



**USAID**  
FROM THE AMERICAN PEOPLE

Issuance Date: August 26, 2011  
Deadline for Receipt of Questions: September 15, 2011  
Closing Date and Time for Submission of Applications: October 12, 2011  
16:00 Budapest, Hungary local time

Subject: Request for Application No. RFA-165-11-000002  
“Civic Advocacy and Partnership Activity” (CAPA)

The United States Agency for International Development (USAID), through Regional Service Center, Regional Contracting Office in Budapest is seeking applications from eligible Macedonian organizations registered as civil society organization or foundation under the Law on Citizens’ Associations and Foundations of April 2010, for a cooperative agreement to fund a project entitled “Civic Advocacy and Partnership Activity (CAPA)”. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

**Subject to the availability of funds, USAID anticipates awarding one cooperative agreement, not to exceed the approximate amount of \$4.04 million in total funding, to a Macedonian organization who will act as Prime implementing partner that will function in a program management role for the CAPA, to provide grants to a variety of civil society actors working on democratic reforms. U.S. based and international organizations are eligible to participate as proposed sub-grantees with Macedonian prime applicants.**

**The U.S Dollar amount will be funded from USAID appropriated funds, to be allocated over a four (4) year period. The anticipated start date for this activity is on or about January 2012. USAID reserves the right to fund any or none of the applications submitted, and will determine the resulting level of funding for the award.**

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, and the Mandatory Standard Provision “Allowable Costs (DEC 2003) for public international organizations), may be paid under the cooperative agreement.

The prospective award will be administered in accordance with the Standard Provisions for Non-U.S. Nongovernmental Recipients. The set of mandatory standard provisions and required as applicable standard provisions for Non-U.S. nongovernmental recipients is accessible at the following website: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

Given the challenging environment under which civil society operates in Macedonia, as well as the size and complexity of the project, USAID encourages organizations to partner together to submit a joint application with local and/or international partners. In such a case, the designated prime implementing partner will submit the joint application on behalf of all partners, and this organization will be the direct recipient of the USAID award. The other major implementing partners will be as sub-grantees of the prime recipient. The prime implementing partner will bear the responsibility for program implementation and will have a key role in the success of the program. Macedonian organizations registered as civil society organization or foundation under the Law on Citizens' Associations and Foundations of April 2010 are eligible to submit applications as Prime implementing partners. The application shall demonstrate an organizational arrangement that clearly demonstrates an effective mechanism for managing project resources and working with major implementing partners.

USAID expects applicants to have experience in civil society development and be able to propose a staffing/teaming structure which will provide a wide range of strategic and technical assistance to grantees at varying levels of competency in areas such as lobbying, advocacy, constituency building, media relations, and coalition building.

**Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.**

Eligible Macedonian organizations interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of project sought and the application submission requirements and evaluation process.

**To be considered for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity.** This RFA consists of this cover letter plus the following Sections:

1. Section A - Instructions for Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Pre-Award Certifications, Assurances, and Other Statements of Applicant/Recipient
5. Section E – Annexes
6. Section F – Attachments/ Background Information/References

This funding opportunity is posted on [www.grants.gov](http://www.grants.gov), and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this RFA. Applicants will need to have available or download Adobe program to their computers in order to view and save the Adobe forms properly. If you have difficulty registering on [www.grants.gov](http://www.grants.gov) or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at [support@grants.gov](mailto:support@grants.gov) for technical assistance.

It is the responsibility of the recipient of this RFA document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

Any questions concerning this RFA should be submitted in writing to Mr. Clement J. Bucher, via email to [cbucher@usaid.gov](mailto:cbucher@usaid.gov), Ms. Szidonia Szekeres, at [sszekeres@usaid.gov](mailto:sszekeres@usaid.gov), and Ms. Kawas, Mischere, at [mkawas@usaid.gov](mailto:mkawas@usaid.gov). The deadline for submission of questions on this RFA is September 15, 2011. Responses to questions will be furnished to all potential applicants through an amendment to this RFA.

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

Sincerely,



Clement J. Bucher  
Regional Agreement Officer

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## SECTION A – INSTRUCTIONS FOR APPLICATION FORMAT

### 1. PREPARATION AND SUBMISSION GUIDELINES

The federal grant process is web-enabled, allowing for applications to be submitted on-line. Instructions to submit applications electronically on-line in response to this RFA are found on Grants.gov in the “For Applicants” section – under “Apply For Grants”. Applicants are also encouraged to submit electronic copy of their application via e-mail to Mr. Clement J. Bucher at [cbucher@usaid.gov](mailto:cbucher@usaid.gov), Ms. Mischere Kawas, at [mkawas@usaid.gov](mailto:mkawas@usaid.gov) and Ms. Szidonia Szekeres, at [sszekeres@usaid.gov](mailto:sszekeres@usaid.gov).

If your organization decides to submit an application, it must be received by the closing date and time indicated at the top of the cover letter. The applicant must provide all required information in its application, including the requirements found in any attachments to this RFA. Applicants should retain for their records one copy of all enclosures which accompany their applications.

If applicants shall choose to submit hard copies, the submission of one (1) original of the technical and cost application will be accepted no later than the closing date and time indicated on the cover letter, at the location designated below:

By Air Courier or Hand Delivery:

Ms. Szidonia Szekeres and Ms. Mischere Kawas  
Regional Services Center, Regional Contracting Office  
Szabadsag ter 7-9, Bank Center, Granite Tower  
1054 Budapest, HUNGARY  
Tel. (+36) (1) 475 4986

The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified above, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages. Applications must be in English language.

To be eligible for award, the application should be prepared according to the structural format set forth below in **(2) Technical Application Format** and **(3) Cost/Business Application Format**. Applications which are received late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award only if the Agreement Officer determines it is in the Government’s interest.

USAID will consider only applications conforming to the format prescribed below. All applications received by the closing date and time indicated on the cover letter will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section B addresses the selection criteria and procedures for the applications. As part of the application, applicants shall acknowledge receipt of any amendments to this RFA.

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

(a) Mark the title page with the following legend: "This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed -in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting cooperative agreement. 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 TBD"; 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. TECHNICAL APPLICATION FORMAT

Technical applications must not exceed **20** pages, utilizing Times New Roman 12-font size, single spaced, typed in standard 8 ½"x11" paper size with one-inch margins both right and left, and each page numbered consecutively. Cover letter, dividers, table of contents, annexes (e.g performance monitoring and evaluation plan, personnel resumes, past performance information, certificates, forms, acronym list etc.) will not count toward the page limitation. Any pages that exceed the page limitation will not be furnished to the Evaluation Committee. There is no page limit on attachments or cost application.

The technical application will have more significant importance than cost application in the selection of a successful applicant. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore it should be specific, complete and presented concisely. It should take into account and be arranged in the order of the technical evaluation criteria specified in Section B.

**Application Contents:** The technical application, at a minimum, shall contain the following:

**A. Cover Page:** A single page with the project title and RFA number, the names of the organizations/institutions involved, and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide 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, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. If applicable, the **TIN** and **DUNS** numbers of the Applicant shall also be listed on the cover page.

**B. Table of Contents:** Listing all parts of the technical application, with page numbers and attachments.

**C. Executive Summary** (counts toward the page limitation and shall not exceed 2 pages): Briefly describe

a) the proposed goals, b) the key activities and anticipated results, and c) managerial resources of the Applicant, and how the overall project will be managed.

**D. Technical Approach:**

In this section, applicants are not to merely repeat what is already described in this RFA. Applicants should focus on describing how they propose to achieve the project objective(s) and how the project will make a significant contribution towards achieving the strategic objectives and areas for action identified in the project description. Applicants shall elaborate in their technical approach the most effective way to develop and realize the objectives of this project including the reasonable course of action and tasks that are relevant to the current needs of Macedonia. Applicants should present a convincing and compelling articulation of their technical approach.

At a minimum, the approach shall address the following:

- Discussion of the concrete expected results and how they will be achieved;
- Results and interventions applicants believe should be prioritized and why;
- Discussion on the coordination with other USAID activities, stakeholders and other donor activities.  
Applicants should provide specific examples on how to capitalize on possible synergies with

- other implementing partners, and therefore strengthen the impact of CAPA;
- Strategy for the phase-out and sustainability of project activities and impact;
- Substantive attention on how applicants will incorporate gender considerations and other cross-cutting themes under the USAID Mission Strategy into the implementation of the CAPA;
- Implementation timelines schedule; and
- The proposed plan for effective rapid launch of activities.

As an annex to this section, applicants shall submit a draft Performance Monitoring and Evaluation Plan (PMEP). The PMEP must explain how the applicant proposes to monitor the project performance and measure indicators and impact. The PMEP must include results, indicators, targets, consisting of data sources, frequency of data collection, collection methods, data verification, and responsible parties of data collection, baseline information, and benchmarks. The applicant must discuss the ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated. It is the applicant's responsibility to ensure that all costs, if any, related to the implementation of the PMEP are included in the cost proposal.

## E. Key Personnel Qualifications and Experience

Applicants may propose up to five key personnel positions to include a Chief of Party and other key senior professionals. Also, applicants are free to propose one Lead to head/manage two components.

**Chief of Party:** The local Chief of Party will be the primary point of contact with USAID/Macedonia with regard to day-to-day activity implementation and management matters relating to the Agreement. The Chief of Party must have overall responsibility for assuring that all assistance provided under the award is technically sound and appropriate for the needs to be addressed and for adequately managing and supervising the work of all staff in country.

Applicants shall identify and clearly describe the professional qualifications, education and relevant experience of its proposed key Chief of Party.

The Chief of Party should possess:

- Relevant experience in managing similar civil society programs in complex environments.
- Excellent negotiation, conflict prevention and resolution skills and the ability to lead and build consensus, cooperation, and coalitions among individuals with competing interests.
- Technical experience in several of the following areas: lobbying, advocacy, coalition-building, grant management, media relations, and organizational capacity building.
- Experience mentoring local staff and organizations and transferring skills and know-how.
- Experience working in civil society in Macedonia or the Balkan region preferred.
- Ability to coordinate with other donor programs on civil society and seek synergies, and complementarities to maximize results. The implementer should also meet with major USAID projects to explore possible synergies with the CAPA.
- Knowledgeable about EU institutions and integration processes is helpful.

**Senior Professionals:** Applicants should propose sufficient qualified and experienced professional staff to technically support project implementation and local office operations throughout the project. Local professional staff should be fluent in English.

As an annex to this section, applicants shall submit resumes for key personnel. The resumes must be no more than two pages each and should include at least three professional references with current telephone numbers or email addresses for each reference. Each résumé shall be accompanied by a SIGNED letter of commitment from each candidate indicating his/her (a) availability to serve in the stated position on a specific date and for a definitive term of service and (b) agreement to the

compensation levels as set forth in the cost proposal. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is NOT requested and should NOT be submitted.

**F. Management Plan and Organizational Capacity:**

- The applicant should have experience in civil society development and be able to propose a staffing/teaming structure which will provide a wide range of strategic and technical assistance to grantees at varying levels of competency in areas such as lobbying, advocacy, constituency building, media relations, and coalition building.
- An organizational arrangement that clearly demonstrates an effective mechanism for managing project resources and working with partners.

This section shall address the following:

- a) Composition and organizational structure of the proposed project team and a description of each long-/short-term key or non-key team member’s role, technical expertise, estimated amount of time to be devoted to the activity for each person,
- b) How the structure will ensure effectiveness and efficiency, in order to achieve maximum benefits and results at minimum cost,
- c) Proposed partners, if any, their expertise, and their roles and responsibilities.
- d) Effective management systems and procedures for personnel, sub-contracts, commodities, training and information technology solutions; and
- e) Capability to mobilize long-/short-term technical assistance in areas that are within and those not included in the illustrative areas of technical assistance.

**G. Past Performance and Experience:**

This section shall address the following:

- a) Brief description of organizational history and experience.
- b) Examples of accomplishments in developing and implementing similar projects.
- c) Relevant experience with proposed approaches.
- d) Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas.

Describe any number of contracts, grants, and cooperative agreements which the organization, both the primary Applicant as well as an substantive sub-grantee, if any, has implemented involving similar or related programs over the past three years. Please include the following information in an annex under past performance information:

- a) Name, address, current telephone number and email address of responsible representative(s) from the organization for which the work was performed;
- b) Contract/grant name and number, if any, annual amount received for each of the last three years and beginning and end dates;
- c) Brief description of the project/assistance activity.

**3. COST/BUSINESS APPLICATION FORMAT**

The Cost/Business Application is to be submitted under separate cover from the technical application.

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

I. Budget: which provides in detail the total estimated amounts for implementation of the project your organization is proposing.

II. **Budget narrative:** that provides detailed budget explanations and supporting justification of each proposed budget line items. It must clearly identify the basis of cost elements, such as market surveys, price quotations, current salaries, historical experience, etc.

A summary of the budget must be submitted using:

Standard Forms 424, 424A and 424B, those are available to download and for electronic submission at [Grants.gov](http://Grants.gov) under the "Application" tab for this RFA (preferred submission method) or under section D, 'REQUIRED FORMS' of this RFA.

The budget must include:

- 1 The breakdown of all costs associated with the project according to costs of, headquarters, regional and/or country offices, if any;
- 2 The breakdown of all costs proposed by each partner organization, if any, involved in the project;
- 3 Potential contributions of non-USAID or private commercial donors to the expected Cooperative Agreement; if any
- 4 The name (if identified), annual salary, and expected level of effort of each candidate named or TBD and charged to the activity. **Provide annual salary history for at least the three most recent years for all identified and proposed long-/short-term key and non-key personnel;**
- 5 If not included in an indirect cost rate agreement negotiated with the U.S. Government, the applicable fringe benefit rates for each category of employees, and an explanation of the benefits included in the rate;
- 6 Travel, per diem and other transportation expenses detailed to include number of trips, expected itineraries, number of per diem days and per diem rates;
- 7 All equipment proposed to be purchased;
- 8 Details regarding the level of cost share your organization is proposing for this activity. Cost sharing may be proposed from any available and interested local funding sources; and
- 9 Financial plans for all proposed sub-grants and subcontracts, if any, and they must have the same format and level of detail as those of the applicant.

III. Applicants and subgrantees who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from U.S. Government agency shall submit the following information:

-Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; -Cash flow and organizational chart; and -A copy of the organization's accounting manual.

IV. Apparently successful applicants will be required to submit Pre-award Certifications, Assurances and other Statements of the Recipient at <http://www.usaid.gov/policy/ads/300/303.pdf>. These Pre-award Certifications, Assurances and other Statements of the Recipient shall not be submitted as part of the initial application. The Agreement Officer will notify the apparently successful applicant to submit these documents after evaluation of proposals.

V. Applicants should submit any additional evidence of responsibility deemed necessary for the Agreement

Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Have adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance; and
- Has a satisfactory record of integrity and business ethics.

VI. Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit:

- a. Copies of audited financial statements for the last three years, which a Certified Public Accountant or other auditor satisfactory to USAID has performed;
- b. Projected budget, cash flow, and organization charts; and
- c. Copies of applicable policies and procedures (e.g., accounting, purchasing, property management, personnel).

VII. Certificate of Compliance: if available, submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA).

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

**Labor** - Direct salaries and wages for each year of the Agreement shall 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, be 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**

#### a. 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 shall 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 Agreement Officer. Salaries for locally employed staff should not exceed the Local Compensation Plan for USAID/Macedonia.

(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 project implemented under the anticipated Cooperative Agreement will be for an estimated period of performance of four (4) years; also referred to as the Award Period. Unless the Applicant/Recipient demonstrates otherwise to the USAID Agreement Officer's satisfaction, Cooperating

Country Nationals (CCNs) employed by the Applicant/Recipient solely to work under the USAID-funded project under this Agreement are considered by USAID as employed by the Applicant/Recipient for a specified period not to exceed the Agreement Period. This provision shall be interpreted in accordance with applicable cost standards including OMB Circular A-122 (Cost Principles for Non-Profit Organizations) and OMB Circular A-21 (Cost Principles for Educational Institutions), as applicable, including, but not limited to Selected Items of Cost - Compensation for Personal Services, and 22 CFR 226.

**b. Annual Salary Increases** Annual salary increase and/or promotional increase may be granted in accordance with the Applicant's established policies but up to the maximum of 5%. Salary increases may be granted after the employee's completion of each twelve months of satisfactory services under the USAID award.

**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 Macedonia 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 project, 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 recipients 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 shall be made only when the Agreement Officer 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 survey. The cost/business applications of all applicants submitting a technically acceptable application will be evaluated for general reasonableness, cost realism, allowability and allocability.

**Cost share:** ADS 303.3.10 Cost Share defines cost share as "the resources a recipient contributes to the

total cost of an agreement. It is the portion of project or program costs not borne by the Federal Government.”

USAID/Macedonia encourages the potential applicants to propose cost sharing since “it is critical that the activity continues after USAID assistance ends.” These cost sharing requirements can ensure that the project establishes adequate alternate sources of funding, as well as give the applicant a financial stake in the success of the program. The applicants’ proposed cost share may enable additional worthwhile activities to be undertaken which USAID funds could not support. Cost share may secure the programmatic and financial sustainability of the initiatives.

USAID encourages applicants to propose for which activities and in which amount cost sharing will be applied. The exact level of cost share is left to applicants to propose per 303.3.10.1 (<http://www.usaid.gov/policy/ads/300/303.pdf>). Ultimately the Agreement Officer shall determine if the applicant’s cost share contributions (e.g. categories or items) meet the standards set in the Standard Provision entitled "Cost Sharing" for non-U.S. organizations (Mandatory References, 22 CFR 226.23; and Standard Provisions for Non-U.S. Nongovernmental Recipients, and ADS 303.3.10 Cost Sharing). Once approved, cost sharing becomes a condition of an award. Cost sharing must be verifiable from the recipient’s records, is subject to the requirements of 22 CFR 226.23, and can be audited. If the recipient does not meet its cost sharing requirement, it can result in questioned costs.

#### **4. COOPERATIVE AGREEMENT AWARD**

The Government may award a cooperative agreement resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The Government may award a cooperative agreement on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should 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.

Awards will be made to responsible applicants whose applications offer the greatest value, technical, cost and other factors considered. Applicants are specifically advised that until an executed document is received and duly signed by an Agreement Officer, no project expenditures will be paid by USAID/Macedonia.

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

- (a) Section B - Selection Criteria;
- (b) Section A – Instructions for Application Format;
- (c) Section C - The Program Description;
- (d) Cover Letter.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

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.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to nondiscrimination 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.

Applicants are 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 recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under the cooperative agreement.

Foreign Government Delegations to International Conferences: Funds in the cooperative agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" <http://www.usaid.gov/policy/ads/300/350maa.pdf> or as approved by the Agreement Officer.

## **5. AUTHORITY TO OBLIGATE THE GOVERNMENT**

The USAID Agreement Officer 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 Agreement Officer.

**(END OF SECTION A)**

## SECTION B - SELECTION CRITERIA

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Applicants shall organize the narrative sections of their technical applications in the same order as the selection criteria. Technical evaluation of applications will be based on the extent and appropriateness of proposed approaches and feasibility of achieving the strategic objectives, in accordance with the following criteria.

If award is not made on the initial applications, USAID may request clarification and supplemental materials from applicants whose applications have a reasonable chance of being selected for award. The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an award to the applicants with whom discussions are being held.

### I. TECHNICAL EVALUTAION CRITERIA

A technical evaluation committee, using the criteria shown in this Section, will score technical Applications. The criteria set forth will serve as the basis for evaluating the technical Applications. The various functional elements of the technical criteria are assigned weighted scores, so that the Applicants will know which areas require emphasis in the preparation of Applications. Where technical Applications are considered essentially equal, cost may be determining factor. Applicants should note that these criteria:

- (1) Serve as the standard against which all Applications will be evaluated; and
- (2) Serve to identify the significant matters which Applicants should address in their Applications.

The relative importance of each criterion is indicated by the number of points assigned; a total of 100 points is possible.

Technical Evaluation Criteria	Weight
Technical Approach	40 points
Management Plan and Key Personnel	40 points
Organizational Capacity and Past Performance	20 points
<b>Total Possible Technical Evaluation Points</b>	<b>100</b>

#### 1. Technical Approach (40 Points Total)

- a) The extent to which the proposed technical approach including description of activities, tangible results and benchmarks is innovative, clear, logical, well-conceived, technically sound, reflects an appreciation for the likely problems to be encountered, and addresses the objectives identified in the Program Description. **(35 Points)**
- b) The extent to which the required Performance Monitoring and Evaluation Plan clearly presents the results to be achieved, and the approach identifies and addresses key issues for participation, including of minorities, and gender considerations. **(5 Points)**

**2. Management Plan and Key Personnel (40 Points)**

- a) The extent to which composition and the overall staffing plan, including sub-recipient/sub-contractors, and their roles and expertise is adequate, and technically sound for the implementation of the proposed activities., as well as, the extent to which the applicant convincingly demonstrates an effective management approach, in which composition and structure of managerial/supervisory/advisory boards adds value to project implementation. The extent to which the applicant's corporate and institutional capability allows to promptly launch and effectively implement the proposed activity. Demonstrated utilization of local expertise and local organizations involved in program implementation. **(15 Points)**
- b) Demonstrated capability, field and relevant management experience in similar projects, education and qualifications of proposed Chief of Party. **(15 Points)**
- c) Demonstrated relevant experience in similar projects, appropriate academic backgrounds, and qualifications of proposed other Key Personnel. **(10 Points)**

**3. Organizational Capacity and Past Performance (20 Points Total)**

- a) Demonstrated technical and managerial resources and expertise in successful implementation of programs similar in magnitude, and politically and otherwise sensitive programs, and presentation of how lessons learned will be applied to this program. **(10 points)**
- b) The extent to which the applicant and sub-recipient(s) possess relevant past experience and results in similar programs over the past three years preferably in similar development contexts. Provision of references for past performance. **(10 Points)**

**II. COST EVALUATION—**

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allowability, allocability, and cost effectiveness. The pre-award evaluation of cost effectiveness will include an examination of the application's budget detail to ensure it is a realistic financial expression of the proposed project and does not contain estimated costs which may be unallocable, unreasonable or unallowable. Applications that have more efficient operational systems that reduce operation costs will be favorably considered.

Applications that maximize direct activity costs including cost sharing and that minimize administrative costs will be favorably considered. Other considerations are the completeness of the application adequacy of budget detail and consistency with elements of the technical application. In addition, the organization must demonstrate adequate financial management capability, to be measured by a responsibility determination.

**Notes on Cost Sharing:**

Cost share is defined by USAID as "contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records." Please refer to the provision on cost-sharing in 22 CFR 226.23.

Cost sharing is desirable but not required under this RFA. USAID policy is that cost sharing is an important element of the USAID-Recipient relationship.

### **III. BEST VALUE DECISION**

Award will be made to the Applicant whose application offers the best value to the Government. Best value is defined as the expected outcome of a procurement that, in the Government's estimation, provides the greatest overall benefit in response to the requirement.

For this RFA, technical proposal merits are considered significantly more important than cost relative to deciding which Applicant might perform the work best. Cost realism, effectiveness and reasonableness will be the determining factors in the event that the applications receiving the highest ratings are closely ranked. Therefore, after the final evaluation of the application, the Agreement Officer will make the award to the Applicant whose application offers the best value to the Government considering technical, cost and other factors.

Other areas of review and discussion will vary according to the circumstances pertaining to the application.

### **IV. BRANDING STRATEGY AND MARKING PLAN**

It is a federal statutory and regulatory requirement (see Section 641, Foreign Assistance Act of 1961, as amended and 22 CFR 226.91) that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub-award must be marked appropriately overseas with the USAID identity. In accordance with ADS 320.3.3 Branding and Marking Requirements for Assistance Awards USAID's policy is that programs, projects, activities, public communications, or commodities implemented or delivered under co-funded instruments – such as grants, cooperative agreements, or other assistance awards that usually require a cost share – generally are “co-branded and co-marked.”

Successful applicant will be required to submit a branding strategy and marking plan. Standard provisions Branding Strategy – Assistance (December 2005), Marking Plan – Assistance (December 2005), and Marking under USAID-Funded Assistance Instruments (December 2005) in Annex 1. to this RFA under Section E contain detailed requirement on the content and submission of the branding strategy and marking plan.

More information on Branding strategy and Marking plan are available at <http://www.usaid.gov/branding/assistance.html>.

The branding strategy and marking plan will become material element of the cooperative agreement. Information on USAID's branding “assistance” applies to this RFA. ADS Chapter 320 sections ADS concerning “acquisition” do not apply to this RFA. ADS Chapter 320 can be found on USAID website: <http://www.usaid.gov/policy/ads/300/320.pdf>.

**(END OF SECTION B)**

## SECTION C – PROGRAM DESCRIPTION

### I. Purpose

Given the factors mentioned below, a four year Civic Advocacy and Partnership Activity (CAPA) will be implemented in the Republic of Macedonia to 1) stimulate civic activism and participation at the national and local levels; 2) enhance the ability of civil society organizations (CSOs) to conduct government oversight advocate, and provide input into public policy; and 3) establish sustainable mechanisms for regular and ad hoc CSO cooperation and mobilization on democratic reform issues.

### II. Background and Problem Statement

Since independence in 1991, Macedonia has often been cited as a model of democratic transition in the Balkans, having checked conflict through the Ohrid Framework Agreement and being among the first countries in the region to become a candidate for EU membership. In the past few years, however, democratic progress has stagnated. While basic governance institutions and processes are in place, recent assessments have identified persistent dysfunctions, including excessive executive branch influence over a judiciary crippled by a steep backlog of cases and low public confidence. The parliament is largely a ‘rubber stamp’ for the governing coalition with little desire to deliberate on legislation sent to it by the executive or entertain citizen input or views deviating from the party line. The media is subject to significant political interference with most major outlets linked to political parties and the government serving as the principal consumer of media advertising. High rates of unemployment and poverty continue to be a discouraging factor.

Macedonian civil society has had minimal effect on countering these disquieting trends. Historically, Macedonian civil society has not sufficiently pressured government or political parties to pay more attention to policy reform. After independence, civic activism tended to focus on human rights, the environment, and other, mostly non-contentious issues. Civic monitoring and oversight of government, and research, analysis, and policy making is a more recent development. With few exceptions, civil society organizations (CSOs) in Macedonia have shied away from tough issues. There is a particular dearth of organizations overseeing transparency and accountability of democratic institutions and implementation and enforcement of legislation.

The highly politicized environment in Macedonia makes it challenging for the few CSOs who monitor the government to maintain neutrality and independence. Organizations that provide critical input to public institutions or processes are frequently publicly perceived as politically-motivated supporters of the opposition. Those that do participate in the few opportunities to cooperate with government on legislation, policies, or strategies are often perceived as pro-government. The proliferation of government -organized NGOs (GONGOs) has further complicated the civil society scene. These organizations appear suddenly, support a governmental position, and disappear the next day. Their presence damages the development of genuine civil society by blurring the distinction between independent and pro-government initiatives and undermining authentic civic initiatives.

In addition to politicization, there is chronic polarization and rivalry within civil society. With few exceptions, civil society has failed to form coalitions or networks to achieve outcomes for the benefit of the sector. Some polarization is due to competition over funding. The civil society sector remains excessively reliant on donor support; financial competition—especially as donor funding diminishes—hinders cooperation on shared goals. Additionally, there are deepening cleavages about tactics on how to address reform issues: some wish to advocate boldly, while others prefer to seize opportunities to work in concert with government or remain on the sidelines and maintain a low profile.

With few exceptions, there are limited opportunities for civil society to engage with the executive, legislature, or local government on substantive issues.

Increasingly, CSOs report defensive and sometimes hostile reactions from authorities when they engage in activities which present critical views of performance. Some CSOs have faced economic and political

pressures if they speak out against government policies, including intimidation or excessive scrutiny over their organization. Organizations which tackle democratic reforms are among the most vulnerable as their agendas, missions, and activities are unpopular with the state and often misunderstood by the general public.

In addition, CSOs have failed to influence public discourse on substantive issues, in part because of a dearth of quality research and analysis on issues, which is vital to Macedonia's future.

Like other countries in the region, the link between citizens and civil society in Macedonia is weak. CSOs have not effectively built constituencies and have dedicated minimal efforts to reach out to potential supporters. For their part, citizens are reluctant to engage in civic activities, as many do not fully understand the role of civil society and the concept of civic responsibility and are cynical about their ability to affect the status quo.

Moreover, too often CSO monitoring, lobbying, and watchdog activities are viewed with suspicion as they are perceived as challenging the authority of the state. Finally, financial sustainability is one of the biggest challenges for the future of civil society in Macedonia. CSOs depend heavily on support from foreign donors which has declined precipitously in recent years.

### **III. Relationship to the Country and Mission Strategy**

**U.S. Mission Strategic Plan.** The FY2011 U.S. Mission Strategic Plan identified strengthened democratic systems as one of the key foreign policy priorities for the U.S. Government in Macedonia. International experience has shown that a vibrant civil society is critical for a country's democratic development. Assistance in this sector, therefore, directly supports the U.S. Mission's priorities.

**Host Country Commitment.** From the host country perspective, civil society development is an important step toward achieving the government's aspirations for integration into the European Union (EU) and NATO. The Macedonian Government has devoted resources to select segments of the sector through its Unit for NGO Cooperation, which provides limited grants to CSOs. In April 2010, the Parliament adopted the new Law on Citizens Associations and Foundations (NGO Law). This is a significant development as the NGO Law: (1) provides a comprehensive and improved framework regulation for organizations and foundations; (2) supports their sustainability; (3) helps increase the social impact of the civil sector; (4) brings the Macedonian legal system into closer harmony with European standards. However, to achieve full impact, it needs to be properly implemented and not just have a progressive law on the books. Despite this outward support, civil society has faced greater pressure in recent years when it has criticized the government or otherwise failed to conform to the views of the ruling party. This worrying trend reinforces the need to invest in the civil sector and to strengthen its ability to serve as a voice for democratic reform.

**Assistance Objective and Cross-Cutting Linkages.** The planned Civic Advocacy and Partnership Activity (CAPA) is designed to address this critical need. Guided by the overarching objective of promoting democratic reform, the new program will: 1) stimulate civic activism and participation at the national and local levels; 2) enhance the ability of CSOs to conduct government oversight, advocate, and provide input into public policy; and 3) establish sustainable mechanisms for regular and ad hoc CSO cooperation and mobilization on democratic reform issues. To a large extent, this reform agenda will be dictated by objectives in the other components of the democracy and governance sector, although support to reform efforts in the education and economic growth sectors also may be possible. The project may benefit further from coordination and cooperation with USAID's cross-cutting program on institutional capacity building.

**Linkages with the Results Framework.** The planned activity falls under Assistance Objective (AO) 1 "Greater Checks and Balances in Democratic Processes", as identified in the 2011-2015 USAID/Macedonia Strategic Plan. More specifically, the planned activity will directly support Intermediate Result (IR) 1.3 "Citizens Hold Government Accountable", with a focus on Sub IR 1.3.1 "More Effective Oversight and Advocacy by Civil Society".

#### **IV. Illustrative Interventions and Expected Results**

##### **Objective 1: Stimulate Civic Activism and Participation at National and Local Levels**

As in many countries in Eastern Europe, there is a disconnect between the government and the governed and civil society and citizens. Citizens often expect government to care for their needs without participation; while government does not allow or recognize the need for citizen input. CSOs often emerged in response to donor priorities and funding without developing their missions and cultivating grassroots support from citizens. Moreover, the politicization and negative portrayal of CSOs in the media further distances citizens from supporting CSOs and civic participation generally.

USAID seeks to invigorate civic activism at the local and national levels. Given the lack of engagement and divisions in the country, USAID believes conventional civic education and awareness activities will be—if not ineffective—then insufficient to mobilize citizens toward greater involvement in the political and social life of Macedonia. Civic education that is not linked to participation and action is also insufficient to meet the objectives of CAPA. For this reason, applicants are urged to propose novel strategies that creatively link awareness with action and involvement. Overall activities should not be one-off or episodic but generate sustained interest, activity, and influence over time. Ideally, some activities or agendas might be structured hierarchically so that small initiatives are linked to more important or geographically broader ones. Strategies for building small activities into regional or national movements are welcome. Applicants should keep in mind the tendency for civic activism in Macedonia to involve the same handful of actors, especially on the national scene. The following are illustrative approaches. Applicants are encouraged to propose their own approaches, organized along priorities, and that take into account the political, cultural, and social context of Macedonia.

##### **Illustrative Activities:**

- Local awareness/public hearing/action campaigns organized around pressing social issues (for example: land use, solid waste removal, public health, environment, clean up campaigns, urban renovation or beautification, parks/recreation and forestry preservation and protection).
- Using culture, sports, and entertainment as vehicles to promote citizen awareness/engagement/solidarity/volunteerism on issues affecting individuals and their communities.
- Engaging traditionally disenfranchised populations such as youth, ethnic minorities, and seniors.
- Developing frameworks for citizen engagement with local government through mutual cooperation, membership in roundtables, boards, agencies, commissions, working groups or ad hoc panels, where citizens have opportunities to participate in local government decision-making.
- National action or awareness campaigns that promote civic cooperation, solidarity rallies, referendums, signature petitions for legislative initiatives, or “get-involved” campaigns.
- Using IT, websites, conventional media and social networking to generate civic activism, build constituencies, provide information, or share best practices.
- Providing information about specific initiatives at non-traditional venues (e.g. soccer games, shopping malls, school parking lots) using other strategies such as public consultation vans, information booths, tables.
- Leveraging the associative power of high schools and universities to increase student and citizen activism and engagement.
- Establishing cross-regional and cross-sectoral partnerships to unite citizens around common interests and provide enduring mechanisms for resolving common problems.

- Initiating Legislative changes

### **Illustrative Results for Objective 1:**

- Increased citizen engagement in local and national issues
- Increased citizen involvement in and support for CSOs
- Increased volunteerism among adults, youth, and minorities
- Increased citizen access to and communication with government authorities
- Increased citizen involvement in political life
- Civic action programs produce tangible change in select regions
- Increased number of pieces of legislation initiated by CSOs

### **Objective 2: CSOs Conduct Government Oversight, Advocate, and Provide Input into Public Policy**

This objective will require an ability of Macedonian civil society to exert a much greater influence on the state than it now does. Major impediments are the low demand among citizens for public accountability and transparency on the one hand, government unwillingness to allow or recognize the need for citizen input on the other, and reluctance of CSOs to tackle difficult issues. These factors conspire to keep civil society's visibility low and political influence weak.

Currently there are few organizations that advocate, monitor performance of government institutions, implementation of legislation and policies, or provide oversight over public expenditures. There is also a dearth of quality information and analysis to inform debate and public policy options. As a result, in recent years Macedonian civil society has become mute, demonstrating limited desire and ability to play a more vigorous role vis-à-vis the state. With the politicization and fragmentation of civil society, CSOs remain unwilling to cooperate with each other or join in solidarity against attacks by the authorities.

While CSOs advancing democratic reform agendas have faced numerous challenges, USAID believes that the sector could benefit from more strategic approaches to empowering CSOs. Through project grant-making, USAID will support civic organizations, coalitions, partnerships, and movements to promote democratic reform through research-based advocacy, lobbying, and oversight. Priority areas will be those that complement USAID's Democracy and Governance portfolio in strengthening rule of law, parliament, media and civil society. However, prospective grantees may propose other areas where civil society may play a role in promoting democratic reform such as anti-corruption or human rights. Specifically, this component will support some of the following:

#### **Illustrative Activities:**

- Research-based advocacy and lobbying
- Research based-analysis to expand public knowledge of policy options through public debate and media
- Oversight of parliament, MPs, the legislative process and implementation of laws
- Oversight of the judiciary (law enforcement, judicial and court reform, judicial decisions, and judges' performance)
- Oversight of government procurement and public spending (national and local)
- Anti-corruption measures
- Monitoring compliance with political and economic criteria for EU membership
- Promoting human rights, especially rights of minorities and the disadvantaged and rights violations that are closely tied to abuse or negligence
- Increasing participation in public policy, law making processes

- Mobilizing constituencies to support specific reform agendas

### **Illustrative Results for Objective 2:**

- CSOs mobilize citizens in public processes that contribute to democratic reforms
- Improvements in legislation and policies as a result of CSO lobbying
- CSO expertise in oversight and publicizing of institutional performance is improved and informs public and policy debates and processes
- CSOs have enhanced capacity to advance democratic reform in DG priority areas
- Enduring mechanisms are reinforced or established that allow for public consultations with citizens and other stakeholders on policy and legislative, and other issues

### **Objective 3: Establish Sustainable Mechanisms for Regular and Ad Hoc CSO Cooperation -and Mobilization on Democratic Reform Issues**

Currently, CSOs articulate many common concerns and threats but organizations stand alone or are divided. Polarization of the sector is a chronic problem. There are a variety of challenges which the sector faces such as low public confidence, attacks on individual CSOs by the government or media, bleak prospects for financial sustainability, ambiguities in the CSO legislation, and a lack of financial conditions to promote financial sustainability, but there has been very little collective response from civil society. Moreover, there are few forums where citizens can come together to discuss current issues critical to the future of democracy in Macedonia and the role that civil society may play in its reform and its future. USAID believes that the civil society sector could be strengthened and improve its position if it can cooperate on common issues, opportunities, and challenges. Mobilizing such groups behind common agendas can provide many benefits including public visibility and weight needed in negotiations with the government. In the past, cooperative efforts that were driven by donors fell apart as funding ceased.

Applicants should propose ways to improve cooperation, collaboration, and coalition- building among CSOs in support of democratic reform. Approaches should also address ways of encouraging multi-ethnic collaboration and cooperation across CSOs and communities. This may entail identifying common issues and missions among CSOs. For example, focus groups may be used to bring together reform-minded actors to discuss challenges and opportunities in their sectors (or sub-sectors) and to develop common strategies for addressing them. USAID views this as a first step to possible cooperative action, coalition-building, and so forth. CSO forums can also help the CAPA to remain current and assist the sector in adapting to emerging trends, threats, and opportunities.

### **Illustrative Activities:**

- Roundtables to lead/mediate among CSOs, resolve conflicts, or help CSOs find common ground and ways of collaborating on particular issues/activities
- Building formal and informal alliances by holding CSO workshops around issues shared by several CSOs (e.g., pressure on watch-dog and human rights groups)
- Building formal and informal alliances among local-level CSOs that share common issues, identities, agendas or geography (e.g., regional CSOs)
- Spurring linkages between national and regional/local CSOs by assisting national level CSOs to establish local chapters, merge with already established local-level CSOs, or form collations with them

### **Illustrative Results for Objective 3:**

- CSO partnerships or coalitions formed that engage in oversight, monitoring, or advancing reform agendas
- National level CSOs have both regular and ad hoc mechanisms for collaboration, cooperation, and dialogue
- National level CSOs expand links with local CSOs or incorporate them into wider networks
- Sustainable coalitions and partnerships formed

### **Expected outcomes: IR 1.3 “Citizens Hold Government Accountable”**

- A core group of CSOs are strengthened to contribute to democratic reforms
- Capacities for monitoring and oversight of national and select local institutions are improved
- Increased advocacy and lobbying at the local and national level
- Increased mobilization of citizens in the policy and oversight process
- Increased citizen mobilization in local and national governance processes,
- Increased citizen’s access to government authorities and an improved understanding of citizens’ concerns by government

### **V. Sub-grants**

CAPA results will be achieved primarily through sub-grants at the local and national level to invigorate civic activism, fund specific projects that promote democratic reform, and -foster CSO partnerships. Modest technical support will be provided to organizations to build their capacities and strategize on effective civic initiatives on a demand-driven basis. Given the polarization of the sector, the activity will also try to foster cooperation on areas of common benefit to reinforce results from the grant making.

USAID anticipates that approximately 50% of the CAPA budget will be allocated towards sub-grants. Support will be provided primarily for projects that address the aforementioned Illustrative activities and results. In addition, some sub-grants may provide institutional support for organizations that can serve as anchors in their communities for civic activism, CSOs that can serve as watchdogs, and those that promote advocacy in the long term. These organizations must demonstrate demand, buy-in, and participation from citizens for their mission and proposal.

Given that this is envisioned to be USAID’s final program in Macedonia, and the fact that effective civic activism often requires little financial support, the CAPA will prioritize creative and cost-effective initiatives that promise to sustain themselves in the long term rather than creating unsustainable infrastructures. USAID will seek innovative and bold sub-grant proposals that: a) demonstrate a commitment to citizen outreach and inclusion and effective strategies to engage or mobilize citizens; b) directly support the USAID Program objectives primarily in Democracy and Governance (where appropriate in Education and Economic Growth); c) employ, when appropriate, strategic use of media in promoting objectives; d) foster partnerships and/or coalitions with other actors (including non-traditional partners such as universities, etc.) especially when tackling difficult reform issues; and e) demonstrate a commitment to neutrality within a highly politicized environment.

Within the CAPA program, most sub-grants will be awarded primarily to serve Objectives 1 and 2. Multi-year sub-grant proposals will be considered. Final criteria for the competitive sub-grant selection will be determined in cooperation with USAID. USAID will also have substantial involvement in the awards decisions. To secure transparency and unbiased selection, the sub-grants selection committee will be comprised of representatives from the implementing organization, USAID, US Embassy, other donor organizations, and experts. Members of the sub-grants selection committee will sign a statement concerning non-disclosure, conflicts of interest and rules of conduct.

Each sub-grant submitted for approval should be in the following format:

- I. Executive Summary
- II. Program Description
  - a. Goal and Objectives
  - b. Target Audience and Geographic Focus
  - c. Proposed Outcomes
  - d. Technical Approach
  - e. Expected Impact
- III. Management Plan (include partnership arrangements where applicable)
- IV. Implementation Schedule
- V. Qualifications, experience and past performance of institutions proposed as sub-grantee
- VI. Budget

The program description must include a clear description of the conceptual approach and general strategy (i.e., methodology and techniques) being proposed and should outline specific, focused activities and explain how the proposed approach is expected to achieve the expected results. Applicants for sub-grants will be encouraged to propose innovative programs designed to reach the desired results. Specifically, results should be defined in relation to how they will contribute to the goals of this program.

**Sustainability:** While sustainability of the civil society sector is beyond the scope of the project given USAID's budget limitation, if successful, the program will lay the foundations for sustainability for domestic resources by: 1) increasing citizen participation and involvement in the CSO sector; 2) augmenting domestic resources available to CSOs by encouraging transparency in public spending; and 3) fostering cooperation among civil society actors on issues of common benefit which strengthens the sector over the long term.

## **VI. Complementarities and Coordination with other Activities and Other Donor Programs**

The implementing partner of the new activity will be required to coordinate with other USAID activities within the Democracy and Governance portfolio on a regular basis and explore possible areas of complementarity. Some specific areas may include providing civil society input/expertise on legislation, coordinating closely with partners on judicial and media reforms, and fostering linkages with USAID's institutional support program. The implementing partner will also coordinate closely with other donor assistance programs including the Swiss Agency for Development and Cooperation (SDC), the EU's Civil Society Facility, and Project for Technical Assistance to Civil Society Organizations (TACSO), the World Bank, the U.S Embassy Democracy Commission Program, the Balkan Trust for Democracy (BTD) in Belgrade, as well as with government funding bodies.

## **VII. Geographic Focus**

The general geographic focus is country-wide with specific emphasis on interventions with nation-wide impact. Applicants will be tasked to propose a strategy for selecting particular regions and municipalities. Current USAID programming demonstrates particular success and promise at the local level.

## **VIII. Gender and Ethnicity**

Implementing partners will be encouraged to support initiatives which are ethnically-balanced when feasible. CSOs may play an important role as leaders and models for integration and integrated approaches and the CAPA will be sensitive to and seize opportunities to improve inter-ethnic cooperation and representation and participation across ethnic lines when appropriate.

Additionally, gender balance will be a consideration in the selection of CSO partners and sectors to be addressed, particularly to ensure an appropriate gender balance in the participation and leadership of these critical programs. The program shall analyze and submit to USAID gender -disaggregated data and propose actions that will address any identified gender-related issues.

## **IX. Results Framework**

The results framework for the Civic Advocacy and Partnership Activity (CAPA) is outlined on the following page.

# Civic Advocacy and Partnership Activity in Macedonia (CAPA)

## Assistance Objective:

### End of project results:

- Increased citizen engagement in local and national issues
- Increased citizen involvement in and support for CSOs
- CSOs mobilize citizens in public processes that contribute to democratic reforms
- CSO expertise in oversight and publicizing institutional performance is improved and informs public and policy debates and processes
- CSO partnerships or coalitions formed that engage in oversight.

### Partners:

- Civil society organizations, foundations, think tanks, universities, informal citizens groups, schools, USAID implementing partners in the Democracy and Governance portfolio, other donors.

IR 1. Stimulate Civic Activism and Participation at National and Local Levels

IR 2. CSOs Conduct Government Oversight, Advocate and Provide Input into Public Policy

IR 3. Establish Sustainable Mechanisms for Regular and Ad Hoc CSO Cooperation and Mobilization on Democratic Reform Issues

### Illustrative Activities:

- Local awareness/public hearing/action campaigns organized around pressing social issues
- Engaging traditionally disenfranchised populations such as youth, ethnic minorities, and seniors.
- Developing frameworks for citizen engagement with local government through mutual cooperation, membership in roundtables, boards, agencies, commissions, working groups or ad hoc panels, where citizens have opportunities to participate in local government decision-making.
- National action or awareness campaigns that promote civic cooperation, solidarity rallies, referendums, signature petitions for legislative initiatives, or “get-involved” campaigns.
- Using IT, websites, media and social networking to generate civic activism, build constituencies, provide information, or share best practices.

### Illustrative Indicators:

- Increased citizen activism in target areas or on target issues
- Increased number of civic action programs
- Increased membership in CSOs (disaggregated by gender)

### Illustrative Activities:

- Research-based advocacy and lobbying
- Research based-analysis to expand public knowledge of policy options through public debate and media
- Oversight of parliament, MPs, the legislative process and implementation of laws
- Oversight of the judiciary (law enforcement, judicial and court reform, judicial decisions, and judges' performance)
- Oversight of government procurement and public spending (national and local)
- Anti-corruption measures
- Promoting EU integration and EU compliance
- Promoting human rights, especially rights of minorities and the disadvantaged and rights violations that are closely tied to abuse or negligence

### Illustrative Indicators:

- Number of laws/policies on which CSOs have significantly advocated
- Number of oversight mechanisms established nationally and locally
- Number of mechanisms established and used for public policy input nationally/locally

### Illustrative Activities:

- Roundtables to lead/mediate among CSOs, resolve conflicts, or help CSOs find common ground and ways of collaborating on particular issues/activities
- Building formal and informal alliances by holding CSO workshops around issues shared by several CSOs (e.g., pressure on watch-dog and human rights groups)
- Building formal and informal alliances among local-level CSOs that share common issues, identities, agendas or geography (e.g., regional CSOs)
- Spurring linkages between national and regional/local CSOs by assisting national level CSOs to establish local chapters, merge with already established local-level CSOs, or form collations with them

### Illustrative Indicators:

- Number of coalitions formed that lead to change in legislation or policies
- Number of partnerships formed between national and local CSOs
- Number of ad hoc and permanent CSO consultative mechanisms formed

## **X. Performance Monitoring and Expected Results**

The Civic Advocacy and Partnership Activity (CAPA) will contribute toward the achievement of USAID's Assistance Objective 1." "Greater Checks and Balances in Democratic Processes"". The activity will directly support Intermediate Result (IR) 1.3 "Citizens Hold Government Accountable" with a focus on Sub IR 1.3.1 "More Effective Oversight and Advocacy by Civil Society".

The illustrative indicators for each project result are listed above under: **IV, 'Illustrative Interventions and Expected Results'** and under **IX, 'Results Framework'** table. The Recipient will develop specific indicators, benchmarks and targets, and establish baseline data against which subsequent performance can be measured.

In addition to the illustrative indicators, a list of mandatory Foreign Assistance Framework Standard Indicators will be utilized to monitor performance of the project components.

(<http://www.state.gov/documents/organization/101762.pdf>). A final list of indicators will be confirmed in collaboration with USAID after the award.

## **XI. Reporting Requirements**

**Initial Work Plan:** Within 30 days of award, the Recipient will be required to submit a draft detailed Work Plan for the first year of activities to the USAID/Macedonia Agreement Officer's Technical Representative (AOTR) for review and approval (two hard copies and an electronic copy). The AOTR must provide written comments on the draft Work Plan within three weeks of receipt and when the plan is finalized, the AOTR will provide written approval.

The Work Plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets; and 5) a timeline for the implementation of the task. In addition, the Work Plan will include: (1) the schedule for advertising and soliciting grant applications; and (2) the grant award criteria and selection processes.

**Performance Monitoring and Evaluation Plan (PMEP):** The initial Work Plan must include the recipient's proposed Performance Monitoring and Evaluation Plan (PMEP) that measures impact and progress toward achieving results over the life of the award. The Performance Monitoring and Evaluation Plan (PMEP) must include indicators, targets, data sources and collection methods, baseline information, benchmarks and schedule for periodic evaluations by the Applicant. The PMEP must include mechanisms through which findings can be incorporated, on a continual basis, to the implementation process.

Applicants must discuss ways in which the collection, analysis and reporting of performance data will be managed under the project. All data collected must be disaggregated by gender and ethnicity, if applicable. In designing the overall monitoring plan, applicants should consider the extent of the Applicant's human and financial resources necessary to implement that plan.

USAID/Macedonia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving activity goals. Baseline data must be finalized no later than 180 days after the award is made.

**Annual Work Plans:** Annual Work Plans for subsequent years are due to the AOTR 30 days before the end of the preceding award year (two hard copies and an electronic copy). The Work Plan should include a list of the tasks to be completed during the year and take into account lessons learned in the prior year of implementation. For each task, the Applicant should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; and 4) a timeline for the implementation of the task. Annual Work Plans will also include detailed budgets with a pipeline analysis of costs incurred and projections of costs for the life of award implementation plan for achieving project outputs.

**Quarterly Performance Progress Reports:** The Recipient shall submit Quarterly Performance Reports to USAID during the duration of the proposed Award. The Applicant shall submit one copy of each Quarterly Performance Report to the USAID AOTR. These reports shall be submitted within 30 days following the end of the reporting period, and shall briefly present the following information contained in 22 CFR 226.51(d):

- I. A comparison of actual accomplishments with the goals established for the period. If the output of program can be readily quantified, such quantitative data should be related to cost data for computation of unit costs.
- II. Reasons why established goals were not met, if applicable.
- III. Other pertinent information including the status of finances and expenditures and, when appropriate, analysis and explanation of cost overruns or high unit costs.

These reports will include progress toward planned achievement of milestones, the implementation and collaboration plan, PMEP data reporting and success stories (highlighting the people-level and institutional-level impact of project activities, accompanied by photographs of the activities described) as well as provide progress toward standard indicators for Operational Plan (OP), USAID Performance Management Plan (PMP) and other USAID reporting purposes.

This report will also include explanation of problems, delays, or adverse conditions and actions taken or contemplated to resolve the situation, or any assistance needed to resolve the situation.

**Midterm Evaluation Report:** USAID will fund and conduct an external mid-term evaluation, which will be conducted in year two of the project. The outcome of the evaluation should be included in the year two work plan. Recommendations and analyses will be used to inform on-going implementation of the project.

**Final Report:** The Recipient is required to submit a Final Report within 90 calendar days after the estimated completion date of the Award. The Recipient shall submit one copy of a Final Report to the USAID AOTR and one copy to the Agreement Officer. In addition, one copy shall be submitted to:

USAID Development Experience Clearinghouse (DEC)

Online (preferred):

<http://dec.usaid.gov>

Mailing address:

Development Experience Clearinghouse

M/CIO/KM

RRB M.01

U.S. Agency for International Development

Washington DC 20523

The Final Report shall contain the following information as described in 22 CFR 226.51(d), 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 project'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 project and evaluation tools and materials, in annex.

#### Financial Reporting

1. The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format to the Paying Office. The Recipient must submit a copy of the Financial Report at the same time to the Agreement Officer's Technical Representative (AOTR) and the Agreement Officer (AO).

Electronic copies of the SF-425 can be found at:

[http://www.whitehouse.gov/omb/grants/standard\\_forms/ff\\_report.pdf](http://www.whitehouse.gov/omb/grants/standard_forms/ff_report.pdf) and:

<http://www.forms.gov/bgfPortal/docDetails.do?dId=15149>.

Line item instructions for completing the SF-425 can be found at:

[http://www.whitehouse.gov/omb/grants/standard\\_forms/ffr\\_instructions.pdf](http://www.whitehouse.gov/omb/grants/standard_forms/ffr_instructions.pdf).

The recipient must submit the original and two copies of all final financial reports to the Paying Office, the Agreement Officer (AO), and the AOTR.

## **XII. Environmental Considerations**

1a) 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. Applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

1b) 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 shall govern.

1c) No activity funded under this Cooperative Agreement 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.")

2) *Reserved.*

3) *Reserved.*

4a) As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient, in collaboration with the USAID AOTR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall

review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

4b) If the *Recipient* plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

### **XIII. SUBSTANTIAL INVOLVEMENT**

Understanding that USAID always has some involvement in assistance awards, including monitoring performance, reviewing reports, or providing approvals, in order to effectively support the achievement of the expected results, in addition to the standard prior approvals, this Cooperative Agreement will also require substantial involvement in the following areas:

#### 1) Annual Work-Plans

USAID AOTR will approve the annual work plans, including a sub-section on collaboration with other USAID programs and other donors. Any significant changes or revisions to the approved work-plans will require additional approval.

#### 2) Key Personnel

USAID will be substantially involved in approving specified key personnel. Pursuant to 22 CFR 226.25(c)(2) and (3), whereby the Agreement Officer must approve changes in key personnel, the Agreement Officer hereby delegates authority to the AOTR to approve the placement or any replacement of key personnel for positions designated in this section. Key Personnel are those considered to be essential to the work being performed under this Award. In accordance with the "Substantial Involvement," the USAID AOTR must approve in writing Key Personnel or their replacement under this Award. The following positions have been designated as key to the successful completion of the objective of this Award.

#### **Illustrative Key Position/Title**

TBD – Chief of Party

TBD - Program/Grants Manager(s)

TBD –Monitoring and Evaluation Specialist

#### 3) Performance Monitoring and Evaluation Plan (PMEP)

As part of the Annual Workplan, USAID AOTR will approve the Recipient's PMEP developed and aligned with USAID's Program Element Indicators, including any significant changes or revisions thereto.

#### 4) Sub-awards

USAID AOTR, will approve the selection criteria and selected sub-recipients (as defined in 22 CFR 226.2) and

the substantive provisions of the sub-awards (as defined in 22 CFR 226.2). The AOTR's approval of the substantive provisions of the sub-awards is limited to technical and programmatic matters only; such approval shall not extend to "contractual"/administrative/financial provisions, which must be in accordance with the terms and conditions of this Award and ADS 303, unless otherwise approved, in advance and in writing, by the Agreement Officer.

Please note that consistent with existing responsibility as per 22 CFR 226.51, section (f), "Recipients shall immediately notify USAID of developments that have a significant impact on the award-supported activities. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation." This provision is applicable to all sub-grants as well as the prime recipient.

**(END OF SECTION C)**

## **SECTION D – REQUIRED FORMS**

### **Applicants shall submit the following forms**

- Survey on Ensuring Equal Opportunity for Applicants
- SF 424 Application for Federal Assistance
- SF 424A Budget Information - Non-Construction Programs
- SF 424B Assurances – Non-Construction Programs

**Electronic submission is preferred using through [www.Grants.gov](http://www.Grants.gov) (under ‘Application’ tab of this RFA) or using the forms inserted in this section on the following pages.**

In order to access the electronic forms for this RFA at [www.Grants.gov](http://www.Grants.gov), applicants shall go to the ‘Application’ tab of the RFA and click the link “download” in “Instructions and Application” column of the table at the bottom of this page, then on the next page click on “2. Download Application Package”.

In case the next page does not display all the above listed forms in their entirety, applicants shall select each form in the block “Mandatory Documents” and hit the arrow under “Move Form to Complete”. Then the form selected and moved under the block “Mandatory Documents for Submission” will automatically appear in the continuation pages of this document.

The CFDA Number for this funding opportunity is 98.001.

-

# Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

**Purpose:** The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

**Instructions for Submitting the Survey:** If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

**Applicant's (Organization) Name:** \_\_\_\_\_

**Applicant's DUNS Number:** \_\_\_\_\_

**Grant Name:** \_\_\_\_\_ **CFDA Number:** \_\_\_\_\_

1. Does the applicant have 501(c)(3) status?

Yes  No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer  15-50  
 4-5  51-100  
 6-12  over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000  
 \$150,000 - \$299,999  
 \$300,000 - \$499,999  
 \$500,000 - \$999,999  
 \$1,000,000 - \$4,999,999  
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes  No

5. Is the applicant a non-religious community based organization?

Yes  No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes  No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes  No

8. Is the applicant a local affiliate of a national organization?

Yes  No

## Survey Instructions on Ensuring Equal Opportunity for Applicants

**Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.**

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

### **Paperwork Burden Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

**If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.

Application	Pre-application	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
<input type="checkbox"/> Construction	<input type="checkbox"/> Construction		
<input type="checkbox"/> Non-Construction	<input type="checkbox"/> Non-Construction		

**5. APPLICANT INFORMATION**

Legal Name:	<b>Organizational Unit:</b> Department:
Organizational DUNS:	Division:
<b>Address:</b> Street:	<b>Name and telephone number of persons to be contacted on matters involving this application (give area code)</b> Prefix:                      First Name:
City:	Middle Name
County:	Last Name
State:                      Zip Code	Suffix:
Country:	Email:

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> <input type="checkbox"/> <input type="checkbox"/>	Phone Number (give area code)	Fax Number (give area code)
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<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>	<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types)  Other (specify)
--	--

<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b>  TITLE (Name of Program): <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<b>9. NAME OF FEDERAL AGENCY:</b>  <b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>
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<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):	
--	--

<b>13. PROPOSED PROJECT</b> Start Date:                      Ending Date:	<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant                      b. Project
--	--

<b>15. ESTIMATED FUNDING:</b> <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td>a. Federal</td><td>\$</td><td>.00</td></tr> <tr><td>b. Applicant</td><td>\$</td><td>.00</td></tr> <tr><td>c. State</td><td>\$</td><td>.00</td></tr> <tr><td>d. Local</td><td>\$</td><td>.00</td></tr> <tr><td>e. Other</td><td>\$</td><td>.00</td></tr> <tr><td>f. Program Income</td><td>\$</td><td>.00</td></tr> <tr><td>g. TOTAL</td><td>\$</td><td>.00</td></tr> </table>	a. Federal	\$	.00	b. Applicant	\$	.00	c. State	\$	.00	d. Local	\$	.00	e. Other	\$	.00	f. Program Income	\$	.00	g. TOTAL	\$	.00	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b> a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON  DATE: b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
a. Federal	\$	.00																				
b. Applicant	\$	.00																				
c. State	\$	.00																				
d. Local	\$	.00																				
e. Other	\$	.00																				
f. Program Income	\$	.00																				
g. TOTAL	\$	.00																				
<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b> <input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No																						

**18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.**

<b>a. Authorized Representative</b>		
Prefix	First Name	Middle Name
Last Name	Suffix	
b. Title	c. Telephone Number (give area code)	
d. Signature of Authorized Representative	e. Date Signed	

## INSTRUCTIONS FOR THE SF424

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

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

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled</td> </tr> <tr> <td>B. County</td> <td>Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify)</td> </tr> <tr> <td>H. Independent School District</td> <td>O. Net for Profit Organization</td> </tr> </table>	A. State	I. State Controlled	B. County	Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify)	H. Independent School District	O. Net for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled																		
B. County	Institution of Higher Learning																		
C. Municipal	J. Private University																		
D. Township	K. Indian Tribe																		
E. Interstate	L. Individual																		
F. Intermunicipal	M. Profit Organization																		
G. Special District	N. Other (Specify)																		
H. Independent School District	O. Net for Profit Organization																		
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award      B. Decrease Award C. Increase Duration    D. Decrease Duration	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

**BUDGET INFORMATION - Non-Construction Programs**

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

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

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

# INSTRUCTION FOR THE SF424A

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

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

## General Instructions

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

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

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

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

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

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

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

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

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

Line 5 - Show the totals for all columns used

### Section B Budget Categories

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

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

Line 6j Show the amount of indirect cost.

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

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

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

### Section C. Non-Federal Resources

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

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

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

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

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

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

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

### Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

### Section F. Other Budget Information

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

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

Line 23 - Provide any other explanations or comments deemed necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ½4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ½1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ½794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ½6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ½½523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ½3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. ½½1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ½½276a to 276z - 276a-7), the Copeland Act (40 U.S.C. ½½276c and 18 U.S.C. ½½874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. ½½327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**(END OF SECTION D**

## SECTION E - ANNEXES

### ANNEX 1 – BRANDING STRATEGY AND MARKING PLAN

#### 1. BRANDING STRATEGY – ASSISTANCE (December 2005)

##### (a) Definitions

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

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

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

(b) **Submission.** The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements** At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

##### (1) Positioning

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

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

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

## **(2) Program Communications and Publicity**

*Who are the primary and secondary audiences for this project or program? Guidelines: Please include direct beneficiaries and any special target segments or influencers. For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents – specifically mothers.*

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

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

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

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

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

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

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

## **(3) Acknowledgements**

*Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor? Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.*

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

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

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

## 2. MARKING PLAN – ASSISTANCE (December 2005)

### (a) Definitions

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

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

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

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

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

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

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

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

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

commodities (22 C.F.R. 226.91(h)(6)).

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

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

(c) **Submission Requirements.** The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

(ii) the rationale for not marking these program deliverables.

**(d) Presumptive Exceptions.**

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

(2) Specific guidelines for addressing each Presumptive Exception are:

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

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

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

### **3. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)**

#### **(a) Definitions**

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

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

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

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

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

**Sub-recipient** means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID sub-award, as defined in 22 C.F.R. 226.2.

**Technical Assistance** means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to sub-recipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

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

#### **(b) Marking of Program Deliverables**

(1) All Recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or

other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Sub-recipients. To ensure that the marking requirements "flow down" to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows:

*"As a condition of receipt of this sub-award, marking with the USAID Identity of size and prominence equivalent to or greater than the recipient's, sub-recipient'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 sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."*

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

*"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International 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."*

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials

produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

**(c) Implementation of marking requirements.**

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

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

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

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

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

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

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

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

(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;

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

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

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

(vii) USAID marking requirements would conflict with international law.

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

**(d) Waivers.**

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

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

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

(4) Approved waivers "flow down" to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

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

## ANNEX 2– MANDATORY AWARD REQUIREMENTS

1. The [Standard Provisions for Non-U.S. Non-governmental Recipients](#) will apply to this award. The provisions are accessible at: <http://www.usaid.gov/policy/ads/300/303mab.pdf>

### 2. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12 (HSPD-12) (SEP 2006) - ASSISTANCE

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 “smart card” IDs to applicable recipients (and recipient employee), using a phased approach. Effective October 27, 2006, USAID will begin issuing new “smart card” IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID’s information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employees) loses or damages his/her existing ID and would need a replacement ID prior to October 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV process described below and be issued one of the new smart cards.) Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID’s information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID’s information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual’s employment with the recipient or completion of the award, whichever occurs first. The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notice, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer. The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee’s employee to have routine physical access to USAID space or logical access to USAID’s Information Systems. .

### 3. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. **Requirement for Central Contractor Registration (CCR).** Unless you are exempted from this

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

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

- (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
- (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

**c. Definitions. For purposes of this award term:**

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://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 <http://fedgov.dnb.com/webform>).

(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 entity

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

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

(4) Subaward:

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

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

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

(5) Subrecipient means an entity that:

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

#### **4. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)**

##### **a. Reporting of first-tier subawards.**

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

(2) Where and when to report.

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

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

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

##### **b. Reporting Total Compensation of Recipient Executives.**

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

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

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

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

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and 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 <http://www.sec.gov/answers/execomp.htm>.)

RFA-“Civic Advocacy and Partnership Activity: (CAPA)

(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](http://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 shall 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 <http://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 (i.e., 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 part 25:

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(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
    - (iii) (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations||).
  - (iv) 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 (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

## **5. Authorized Geographic Code**

The authorized Geographic Code for procurement of goods and services under this Award is 000 (United States). However, local procurement in the Cooperating Country is authorized within the parameters specified in 22 CFR 228.40, 'Local Procurement'. Also, per USAID/General Notice No. 11113, dated November 30, 2010, a blanket waiver for local procurements of commodities and services for up to the amount of \$5,000,000.00 has been approved by the USAID Administrator:

<http://iapp1.usaid.gov/notices/notDetail.cfm?msgid=19657&prev=true&currmo=11&curryr=2010>.

**(END OF SECTION E)**

**SECTION F – ATTACHMENTS/BACKGROUND INFORMATION/REFERENCES**

- 1) Initial Environmental Examination (IEE) – Hard copy attached.
- 2) USAID/Macedonia Strategic Plan Summary 2011-2015  
<http://macedonia.usaid.gov/Documents/PressReleases/USAID%20Strategy%20Summary%20v3.pdf>



**U.S. Agency for International Development  
INITIAL ENVIRONMENTAL EXAMINATION  
OR  
REQUEST FOR CATEGORICAL EXCLUSION  
OF  
Civic Advocacy and Partnership Activity (CAPA)  
USAID/Macedonia**

**A. PROGRAM AND ACTIVITY DATA**

**PROJECT NAME:** Civic Advocacy and Partnership Activity (CAPA)

**ASSISTANCE OBJECTIVE:** Governing Justly and Democratically

**PROGRAM AREA:** Civil Society

**COUNTRY:** Republic of Macedonia

**ORIGINATING OFFICE** Democracy and Governance

**DATE:** 03/08/2011

**IEE AMENDMENT:** Yes  No

**DCN OF ORIGINAL IEE:** TBD

**IMPLEMENTATION START:** September, 2011

**IMPLEMENTATION END:** September, 2015

**LOP AMOUNT:** \$4,040,000.00

**AMENDMENT FUNDING AMOUNT:** N/A

**Environmental Media and/or Human Health Potentially Impacted** (check all that apply):  
None  Air  Water  Land  Biodiversity  Human health  Other

**Environmental Action Recommended:**

Categorical Exclusion:	<input checked="" type="checkbox"/>	Positive Determination:	<input type="checkbox"/>
Negative Determination:	<input type="checkbox"/>	Deferral:	<input type="checkbox"/>
Neg. Deter. with Conditions:	<input type="checkbox"/>	Exemption:	<input type="checkbox"/>

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### **Summary of Findings:**

This activity is being undertaken pursuant to the Mission's Program Area: Civil Society and more specifically under Assistance Objective: Governing Justly and Democratically. Initially, the Mission was considering a combined civil society and media program. Later, a decision was made to separate the components into two separate programs.

The CAPA program is designed to encourage Macedonian CSOs to promote democratic reform. By stimulating civic activism and participation, engaging CSOs in advocacy, oversight and public policy input, and helping CSOs work together, the program will aim to hold government accountable that will lead to greater checks and balances in Macedonia's democratic processes.

This is a new activity and shall be carried out o/a September, 2011 to o/a September, 2015. USAID Macedonia expects to provide \$4,040,000.00 to fund this activity.

### **B. BACKGROUND AND ACTIVITY/PROGRAM DESCRIPTION**

**Program Objective:** The CAPA program will support civil society organizations (CSOs) to promote democratic reform. To achieve this, CAPA will: 1) stimulate civic activism and participation at the national and local levels; 2) enhance the ability of CSOs to conduct government oversight, advocate, and provide input into public policy; and 3) establish sustainable mechanisms for regular and ad hoc CSO cooperation and mobilization on democratic reform issues.

**Program Overview:** The CAPA Program consists of three primary objectives: 1) Stimulate Civic Activism and Participation at the National and Local Levels; 2) CSOs Conduct Government Oversight, Advocate, and Provide Input into Public Policy; and 3) Establish Sustainable Mechanisms for Regular and Ad Hoc CSO Cooperation and Mobilization on Democratic Reform Issues.

#### **Objective 1: Stimulate Civic Activism and Participation at National and Local Levels**

As in many countries in Eastern Europe, there is a disconnect between the government and the governed and civil society and citizens. Citizens often expect government to care for their needs without participation; while government does not allow or recognize the need for citizen input. CSOs often emerged in response to donor priorities and funding without developing their missions and cultivating grassroots support from citizens. Moreover, the politicization and negative portrayal of CSOs in the media further distances citizens from supporting CSOs and civic participation generally.

The CAPA will seek to invigorate civic activism at the local and national levels. Given the lack of engagement and divisions in the country, USAID believes conventional civic education and awareness activities will be—if not ineffective—then insufficient to mobilize citizens toward greater involvement in the political and social life of Macedonia. Civic education that is not linked to participation and action is also insufficient to meet the objectives of CAPA. For this reason, applicants will be urged to propose novel strategies that creatively link awareness with action and involvement. Overall activities should not be one-off or episodic but generate sustained interest, activity, and influence over time. Ideally, some activities or agendas might be structured hierarchically so that small initiatives are linked to more important or geographically broader ones. Strategies for building small activities into regional or national movements will be welcome. Applicants will be encouraged to propose their own approaches, organized along priorities, and that take into account the political, cultural, and social context of Macedonia.

Illustrative activities may include:

- Local awareness/public hearing/action campaigns organized around pressing social issues
- Using culture, sports, and entertainment as vehicles to promote citizen awareness/engagement/solidarity/volunteerism on issues affecting individuals and their communities.

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- Engaging traditionally disenfranchised populations such as youth, ethnic minorities, and seniors.
  - Developing frameworks for citizen engagement with local government through mutual cooperation, membership in roundtables, boards, agencies, commissions, working groups or ad hoc panels, where citizens have opportunities to participate in local government decision-making.
  - National action or awareness campaigns that promote civic cooperation, solidarity rallies, referendums, signature petitions for legislative initiatives, or “get-involved” campaigns.
  - Using IT, websites, conventional media and social networking to generate civic activism, build constituencies, provide information, or share best practices.
  - Providing information about specific initiatives at non-traditional venues (e.g. soccer games, shopping malls, school parking lots) using other strategies such as public consultation vans, information booths, tables.
  - Leveraging the associative power of high schools and universities to increase student and citizen activism and engagement.
  - Establishing cross-regional and cross-sectoral partnerships to unite citizens around common interests and provide enduring mechanisms for resolving common problems.
  - Initiating Legislative changes

## **Objective 2: CSOs Conduct Government Oversight, Advocate and Provide Input into Public Policy**

This objective will require an ability of Macedonian civil society to exert a much greater influence on the state than it now does. Major impediments are the low demand among citizens for public accountability and transparency on the one hand, government unwillingness to allow or recognize the need for citizen input on the other, and reluctance of CSOs to tackle difficult issues. These factors conspire to keep civil society’s visibility low and political influence weak. Currently there are few organizations that advocate, monitor performance of government institutions, implementation of legislation and policies, or provide oversight over public expenditures. There is also a dearth of quality information and analysis to inform debate and public policy options. As a result, in recent years Macedonian civil society has become mute, demonstrating limited desire and ability to play a more vigorous role vis à vis the state. With the politicization and fragmentation of civil society, CSOs remain unwilling to cooperate with each other or join in solidarity against attacks by the authorities. While CSOs advancing democratic reform agendas have faced numerous challenges, USAID believes that the sector could benefit from more strategic approaches to empowering CSOs. Through project and institutional grantmaking, this activity will support civic organizations, coalitions, partnerships, and movements to promote democratic reform through research-based advocacy, lobbying, and oversight. Priority areas will be those that complement USAID’s Democracy and Governance portfolio in strengthening rule of law, parliament, local government, media and civil society. However, prospective grantees may propose other areas where civil society may play a role in promoting democratic reform such as anti-corruption or human rights.

Illustrative activities may include:

- Research-based advocacy and lobbying
- Research based-analysis to expand public knowledge of policy options through public debate and media
- Oversight of parliament, MPs, the legislative process and implementation of laws
- Oversight of the judiciary (law enforcement, judicial and court reform, judicial decisions, and judges’ performance)
- Oversight of government procurement and public spending (national and local)
- Anti-corruption measures
- Monitoring compliance with political and economic criteria for EU membership
- Promoting human rights, especially rights of minorities and the disadvantaged and rights violations that are closely tied to abuse or negligence
- Increasing participation in public policy, law making processes
- Mobilizing constituencies to support specific reform agendas

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### **Objective 3: Establish Sustainable Mechanisms for Regular and Ad Hoc CSO Cooperation, and Mobilization on Democratic Reform Issues**

Currently, CSOs articulate many common concerns and threats but organizations stand alone or are divided. Polarization of the sector is a chronic problem. There are a variety of challenges which the sector faces such as low public confidence, attacks on individual CSOs by the government or media, bleak prospects for financial sustainability, ambiguities in the CSO legislation, and a lack of financial conditions to promote financial sustainability, but there has been very little collective response from civil society. Moreover, there are few fora where citizens can come together to discuss current issues critical to the future of democracy in Macedonia and the role that civil society may play in its reform and its future. USAID believes that the civil society sector could be strengthened and improve its position if it can cooperate on common issues, opportunities, and challenges. Mobilizing such groups behind common agendas can provide many benefits including public visibility and weight needed in negotiations with the government. In the past, cooperative efforts that were driven by donors fell apart as funding ceased. Grantees will propose ways to improve cooperation, collaboration, and coalition- building among CSOs in support of democratic reform. Approaches should also address ways of encouraging multi-ethnic collaboration and cooperation across CSOs and communities. This may entail identifying common issues and missions among CSOs. For example, focus groups may be used to bring together reform-minded actors to discuss challenges and opportunities in their sectors (or sub-sectors) and to develop common strategies for addressing them. USAID views this as a first step to possible cooperative action, coalition-building, and so forth. CSO fora can also help the CAPA to remain current and assist the sector in adapting to emerging trends, threats, and opportunities.

Illustrative activities may include:

- Roundtables to lead/mediate among CSOs, resolve conflicts, or help CSOs find common ground and ways of collaborating on particular issues/activities
- Building formal and informal alliances by holding CSO workshops around issues shared by several CSOs (e.g., pressure on watch-dog and human rights groups)
- Building formal and informal alliances among local-level CSOs that share common issues, identities, agendas or geography (e.g., regional CSOs)
- Spurring linkages between national and regional/local CSOs by assisting national level CSOs to establish local chapters, merge with already established local-level CSOs, or form collations with them

### **C. COUNTRY AND ENVIRONMENTAL INFORMATION (BASELINE INFORMATION)**

#### **Country Information**

Since independence in 1991, Macedonia has often been cited as a model of democratic transition in the Balkans, having checked conflict through the Ohrid Framework Agreement and being among the first countries in the region to become a candidate for EU membership. In the past few years, however, democratic progress has stagnated. While basic governance institutions and processes are in place, recent assessments have identified persistent dysfunctions, including excessive executive branch influence over a judiciary crippled by a steep backlog of cases and low public confidence. The parliament is largely a 'rubber stamp' for the governing coalition with little desire to deliberate on legislation sent to it by the executive or entertain citizen input or views deviating from the party line. The media is subject to significant political interference with most major outlets linked to political parties and the government serving as the principal consumer of media advertising. High rates of unemployment and poverty continue to be a discouraging factor.

Macedonian civil society has had minimal effect on countering these disquieting trends. Historically, Macedonian civil society has not sufficiently pressured government or political parties to pay more attention to policy reform. After independence, civic activism tended to focus on human rights, the

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environment, and other, mostly non-contentious issues. Civic monitoring and oversight of government, and research, analysis, and policy making is a more recent development. With few exceptions, civil society organizations (CSOs) in Macedonia have shied away from tough issues. There is a particular dearth of organizations overseeing transparency and accountability of democratic institutions and implementation and enforcement of legislation.

The highly politicized environment in Macedonia makes it challenging for the few CSOs who monitor the government to maintain neutrality and independence. Organizations that provide critical input to public institutions or processes are frequently publicly perceived as politically-motivated supporters of the opposition. Those that do participate in the few opportunities to cooperate with government on legislation, policies, or strategies are often perceived as pro-government. The proliferation of government -organized NGOs (GONGOs) has further complicated the civil society scene. These organizations appear suddenly, support a governmental position, and disappear the next day. Their presence damages the development of genuine civil society by blurring the distinction between independent and pro-government initiatives and undermining authentic civic initiatives.

In addition to politicization, there is chronic polarization and rivalry within civil society. With few exceptions, civil society has failed to form coalitions or networks to achieve outcomes for the benefit of the sector. Some polarization is due to competition over funding. The civil society sector remains excessively reliant on donor support; financial competition—especially as donor funding diminishes—hinders cooperation on shared goals. Additionally, there are deepening cleavages about tactics on how to address reform issues: some wish to advocate boldly, while others prefer to seize opportunities to work in concert with government or remain on the sidelines and maintain a low profile.

With few exceptions, there are limited opportunities for civil society to engage with the executive, legislature, or local government on substantive issues.

Increasingly, CSOs report defensive and sometimes hostile reactions from authorities when they engage in activities which present critical views of performance. Some CSOs have faced economic and political pressures if they speak out against government policies, including intimidation or excessive scrutiny over their organization. Organizations which tackle democratic reforms are among the most vulnerable as their agendas, missions, and activities are unpopular with the state and often misunderstood by the general public.

In addition, CSOs have failed to influence public discourse on substantive issues, in part because of a dearth of quality research and analysis on issues, which is vital to Macedonia's future.

Like other countries in the region, the link between citizens and civil society in Macedonia is weak. CSOs have not effectively built constituencies and have dedicated minimal efforts to reach out to potential supporters. For their part, citizens are reluctant to engage in civic activities, as many do not fully understand the role of civil society and the concept of civic responsibility and are cynical about their ability to affect the status quo.

Moreover, too often CSO monitoring, lobbying, and watchdog activities are viewed with suspicion as they are perceived as challenging the authority of the state.

Finally, financial sustainability is one of the biggest challenges for the future of civil society in Macedonia. CSOs depend heavily on support from foreign donors which has declined precipitously in recent years.

## **Baseline Environmental Information**

### **a) Environmental Context**

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In a May, 2010 report, Macedonia's Ministry of Environment and Physical Planning notes that "human influence in the form of agricultural intensification and poor resource planning and management pose immediate threats to the future existence of numerous globally threatened species and small-range endemics". The report also notes that what is needed to address these threats is "a concerted attempt at establishing formal, top-down conservation policies based on integrated sustainable ecosystem management." While the recent USAID Biodiversity Analysis concurs with the need to establish top-down policies, it also stresses the need for a participatory approach in their formulation, especially through civil society and local governments. The CAPA program may develop a platform that will stimulate civil society (potentially including environmental NGOs) to monitor these threats and the Government of Macedonia's efforts to counter these threats.

## **b) Policy Context**

The National Programme for Adoption of the Acquis (NPAA) Communautaire (2009) is a key document for the EU integration process reflecting the harmonization of Macedonia's national legislation with European laws, as well as the adjustment of national institutions to the European administrative structures. It comprises the plans for harmonization of national legislation with EU legislation, the needs for institutional strengthening for implementation of regulations, as well as the resources required.

On 9 November 2010, the EU assessment on integration for all sectors was released. In the environment sector the assessment is expected to note that the main legislation is not fully harmonized with EU legislation; secondary legislation (regulations) are not fully transposed; implementation is limited (among the reasons are the insufficient staffing levels at Central level and at national parks, limited equipment, and unclear organizational framework); at municipal level there is inadequate capacity; and many protected areas lack management plans.

**D. EVALUATION OF ACTIVITY WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL AND IDENTIFICATION OF MITIGATION MEASURES**

**1. Program Objective: – Stimulate Civic Activism and Participation at National and Local Levels**

<b>Table 1 Illustrative activities under Program Objective One— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
1.1 Local awareness/public hearing/action campaigns organized around pressing social issues	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.2 Using culture, sports, and entertainment as vehicles to promote citizen awareness/engagement/solidarity/volunteerism on issues affecting individuals and their communities.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.3 Engaging traditionally disenfranchised populations such as youth, ethnic minorities, and seniors.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.4 Developing frameworks for citizen engagement with local government through mutual cooperation, membership in roundtables, boards, agencies, commissions, working groups or ad hoc panels, where citizens have opportunities to participate in local government decision-making.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.5 National action or awareness campaigns that promote civic cooperation, solidarity rallies, referendums, signature petitions for legislative initiatives, or “get-involved” campaigns.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.6 Using IT, websites, conventional media and social networking to generate civic activism, build constituencies, provide	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A

<b>Table 1 Illustrative activities under Program Objective One— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
information, or share best practices			
1.7 Providing information about specific initiatives at non-traditional venues (e.g. soccer games, shopping malls, school parking lots) using other strategies such as public consultation vans, information booths, tables.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.8 Leveraging the associative power of high schools and universities to increase student and citizen activism and engagement.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.9 Establishing cross-regional and cross-sectoral partnerships to unite citizens around common interests and provide enduring mechanisms for resolving common problems.	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
1.10 Initiating Legislative changes	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A

**2. Program Objective: – CSOs Conduct Government Oversight, Advocate and Provide Input into Public Policy**

<b>Table 1 Illustrative activities under Program Objective Two— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
2.1 Research-based advocacy and lobbying	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.2 Research based-analysis to expand public knowledge of policy options through public debate and media	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.3 Oversight of parliament, MPs, the	No environmental impact	[22CFR216.2(c)(2)(i)]	N/A

<b>Table 1 Illustrative activities under Program Objective Two— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
legislative process and implementation of laws	determined.		
2.4 Oversight of the judiciary (law enforcement, judicial and court reform, judicial decisions, and judges' performance)	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.5 Oversight of government procurement and public spending (national and local)	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.6 Anti-corruption measures	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.7 Monitoring compliance with political and economic criteria for EU membership	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.8 Promoting human rights, especially rights of minorities and the disadvantaged and rights violations that are closely tied to abuse or negligence	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.9 Increasing participation in public policy, law making processes	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
2.10 Mobilizing constituencies to support specific reform agendas	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A

**3. Program Objective: – Establish Sustainable Mechanisms for Regular and Ad Hoc CSO Cooperation, and Mobilization on Democratic Reform Issues**

<b>Table 1 Illustrative activities under Program Objective Three— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
3.1 Roundtables to lead/mediate among CSOs, resolve conflicts, or help CSOs find common ground and ways of collaborating on particular issues/activities	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A

<b>Table 1 Illustrative activities under Program Objective Three— Potential Environmental Impacts, and Recommended Environmental Determination and Mitigation Measures/Conditions</b>			
<b>Illustrative Activities</b>	<b>Potential Impacts</b>	<b>22 CFR 216 Environmental Determination</b>	<b>Mitigation Measures/Conditions</b>
3.2 Building formal and informal alliances by holding CSO workshops around issues shared by several CSOs (e.g., pressure on watch-dog and human rights groups)	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
3.3 Building formal and informal alliances among local-level CSOs that share common issues, identities, agendas or geography (e.g., regional CSOs)	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A
3.4 Spurring linkages between national and regional/local CSOs by assisting national level CSOs to establish local chapters, merge with already established local-level CSOs, or form collations with them	No environmental impact determined.	[22CFR216.2(c)(2)(i)]	N/A

## **E. RECOMMENDED ENVIRONMENTAL ACTION**

### **1. Recommended Environmental Threshold Determinations:**

#### **Categorical Exclusions:**

A categorical exclusion is recommended for the following activities:

- A categorical exclusion pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc) is recommended for all of the activities listed in the tables above.

Per 22 CFR 216.2(c)(1), neither an IEE nor an EA is required for activities which are determined to fall within one or more of the classes of activities listed in 22 CFR 216.2(c)(2).

## **F. MANDATORY INCLUSION OF ENVIRONMENTAL COMPLIANCE REQUIREMENTS IN SOLICITATIONS, AWARDS, BUDGETS AND WORKPLANS**

- Appropriate environmental compliance language shall be included in solicitations and awards for this activity with an appropriate level of funding and staffing to satisfy the environmental compliance requirements set forth in this IEE. Environmental mitigation and monitoring requirements shall also be included in solicitations and awards.
- Adherence to the conditions set forth in this IEE shall be included as PMP Indicator.
- Implementing partner will incorporate conditions set forth in this IEE in to their work plans and an indicator for environmental compliance shall be included as part of the project's performance monitoring plan.

## **G. LIMITATIONS OF THE IEE:**

This IEE does not cover activities involving:

- Sanitation and sewage activities having the potential for adverse impact on the natural or physical environment;
- Support to extractive industries (e.g. mining and quarrying).
- Support for activities that promote timber harvesting;
- Assistance for the procurement (including payment in kind, donations, guarantees of credit) or use (including handling, transport, fuel for transport, storage, mixing, loading, application, clean up of spray equipment, and disposal) of pesticides or activities involving procurement, transport, use, storage, or disposal of toxic materials. Pesticides cover all insecticides, fungicides, rodenticides, etc. covered under FIFRA – 'Federal Insecticide, Fungicide, and Rodenticide Act'.
- Potential activity components dealing with privatization of industrial facilities or infrastructure with heavily polluted property. In such cases, an amendment to the IEE will be required to conduct Environmental Liability Assessment (ELA) as part of the privatization process.
- Procurement or use of genetically modified organisms (GMOs).
- Project preparation, project feasibility studies, and infrastructure investments for projects that may have a potentially significant impact on the environment.

Any of the above actions would require an amendment to the IEE approved by the E&E Bureau Environmental Officer (EE/BEO).

## **H. REVISIONS:**

Pursuant to 22 CFR 216.3(a)(9), if new information becomes available that indicates that activities covered by the IEE might be considered “major” and their effect “significant,” or if additional activities are proposed that might be considered “major” and their effect “significant,” this recommendation for Categorical Exclusion, Negative Determination with conditions, and Positive Determination will be reviewed and, if necessary, revised by the Mission Environmental Officer (MEO) with concurrence by the EE/BEO. It is the responsibility of the USAID AOTR to keep the MEO and BEO informed of any new information or changes in the activity that might require revision of the IEE.

## **I. RECOMMENDED ENVIRONMENTAL THRESHOLD DECISION**

A categorical exclusion is recommended for the following activities:

- 1.1, 1.2, 1.3, 1.4, 1.5, 1.6, 1.7 pursuant to 22 CFR 216.2(c)(2)(i) for education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc)