



UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT

NIGERIA

Metro Plaza, 3rd Floor
Plot 992, Zakaria Maimalari Street, Central Area
PMB 519, Garki, Abuja

RFA COVER LETTER

RFA Issuance Date: December 21, 2004

RFA Closing Date: February 7, 2005

RFA Closing Time: 2 PM (Nigeria time)

SUBJECT: USAID/Nigeria Request for Applications (RFA) Number 620-05-002 on Advocacy, Awareness and Civic Empowerment (ADVANCE)-FINAL

The United States Agency for International Development (USAID), represented by USAID/Nigeria, is seeking applications for a Cooperative Agreement (CA) from an organization/consortium for funding a 5-year program in advocacy, awareness and civic empowerment. The program will be focused on improving governance by means of activities that develop institutional and organizational capacities among civil society organizations (CSOs), enhance advocacy skills, expand civic awareness and foster strategic partnerships that empower citizens to participate effectively in democratic institutions. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description (Section II) for a complete statement of goals and expected results.

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

Since the mid-1990's civil society support programs have been one of the core elements in USAID's democracy and governance agenda; reflecting awareness that building sustainable democracies in post-authoritarian regime contexts requires the emergence of autonomous centers of social and economic power that are capable of demanding and promoting good governance. The key elements of good governance are commonly understood to include transparency and accountability, consensus, efficiency, equity and rule of law, as well as citizens' participation in public policy-making and oversight of public institutions and actors. Beginning in the late 1990's USAID's support for civil society in transitional democracies became inextricably inter-twined with efforts to fight corruption, increase transparency and improve accountability.

On October 5, 2000, Congress passed the *International Anticorruption and Good Governance Act* (IAGGA) (Public Law 106-309), "to ensure that United States assistance programs promote good governance by assisting other countries to combat corruption throughout society and to improve transparency and accountability at all levels throughout the government and private sector." More recently, the U.S. Department of State's and USAID's joint plan for advancing sustainable development (2004-2009) focuses assistance on governance by supporting and encouraging governments that fight corruption and safeguard the rule of law, pluralism and good governance.

This RFA seeks an assistance package that will strengthen the capacity of Nigerian civil society organizations to address the societal and institutional causes and consequences of corrupt practices that have served to limit transparency, impede accountable governance, and retard the consolidation of democratic institutions. While this RFA seeks partners who can bring cutting-edge democracy and governance (D/G) expertise in the area of advocacy, awareness and civic empowerment the program is intended to be multi-sectoral (i.e., environment, agriculture, health, education, HIV/AIDS, small micro-enterprise) and work with civil society to call for, and implement, transparent budgeting, procurement and management procedures. It is, therefore, intended not only to contribute to strengthening the foundation of democratic governance but also to have positive impacts on social sector and HIV/AIDS service delivery, as well as improving the enabling environment for the private sector.

Subject to the availability of funds, USAID intends to provide up to \$8 million in total funding to be allocated over the five-year period. USAID reserves the right to fund any or none of the applications submitted. (Of the total, \$2 million has been illustratively earmarked for sub-grants to Nigerian CSOs to implement activities under each of the program's elements.)

In recognition of the many challenges in today's development assistance environment, and in the context of USAID's new Global Development Alliance (GDA), the formation of public-private alliances in implementing its programs is strongly encouraged. The U.S. Government believes this RFA may offer such an opportunity and is therefore specifically requesting comment on the feasibility of public-private partnerships for this program. Potential applicants are strongly encouraged to think innovatively and creatively about ways to draw forth significant non-federal resources, be they in cash or in kind, and to incorporate commitments to such resources into their proposals to USAID. More information about USAID's Global Development Alliance can be found at www.usaid.gov/gda and more about the specific USAID objectives in Nigeria may be found at <http://www.usaid.gov/ng/>

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

1. Section I - Grant Application Format;
2. Section II – Program Description;
3. Section III - Selection Criteria;
4. Section IV - Certifications, Assurances, and Other Statements of Applicant/Grantee;

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

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

Via Courier:

Mr. Kenneth P. LuePhang
USAID/Nigeria
Metro Plaza
Plot 992, Zakariya Maimalari Street
Central Business District, P.M.B. 519, Garki
Abuja, NIGERIA

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

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any

resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a grant or cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the FedGrants Web Site which is <http://www.fedgrants.gov/>. Select Applicants should then click on "Offices" next to AID. On the following screen, select "Locations" next to Overseas Missions. And finally, click on "Posted Dates" next to Africa USAID-Nigeria, Washington DC (row number 2 from the list top). It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

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

- (a) Section III - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) Section II - the Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Kenneth P. LuePhang, with a copy to Jackie Ramanitrera via facsimile at 234-9-234-3761 or via internet respectively at kluephang@usaid.gov; and jramanitrera@usaid.gov before January 12, 2005 at 2:00 p.m. (Nigerian time). Any additional information regarding this RFA will be provided through an amendment to this RFA. If there are problems in downloading the RFA off the INTERNET, please contact the USAID Federal Business Opportunities system Administrator on (202) 712-1799. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Kenneth P. LuePhang
Agreement Officer
USAID/Nigeria

TABLE OF CONTENTS

Section I – Grant Application Guidelines

- A. General Application Instructions
- B. Preparation of the Technical Application
- C. Preparation of the Cost Application

Section II – Program Description

- A. Summary Introduction
- B. Purpose
- C. Detailed Program Description
- D. General Requirements

Section III – Evaluation Criteria

- A. Overview
- B. Evaluation Criteria
 - 1. Technical Proposal
 - 2. Cost Proposal
- C. Agreement Award

Section IV – Certifications, Assurances and Other Statements

Part I - Certifications And Assurances

Part II - Other Statements Of Recipient

Key Individual Certification Narcotics Offenses
And Drug Trafficking

Participant Certification Narcotics Offenses And Drug Trafficking

Certification Regarding Material Support And Resources

List of Acronyms and Abbreviations

AAP	Acquisition and Assistance Policy Directive
ADS	Automated Directive System
ADVANCE	Advocacy, Awareness and Civic Empowerment
AO	Agreement Officer
BMPIU	Budget Management and Price Intelligence Unit
BTN	Budget Transparency Network
CA	Cooperative Agreement
CO	Contract Officer
CSOs	Civil Society Organizations
CTO	Cognizant Technical Officer
CSP	County Strategic Plan
D/G	Democracy & Governance
EEO	Equal Employment Opportunity
EFCC	Economic and Financial Crimes Commission
EITI	Extractive Industries Transparency Initiative
EVIAN	G8 Summit, 2003 (Evian, France)
FAR	Federal Acquisition Regulations
FCT	Federal Capital Territory
FOIC	Freedom of Information Coalition
FY	Fiscal Year
GDA	Global Development Alliance
GDP	Gross Domestic Product
GON	Government of Nigeria
IAGGA	International Anti-Corruption and Good Governance Act
ICPC	Independent Corrupt Practices Commission
IP	Implementing Partner
IR	Intermediate Results
JHU/CCP	Johns Hopkins University/Center for Communications Programs
LADDER	Labor Advancing Democracy Development and Economic Reform
LGA	Local Government Authority
LOP	Life of the program
M&E	Monitoring and Evaluation
MPP	Mission Performance Plan
NAFDAC	National Agency for Food and Drug Administration and Control
NBA	Nigerian Bar Association
NEEDS	National Economic Empowerment and Development Strategy
NEPAD	New Partnerships for Africa's Development
NGO	Non Governmental Organization
NLC	Nigerian Labor Congress
NOA	National Orientation Agency
OE	Operating Expense
OMB	Office of Management and Budget
OSIWA	Open Society Initiative for West Africa
OYB	Operating Year Budget
PACE	Partnerships for Advocacy and Civic Empowerment
PMP	Performance Management Plan
PROSPECT	Promoting Stakeholder Participation in Economic Transition
PVOs	Private Voluntary Organizations
PWYP	Publish What You Pay Coalition

RFA	Request for Application
SEEDS	State Economic Empowerment and Development Strategy
SF	Standard Form
SO	Strategic Objective
TMG	Transition Monitoring Group
USAID	United States Agency for International Development
USG	United States Government
ZCC	Zero Corruption Coalition

SECTION I - GRANT APPLICATION FORMAT

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

The instructions are broken into three parts covering: A) general application instructions, B) the preparation of the Technical Application and C) the preparation of the Cost/Business Application.

A. General Application Instructions

The following general guidance is applicable to the submission of applications under the Request for Applications (RFA).

1. Applicants: USAID will entertain applications from U.S.-registered non-governmental entities such as private, non-profit organizations (or for-profit companies willing to forego profits), including private voluntary organizations, universities, research organizations, professional associations, and relevant special interest associations. Reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost standards (OMB Circular A-122 for non-profit organizations), may be paid under the agreement contemplated by this RFA.

Nigeria needs expertise, ideas and input from the best sources available globally to partner with the impressive human resource base in-country. Therefore, USAID/Nigeria opens the application process to organizations that do not currently have country program experience. Applications should clearly describe proposed relationships to host country entities, and include evidence of host country entity commitment to the program.

2. Responsiveness: Applicants should submit an application directly responsive to the terms, conditions, specifications and clauses of this RFA. Applications not conforming to this RFA may be categorized as non-responsive and eliminated from further consideration. The technical application should not make specific reference to specific costs or detailed pricing. That information should be included in the Cost/Business Application.
3. Language: It is USAID policy that English shall be the official language of all award documents. As a result, it is required that all parts of the Technical Application and attachments, as well as the Cost Business Application and attachments, must be in English.
4. Copies: One (1) original plus seven (7) copies of a technical application, and one (1) original plus three (3) copies of a cost/business application must be submitted. In addition to hard copies, Applicants must supply a copy of their proposal on a 3.5-inch disk in Word 2000. Any graphics/tables must be drafted in or converted to Word 2000 or Excel 2000. Applicants should retain for their records one copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.
5. Envelopes: All copies of the technical and cost/business applications must be placed in separate sealed envelopes clearly marked on the outside with the following words "RFA No. 620-05-002 Technical Application" for the copies of the Technical Application and "RFA No. 620-05-002 Cost/Business Application" for the copies of the Cost/Business Application. These two individual envelopes must then be bundled together to be received as one complete package. Applications should be submitted in sealed envelopes.
6. Point of Contact: Applications are due to Mr. Kenneth Luephang no later than 2:00 PM (Abuja, Nigeria, time), February 7, 2005.

Applications should be addressed as follows if sent via courier:

Mr. Kenneth P. LuePhang
USAID/Nigeria
Metro Plaza
Plot 992, Zakariya Maimalari Street
Central Business District, P.M.B. 519, Garki
Abuja, NIGERIA
Telephone: (234) 9-234-3048

7. Delivery: Telegraphic or faxed applications are not authorized for this RFA and will not be accepted. Applications that are submitted late, incomplete or are non-responsive may not be considered.
8. Unnecessarily Elaborate Proposals: Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the Applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
9. Length: The Application body is limited to a total of 50 (fifty) pages. This 50-page limit is in addition to the cover page, table of contents, executive summary, and authorized attachments, resumes, and letters of commitment. The technical proposal shall be printed using Times New Roman 12pt font size for text and Times New Roman 10pt font for tables.
10. Information non-disclosure: Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
 - (a) Mark the title page with the following legend:

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

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."
11. Environmental Review: If it is anticipated that proposed activities have environmental impacts, Applicant(s) must state clearly that environmental considerations will be addressed during program implementation and will be a component of the Applicant's annual work plan. Note that environmental considerations require a relatively detailed description and analysis of planned interventions; recommended mitigative measures; and local public participation in the review process. For further information and additional guidance, consult USAID's Automated Directive System (available at <http://www.usaid.gov/pubs/ads/>). If no environmental impacts are anticipated, Applicants are required to state that clearly.
12. Authority to Obligate the Government: The Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed agreement may be incurred before receipt of either an agreement signed by the Agreement Officer or a specific, written authorization from the

Agreement Officer.

13. Terrorism: The potential recipient of this Agreement is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.
14. Foreign Government Delegations to International Conferences: Funds in this agreement and amendment(s) 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 or as approved by the CO/AO/CTO. See ADS reference at [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

B. Preparation of the Technical Application

The suggested format for the technical application is:

1. Cover Page: Should include the RFA title, name of organization(s) submitting application, contact person, telephone and fax numbers, address, and e-mail, plus an identification of all partner organizations.
2. Executive Summary: (not to exceed 3 pages – Times New Roman 12 pt character pitch): Briefly describe the proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of the Applicant. Describe how the overall program will be managed. State the *bottom line* funding request from USAID and the *bottom line* funding secured from other sources (state sources and amounts) for the proposed program.
3. Application Body: (not to exceed 50 pages – Times New Roman 12 pt character pitch): The application must include sufficient information for USAID to analyze and evaluate the application completely and fairly under all of the evaluation criteria specified. The application should also clearly address the issues raised in the program description. In addition, the technical application should have the following sections:

a) Relevant Nigerian Context

In this section, the Applicant should describe the current social and political situation, the relations between civil society and government and the key causes and consequences of weak democratic institutions in Nigeria. The applicant should be able to demonstrate familiarity with the considerable body of research and knowledge that already exists on governance issues, including corruption, in Nigeria. This familiarity will enable applicants to be able to succinctly describe how lack of transparency and accountability; efficiency; equity and rule of law; and, participation have negatively impacted the country's citizens. The application will need to demonstrate a strong and up-to-date understanding of governance issues in Nigeria (particularly the relationship between Nigeria's development challenges and corruption), and demonstrate the applicant's capacity to devote considerable time and effort to tracking and incorporating cutting-edge global expertise on civil society, advocacy, governance and anti-corruption into its programs. The presentation should explain how gender considerations will be fully integrated into the program. Potential applicants are advised that during the development of the new Country Strategic Plan (CSP) extensive assessments were conducted that can be called upon for valuable and timely guidance in completing this section.

b) Management Structure and Decision-Making

USAID expects this RFA to be implemented by organizations that will be based in Nigeria to ensure comprehensive technical coverage and effective coordination among a range of Nigerian partners. The successful applicant will be required to collaborate effectively with a variety of international and local partners working on capacity-building, advocacy, awareness, civic empowerment, and transparency and accountability issues. Applicants should, therefore,

describe a management structure that has demonstrated success in coalition building and networking; and, as appropriate, discuss how umbrella-type organizations will share information, coordinate programs, and allocate responsibility, locally, regionally, nationally and internationally. It should also include a discussion about how implementing partners will coordinate their work with other funding agencies, including multinational corporations and international donors.

A substantial small grants component (illustratively set at \$2.0 million) is anticipated under this RFA to support independent advocacy and awareness activities, and in view of the complexity of administering a grant component, Applicants should propose a small grants management approach that is efficient and risk sensitive and contributes significantly to achieving the objectives and intermediate results outlined in the Performance Management Plan. The plan should reflect USAID's regulations governing grant programs found in its Automated Directive System (ADS) and Acquisition and Assistance Policy Directive (AAPD).

Applications should demonstrate an aggressive approach to strengthening organizational capacity among civil society coalitions and support for developing local leadership in carrying out the program. The presentation should include a discussion of efforts to build sustainability that will clearly define expectations of what will be the program's legacy at the end of the cooperative agreement

The value of sub-grants will vary depending upon the number of organizations actually seeking support, as well as the activities to be undertaken. Previous awards have fallen within the range of \$25,000 to \$150,000 per organization and it is reasonable to assume these parameters will obtain for future awards. Suggested eligibility criteria for sub-grantees might include:

- CSOs have official non-profit status in Nigeria;
- CSOs represent sector-based constituencies covering, human rights groups; professional associations; religious institutions; business associations; labor unions or trade associations; media organizations; technical institutions and others;
- CSOs have demonstrated awareness of the needs and challenges involved in advocacy, awareness-building and civic empowerment; and,
- The provision of matching contributions, such as personnel time or other in-kind contributions are not a requirement, but will weigh favorably if a choice has to be made among equally strong proposals.

The prime Applicant will assume all financial management responsibilities (contingent on meeting USAID pre-award requirements), and provide all required USAID SO11 program reports for all program activities. The proposed key personnel will be based in Nigeria, including the Chief of Party.

In proposing their management approach, Applicants should take into consideration that USAID will have *substantial involvement* in the implementation of the program. Substantial involvement includes but is not limited to participating in strategic planning exercises, serving as a resource to facilitate coordination among partners and donors, providing technical guidance for specific program interventions, monitoring the progress toward achieving results, approving annual work and monitoring plans and modifications, and designation and approval of all key personnel. Given the significant investment that USAID has in the sector Agency involvement will include identification of potential host country partner organizations, who among others, are committed to democratic governance activities.

Applications should lay out a clear plan for integrating transparency and accountability into other Mission programs designed to address, for example, sector-based issues in economic and agricultural development, health, education, social service delivery, and democracy and governance.

c) Anticipated USAID Funding Parameters

Depending on availability of funds, approximately \$8 million will be provided for the 5-year life of the program. **Illustratively, \$2.0 million (25 percent) will, over the life of the program, be allocated to sub-grant activities under Outcomes 2 and 3** (see Section II C, “Detailed Program Description”).

The funding for this Cooperative Agreement comes exclusively from Development Assistance (DA) and in this regard, the authorized geographic code for procurement of goods and services is 935.

d) Implementation Plan

USAID/Nigeria intends that all activities funded through this RFA will be coordinated under a single work plan and will explicitly build on the activities of the DG portfolio under the Transition Strategy (1999 – 2003), the DG strategy under the new CSP (2004 – 2009) as well as other Mission Strategic Objectives (SOs). The coordinated approach to work and implementation planning reflects the level to which civil society support activities will be integrated across sectors and Strategic Objectives. Given the synergies that are expected to develop, especially at the national, state and local beneficiary level, it is imperative that all implementing partners under this RFA work closely together. Applicants will provide an initial illustrative start-up Implementation Plan as well as a broader Implementation Plan for the five-year project period.

Applicants should present a flexible implementation plan that is able to respond to changing opportunities and needs; specifies anticipated program outcomes and results and identifies appropriate quantitative and qualitative process and impact indicators; tracks results; and clearly identifies what constitutes achievement of program goals

All Implementation Plans should be presented in matrix format; include proposed activities for the time frame indicated; and identify local partners where appropriate.

Illustrative start-up Implementation Plan: to be included with the application, will cover the start-up period from date the CA is signed (estimated to be approximately March 1, 2005) through September 30, 2005. Note: Sixty (60) days after the commencement of the award, the awardee will submit for USAID/Nigeria’s approval a detailed implementation plan covering the start-up period through September 30, 2005. Subsequent implementation plans for the remaining years of the project will be prepared and submitted to USAID/Nigeria 30 days prior to the end of the previous year’s implementation plan.

Implementation Plan: The illustrative five-year Implementation Plan will provide a timeline that reflects proposed implementation thresholds over the life of the program. Note that the proposed program must demonstrate the ability of the Applicant to staff and equip the program in a timely manner, effect a smooth transition from USAID’s current activities, and achieve PMP targets.

e) Monitoring, Evaluation and Reporting

The principal responsibility for implementing M&E will fall on the Recipient. However, an umbrella M&E contractor providing services for the entire Mission will provide guidance to the SO teams and Implementing Partner on all aspects of M&E.

Performance and Results

Applicants are required to submit with their application a draft performance management plan that identifies: the framework of results their efforts will achieve: illustrative indicators to measure the achievement of these results; linkages to results and performance measures in SO11’s performance management plan; prospective contributions to results achievement under the other SOs in the CSP; as well as the expected magnitude of change to be witnessed over a five year period as a direct consequence of this \$8 million program. The awardee’s draft PMP will be finalized

within the first six months of implementation, in collaboration with the SO11 team and the Mission's umbrella monitoring and evaluation contractor.

Applicants will propose a plan to establish baseline indicator data, and then monitor and evaluate the performance and impact of the proposed civil society program, including collecting data to support indicators identified in the Mission's Performance Management Plan (PMP) and CSP.

Reports

Awardee will be requested to submit quarterly technical and financial reports. Semi-annually, the Awardee will be requested to evaluate overall performance according to a set of determined indicators, describe success stories, justify under-achievement of targets and significant budget variations, discuss lessons learned, and recommend changes to the proposed program and work plan, if applicable. **IPs will also be asked to maintain and update a database of programs, success stories, impact indicators, and lessons learned** so that if the USAID Mission is asked to provide information to other parts of the USG, it is able to do so in a timely manner. Applicants should note that because this program is being funded from a variety of sources (e.g., Anti-corruption Initiative) the prime awardee will need to track performance and expenditures against these special accounts.

f) Personnel Capability and Experience

Applicants will identify key personnel to be involved in the program. Key personnel must be based in Nigeria including the Chief of Party. A brief rationale for each post and a full position description of each key personnel officer's responsibilities should be included. Resumes (maximum of 3 pages each) of the Chief of Party, other key management and technical personnel should be included in the Annexes and referred to as appropriate in the body of the proposal. Three (3) references should be provided for all designated key personnel. Other resumes of short-term staff or consultants can be included in the Annexes. Applicants need not submit references for these individuals.

Key personnel should possess knowledge of Nigeria's current social, military, political and economic circumstances and be able to draw upon comparative experience from other post-authoritarian regime contexts. Key personnel should have proven leadership skills that include the ability to encourage collaboration, cooperation, and a shared vision across a broad range of institutions and individuals. It is important that applications are able to demonstrate that key personnel understand USAID or other donor approaches to civil society work, and possess practical experience in applying anti-corruption approaches to development work.

USAID's program implementation experience in Nigeria underscores the need to ensure that IP staff composition mirrors the ethnic and regional diversity of the country and the states in which USAID works. USAID expects to see this diversity in the IP's local staff makeup. In other words, deployment of staff by linguistic, religious or cultural affinity to the region in which they will serve will not meet the extent of diversity USAID seeks. For example, staff composition at headquarters, where key decision-making takes place, must also reflect the diversity of Nigeria as well as of the target areas being served. By ensuring that senior Nigerian managers from diverse backgrounds participate in key decision-making within the IP's local headquarters office, USAID expects to significantly enrich the quality of program planning, implementation and monitoring.

USAID's program implementation experience in Nigeria also underscores the need to build human resource capacity. Applications should, therefore, discuss key personnel capabilities to provide appropriate training and support in coalition building, network management, civic awareness, and targeted advocacy to a range of staff, including program personnel, Mission staff, and local partners.

g) Institutional Capability and Past Performance

Include as an attachment, a summary description of all contracts, grants, and cooperative agreements that the Applicant has implemented involving support for civil society organizations in advocacy, awareness, civic empowerment, with an emphasis on transparency, accountability, or anticorruption issues over the past three years with USAID *and/or* with other organizations (both commercial and governmental). Applicants should also reflect recent experiences implementing and managing large (\$2.0 million or larger) sub-grant programs, working in the context of public-private alliances, or partnership experiences with U.S. small disadvantaged businesses or minority-serving institutions.

Include the following information for each relevant experience:

- Name and address of organization for which the work was performed
- Current telephone number and e-mail of responsible representative of the organization for which the work was performed
- Agreement (or grant/contract) name and number (if any), annual amount received for each of the last three years, and beginning and ending dates.
- Discussion of monitoring and evaluation of results, and impact; as well as the provision of logistical support to local operations
- Discussion of management responsibilities for finances, property, equipment maintenance, and accounting and, where appropriate, experiences collaborating with other partner organizations/sub-grantees to ensure they are able to satisfy donor requirements in these areas.

h) Attachments

In preparing submission, Applicants are encouraged to visit the USAID/Nigeria website (<http://www.usaid.gov/ng/>) to access some or all of the following reference documents:

- USAID/Nigeria Country Strategic Plan (2004-2009) including the Mission's Performance Management Plan
- Democracy and Governance Sector Assessment
- Anti-Corruption Synthesis Assessment and Strategy Development
- Civil Society Assessment
- Conflict Assessment (all regions of Nigeria)
- Gender Assessment
- Extractive Industries Transparency Initiative
- G8 Evian Declaration
- National Economic Empowerment and Development Strategy (NEEDS)

C. Preparation of the Cost/Business Application

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

The Cost/Business Application should be prepared following the guidance provided below. All information discussed below should be included in the application in the manner and format described below. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. **The Cost/Business Application should be submitted in an original and three copies.**

1. *Separateness*: The Cost/Business application must be completely separate from the Applicant's technical application. The application must be submitted using SF 424 and SF 424A "Application for Federal

Assistance.” These forms can be downloaded from the USAID web site:

http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424.

2. *Cost Information Submission*: The cost information submitted must include three distinct parts: a) the SF 424; b) the cost matrix; and c) budget notes.

a. SF 424

The cost application should be for a period of 5 years using the budget format shown in the SF 424A. If there are any training costs to be charged to this Agreement, clearly identify them.

b. Cost Matrix

The information to be presented under Cost/Business Application must also indicate the amount of funds to be spent by Intermediate Result and activity. Stated another way, the budget should relate to results while also showing the inputs and type of cost for each result/IR as well as overall. Applicants should include an overall summary budget and a detailed annual budget defined by result area, general program activities and specific activities consistent with the information requested below. Specifically, the budgets should demonstrate the resources allocation to achieve the objectives of this Program.

The budget (excluding the small grants allocation) shall also include:

- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement; and,
- procurement plan for commodities.

c. Budget Notes

To support the costs proposed, please provide detailed budget notes/narrative for all costs that explain how all costs were derived. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the cost matrixes described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs.

- i) **Salary and Wages**: Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies.
- ii) **Fringe Benefits**: If the Applicant has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

- iii) Travel and Transportation: The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the Applicant's normal travel policies (Applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
 - iv) Equipment: Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source. Goods and services provided by the Recipients under this USAID-financed award are expected to be subject to the 935 Geographic Code (Any area or country including the cooperating country, but excluding the foreign policy restricted countries).
 - v) Materials and Supplies: Specify all materials and supplies expected to be purchased, including type, unit cost and units.
 - vi) Communications: Specific information regarding the type of communication cost at issue (i.e. mail, telephone, cellular phones, internet etc.) must be included in order to allow an assessment of the realism and reasonableness of this type of costs.
 - vii) Subcontracts/Consultants: Information sufficient to determine the reasonableness of the cost of each specific subcontract and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
 - viii) Allowances: Allowances should be broken down by specific type and by person. Allowances should be in accordance with the Applicant's policies and the applicable regulations and policies.
 - ix) Direct Facilities Costs: Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
 - x) Other Direct Costs: This may include report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the Applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the Applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
 - xi) Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for USAID to determine the reasonableness of the rates. For this latter, USAID would need (1) copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; (2) projected budget, cash flow and organizational chart; (3) A copy of the organization's accounting manual.
3. *Cost-Sharing*: In addition to USAID funds, Applicants are expected to contribute from their own, private or local sources no less than **5 percent** of the award amount for the implementation of this program. Contributions can be either cash or in-kind and can include contributions from the U.S. NGO, local counterpart organizations, project clients, the Government of Nigeria, and other donors (not other USG funding sources). Applicants receiving another

donor's funds through USAID's efforts may not use such funds to meet the cost share obligation under this award. Information regarding the proposed cost-share should be included in the SF 424 and the Cost Matrix as indicated on those documents. The cost-share should be discussed in the Budget Notes to the extent necessary to realistically access these sources and funds and the feasibility of the cost-sharing plan.

4. *Management Costs*: The cost information described above in Paragraph 2 of this Subsection should include detailed cost information regarding the management of the program. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
5. *Teaming*: **Teaming is required under the RFA.** Teaming is required because the breadth of the program described above is likely to be beyond the capability of any one organization to perform. In addition, combinations of more than one organization will increase the probability that the stakeholder participation activities funded under the RFA will be as representative as possible.

Every application must combine the efforts of different organizations in a significant manner in putting together a proposal under the RFA. This means that every Cost/Business Application must contain information showing **either** (a) that the Applicant is some type of joint venture **or** (b) that the Applicant has arrangements with other organizations to perform a significant amount of the work anticipated.

If the Applicant is a group of organizations that has actually formed a separate entity – *i.e.*, a joint venture -- for the purposes of this application, then the Cost/Business application must include a copy of the documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the Cost/ Business Application should include a complete discussion of the relationship between the Applicant and its partner organizations, how work under the program will be allocated, how work will be organized and managed and copies of any agreements between the partner organizations.

In all cases, the cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget notes described in part 2.c of this subsection should discuss which team member is bearing a particular cost where appropriate to justify and explain the cost in question.

Because of the importance of the teaming arrangement to the success of the program, the award will be made based on an evaluation of all the organizations that the Applicant indicates are part of the teaming arrangement. If subsequent to receiving an award, the Applicant's teaming arrangement changes, this will be grounds for re-negotiation or re-competition of the award, as deemed appropriate by the Agreement Officer.

In order to allow each Applicant to enter into potential teaming arrangements with organizations of their choice, USAID recommends that Applicants **NOT** enter into exclusive agreements that would prevent such organizations from entering into partnership arrangements with other Applicants with respect to this RFA.

6. *Certifications*: Required certifications and representations (see Section IV) should be included with the cost proposal.
7. *Financial Reporting*: The Cost/Business Application should include a description of the headquarters and field procedures for financial reporting. Discuss the management information procedure the Applicant and the partner organizations will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
8. *Financial Resources*: The Cost/Business Application should include information on the Applicant's financial status and management. All Applicants should submit information relating to whether there has been approval of the organization's accounting system by a U. S. Government agency, including the name, address, and telephone number of the cognizant auditor. If the Applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If certification has not been made to

USAID/Washington, the following should be included, as applicable.

- (a) Audited financial statements for the past three years,
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
- (c) Copies of the Applicant's personnel expatriate and local (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

Similar information should be submitted for all partner organizations.

9. *Responsibility*: The application should include information that substantiates that the Applicant has:

- (a) adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement.
- (b) the ability to comply with the Agreement conditions, taking into account all existing and current prospective commitments of the Applicant, non-governmental and governmental.
- (c) a satisfactory record of performance. In the absence of evidence to the contrary or circumstances properly beyond the control of the Applicant, Applicants who are or have been deficient in current or recent performance (when the number of grants, contracts, and cooperative agreements, and the extent of any deficiency of each, are considered) shall be presumed to be unable to meet this requirement. Past unsatisfactory performance will ordinarily be sufficient to justify a determination of non-responsibility, unless there is clear evidence of subsequent satisfactory performance. The Agreement Officer will collect and evaluate data on past performance of Applicants.
- (d) a satisfactory record of integrity and business ethics; and,
- (e) is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility.

Similar information should be submitted for all partner organizations.

SECTION II – PROGRAM DESCRIPTION

II. A. Summary Introduction

USAID/Nigeria's new five-year Country Strategic Plan (CSP) was approved in Washington on September 30, 2003 and came into full implementation after the signing of Strategic Objective Grant Agreements (SOAGs) with the Government of Nigeria in June, 2004. USAID's strategic goal over the planning period is:

USAID supports Nigeria in achieving a more transparent and participatory democracy with a healthier and better-educated population in a growing and diversified economy.

To achieve this strategic goal USAID/Nigeria will implement the following four Strategic Objectives (SOs) as the basis of the Agency's assistance program over the next five years:

- SO11: Strengthened Foundations for Democratic Governance
- SO12: Improved Livelihoods in Selected Areas
- SO13: Increased Use of Social Sector Services
- SO14: Reduced Impact of HIV/AIDS in Selected States

SO11: Strengthened Foundations for Democratic Governance

USAID's approach under the CSP will be to function as a catalyst to strengthen democratic foundations and practices in Nigeria. The approach will also focus on the key elements of democratic governance: (1) consensus, or agreement of the basic rules of the political game; (2) inclusion, or participation by groups and citizens; (3) competition, or an effective balance between the branches and levels of government, civil society and electoral competitors; (4) adherence to the rule of law; and (5) good governance – accountable and effective governance that delivers public services.

Despite progress over the past four years, many roadblocks to strengthened democracy in Nigeria still remain. Political elites are entrenched, excluding most citizens, particularly women and the poor, from meaningful political participation. The scale and prevalence of conflict, triggered by communal, ethnic, religious or resource issues, poses a major threat to stability in Nigeria. Endemic corruption is a key governance issue that has directly touched the daily lives of the majority of Nigerians. The structure of government and the concentration of power at the center and in the executive have reduced incentives for reform. Civil society has been freed of many of the constraints it faced under military rule, but still lacks both the capacity and the resources it needs to truly engage with government and advocate for change. Government institutions, for their part, have tended to avoid establishing partnerships with citizens or private sector actors, and in many cases lack capacity to carry out their own mandates.

To address these roadblocks, SO11 will build the capacity of civil society organizations and government institutions, including legislative bodies; support efforts to respond to and manage conflict; and address the need for professionalism and transparency in the next elections. Civil society is central to making government more responsive and accountable through advocacy and oversight. Progress in the achievement of the SO will be measured by the following performance measures:

- Expert panel judgment on national socio-economic and political indices to rate elements of “Strengthened Democratic Foundations”; and,
- Client satisfaction with selected government services.

SO 11 will be supported by four Intermediate Results (IRs). While IR 11.1 is the primary focus for results and impact under this RFA, applicants are encouraged to identify ways in which the program they propose might contribute to the achievement of IRs 11.2, 11.3, and 11.4.

IR 11.1: Increased Civic Awareness, Advocacy, and Empowerment

The strengthening of democracy requires greater demand for consensus building, inclusion of all groups and good governance by Nigerian citizens. Increasing capacity and effectiveness of civil society to hold public officials accountable, to express their preferences, engage in policy dialogue, influence public policies and their implementations will not only enhance confidence in democracy but strengthen foundations of democracy. Work in this area will build on current support for civil society by increasing its involvement in the formulation and implementation of key policy issues. The Mission's longstanding focus on women's empowerment will foster the substantial representation of women-focused organizations in civil society capacity building.

Performance measures for IR 11.1:

- Citizen awareness of public officials' roles and responsibilities;
- Advocacy capacity index;
- Trafficked persons assisted

IR 11.2: Increased Accountability of Key Institutions

Positive disposition of government institutions to accountability and increased openness in government transactions is indicative of the improved capacity of democratic institutions. Broadening consultations demonstrates improved institutional capacity. Increased accountability will reduce the corruption that has undermined delivery of public services. As an entity whose members are elected by the public to represent their interests, the National Assembly is a key focal point for building greater transparency and accountability. In promoting accountability, efforts will be made to build more permanent linkages between the National Assembly and key civil society organizations.

Performance measures for IR 11.2:

- Citizen input reflected in target policies;
- GON partnership to implement the Extractive Industries Transparency Initiative (EITI)

IR 11.3: Strengthened Capacity for Conflict Management

Conflict threatens the foundations of democracy. Community-based conflicts ignited by competition over scarce resources, religious differences, ethnic and tribal differences, access to land and the manner in which people deal with their differences including establishing militias, independent security forces or vigilante groups undermine community cohesiveness and freedoms. Strengthening the capacity of civil society and selected government institutions to manage conflict will help establish a peaceful environment to advance democratic governance.

Performance measures for IR 11.3:

- Assisted institutions and organizations taking specific actions to mitigate conflict;
- Conflict mitigation capacity index

IR 11.4: Enhanced Credibility of Electoral Processes

Elections that are not credible are a source of conflict which can destabilize the foundations of democracy. The 2003 elections were held without the anticipated widespread violence; however, there were reported cases of electoral irregularities and procedural flaws. These issues if ignored could destabilize the country's democratic journey, reverse the successes that have been made and undermine the next set of elections scheduled for 2007.

Performance measures for IR 11.4:

- Voters correctly registered;
- Reported election irregularities.

Linkages to Other SOs and Cross-cutting Themes

SO11 presents numerous opportunities for synergies with and support to SOs 12, 13 and 14. Civil society engagement and capacity building are common threads across all of the SOs. Advocacy efforts with civil society will call for transparent budgeting, procurement and management procedures, with resulting positive impacts on social sector, agricultural extension, and HIV/AIDS service delivery, and the enabling environment for the private sector. Work with the National Assembly will strengthen its ability to develop improved and more responsive policies in all sectors, and to pass them into law. Conflict has potential impacts on all SOs, at worst making it difficult to implement activities in places where conflict is prevalent. Conflict management must therefore be coordinated with, and addressed by, all of the Mission's programs. Previous USAID investments in the democracy and governance sector have emphasized women's political empowerment and capacity development and this core theme will also be addressed in civil society efforts across all SOs.

Linkages with GON initiatives

Corruption and illicit rent-seeking are deeply entrenched in Nigeria, the product of weaknesses in the political system and patterns of political culture that developed over a century of colonialism and subsequent decades of military rule. A recent analysis of the corruption problem concluded that "...reducing corruption to manageable levels will take many years of dramatic change and inspired leadership." Since 1998, Nigeria has not gained ground in its standing in Transparency International's Corruption Perceptions Index, being consistently ranked as the second most corrupt country out of 102 surveyed, surpassed only by Bangladesh. A USAID-funded public opinion survey on corruption found that 84 percent of citizens and 70 percent of private sector interests polled had paid "irregular gratification to public officials to obtain services". Only unemployment is perceived by citizens as a more significant threat to the country's stability and future progress than endemic corruption.

During his first term in office President Obasanjo took the initial steps in fighting corruption by establishing the Independent Corrupt Practices Commission (ICPC) and his vision and support have been crucial. Following his re-election in May 2003, President Obasanjo pledged himself to a reinvigorated campaign against corruption. During his second-term inaugural address, the President indicated that anti-corruption will be a leading priority, starting with civil service reform and a "Publish What You Pay" initiative for the oil industry. In line with this commitment he also agreed that Nigeria would participate as a pilot country under both the Extractive Industries Transparency Initiative (EITI) and the G-8's initiative to fight corruption and improve transparency (EVIAN). His tenure in office has also seen the establishment of the Budget Management and Price Intelligence Unit in the presidency, which enforces stringent guidelines for public contracting, and the Economic and Financial Crimes Commission, dedicated to rooting out fraud and eliminating abuses in the financial sector.

As he grows increasingly concerned with his "legacy" in office, the President will doubtless be looking to entrench his anti-corruption initiatives in the system, and may well be supportive of activities to augment those gains. His influence may also help open the National Assembly to additional anti-corruption legislation, such as final passage of the Freedom of Information Act and the Whistleblower Bill.

At the same time, the GON's new poverty reduction strategy, the National Economic Empowerment and Development Strategy (NEEDS), which will operate in tandem with the State Economic Empowerment and Development Strategies (SEEDS), seeks to build a solid foundation for the attainment of Nigeria's long term economic goals. NEEDS's strategy for reforming institutions of governance aims at restructuring government institutions by eliminating waste and inefficiency; fighting corruption and ensuring transparency; and promoting the rule of law. Both civil society organizations and the private sector will participate on Independent Monitoring Committees that will monitor and evaluate

the implementation of NEEDS and SEEDS programs and projects. NEEDS and SEEDS, and in the longer term strategies developed at local government level, provide a new channel through which civil society can demand responsive governance and service delivery.

Linkages with Other Donors

There is extensive donor support to elements of democracy and governance programming in Nigeria, and USAID has been a lead donor in the sector. USAID co-chairs, along with United Nations Development Program (UNDP), the donors' Democracy and Governance group and actively participates in working groups on civil society, rule of law, conflict, legislative assistance and elections.

The British Department for International Development (DfID), the Canadian International Development Agency (CIDA) and the World Bank are providing support to the judiciary, conflict mitigation, and legislative strengthening at state level. They are also involved in civic education related to human rights and election issues. More specifically DfID's program has been committed to building local capacities to drive forward the economic reform and good governance program of the GON. Their three areas of focus are supporting federal government reforms, state governments, and HIV/AIDS. The support for federal government reforms targets poverty reduction through improvements in health, education, and rural water supply; access to justice, particularly for the poor; and anti corruption. The Delegation of the European Commission is promoting human rights through collaboration with Nigerian civil society organizations covering legal reforms, human rights, conflict prevention and management and women's empowerment. The World Bank has a governance and corruption project at the state level and is involved in the assessment of financial management and procurement at the Federal Ministry of Finance.

A number of other bilateral and multilateral donors as well as private foundations are providing support to civil society organizations, including the Ford Foundation, the MacArthur Foundation, OSIWA Foundation, the Packard Foundation and the Bill and Melinda Gates Foundation. These foundations have been involved in legal and constitutional reforms, elections and electoral reforms, anti corruption and CSO capacity building. German foundations, including the Friedrich Ebert Stiftung and Konrad Adenauer, work mainly in the area of civic education.

It is expected that USAID in collaboration with DFID, the EU, CIDA, UNDP and other donors will provide assistance for Nigeria's 2007 elections. UNDP, DfID, The World Bank and EU have also shown interest in continuing and in some cases expanding their work with the judiciary; USAID will therefore drastically reduce its commitment to this sector. USAID will however continue to collaborate with all the donors in its civil society and conflict mitigation programs, and ensure that its program complements rather than duplicates other donor efforts.

There are significant opportunities for coordination and collaboration with USAID/Nigeria SO teams, Government of Nigeria anti-corruption efforts, and the activities of other donors, under the RFA. Applicants will be expected to prioritize these opportunities and detail anticipated linkages in their applications.

USAID Comparative Advantage and Past Activity

USAID's previous experience, as well as that gained by the U.S. Embassy under its program with the Independent Corruption Practices and Other Related Offences Commission (ICPC) and that achieved by the Mission under its previous civil society and anti-corruption initiatives, particularly those carried out with the judiciary, will provide the entry points for strengthening civil society organizations and promoting greater transparency and accountability in the area of policy reform in targeted institutions. In this regard, USAID will target both the critical points of progress within the Nigerian government and the positive efforts emanating from civil society. Given the focus of DfID on the ICPC and of the World Bank on the Federal Ministry of Finance, and considering USAID's comparative advantage and experience in supporting Nigerian civil society groups, selected civil society organizations will be SO11's primary entry points for awareness, advocacy and empowerment efforts.

USAID/Nigeria's earlier work with civil society has been carried out through five agreements with four implementing partners. Four of these agreements have been closed out: the JHU/CCP project, implemented by the Johns Hopkins University (1997- 2002); LADDER, implemented by the Solidarity Center; and ENABLE (1998-2001) and PACE (2002-2004), implemented by the Center for Population and Development Activities (CEDPA). One agreement (i.e., PROSPECT, implemented by Management Systems International (MSI)) is ongoing but will soon be completed. Applicants are directed to the Civil Society Assessment document on USAID/Nigeria's website for complete details of these programs. The largest of the recently completed activities, PACE (Partnership for Advocacy and Civic Empowerment), worked with civil society groups in four substantive areas: elections and electoral reform; constitutional reform; transparency and accountability; and conflict management. While each of the aforementioned activities was successful in helping to sustain Nigeria's transition to democratic civilian governance, the civil society assessment concluded that despite sustained efforts to build demand, a significant gap remains between citizens and their institutions of government. CSOs participating in the assessment consistently identified as priorities increased advocacy for transparency and accountability, gender equity, women and youth empowerment, and conflict mitigation. These CSOs also emphasized the need to develop better relationships between the government and CSOs. They further described a need for a neutral space in which CSOs and the government can have a dialogue on areas such as elections, transparency and accountability, and conflict.

Applicants are advised to familiarize themselves with the findings of the civil society assessment and to address key findings and recommendations in their applications.

II. B. Purpose

The purpose of the proposed Cooperative Agreement (CA) is to provide support to a qualified organization that proposes an effective and efficient program that contributes to the achievement of IR 11.1, and that effectively links the achievement of this result to SO11's remaining IRs, as well as selected IRs under SO12, SO13 and SO14.

While civil society has been freed of many of the constraints it faced under military rule, it still lacks both the capacity and the resources it needs to truly engage with government and advocate for change. Government institutions, for their part, have by and large not established partnerships with citizens or private sector actors, and themselves lack capacity to carry out their own mandates. Recognizing that civil society is a fundamental component in a participatory democracy, and seeking to build upon previous investments in this area, USAID's assistance to civil society through this RFA will be focused on achieving three principal outcomes:

- Strengthened CSO institutional capacity;
- Increased CSO capacity for effective advocacy;
- Strengthened CSO/GON partnerships to fight corruption.

Paying attention to USAID/Nigeria's basic threshold requirement, applicants will specify activities with defined milestones and targets to achieve measurable progress under above-mentioned program elements.

II. C. Detailed Program Description: Civil Society Advocacy, Awareness and Empowerment

The existence of a lively and active civil society with capacity for increased participation in the policy making process through advocacy will contribute to the democratic process in Nigeria by promoting good governance, ensuring inclusion for marginalized groups and populations, particularly women and youth, by fostering consensus around commonly-agreed upon societal goals, and by demanding that leaders abide by the rule of law. Civil society will work to promote greater openness, accountability and transparency at all levels of government. That civil society should remain a core emphasis in the new strategy is best indicated by lessons learned during the Transition Strategy. Many public officials still respond to a set of incentives that emphasizes patronage and leads to corruption and misuse of public resources. In order to change these incentives, continued emphasis must be placed on improving the ability of the public to hold leaders accountable through increased and more effective participation in governance.

Over the past four years, the civil society sector has demonstrated that it has the potential to serve as an agent of change in Nigeria. SO11 will build on this foundation. Focal areas for civil society engagement may include key public policies focused on economic governance such as budget policy and process, revenue allocation formulas, social sector reform, and anti-corruption, anti-trafficking, women's empowerment and other critical policy issues.

Since the transition to civilian government, a range of groups – including organized labor, business associations, academics, professionals, women and human rights organizations – have been joined by newer groups addressing corruption, HIV/AIDS and other social and economic concerns. Civil society remains an important outlet for participation, and a source of pressure on parties and leaders for better governance, improved performance, and attention to public needs. A dynamic independent press, extending rapidly into the electronic media, is a crucial component of this activist civil society.

Under USAID/Nigeria's new civil society support program, to be known as "Advocacy, Awareness and Civic Empowerment" (ADVANCE), activities will be targeted at strengthening organizational and institutional capacity; increasing civic awareness; building CSO advocacy capacity; and, empowering citizens through strategic partnerships to engage effectively with government policy-makers. The primary objective of advocacy efforts will be to promote greater openness, accountability and transparency primarily at the Federal level but will support other SOs as well in select State and Local Government areas.

While ADVANCE's activities will synergistically support the achievement of other Democracy and Governance Intermediate Results (i.e., 11.2, Increased Accountability of Key Institutions; 11.3, Strengthened Capacity for Conflict Management; and, 11.4, Enhanced Credibility of Electoral Processes), the Mission also expects ADVANCE to materially address cross-cutting and converging themes identified in the CSP, including: gender, HIV/AIDS, partnerships, and transparency.

Assuming that critical reforms addressing transparency and accountability, as well as citizens' role in improving governance, are implemented, but that corruption remains, for the short term, at least, a core governance issue, Applicants will need to design a set of activities that advances the demand for accountability by improving transparency and oversight and strengthening processes for detecting and sanctioning corrupt acts. Ultimate passage of the Freedom of Information Act and the Whistle Blower's Bill and similar empowering legislation in State and Federal legislatures should be a focal point for immediate civil society advocacy. At the same time, seizing upon the windows of opportunity provided by initiatives such as Evian and EITI as well as the GON's own NEEDS and SEEDS processes, open budget formulation, legislative appropriations review, budget implementation and audits of public expenditures all provide immediate opportunities for mobilizing civil society actors, establishing strategic partnerships, and advocating for policy reform.

In developing an application to address ADVANCE's three key outcomes, applicants should consider the following formation and propose illustrative activities and results.

Outcome 1: Strengthened CSO Institutional Capacity

USAID/Nigeria's civil society assessment (March 2004) reported that democratically structured groups representing a particular interest sector (federations as well as some of the CSOs and CBOs) tended to continue the implementation and development of projects even after USAID funding ceased. In contrast, groups and coalitions that provided specific expertise or services (primarily CSOs) tended to work only when donor funds were available. Projects would cease when funds dried up, and the CSOs would wait until more funds arrived or would move to new donor-supported projects. CSOs, whatever their specialized tasks, must seek to improve their institutional effectiveness. To do so, they introduce organizational reforms and professional procedures into both internal management systems (e.g., for programs, personnel and finances) and external relations (e.g., with clients, governments, and donors). They aim to supplement the value of commitments and voluntary efforts of their members with fund-raising plans that will reduce donor subventions and lead to long-term financial self reliance. At the same time, CSOs increasingly rely on participatory management techniques in a bid to embody the same democratic values and principles that they promote in the wider society.

Although USAID has provided assistance in building capacity of CSOs in previous activities, the CS assessment reported that CSOs are concerned about questions of sustainability and need assistance in building their organizational capacities to do their work. CSOs must strengthen their institutional and financial structures to achieve their purposes. CSOs frequently need to improve their ability to manage and account for the use of the funds they receive in order to attract more resources. Several CSOs requested assistance in integrating transparency and accountability into their activities.

Strengthening CSO capacity requires introducing democratic features to their management; strengthening administrative procedures such as strategic planning, monitoring, and evaluation systems; and complying with auditing standards. In addition, improved fundraising techniques are necessary to diversify and stabilize the financial base of the civil society sector and ensure its sustainability. Although an increasing number of organizations acknowledge that public-private partnerships are vital to sustainable development in an increasingly interdependent world, practical experience in Nigeria is limited, reliable tools and guidelines are hard to find, and examples of successful partnership endeavors are few. Hence, there is a continuing need for programs to help these organizations operate in a more businesslike manner and to diversify their funding bases. ADVANCE will focus efforts on improving the strategic, managerial, financial opportunities, and program management and advocacy skills of individual CSOs and networks/coalitions.

The assistance under this program element is anticipated to be in the form of TA and training to organizations and the institutions with which they engage. Parallel to, and in coordination with, this capacity development work, ADVANCE will implement a program of grants to local CSOs that will assist them to engage in advocacy work.

Funding Parameters

Given that capacity building is necessary, but not sufficient, to achieve the program's primary advocacy, awareness and empowerment outcomes, USAID/Nigeria has decided that organizational development activities should not exceed \$1.5 million over five years, constituting approximately 19 percent of the anticipated available funding.

Illustrative Activities

The Civil Society Assessment identified the following common needs among Nigerian CSOs. These should form the substantive basis for interventions proposed by applicants:

- Management consulting - Many of the organizations in the networks expressed a desire for consulting assistance in the management of their own organizations (e.g., how personnel decisions could best be handled, finances managed, and clerical work best distributed).
- Revenue-producing activities - Many of the groups have interesting ideas on how their organizations can arrange business activities to produce increased revenues, and they all could use additional guidance on the matter.
- Accounting assistance - Providing technical assistance in developing internationally-recognized financial and program management systems.
- Budgetary skills - Transparency and accountability work demands intricate budgetary knowledge in order to "follow the money." Several groups invited to join President Obasanjo's due diligence officer in monitoring government procurement have expressed a need for training in budgeting.
- Building strategic partnerships with government counterparts - Relations with government agencies are increasingly recognized as a major concern for CSOs that seek to scale up impact or sustain programs. According to the CS Assessment, "Advocacy with government officials, however, typically requires an asset many civil society groups do not have: power. The power of a good idea can sometimes open doors in government for some organizations, but...most groups can not rely on public pressure to move favored policies forward" (2004:14). While there is a need to help CSOs to generate good ideas, there is an even greater need for them to be able to effectively market their ideas and build constituencies with political actors inside and outside of government.
- Effective media - Media interventions are essential in any campaign that seeks to build awareness, transmit messages and promote policy change. While lack of adequate capacity to use the media can constrain message

communication and impair its effectiveness, it needs to be mentioned that the media, themselves, manifest critical skill and infrastructure shortcomings that could be addressed under this program.

Anticipated Results (minimum)

- Increased direct participation of target CSOs in policy dialogue, and implementation oversight, with GON counterpart organizations and relevant political actors;
- Increased operational, technical and financial capabilities in key CSO coalitions (e.g., ZCC, PWYP, FOIC, BTN, TMG, etc.) and up to 150 selected member organizations; and,
- Increased financial sustainability of target coalitions and selected member organizations.

Candidate Indicators

- Number of policy dialogue engagements (meetings, workshops, discussions)
- Number of GON programs/contracts monitored
- CSO capacity index scores
- CSO budgets and financial plans (demonstrating multiple funding sources and local fundraising)

Outcome 2: Increased CSO capacity for effective advocacy

Through the four years of the USAID/Nigeria transition strategy (1999 – 2003), effort was made to empower civil society to demand good governance and responsive stewardship from public officials, as well as to enhance popular participation in political processes, policy deliberations and advocacy for reform. This responded to the intermediate result “Increased knowledgeable participation of civil society in public deliberations and oversight of government”. Though there were some modest achievements in this respect, civil society remains largely a marginal player in national-level policy dialogue. The power imbalance between elected officials and citizens presents a daunting challenge to effective advocacy, particularly where elected leaders are only remotely accountable to their constituents. The solution to this problem appears to lie in the development of viable opposition parties, and it has been argued that “a strong opposition is the most important vehicle for transparency and accountability in any democracy because it is an institutional actor with great interest in exposing the corrupt practices of the party in office and in balancing its powers” (Civil Society Assessment, 2004:19). Civil society groups constitute an essential link in this process and as government and viable opposition parties battle for voter support they will need to be responsive to citizen’s interests (and not their own).

While the primary focus of ADVANCE’s advocacy activities will be policy reform and implementation oversight, it will be necessary to begin by building public awareness, creating an enabling environment for civic engagement, developing strategic partnerships with key government institutions and political actors and then mobilizing broad-based coalitions of like-minded organizations to engage with policy-makers and implementers at the national and selected state level.

Applicants will be expected to take account of USAID/Nigeria previous investments in facilitating the emergence of various national level advocacy networks and coalitions, review their advocacy engagements so far and seek ways to improve on these organizations as well as achievements they have made. Local partners will be encouraged to mobilize their constituencies to articulate their positions on key national level policy issues and to participate in organized national, regional and state level consultative forums for a more constructive engagement of target legislative and executive bodies.

Issue-based advocacy has been defined as CSOs working with the public to determine priorities at either the local or national level, then actively lobbying government entities to respond to these priorities. A strong, vibrant civil society that actively advocates for its concerns can ultimately garner political will to respond to citizens’ interests. Advocacy can take the form of campaigns addressed to government officials, raising public awareness, using the arts to “get the message out,” building broad consensus among policy stakeholders through the establishment of viable networks between CSOs and private enterprise, forging issue based CSO partnerships and networks, and creative use of the media to galvanize public opinion. In all of these, use of policy research “think-tanks” can provide data to support policy options, or ideas for innovative, cutting-edge advocacy campaigns. Based upon what has been learned thus far regarding CSO effectiveness in

governance advocacy the CS assessment recommended that USAID/Nigeria consider working primarily with coalitions of organizations to move the public policy agenda forward. Applicants are encouraged to access the assessment from the USAID web site prior to developing their approach.

Funding Parameters

Recognizing that advocacy work (which encompasses both public awareness and civic empowerment) is ADVANCE's central element, USAID/Nigeria anticipates that \$3.5 million (or roughly 44 percent of the program's LOP funding) will be allocated to activities in this program area. Note: **Of this amount, \$1.0 million should be earmarked to support qualified Nigerian CSOs and NGOs in the form of advocacy sub-grants.**

Illustrative Activities

- Train both cross-cutting and sector-specific CSOs in effective, proven advocacy techniques for policy reform and accountable governance;
- Provide technical and financial support to the establishment of effective advocacy coalitions at national and selected state levels;
- Integrate media interventions with advocacy activities;
- Promote advocacy activities that empower women and youth coalitions;
- Promote strategic partnerships between civil society, legislature, political actors, as well as election and anti-corruption institutions.

Anticipated Results (minimum)

- CSO coalitions and networks (e.g., ZCC, FOIC, PWYP, BTN, TMG, etc.) or up to 150 constituent members supported to advocate for policy reform or to monitor Federal or selected state's program operations;
- CSOs develop and use appropriate communication strategies to disseminate policy papers and briefing documents;
- CSOs enter into strategic partnerships with GON institutions and/or key political actors;
- CSOs contribute to policy change in specific sectors; and,
- Women and youth groups become increasing empowered

Candidate Indicators

- CSO advocacy capacity scores
- Federal and selected state legislation (reflecting CSO input)
- Legislative public hearings and/or public consultations (involving CSO input)
- Political party platforms (reflecting CSO input)

Outcome 3: Strengthened CSO/GON partnerships to fight corruption

Applicants need to be aware that in Nigeria the Federal Government is central to the economic life of the country due in large part to the overwhelming role that oil revenue plays in generating the nation's foreign exchange. Oil revenues are managed by the Federal Government and constitute about 13 percent of annual GDP and 90 percent of export revenue generations. Each year the National Assembly, acting upon submissions from the Executive Branch's Budget Management Office, reviews and approves appropriations legislation that authorizes Federal programs as well as block appropriations to the States. In a similar manner, State legislatures working with the Governor's Office spend considerable time formulating their own programs and expenditure plans. However, the entire Federal and State budget formulation process, appropriations legislation, and particularly implementation of appropriations legislation, has been marked by a fundamental lack of transparency that creates a highly permissive environment for corruption and

undermines every aspect of the development process. For most citizens, it is virtually impossible to know how budgets are prepared, what priorities they represent, or where public funds actually go once they have been appropriated.

Corruption is a key governance issue in Nigeria that has direct impact on the daily lives of virtually all citizens. Corruption also directly affects activities implemented under each of the Mission's SOs because it increases the costs of doing business, militates against direct budgetary support to the GON, and slows the pace of implementation. SO11 and SO12 are collaborating in the execution of an anti-corruption program that builds the capacity of civil society organizations to dialogue with and lobby the National Assembly to pass freedom of information and other landmark legislation. SOs 13 and 14 will also support these initiatives and will additionally work at community level to generate increased demand for accountable governance.

Civil society is the key point of entry for engaging with government on issues of corruption. A variety of civil society organizations exist that seek and advocate for improved governance. Recognizing that bad governance is good governance, corrupted, these groups have been working to increase citizen participation, improve consensus-building in public decisions, improve transparency and accountability, expand inclusiveness, ensure responsiveness to citizen's needs, institutionalize fairness and encourage citizens and their government to abide by the rule of law. A coalition of civil society organizations is largely responsible for having secured support in the National Assembly for the Freedom of Information Bill and the Whistleblower's Bill.

Funding Parameters

USAID/Nigeria expects the anti-corruption component of this program to be funded at an aggregate level of \$3 million over five years, constituting approximately 38 percent of the anticipated available funding. Note: **Of this amount, \$1 million will be made available to qualified Nigerian CSOs and NGOs in the form of sub-grants.** Applicants should also note that USAID Nigeria has received Anti-Corruption Initiative (ACI) funding that will be applied to achieving this outcome. Specific accounting requirements, indicators and reporting responsibility come with this support. Detailed reporting procedures will be negotiated with the successful applicant.

Illustrative Activities

- Develop strategic partnerships that facilitate civil society engagement with GON anti-corruption initiatives and institutions, for example EITI, EVIAN, ICPC, Federal and State line Ministries, National and State Assemblies, Code of Conduct Bureau, Office of the Accountant General of the Federation;
- Focused training and technical assistance on the budget formulation process at national and state levels;
- Increase awareness among the population on the consequences of and implications of corruption through mini media programs and community based outreach, activities such as community based watch dog groups ;
- Development and implementation of an agenda of applied policy research activities to inform CSO dialogue;
- Technical training covering related anti corruption issues especially those based on the agreement between the government of Nigeria and the G8.

Anticipated Results (minimum)

- Increased direct participation of target CSOs (e.g., PWYP, ZCC, FOIC, BTN, TMG, etc.) in anti-corruption programs (EITI and EVIAN);
- Increased transparency in selected GON operations and/or political party operations; and,
- Increased public awareness of public officers' duties/responsibilities and remuneration levels.

Candidate Indicators

- Membership of key regulatory, oversight, bodies;
- Results of public expenditure audits and financial disclosures;

- Prosecution of corrupt public officers; and,
- Public perceptions of GON probity.

Applicants are urged to draw from this information, other resources identified and their own experiences to craft their own creative approaches to achieve the desired results and indicate that measurable progress has, in fact, taken place.

II. D. General Requirements

USAID anticipates applicants will present a detailed articulation of their proposed approach to ADVANCE implementation. The application will build upon the Mission's recently concluded civil society assessment (March 2004), reviewing existing programs on the ground for possible complementary activities, filling analytical gaps, and providing a sound empirical basis for program implementation. The Applicant's approach should incorporate and emphasize the use of internationally recognized best practices and be guided by and consistent with USAID's rules and regulations, as well as Agency guidance. The resulting submission should include but not be limited to:

- Implementation approach and methodology;
- Description of program components/elements/activities to achieve stated results (IR and sub-IRs);
- Proposed long-term staffing, including position descriptions and proposed candidates;
- Description of areas of integration with other new SO11 programs, as well as ongoing SO6 activities;
- Description of areas of integration and complementarity with other new SO programs under the 2004-2009 Country Strategic Plan;
- Description of relationships with key GON counterparts, non-Governmental and private sector organizations; and how each stakeholder group will be involved in the program;
- Description of how ADVANCE implementers will engage other donors active in EITI, EVIAN, NEEDS and SEEDS initiatives, as well as areas of common concern and interest;
- Draft results framework and performance management plan (PMP) identifying results to be achieved, performance indicators to measure results achievement, and clear linkages to the SO11 PMP and to results of other USAID/Nigeria strategic objectives, as appropriate; and,
- Full budget for implementation of the work plan by calendar year.

As part of the submission, the implementing partner will need to identify specific, key planned achievements by developing a program results framework and performance monitoring plan, both of which must be linked to the SO11 Results Framework and PMP (articulated in the Mission's 2004-2009 CSP) at both the SO and IR levels. Estimated achievement targets based on the indicators identified in the PMP section of the CSP must also be established.

The successful applicant will be responsible for maintaining consistency with the Agency's mandatory and suggested guidance on performance indicators. General guidance can be found in the ADS 200. The applicant's PMP should include data quality assessments that confirm that the data collected and reported pass tests of validity, reliability, timeliness, and integrity.

The applicant's submission should also identify and justify any specific studies, surveys, analyses and baseline surveys that will need to be done during the first few months of implementation in support of program's objectives.

SECTION III - EVALUATION CRITERIA

A. Overview

USAID/Nigeria plans to award a cooperative agreement with the Applicant selected in response to this RFA. Shortly after the submission deadline, USAID/Nigeria will review the applications following the criteria explained in this section.

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

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

Criteria described under “Proposed Personnel and Institutional Capacity” need not be met by each of the organizations on the proposed “team,” but rather will be evaluated based on the extent to which the criteria are met by the Applicant as a whole. Applicants must demonstrate the ability to support field-based operations and to meet all USAID financial and programmatic reporting requirements.

In the Technical Proposal, Applicants are encouraged to provide the following information: (a) examples of activities in which members have worked successfully in a partnership-like setting; (b) how the activities proposed are compatible with the individual organizations’ core objectives; (c) experience in working with diverse groups and effectiveness at bringing such groups together to reach consensus; and (d) methods and mechanisms to ensure information sharing, performance improvement, and sustainability of program activities.

Applicants must also demonstrate a capacity and method to: (a) consistently provide high quality services; (b) effectively solve problems and make decisions that ensure efficient and effective management; (c) control and forecast costs, budget and track financial activity, and produce accurate financial reports; and (d) adhere to implementation and reporting schedules.

Awards will be made based on the ranking of proposals according to the overall (technical and cost) selection criteria identified below.

B. Evaluation Criteria

Technical applications will be scored by a technical review committee that will allocate up to a total of 100 points to each application. The cost applications will be evaluated in accordance with the criteria stated below.

1. Technical Proposal (Total of 100 points)

A strong application will provide convincing evidence of the Applicant's understanding of the program of activities it proposes to accomplish, and its relationship to the objectives outlined in the RFA. The application will be evaluated for the coherency and clarity of the description of the activities planned, as well as the likelihood of achievement of the desired outcomes based on the proposed approach. Applications will also be evaluated by the extent to which they will achieve program goals and targets as well as Mission strategic objectives and results. A successful application will be well organized, complete, clear and succinctly presented.

In addition to the above overall criteria for the Technical Proposal, specific criteria will also be considered as shown below. Under each category are listed the aspects considered priority, with in some cases, an indication of points attributed to that particular factor. Where no sub-points are indicated, Applicants can assess the relative importance of that factor to the priority criteria in question.

a) *Quality of Technical Approach* 30 points

Applications will be evaluated on the appropriateness of the proposed approach and the extent to which the program sets forth a clear and supportable course of action to cover ADVANCE's three elements. This includes:

- A plan for implementation that responds to changing opportunities and needs; specifies anticipated program outcomes and results and identifies appropriate quantitative and qualitative process and impact indicators; tracks results; and clearly identifies what constitutes achievement of program goals (10 points);
- A strong and up-to-date understanding of governance issues in Nigeria (particularly the relationship between Nigeria's development challenges and corruption), as well as demonstrated capacity to devote considerable time and effort to tracking and incorporating cutting-edge global expertise on civil society, advocacy, governance and anti-corruption into on-going programs (5 points)
- An aggressive program to strengthen organizational capacity among civil society coalitions and supporting for developing local leadership in carrying out the program, including efforts to build sustainability and clear expectations of what will be the program's legacy at the end of the cooperative agreement (5 points)
- A clear plan for integrating transparency and accountability into other Mission programs designed to address, for example, sector-based issues in economic and agricultural development, health, education, social service delivery, and democracy and governance (5 points); and,
- Gender consideration fully integrated into the program (5 points).

b) *Institutional Capacity, Management Approach, and Past Performance* 30 points

Institutional capacity is a determination of the relative effectiveness of organizational and management capacity which, when applied to the achievement of USAID/Nigeria program objectives, are likely to result in concrete and measurable success. Past performance is a measure of the degree to which a grantee satisfied its customers in the past while complying with applicable U.S. laws and USAID grant regulations. Criteria for determination of the strength of institutional capacity and past performance also include:

- Demonstrated experience in supporting civil society organizations in advocacy, awareness, civic empowerment, with an appropriate emphasis on transparency, accountability, anticorruption issues (10 points);
- Demonstrated capacity to implement and manage sub-grant programs and quality of the approach proposed for managing grants and sub-grants (5 points);
- Creativity and diversity of partnership strategy as demonstrated by public-private alliances or **involvement of U.S. small disadvantaged businesses and minority-serving institutions as direct providers of technical services (5 points)**;
- Demonstrated ability to monitor and evaluate program implementation, results, and impact; clear, streamlined and responsive organizational structures and relationships; and ability to provide professional and timely logistical support to local operations (5 points); and,
- Demonstrated institutional ability to maintain financial, property, maintenance, and accounting in compliance with USAID requirements and proven ability to collaborate with other partner organizations/sub-grantees to ensure they meet these same requirements (5 points).

In as much as past performance is critical to the final selection, USAID will contact any or all of the references provided by the applicant and other sources of information, including but not limited to: other USAID missions and government

agencies, better business bureaus, published media, and electronic databases. USAID will not, however, evaluate an applicant's organizational past performance on the basis of personal past performance of the applicant's key personnel.

c) *Proposed Personnel*

40 points

USAID believes that the quality, commitment, and capabilities of the staff in this program constitute a key variable to the success of the program. This includes:

- Technical and practical experience and skills of proposed key personnel, with a strong reliance on Nigerian expertise (15 points);
- Knowledge of Nigeria and the current social, military, political and economic circumstances in country as well as comparative experience in other post-authoritarian regime contexts (5 points);
- Demonstrated leadership skills and the ability to encourage collaboration, cooperation, and a shared vision across a broad range of institutions and individuals that have at times been competitive and tend to approach the topic of transparency and accountability from a variety of development perspectives (5 points).
- Demonstrated understanding of USAID or other donor approaches to civil society work, including familiarity with efforts to apply anti-corruption approaches to development work (5 points);
- Demonstrated commitment to including diverse ethnic, religious, regional, age, and gender representation in core staff positions (5 points); and,
- Demonstrated commitment to provide appropriate training and support in coalition building, network management, civic awareness, and targeted advocacy to all relevant staff, including program staff, Mission staff, and local partners (5 points).

2. Cost Proposal

The cost application of all applicants submitting a technically acceptable application will be evaluated by the Agreement Officer for general reasonableness, and allowable and allocable costs. To the extent that they are necessary, and if an award is made based on the initial applications, then cost negotiations will be conducted with all applicants whose applications, after technical review and evaluation, have a reasonable chance of being selected for award. Awards will be made (depending on funds availability) to the responsible applicant whose application offers the greatest value, cost and other factors considered.

- Cost-effectiveness - percentage of the overall budget, including cost share, which goes to direct assistance for beneficiaries inside Nigeria, and the significance of the program impact in terms of the number of beneficiaries and/or cost per beneficiary to USAID/Nigeria, magnitude and type of any proposed cost-sharing contribution;
- Cost realism - likelihood that the program can be accomplished within the stated budget; and,
- Presentation - clarity and level of precision of cost presentation

C. Agreement Award

The Agreement Officer may conduct negotiations with one or more Applicants but reserves the right to make award(s) without consultations. USAID's objective is to award one Cooperative Agreement to the organization whose application is in USAID's sole judgment, the most likely to achieve the objectives of USAID/Nigeria's Advocacy, Awareness and Civic Empowerment program as described in the Country Strategic Plan 2004-2009 and in this RFA. The Awardee will be the Applicant whose application is determined by the Agreement Officer on a best value basis to be most advantageous to the United States Government (USG).

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

D. PART I - CERTIFICATIONS AND ASSURANCES

1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS

_____ (hereinafter called the "Applicant")
(Name of Applicant)

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

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

If the Applicant is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

.....
(Applicant)

BY (Signature) -----

TITLE -----

TYPED NAME -----

DATE -----

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS (JANUARY 2004)

- a. The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of Federal award. The statement must
 - a. Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - b. Specify the actions the recipient will take against employees for violating that prohibition; and
 - c. Let each employee know that, as a condition of employment under any award, he or she
 - i. Must abide by the terms of the statement, and
 - ii. Must notify you in writing if he or she is convinced for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
- b. The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about
 - i. The dangers of drug abuse in the workplace;
 - ii. Your policy of maintaining a drug-free workplace;
 - iii. Any available drug counseling, rehabilitation and employee assistance programs; and
 - iv. The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
- c. Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
- d. The recipient agrees to immediately notify the Agreement Officer if an employee is convinced of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.
- e. Within 30 calendar days of learning about an employee's conviction, the recipient must either
 - i. Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or
 - ii. Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
- f. The policies and procedures applicable to violations of these requirements are set forth in 22CFRPart 210.

3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JANUARY 2004)

- (1) The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:
 - i. Are presently excluded or disqualified from covered transactions by any Federal department or agency;
 - ii. Have been convicted within the preceding three-years period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust

statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

- iii. Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b); and
 - iv. Have had one or more public transactions (Federal, State or local) terminated for cause or default within the preceding three years.
- (2) The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

- (3) The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22CFR part 208.

4. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing

for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

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

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

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Recipient _____

Typed Name and Title _____

Signature _____ Date _____

[1] FORMATS\GRNTCERT: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4]

See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

6. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING E.O. 13224

Certification

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

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

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

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

- (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
- (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

Signed: _____
(Typed Name and Title) *Date*
(Name of Organization)

E. PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION	QUANTITY	ESTIMATED UNIT COST
(Generic)		

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

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

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

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED	DISPOSITION
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6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

F. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

G. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

H. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001)(8 U.S.C. §1182).

_____ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

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.