN)**

You need your entity's Tax ID Number (TIN) and taxpayer name (as it appears on your last tax return). Foreign entities that do not pay employees within the U.S. do not need to provide a TIN.

 - A TIN is an Employer Identification Number (EIN) assigned by the Internal Revenue Service (IRS).
 - Sole proprietors may use their Social Security Number (SSN) assigned by the Social Security Administration (SSA) if they do not have a TIN, but please be advised it will not be treated as privacy act data in SAM.
 - To obtain an EIN visit: www.irs.gov/businesses/small/article/0,,id=102767,00.html
 - Activating a new EIN with the IRS takes 2-5 weeks.

Steps For Registering Your Entity in SAM

- Go to www.sam.gov
- Create an Individual User Account and Login
- Click "Register New Entity" under "Register/Update Entity" on your "My SAM" page
- Select your type of Entity
- Select "No" to "Do you wish to bid on contracts?"
- Select "Yes" to "Do you want to be eligible for grants and other federal assistance?"
- Complete "Core Data"
 - Validate your DUNS information
 - Enter Business Information (TIN, etc.)
 - Enter CAGE code if you have one. If not, one will be assigned to you after your registration is completed. Foreign registrants must enter NCAGE code.
 - Enter General Information (business types, organization structure, etc)
 - Financial Information (Electronic Funds Transfer (EFT) Information)
 - Executive Compensation
 - Proceedings Details
- Complete "Points of Contact"
- Your entity registration will become active after 3-5 days when the IRS validates your TIN information.

How do I get more information? Take a look at the SAM User Guide.

Go to Our Website: www.sam.gov Contact the SAM Help Desk: www.fsd.gov

GUIA PARA REGISTRO EN “SAM” Y “CCR”

AVISO IMPORTANTE: LOS TRAMITES AQUI DESCRITOS SON COMPLETAMENTE GRATUITOS. NO SE DEJE ENGAÑAR POR PAGINAS DE INTERNET CON NOMBRES SIMILARES A LOS AQUI MENCIONADOS QUE COBRAN POR REGISTROS QUE SE PUEDEN OBTENER GRATUITAMENTE EN LAS PAGINAS OFICIALES AQUI REFERIDAS.

El registro en CCR se completa en la página del Gobierno Federal de los Estados Unidos llamada “SAM”. Por lo tanto, para poder obtener su registro en CCR, primero debe crear una cuenta en “SAM”.

AVISO: Para poder completar cualquiera de estos dos pasos, primero debe obtener un Número DUNS, Si no cuenta con un número DUNS, ingrese a la página <http://fedgov.dnb.com/webform> y haga click en [Click here to request your D-U-N-S Number via the Web](#) siga los pasos y completela sin errores hasta obtener su numero DUNS.

Una vez obtenido su número DUN, continúe con la creación de su cuenta en SAM (paso 1) y su registro en CCR (paso 2)

2 PASOS – A continuación, una explicación de cómo completar estos dos pasos:

PASO 1 – Cómo crear una cuenta en SAM (**AVISO:** Si ya cuenta con una cuenta en SAM, vaya directo al paso 2 para obtener su registro en CCR)

1. Ingrese a la página oficial de SAM: <https://www.sam.gov/portal/public/SAM/>
2. Haga click en el cuadro azul de la izquierda “Create user account”

CREATE USER ACCOUNT
Your CCR username will not work in SAM. You will need a new SAM User Account to register or update your entity records. You will also need to create a SAM User Account if you are a government official and need to create Exclusions or search for FOUO information.
[Create User Account](#)

REGISTER/UPDATE ENTITY
You can register your Entity (business, individual, or government agency) to do business with the Federal Government. If you are interested in registering or updating your Entity, you must first create a user account.
[Register/Update Entity](#)

SEARCH RECORDS
All entity records from CCR/FedReg and ORCA and exclusion records from EPLS, active or expired, were moved to SAM. You can search these records and new ones created in SAM. If you are a government user logged in with your SAM user account, you will automatically have access to FOUO information.
[Search Records](#)

WHAT IS SAM?
The **System for Award Management (SAM)** is a **Federal Government owned and operated** free web site that consolidates the capabilities in CCR/FedReg, ORCA, and EPLS. Future phases of SAM will add the capabilities of other systems used in Federal procurement and awards processes.

[Need Help?](#)

NEWS AND ANNOUNCEMENTS
SAM Management Moves to GSA FAS and CIO
Click on General Info and go to the News and Announcements section for the full story.

USER GUIDES/HELPFUL HINTS
Additional information, such as a full User Guide, Quick Start Guides, Helpful Hints, and Webinars are available on the HELP tab.

FORMER CCR REGISTRANTS
If you had an active record in CCR, you have an active record in SAM. You do not need to do anything in SAM at this time, unless a change in your business circumstances requires updates to your Entity record(s) in order for you to be paid or to receive an award or you need to renew your Entity(s) prior to its expiration. SAM will send notifications to the registered user via...

3. En el cuadro de "Individual Account Details" haga click en "Create Account"

Create an Account
Choose Account Type

Individual Account Details
Create an Individual User Account
* To perform tasks such as register/update your entity (legacy CCR/FedReg and ORCA functionality).
* To create and manage exclusion records (legacy EPLS functionality).
* To view FOUO level data for entity management registration records and exclusion records (Same as government user CCR Tools functionality).
[Create an Account](#)

System Account Details
Create a System User Account
* If you need system-to-system communication or you are automating your system pull of the data.
* If you are performing data transfer from SAM to your government database system.
[Create System Account](#)

Content Glossary
Status Indicators:
Credit Card Usage:
Delinquent Federal Debt:
IGT Financial Info (Applicable only for IGT registrants):
Electronic Funds Transfer:
Add New Account Details:
Automated Clearing House (ACH):
Remittance Information:

4. Llene el formulario con su información personal. Los campos marcados con asterisco * son obligatorios y son los siguientes:

- First Name: **[su primer nombre]**
- Last Name: **[sus apellidos]**
- E-mail: **[su correo electrónico]**
- Confirm e-mail address: **[vuelva a ingresar el mismo correo electrónico]**
- Phone **[ponga su número de teléfono incluyendo código de país]**
NOTA: el número tiene que ir en el formato xxxx-xxxxxxxxxxxx
(por ejemplo 5711-1234567), de lo contrario marcará error
- Country: **[seleccione COLOMBIA]**

Create Account: Individual

Content Glossary

▶ Personal Information

▶ Account Information

▶ Summary

Page Description
Please provide your personal information requested below.
Fields marked with an asterisk (*) are mandatory.

Title : Mr. [dropdown]

First Name* : [input]

Middle Initial : [input]

Last Name* : [input]

Suffix : [input]

Email Address* : [input]

Confirm Email Address* : [input]

Phone* : [input] (xxx)xxx-xxxx

Phone Extension : [input]

Fax : [input] (xxx)xxx-xxxx

Address Line 1 : [input]

Address Line 2 : [input]

City : [input]

State/Province: Please select a value [dropdown]

Country*: UNITED STATES [dropdown]

ZIP/Postal Code: [input] [input]

CANCEL NEXT

Status Indicators: [icon]

- ▶ D&B Legal Business Name
- ▶ DODAAC Legal Business Name
- ▶ DUNS
- ▶ DoDAAC
- ▶ DUNS +4

5. Cree su cuenta de usuario. OJO: Una vez creado su nombre de usuario, éste no podrá ser cambiado.

- Username: **[cree su nombre de usuario – DEBE CONTENER AL MENOS 6 CARACTERES]**
- Password: **[cree su código secreto de acceso] – Requisitos para el “password”**
 - Contener al menos 8 caracteres (letras, números, símbolos)
 - Contener al menos 1 número
 - Contener al menos 1 letra
 - Contener al menos 1 caracter especial (por ejemplo: &*^%\$#@!/?<>)
- Elija 3 preguntas de seguridad con su respuesta

Create Account: Individual

Account Information

Page Description
Please enter the following information for your SAM account.

Username* :

Warning: Once created, username cannot be changed in SAM.

Password* :

Confirm Password* :

Security Question 1* :

Security Answer 1* :

Security Question 2* :

Security Answer 2* :

Security Question 3* :

Security Answer 3* :

Content Glossary

Status Indicators:

- Entity Name
- Department Code
- Agency Code
- Node Code
- Node Type
- Node Status
- Hierarchy
- Comment
- DUNS
- DoDAAC
- Entity Address
- Entity City
- Entity State
- Entity Foreign
- Province Code
- Entity Country
- Entity ZIP Code

6. En la siguiente página, revise la información y haga los cambios que desee haciendo "click" en los cuadros de editar "EDIT". Una vez revisada la información, haga click en el botón de "Submit"
7. En la siguiente página verá la confirmación de que su cuenta ha sido creada. Puede imprimir esta página para sus registros haciendo click en "Print". Después haga click en "Done"

The screenshot shows the SAM (System for Award Management) website interface. At the top right, there are input fields for 'USER NAME' and 'PASSWORD', a 'LOG IN' button, and links for 'Forgot Username?' and 'Forgot Password?'. Below these is a 'Create an Account' link. A navigation bar contains 'HOME', 'SEARCH RECORDS', 'DATA ACCESS', 'GENERAL INFO', and 'HELP'. The main content area is titled 'Create Account: Personal' and 'Account Created - Confirmation'. It displays a confirmation message: 'Confirmation Thu Mar 14 14:52:52 EDT 2013. Congratulations -- Your SAM account has been created! But, you are not done. We just sent you an email to the email address you gave us so you can confirm your account creation. In the email, there is a link that you must click within next 48 hours to activate your account. For now, click on DONE to go back to the SAM Home page.' There are 'PRINT', 'SAVE', and 'DONE' buttons at the bottom of the message box. On the left, there are links for 'Personal Information', 'Account Information', and 'Summary'. On the right, there is a 'Content Glossary' section with 'Status Indicators' and a list of items: 'Legacy System Name', 'Legacy Account Email Address', and 'Legacy Account Username'. The footer contains 'SAM | System for Award Management 1.0', 'IBM v1.774.20130310-1341 WWW3', a note about the federal government computer system, and logos for GSA, Integrated Acquisition, and USA.gov.

8. Cierre la sesión de internet por completo
9. Abra su correo de internet (el mismo que proporcionó al llenar la forma online)
10. Recibirá un correo confirmando la creación de su nombre de usuario. **IMPORTANTE: SU CUENTA TODAVIA NO HA SIDO CREADA. DEBE HACER CLICK EN EL LINK QUE APARECE EN EL MENSAJE PARA CONTINUAR CON LA CREACION DE SU CUENTA. SI NO LO HACE DENTRO DE LAS 48 HORAS DE HABER RECIBIDO EL E-MAIL, SU PROCESO SE CANCELA.**

El mensaje y el link se ven así:

“Thank you for registering in the U.S. federal government’s System for Award Management (SAM).

Your Username is: XXXXXXXX

Please note that this is only a confirmation of your Username. You must click on the link below, within 48 hours of receipt of this message, to verify your e-mail address and complete the registration process. <https://www.sam.gov/portal/public/SAM----->

11. Ingrese el nombre de usuario “User name” y “password” recién creados y haga click en “Login”

SAM
SYSTEM FOR AWARD MANAGEMENT

USER NAME PASSWORD **LOGIN**

[Forgot Username?](#) [Forgot Password?](#)

[Create an Account](#)

HOME SEARCH RECORDS DATA ACCESS GENERAL INFO HELP

Login

Enter Username and Password

Login
Please Enter your Username and Password to login to SAM. If you do not remember your Username or Password, please use the respective *Forgot Username?* and *Forgot Password?* links provided below.

Username :

[Forgot Username?](#)

Password :

[Forgot Password?](#)

Login

SAM | System for Award Management 1.0 IBM v1.774.20130310-1341
WWW3

Note to all Users: This is a Federal Government computer system.
Use of this system constitutes consent to monitoring at all times.

GSA Integrated Acquisition Environment USA.gov Government Made Easy

12. La siguiente página confirma que su cuenta está activa.

Account Activated - Confirmation

Confirmation

Thu Mar 14 15:02:04 EDT 2013

Thank you for activating your SAM account! You will be taken to the User Dashboard page. Once on the User Dashboard, you will have the option to migrate an account from a legacy system. Use the **Done** button to continue.

PRINT SAVE DONE

SAM | System for Award Management 1.0 IBM v1.774.20130310-1341
WWW3

Note to all Users: This is a Federal Government computer system.
Use of this system constitutes consent to monitoring at all times.

GSA Integrated Acquisition Environment USA.gov Government Made Easy

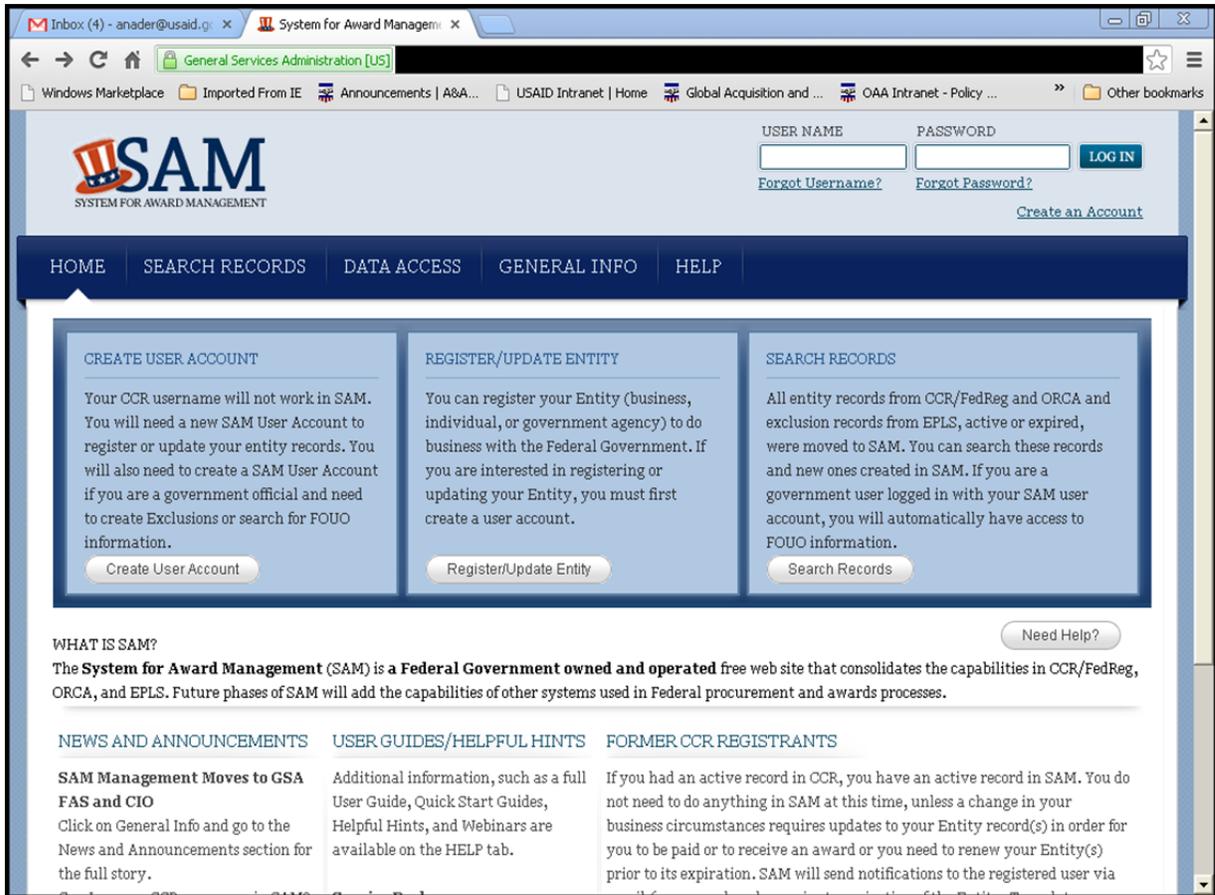
13. Haga click en "Done" y acepte los términos y condiciones para el uso y acceso a esta página, en el siguiente cuadro

The screenshot shows the SAM (System for Award Management) login page. At the top left is the SAM logo with the text 'SYSTEM FOR AWARD MANAGEMENT'. To the right are input fields for 'USER NAME' and 'PASSWORD', a 'LOG IN' button, and links for 'Forgot Username?' and 'Forgot Password?'. A 'Create an Account' link is also present. Below the login area is a navigation bar with links for 'HOME', 'SEARCH RECORDS', 'DATA ACCESS', 'GENERAL INFO', and 'HELP'. The main content area displays a 'SAM Terms and Conditions' dialog box. The dialog box has a title bar 'SAM Terms and Conditions' and a section titled 'I. Usage Agreement'. The text in the dialog box reads: 'This is a Federal computer system and is the property of the United States Government. It is for authorized use only. Users (authorized or unauthorized) have no explicit or implicit expectation of privacy in anything viewed, created, downloaded, or stored on this system, including e-mail, internet, and intranet use. Any or all uses of this system (including all peripheral devices and output media) and all files on this system may be intercepted, monitored, read, captured, recorded, disclosed, copied, audited, and/or inspected by authorized System for Award Management (SAM) personnel, the Office of Inspector General (OIG), and/or other law enforcement personnel, as well as authorized officials of other agencies. Access or use of this computer by any person, whether authorized or unauthorized, constitutes consent to such interception, monitoring, reading, capturing, recording, disclosure, copying, auditing, and/or inspection at the discretion of authorized SAM personnel, law enforcement personnel (including OIG), and/or authorized officials of other agencies. Unauthorized use of this system is prohibited and may constitute a violation of 18 U.S.C 1030 or other Federal laws and regulations may result in criminal, civil, and/or administrative action. By continuing to use this system, you indicate your awareness of, and consent to, these terms and conditions and'. Below the text are two buttons: 'DECLINE' and 'ACCEPT'. At the bottom of the page, there is a footer with the text 'SAM | System for Award Management 1.0', 'IBM v1.774.20130310-1341', 'WWW3', and logos for 'GSA', 'Integrated Acquisition', and 'USA.gov Government Made Easy'. A note to all users states: 'Note to all Users: This is a Federal Government computer system. Use of this system constitutes consent to monitoring at all times.'

14. Felicitaciones! Ha creado su cuenta de usuario en SAM

PASO 2 – Cómo registrarse en CCR

1. Ingrese a la página oficial de SAM: <https://www.sam.gov/portal/public/SAM/>
2. Haga click en el cuadro azul del centro "Register/Update Entity"



3. Ingrese su nombre de usuario y "password" de SAM (paso 1) y haga click en "Login"
4. Acepte los términos y condiciones de uso haciendo click en "Accept"
5. En la parte izquierda de la nueva pantalla, abajo de "MY SAM", haga click en "Register/Update Entity". Posteriormente, haga click en "Register New Entity"

6. Con el cursor baje toda la pantalla hasta la parte inferior derecha y haga click en “Start Registration”

7. En la siguiente página, complete la siguiente información obligatoria

- “What type of entity are you?” [qué tipo de organización es la suya. Seleccione “Business or Organization”]
- “Do you wish to bid on contracts?” [desea aplicar a contratos?. Seleccione “Yes”]

Haga click en “Next”

The screenshot shows a web application interface for registering an entity. The main content area is titled "Determine Purpose of Registration" and includes a "Mandatory Errors" section with the message "Please select type of entity". Below this is a "Page Description" box stating: "The system will guide you through the entity registration process based on the answers you provide below." The form contains four questions, each with a dropdown menu:

- What type of entity are you? * (Dropdown: Business or Orgs)
- Do you wish to bid on contracts? * (Dropdown: Yes)
- Do you want to be eligible for grants and other federal assistance? * (Dropdown: Yes)
- Do you want to perform Intragovernmental Transactions (IGT)? (Dropdown: Not Applicable)

Navigation buttons include "BACK TO USER DASHBOARD", "CANCEL", "PREVIOUS", and "NEXT". The footer contains the text: "SAM | System for Award Management 1.0", "IBM v1.774.20130310-1341", and "WWW3".

8. En la siguiente página haga click en “Next”

The screenshot displays the SAM (System for Award Management) interface. At the top left is the SAM logo with the text 'SYSTEM FOR AWARD MANAGEMENT'. At the top right, the user name 'Ali Nader' and a 'LOGOUT' button are visible. A navigation bar contains links for 'MY SAM', 'SEARCH RECORDS', 'DATA ACCESS', 'GENERAL INFO', and 'HELP', along with a search box. The main content area is titled 'Confirm Purpose' and features a sidebar on the left under 'Register Entity' with options like 'Registration Overview', 'Purpose of Registration', 'Core Data', 'Assertions', 'Representations and Certifications', 'Points of Contact', and 'Submit Certification'. The 'Purpose of Registration' section is active, showing 'All Awards' and a list of required sections: 1. Core Data, 2. Assertions, 3. Representations & Certifications, and 4. Points of Contact. A 'Page Description' box provides instructions: 'Based on the answers provided on the previous page, SAM has determined your purpose for registering. If you need to make changes, please go back to the previous page. Use the Next button to continue with the Entity Registration process.' At the bottom of the main content area are 'CANCEL', 'PREVIOUS', and 'NEXT' buttons. The footer contains 'SAM | System for Award Management 1.0' and 'IBM v1.774.20130310-1341'.

9. En las siguientes y subsecuentes páginas, empieza el proceso de registro del CCR. El primer paso es proporcionar su número de DUNS y la información de su organización **que debe coincidir sin errores con la información proporcionada cuando creó su número DUNS**. Continúe haciendo click en “Next” y completando sucesivamente la información requerida en todas las páginas hasta completar el proceso.

[End of Attachment 3]

ATTACHMENT 4 – GUIDANCE ON BRANDING AND MARKING UNDER ASSISTANCE INSTRUMENTS

- (a) USAID policy is that all programs, projects, activities, public communications, and commodities, specified further at paragraphs (c)-(f) of this section, partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward must be marked appropriately overseas with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's or any other third party's identity or logo.
- (1) USAID reserves the right to require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant; any such requirement will be on a case-by-case basis depending on the audience, program goals and materials produced.
 - (2) USAID reserves the right to request pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.
 - (3) USAID reserves the right to require marking with the USAID Identity in the event the recipient does not choose to mark with its own identity or logo.
 - (4) To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards are required to include a USAID-approved marking provision in any USAID funded subaward, as follows: As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.
- (b) Program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management), must be marked with the USAID Identity. Temporary signs or plaques should be erected early in the construction or implementation phase. When construction or implementation is complete, a permanent, durable sign, plaque or other marking must be installed.
- (c) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID must be marked with the USAID Identity.
- (1) Any “public communications”, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:
This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.

- (2) The recipient must provide the Agreement Officer's Representative (AOR) or other USAID personnel designated in the grant or cooperative agreement with at least two copies of all program and communications materials produced under the award. In addition, the recipient must submit one electronic and/or one hard copy of all final documents to USAID's Development Experience Clearinghouse.
- (d) Events financed by USAID such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, must be marked appropriately with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials such as signs and banners with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, recipients are encouraged otherwise to acknowledge USAID and the American people's support.
- (e) All commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging, must be marked with the USAID Identity.
- (f) After technical evaluation of applications for USAID funding, USAID Agreement Officers will request apparently successful applicants to submit a Branding Strategy. The proposed Branding Strategy will not be evaluated competitively. The Agreement Officer will review for adequacy the proposed Branding Strategy, and will negotiate, approve and include the Branding Strategy in the award. Failure to submit or negotiate a Branding Strategy within the time specified by the Agreement Officer will make the apparently successful applicant ineligible for award.
- (g) After technical evaluation of applications for USAID funding, USAID Agreement Officers will request apparently successful applicants to submit a Marking Plan. The Marking Plan may include requests for approval of Presumptive Exceptions, paragraph (h) of this section. All estimated costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and the like, must be included in the total cost estimate of the grant or cooperative agreement or other assistance award, and are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan. The Marking Plan will not be evaluated competitively. The Agreement Officer will review for adequacy the proposed Marking Plan, and will negotiate, approve and include the Marking Plan in the award. Failure to submit or negotiate a Marking Plan within the time specified by the Agreement Officer will make the apparently successful applicant ineligible for award. Agreement Officers have the discretion to suspend the implementation requirements of the Marking Plan if circumstances warrant. Recipients of USAID funded grant or cooperative agreement or other assistance award or subaward should retain copies of any specific marking instructions or waivers in their project, program or activity files. Agreement Officer's Representatives will be assigned responsibility to monitor marking requirements on the basis of the approved Marking Plan.
- (h) *Presumptive exceptions:*
- (1) The above marking requirements may not apply if marking 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, such as election monitoring or ballots, and voter information literature;

political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; public service announcements or public opinion polls and surveys.

- (ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent.
- (iii) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official.
- (iv) Impair the functionality of an item, such as sterilized equipment or spare parts.
- (v) Incur substantial costs or be impractical, such as items too small or other otherwise unsuited for individual marking, such as food in bulk.
- (vi) Offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities.
- (vii) Conflict with international law.

(2) These exceptions are presumptive, not automatic and must be approved by the Agreement Officer. Apparently successful applicants may request approval of one or more of the presumptive exceptions, depending on the circumstances, in their Marking Plan. The Agreement Officer will review requests for presumptive exceptions for adequacy, along with the rest of the Marking Plan. When reviewing a request for approval of a presumptive exception, the Agreement Officer may review how program materials will be marked (if at all) if the USAID identity is removed. Exceptions approved will apply to subrecipients unless otherwise provided by USAID.

- (i) In cases where the Marking Plan has not been complied with, the Agreement Officer will initiate corrective action. Such action may involve informing the recipient of a USAID grant or cooperative agreement or other assistance award or subaward of instances of noncompliance and requesting that the recipient carry out its responsibilities as set forth in the Marking Plan and award. Major or repeated non-compliance with the Marking Plan will be governed by the uniform suspension and termination.
- (j) (1) USAID Principal Officers, may at any time after award waive in whole or in part the USAID approved Marking Plan, including USAID marking requirements for each USAID funded program, project, activity, public communication or commodity, or in exceptional circumstances may make a waiver by region or country, if the Principal Officer determines that otherwise USAID required marking would pose compelling political, safety, or security concerns, or marking would have an adverse impact in the cooperating country. USAID recipients may request waivers of the Marking Plan in whole or in part, through the AOR. No marking is required while a waiver determination is pending. The waiver determination on safety or security grounds must be made in consultation with U.S. Government security personnel if available, and must consider the same information that applies to determinations of the safety and security of U.S. Government employees in the cooperating country, as well as any information supplied by the AOR or the recipient for whom the waiver is sought. When reviewing a request for approval of a waiver, the Principal Officer may review how program materials will be marked (if at all) if the USAID Identity is removed. Approved waivers are not limited in duration but are subject to Principal Officer review at any time due to changed circumstances. Approved waivers “flow down” to recipients of subawards unless specified otherwise. Principal Officers may also authorize the removal of USAID markings already affixed if circumstances warrant. Principal Officers' determinations

regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. Recipients may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(2) *Non-retroactivity.* Marking requirements apply to any obligation of USAID funds for new awards as of January 2, 2006. Marking requirements also will apply to new obligations under existing awards, such as incremental funding actions, as of January 2, 2006, when the total estimated cost of the existing award has been increased by USAID or the scope of effort is changed to accommodate any costs associated with marking. In the event a waiver is rescinded, the marking requirements will apply from the date forward that the waiver is rescinded. In the event a waiver is rescinded after the period of performance, but before closeout, the USAID mission or operating unit with initial responsibility to administer the marking requirements must make a cost benefit analysis as to requiring USAID marking requirements after the date of completion of the affected programs, projects, activities, public communications or commodities.

(k) The USAID Identity and other guidance will be provided at no cost or fee to recipients of USAID grants, cooperative agreements or other assistance awards or subawards. Additional costs associated with marking requirements will be met by USAID if reasonable, allowable, and allocable. The standard cost reimbursement provisions of the grant, cooperative agreement, other assistance award or subaward must be followed when applying for reimbursement of additional marking costs.

[End of Attachment 4]

[End of Section VIII]

[End of NFO 514-15-000007]