



USAID | SENEGAL

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ANNUAL PROGRAM STATEMENT APS-685-17-000002

Issuance Date:	March 17, 2017
Post solicitation conferences:	From March 27 to April 12
Deadline for submitting questions:	April 13, 2017
Deadline for submitting Concept Papers	May 24, 2017
Closing Date:	March 16, 2018, 17:00 hours Senegal Local Time

Subject: New partnership opportunities for Local NGOs to fulfill their roles as advocates for the resolution of local level issues in Fatick and Matam.

The United States Agency for International Development (USAID)/ SENEGAL is seeking applications for a *cooperative agreement* from qualified Local Non-Governmental Organizations (LNGO) to support national and local level Senegalese Civil Society to fulfill its role in advocating for the resolution of local level issues in Fatick and Matam. Eligibility for concept papers submission is restricted to LNGOs, including those who have never received direct funding from USAID. See Section C of this APS for eligibility requirements.

Subject to the availability of funds, USAID intends to award up to two grants of \$400,000 to \$1 million with a period of performance for program periods up to three years to LNGOs. The estimated total amount of this program, including all activities' costs is \$1,500,000.

While two awards are anticipated as a result of this APS USAID reserves the right to fund any or none of the applications submitted.

Eligible organizations interested in submitting a concept paper are encouraged to read this APS thoroughly to understand the type of program sought, application submission requirements and evaluation process.

Any questions concerning this APS shall be submitted in writing to DGPAPS2016@usaid.gov. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this APS does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Chadwick Mills
Agreement Officer

SECTION A: PROGRAM DESCRIPTION

A. Background

1. Problem Statement

A healthy civil society would collaborate, communicate, network, and jointly build a stronger culture of civic engagement and community organization to:

- Hold government accountable;
- Influence policy and budget decisions through advocacy on behalf of citizens;
- Drive reform processes; and
- Represent or respond to citizen needs for engagement in the governance process and in the delivery of basic services.

However, through fieldwork conducted in June 2016¹, USAID identified a number of interlinked challenges faced by national and local level Civil Society Organizations (CSOs) in Senegal. These challenges impede the ability of local CSOs to represent and resolve issues of concern to local constituencies, and include:

a) Limited ability of local CSOs to mobilize and advocate for local issues at the national level

The resolution of issues at the local level often requires advocacy at the national level, to capture the attention of decision-makers in the capital. Local level organizations face significant challenges in this regard. USAID noted in particular the weak linkages with national level organizations working on similar issues and the unhealthy competition for funds or for the spotlight between CSOs. Such collaboration is relatively infrequent.

b) Low levels of engagement by national and intermediate level organizations at the local level

As noted above, part of the endeavor to resolve local level issues often depends upon garnering adequate support and visibility. National level organizations based in Dakar, and intermediate level organizations headquartered in regional capitals, may be better placed to highlight these local level issues due to their existing networks and high profile. However, these larger organizations often do not sufficiently engage with their local level counterparts—they do not have an active community-based constituency.

Lack of engagement can be related to the inadequate financial resources of these larger organizations. Some successful models of financial autonomy do exist, but still too few are pursued in Senegal. Models that are not donor-dependent and that have been pursued on the African continent span from local trust funds, fee-for-service, dues, private sector investment or advertising, endowments and cost-risk-sharing partnerships, as well as the movement for Community Philanthropy which is used to build local assets, capacity, and trust. At the same

¹ Enjeux et défis de la participation citoyenne à la base au Sénégal, Seydou Nourou SALL
Août 2016.

time, low-cost opportunities to engage, inform, and have an exchange with CBOs or citizens can be overlooked by these larger CSOs.

c) Weak local support and collaboration between local organizations

Citizen support and collaboration across civil society actors provide legitimacy to CSOs and help to guide and inform their mandates. In addition, there is limited understanding of the civic concept of “public good,” whereby civil society works towards common goals. Recent citizen movements initiated by Senegalese youth hint at the frustrations with the current operational model of traditional CSOs: Traditional CSOs are seen to be dependent on international donors for funding and to operate on a project to project basis in competition with other CSOs in their sectors.² This prevents them from developing and pursuing their own objectives in response to citizen needs. It also gets in the way of seeking strength in unity or in collaboration around particular issues. Poor working relationships between stakeholders, including private sector entities and local government officials, further weaken CSOs’ citizen support base.

In Matam and Fatick, local coordinating bodies of national networks such as Consortium des Organisations Non Gouvernementales d’Appui au Développement (CONGAD) or the Platform of Non State Actors are not fully operational. Their local leaders are operating on a voluntary basis and lack the means and motivation to create linkages between the national and grass roots levels. The lack of collaboration between CSOs and CBOs is highlighted as a major problem in Matam by administration officials, local authorities, and the leaders of the CSOs.

CBOs in Matam are organized in village or inter-villages associations that regroup members of the same background. These associations collaborate closely with local organizations to address local issues. A food security program supported by USAID has built on these values of solidarity to initiate a new way of organizing its partners through Citizen Working Groups. Unfortunately, while this approach has improved the ability of stakeholders in Matam to collaborate on some specific local issues, the Citizen Working Groups have not resolved the common discord among CSOs and between CSOs and local government. One of the reasons for the persistence of these challenges appears to be that CBOs remain focused on working within a restricted field (like food security) and are not inclusive enough of all the right stakeholders.

d) Weak institutional capacity of national and local level organizations

Institutional capacity and the ability of civil society to perform its essential functions at both the national and local levels includes inadequate financial resources and income generating activities, the lack of alternating mandates for members of the boards of organizations, poor information sharing and transparency, and unclear segregation of roles and responsibilities between national level organizations and local branches.³ Many organizations also have weak leadership practices. For example, dependency on the personality of individual leaders or

² *Ibid* p. 16

³ Rôle des acteurs non étatiques dans la gouvernance sectorielle au Sénégal : compléments à la cartographie de 2008, Rapport final Volume 1, Version finale, Octobre 2012 p. 24
http://www.eeas.europa.eu/delegations/madagascar/documents/eu_madagascar/support_nsa/cartographie_oscm_2012_fr.pdf, accessed on 23/05/2016

founders within the organization outweighs efforts at developing the organization as a whole into a sustainable entity.

In Matam and Fatick, organizations rely heavily on outside funding. However, even organizations that may have independent financial resources may face challenges of internal governance and transparency. Once a donor-funded project closes, the organizations' activities tend to subside as well. Community Based Organizations can also be subject to pressure by local politicians who are searching for opportunities to gain local support.

e) Weak technical capacity of national and local level organizations

A CSO's technical capacity includes its ability to gain an in-depth understanding of local level issues, to develop robust analysis, and to use this knowledge in practice. CSOs at both the local and national levels often lack expertise or the tools needed to do adequate research, to collect accurate and relevant data on a priority issue, and to produce effective analysis. This in turn prevents them from engaging in budget and policy analyses, or from using social accountability tools such as social audits and public expenditure tracking to monitor the progress of government reforms or private sector investments for the purposes of improving basic services. For example, they may be unaware of legally defined public service delivery standards such as a maximum number of children per classroom, the maximum distance to walk for water, or the amount of resources allocated for school construction in their region.

Shortcomings in such technical capacity are exacerbated by limited access to policy debates and to information that should in theory be public about the functioning of central and local government and the use of resources. High illiteracy rates, low levels of connectivity, and unavailability of data at the commune levels are also aggravating factors.

2. Context

Senegal is still in the process of developing a culture of civic engagement that extends beyond participation in elections. Opacity and corruption in the management of public affairs and inefficient public services remain significant issues affecting national development—all issues for civil society to more deeply engage. Most ordinary citizens have a limited understanding of critical political processes and of the roles and responsibilities of citizenship in a democracy (*citoyenneté*), or the role of the National Assembly and the responsibilities of members of parliament (*députés*) to represent and serve the needs of their constituents. In response, several organizations are trying to make budgets and institutions more transparent and to hold elected leaders accountable, but civic participation remains insufficient⁴ to significantly influence decision-making and service delivery issues.

Meanwhile, the Government of Senegal has signaled through several of its strategic and legal documents⁵ that proper community participation is fundamental to its goals. As a result, local

⁴ Rôle des acteurs non étatiques dans la gouvernance sectorielle au Sénégal : compléments à la cartographie de 2008, Rapport final Volume 1, Version finale, Octobre 2012 p. 5
http://www.eeas.europa.eu/delegations/madagascar/documents/eu_madagascar/support_nsa/cartographie_oscm_2012_fr.pdf, accessed on 23/05/2016

⁵ For example, Law 2013-10 of September 28, 2013

civic groups are active members of the *Cadre Local de Concertation* set up by Local Authorities. These community “consultations”, however, fall short of *actual participation* and of communities’ expectations.

USAID has assessed that, in spite of such multi-layered and interlinked obstacles, local organizations in *Matam* and *Fatick*, such as some women’s groups (Groupement de Promotion des Femmes-GPF), have shown motivation to realize their real potential, which has manifested itself in their sense of solidarity among members, their resourcefulness, and their deep knowledge of the local environment.

3. Relationship to Government of Senegal Strategies

Activities under this APS align with the host country’s priorities for the third axis of the Plan Senegal Emergent (PSE), which is to meet the requirements for good governance and regional integration.

4. Relationship to Existing and Planned USAID Activities

USAID/Senegal has developed a new seven-year DRG strategy (2016-2023) in collaboration with civil society and the Government of Senegal. USAID/Senegal’s overall development hypothesis for strengthening governance holds that:

if local governments are strengthened to collaboratively and effectively collect, plan, program, and manage local resources; if meaningful citizen participation in the governance process is obtained; if allocation of national resources to local governments is rationalized and more efficient; and if Senegalese communities vulnerable to violent conflict learn to resolve resource-driven differences constructively; then the delivery of basic services (health, education, water and sanitation, food security) will improve, and government legitimacy and the state-citizen social contract will be strengthened.

USAID/Senegal recognizes that large, national level organizations may have unique expertise and networks that can offer services that may be difficult for local organizations to provide, and also that committed community-based organizations are often weaker organizationally but also have the strongest connections to constituencies. In light of this environment and development hypothesis, this APS intends to assist Senegalese non-state actors that have affordable ideas to bridge the divide between these civil society groups.

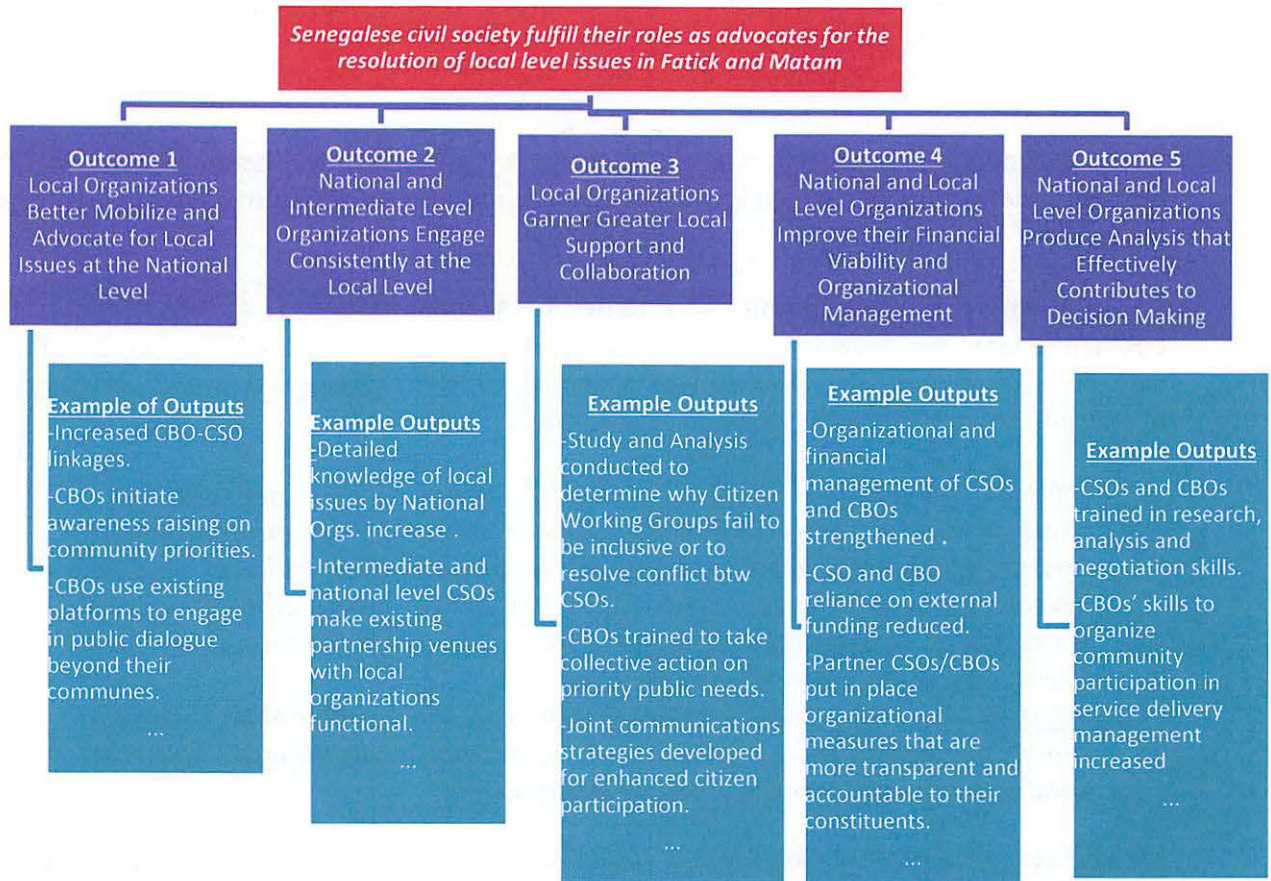
Other USAID implementing partners are active in the geographic focus areas, and may be working with some of the same target beneficiaries. This activity is intended to be complementary to these other USAID initiatives, and it is anticipated that the Applicant will coordinate with these other USAID implementing partners as appropriate to ensure maximum impact.

5. Relationship to Other Donor Activities

There are other international and national donors active in *Matam* and *Fatick*, such as the European Union and Spain. The Applicant is encouraged to seek and propose ways in which it might leverage and/or coordinate its activities with other ongoing support to civil society in those target regions.

B. Expected Outcomes

The below framework is to help illustrate how one or more activities funded under this APS might contribute to the purpose of this APS. **Applicants are encouraged to propose their own ideas to achieve at least one of the outcomes.**



1. **Outcome 1: Local Organizations Better Mobilize and Advocate for Local Issues at the National Level**

For CBOs to embrace their role of representing their communities' priority needs at the national level, they will need to build skills to back up their positions and issues, develop a representative voice for their constituency, gain an understanding of how to build networks and joint strategies at higher levels or with larger organizations around common interests with the right government and non-government stakeholders, and know how to take collective action. CBOs will build buy-in from local government on up to the central government in Dakar, seeking opportunities to strengthen and leverage relationships with national level organizations. CBOs may also improve their ability and/or motivation to build awareness on key local level issues that will be publicized widely at the national level.

2. Outcome 2: National and Intermediate Level Organizations Engage Consistently at the Local Level

Boosting engagement by intermediate and national level CSOs on local development priorities will help garner support and visibility of local issues. It will also bolster the CBOs that normally carry them. This outcome should serve to spotlight critical local needs and broaden the reach of larger CSOs beyond the capital.

3. Outcome 3: Local Organizations Garner Greater Local Support and Collaboration

By building a strong support base for CBOs and fostering healthy collaboration among them across a variety of sectors, local organizations will raise their profile. They will promote working together to advocate more effectively on their constituents' behalf. CBOs from across various sectors of governance, human rights, advocacy, private sector, and service delivery will collectively come together with the Government of Senegal (GOS) to deliberate and find solutions to key issues chosen by citizens/constituencies (through surveys for example).

4. Outcome 4: National and Local Level Organizations Improve their Financial Viability and Organizational Management

The internal governance of CSOs and CBOs will be strengthened by focusing on the whole organization and by improving organizational and financial management practices. By improving management, financial autonomy, organizational governance, and leadership practices, organizations will be able to develop sustainable operations that are responsive to their constituent's needs, and less dependent on donor financing. After assessing strengths and weaknesses, and identifying roles and responsibilities, CSOs and CBOs will learn to institute best practices that reinforce good internal governance. Beneficiaries will apply new skills in strategic planning, budget analysis, advocacy, and social accountability toward their own advocacy activities to be more sustainable organizations advocating for greater budget transparency and resource allocation. Under this outcome, successful models of financial autonomy should improve CSOs' and CBOs' chances of being financially stable and less project dependent. They should in turn be freer to realize their visions and pursue programming that meets their own priorities.

5. Outcome 5: National and Local Level Organizations Produce Analysis that Effectively Contributes to Decision Making

Under this outcome, CBOs and CSOs will develop robust research and analysis, as well as gain an ability to synthesize data and apply it in practice when advocating for the resolution of local level issues. They will train and receive tools needed to improve research capabilities, data collection, and relevant analysis, taking into account accessibility of information and literacy levels. With improved negotiation skills and social accountability approaches, these organizations will make more effective usage of such research.

It is anticipated that these skills will facilitate more active citizen participation in the decision-making processes around service delivery, in particular with respect to budget and policy analysis, social accountability monitoring activities such as social audits and public

expenditure tracking– particularly on decentralization and the delivery of quality basic services. CBOs and national CSOs will employ improved skills in budget planning and management to facilitate collaboration with local and national government.

End of Section A

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one to two Cooperative Agreements as a result of this APS. Subject to funding availability, USAID intends to provide \$1,500,000 in total USAID funding over a three year period. The number of award is subject to availability of funds.

USAID reserves the right to fund any one or none of the applications submitted. USAID may reserve the right to close this program at any point up to the closing date. Awards are one time only and are generally not renewable. USAID reserves the right, in consultation with applicants to reduce, revise or increase budget in accordance with the needs of the program and availability of funds.

It is USAID policy not to award profit under grants and cooperative agreements. Consequently, no fee or profit will be paid to the grant or cooperative agreement recipient. Foregone profits do not count toward partner contributions. 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, may be covered by the grant.

Applicants can find copies of these documents by referring to the USAID Homepage at the following links:

<http://www.usaid.gov/policy/ads/cfr.html#22>; and <http://www.usaid.gov/policy/ads/omb.html>;

2. Start Date and Period of Performance

The period of performance anticipated herein is three *years*. The estimated start date will be upon the signature of the award, on or about.

3. Substantial Involvement

USAID may decide to be “substantially involved” in the implementation of the program activities, and therefore award a cooperative agreement(s), a specific type of grant. Cooperative agreements are identical to grants except that USAID may be substantially involved in one or more of the following areas:

1. USAID approval of the recipient’s implementation plans (limited to not more frequently than annually);
2. USAID approval of specified key personnel (limited to 5 positions or 5 percent of the recipient’s total team size, whichever is greater);
3. USAID and recipient collaboration or joint participation, which includes one or more of the following:
 - a. Collaborative involvement of selection of advisory committee members (USAID may also choose to become a member), if applicable;
 - b. USAID concurrence on the selection of sub-award recipients and/or the substantive technical/programmatic provisions of sub-awards;
 - c. USAID approval of a program monitoring and evaluation (M&E) plan (to the extent that such information is not included in the application);

- d. USAID monitoring to permit direction and redirection because of interrelationships with other projects; and
- e. USAID authority to immediately halt a construction activity, if applicable.

For more details refer to USAID ADS 303.3.11 at <http://www.usaid.gov/policy/ads/300/303.pdf>.

End of section B

SECTION C: ELIGIBILITY INFORMATION

Eligible Applicants

Only Local NGOs (LNGOs) are eligible for awards. USAID encourages applications from potential new partners. LNGOs are defined as organizations that meet the below definition of “local organization” and are not government controlled or government owned (i.e. where the majority of the members of the governing body are government employees or the recipient government owns a majority interest).

USAID defines a local organization as one that:

- Is organized under the laws of the recipient country or under the laws of a country in the region;
- Has its principal place of business in the recipient country or in the region;
- Is majority-owned by individuals who are citizens or lawful permanent residents of the recipient country or is managed by a governing body, the majority of whose members are citizens or lawful permanent residents of a recipient country; and
- Is not controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term “control” in the above phrase “controlled by” means having a majority ownership or beneficiary interest, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization’s managers or a majority of the organization’s governing body by any means, e.g., ownership, contract, or operation of law.

“Foreign entity” means an organization that fails to meet any part of the “local organization” definition.

USAID welcomes applications from organizations which have not previously received financial assistance from USAID.

To be eligible for this program, organizations must not have received more than \$5,000,000 cumulatively from any U.S. Government agency in direct assistance during the past five year period. The date to which the \$5 million threshold criteria refers is the date that the award from the U.S. Government was signed. The \$5,000,000 threshold includes any type of assistance received directly from any U.S. Government agency through a grant or cooperative agreement during the five year period. Applicants who have received indirect USAID assistance (sub-awards or other indirect assistance) totaling more than \$5,000,000 are eligible. Although the primary recipient under this APS must be an LNGO, a U.S. Private Voluntary Organization (U.S. PVO) may be proposed as sub-awardees, for example, to ensure some of the technical assistance needs to local organizations.⁶

⁶ The USAID definition of PVO can be found under 22 CFR 203.2 “Definitions,” reproduced below <http://www.gpo.gov/fdsys/pkg/CFR-2006-title22-vol1/xml/CFR-2006-title22-vol1-sec203-2.xml>

Responsibility of Applicant:

In order for an award to be made, the Agreement Officer must make an affirmative determination that the applicant is “responsible,” as discussed in ADS 303.3.9.

The AO may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program.

In the absence of an affirmative “responsibility” determination, an award can ordinarily not be made. However, in rare cases, an award can be made with “special award conditions” (i.e., additional non-standard award requirements designed to minimize the risk presented to USAID of making an award to an NGO for which an affirmation determination of “responsibility” cannot be made) but on where it appears likely that the applicant can correct the deficiencies in a reasonable period.

End of section C

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

The preferred method of distribution of USAID assistance information is via the Internet. This APS contains all necessary information, web links, and materials to submit a complete concept paper and if invited – a full application. Any additional information regarding this APS will be furnished through amendments and will be communicated through grants.gov. This APS and any future amendments can be downloaded from the World Wide Web Address at <http://www.grants.gov>.

The Agency point of contact is:

Khady Sadio

Assistance Specialist

Email: ksadio@usaid.gov

Chadwick Mills

Agreement Officer

US Embassy c/o USAID/SENEGAL

cmills@usaid.gov

Questions and Answers:

All questions regarding this APS should be submitted electronically to Khady Sadio, Acquisition and Assistance Specialist at DGPAPS2016@usaid.gov no later than the date specified on the cover page 17:00 hours Local Senegal time to provide sufficient time to address the questions and incorporate the questions and answers as an amendment to this solicitation. Any information given to a prospective Applicant concerning this APS will be furnished promptly to all other prospective Applicants as an amendment to this APS through www.grants.gov, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant.

2. Content and Format of the Concept Papers

The concept paper must be submitted electronically to USAID/SENGAL at DGPAPS2016@usaid.gov.

To facilitate the competitive review of submissions, USAID will only consider concept papers conforming to the format prescribed in this APS.

The concept paper must be:

- Typed, single space on A4 size paper
- Printed in 12 font size Times New Roman; charts, tables and spreadsheets may not be less than 10 point font. A page in the concept paper which contains a table, chart, graph, etc., not otherwise excluded below, is subject to the page limitation set by the USAID Mission. Information submitted as part of the concept paper over the page limit will not be evaluated.

- Written in English or French
- If submitted electronically, written in Word (version 2000 or later) or Adobe PDF format with spreadsheets in MS Excel (version 2000 or later) or in tables that are compatible with MS Word

Concept papers must be 5-7 pages (excluding cover page):

The concept paper must include the following:

a. Cover page

- Title of project
- Solicitation Number of this APS: APS-685-17-000002
- Name and address of the applicant organization
- Type of organization (such as for-profit, non-profit, network, etc.)
- Point of contact (lead contact name, relevant telephone, and e-mail information). Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, and if not, the contact information for the person with authority to negotiate should also be listed.
- Names of other organizations that will partner as sub-awardees or are funding some of the proposed activity
- Signature of authorized representative of the applicant

b. Problem statement (not to exceed 1 page)

A brief description of the development challenge, its causes and impacts, including data that informed the applicant's overall analysis and concept (e.g. secondary data, findings from the evaluation of a development project, or the applicant's own analysis/assessment).

c. Technical approach, including key activities (not to exceed 4 pages)

- The applicant's theory of change, which should encompass its approach to tackling the identified problem.
- A summary of the overall goal, anticipated objectives, and results of the proposed activities.
- A description of the target population, project duration, and the geographical focus.
- A reference to how the proposed activities contribute to advancing the selected outcomes listed in this APS.
- A plan for adapting to changes, unforeseen opportunities, or poor initial results.

d. Institutional capacity (not to exceed 1 page)

- A brief description of Applicant's experience addressing similar challenges and of the Applicant's strengths and distinctive competence that make it well-suited to address the identified challenge(s).

e. Summary Budget (not to exceed 1 page)

- Proposed budget including:
 - i. Brief cost breakdown (e.g., salaries, travel, etc.);
 - ii. Proposed optional amount of the applicant' financial as well as in-kind participation, if applicable;
 - iii. Proposed amount of prospective or existing partners(s) financial as well as in kind participation, if applicable

Applicants are expected to review, understand, and comply with all aspects of the APS.

Concept Papers will be evaluated according to the criteria described in Section E. If applicants are successful at the Concept Paper stage, USAID will request the applicant to submit a Full Application in line with the format described below and any additional instructions from the Agreement Officer. Applicants may not submit a full application unless requested to do so by the Agreement Officer. Instructions from the Agreement Officer will include a deadline for the submission of the full application. The full application will offer the applicant an opportunity to explain the technical approach in more detail. The full applications will be evaluated according to criteria described in Section E.

End of Section D

SECTION E: CONCEPT PAPERS REVIEW INFORMATION

1. Evaluation Criteria

USAID will first review concept papers against the merit review criteria below in descending order of importance. Budget and past history will be evaluated only for apparently successful concept papers.

Merit Review Criteria

USAID will review concept papers and evaluate their technical merit based upon the extent to which:

1. The applicant's theory of change, project objectives, activities, and expected results are clearly explained and linked to outcomes in this APS.
2. The applicant demonstrates how it will be able to adapt (for example through feedback loops), should the approach reveal itself to be unsustainable, too costly, harmful, or simply ineffective.
3. The applicant's program concept includes a strong approach to institutional capacity development for organizations based in Fatick and or Matam.
4. The applicant's program concept aims for quality and continuity of citizen participation rather than quantity and immediacy.
5. Gender considerations are clearly articulated and integrated into the applicant's program approach.
6. The applicant identifies and harnesses readily available local resources and assets (hard assets like private sector investment, and soft assets like youth motivation, human capital, and cultural strengths) so sustainable success is not completely reliant on inputs external to the community like international donor funds.
7. The applicant's implementation schedule is realistic for achieving the proposed results and the applicant has logically sequenced program activities.

The criteria will be graded according to the following scale:

Outstanding	Very significantly exceeds most or all solicitation requirements, and the strengths far outweigh any weaknesses. Demonstrates in a high degree of detail how intended outcomes will be achieved. Response exceeds a "Good" rating. Very clearly demonstrates an exceptional understanding of the solicitation requirements to the extent that risk of unsuccessful performance is very low.
Good	Fully meets all solicitation requirements and significantly exceed many of the solicitation requirements, and contains strengths which outweigh any weaknesses. Demonstrates in sufficient detail how intended outcomes will be achieved. Response exceeds an "Acceptable" rating. Demonstrates a thorough understanding the solicitation requirements, to the extent that risk of unsuccessful performance is low.

Acceptable	Risk of unsuccessful performance is moderate. Meets all solicitation requirements, and any strengths and weaknesses are offsetting or will have little or no impact on performance. Includes limited detail on how intended outcomes will be achieved. Response exceeds a “Marginal” rating. Demonstrates an adequate understanding of the requirements, to the extent that risk of unsuccessful performance is moderate.
Marginal	Does not clearly meet solicitation requirements, and contains one or more weaknesses which are not offset by strengths. Lacks detail of how intended outcomes will be achieved. Response is less than “Acceptable”. Risk of unsuccessful performance is high.
Unacceptable	Fails to meet solicitation requirements and has many deficiencies and/or contains one or more gross omissions. (When applying this adjective to the technical application as a whole, the technical application must be so unacceptable in one or more areas that it would have to be significantly revised to attempt to make it other than unacceptable.)

USAID will notify unsuccessful applicants and will invite successful applicants to co-design in view of submitting a full application.

2. Review and Selection Process

The first review period for concept papers will be May 24, 2017. Following this period, USAID review of concept papers will be on a rolling basis, until such time that USAID announces that it is no longer accepting concept papers.

USAID will notify unsuccessful applicants and will invite successful applicants to co-design in view of submitting a full application.

The process has three phases with clear actions, decision points and deliverables in each phase, as detailed in the diagram below.

Three Phases of APS process



IMPORTANT NOTE:

Issuance of this APS does not constitute an award commitment on the part of the U.S. Government (USG), nor does it commit the USG to pay for costs incurred in the preparation and submission of a concept paper or full application. Please note that the invitation in phase 3 to submit a full application does not constitute an award; USAID may choose not to fund full applications even after they have been requested.

Instructions for full applications that USAID will use for phase 3 are in Annex 1. USAID will conduct a risk assessment of all potential applicants prior to award. This may include a pre-award review of the organization’s financial and other policies, procedures, and systems, particularly if they have never previously received USAID funding. Award(s) will be made to responsible applicant(s) whose application(s) best meets the requirements of this APS and the evaluation criteria contained herein.

End of Section E

Annex 1: FULL APPLICATION INSTRUCTIONS FOR ORGANIZATIONS WHICH SUBMITTED CONCEPT PAPERS UNDER THIS APS

If USAID/SENEGAL's review of applicants' concept papers, results in a decision to request a full application, the Agreement Officer will provide specific requirements and instructions for the full application. However, any full application submitted under this APS must include all the information requested in a Concept Paper as well as the following:

A. Full Application submission:

Technical applications must be specific, complete and concise. Applications must outline in sufficient detail the objectives for the chosen areas, the methods and specific activities of intervention, as well as the expected outcomes. Applicants must demonstrate their capabilities and expertise with respect to achieving the objective(s). Applicant's plan and indicators for monitoring progress towards achieving the project goals should be clearly communicated.

The full application must be:

- Typed, single space on A4 size paper
- Printed in 12 font size; charts, tables and spreadsheets may be not less than 10 point font
- Written in English
- If submitted electronically, written in Word (version 2000 or later) or Adobe PDF format with spreadsheets in MS Excel (version 2000 or later) or in tables that are compatible with MS Word
- 15 to 25 pages (excluding cover page and letters of commitment)

Include the following sections:

1. Cover page

- ✓ Title of project
- ✓ Solicitation Number of this APS
- ✓ Name and address of the (lead) organization
- ✓ Type of organization (such as for-profit, non-profit, network, etc.)
- ✓ Contact point (lead contact name, relevant telephone, and e-mail information)
- ✓ Names of other organizations that will partner as sub-awardees or are funding some of the proposed activity
- ✓ Signature of authorized representative of the applicant

2. Problem statement :

A description of the development challenge, its causes and impacts, including data that informed the applicant's overall analysis and concept (e.g. secondary data, findings from the evaluation of a development project, or the applicant's own analysis/assessment).

3. Technical approach, including key activities

- ✓ The applicant's theory of change, which should encompass its approach to tackling the identified problem.
- ✓ The overall goal, anticipated objectives, and results of the proposed activities.

- ✓ A description of the target population, project duration, and the geographical focus.
- ✓ A description of how the proposed activities contribute to advancing the selected outcomes listed in this APS.
- ✓ A plan for adapting to changes, unforeseen opportunities, or poor initial results.

4. Activity Monitoring and Evaluation Plan (AMEP)

The AMEP must describe the resources and tools that will be utilized to monitor progress of activities against objectives and implementation plan. Proposed indicators to help track such progress against targets, with a definition of the indicators, rational for targets, baseline data, and how the indicators are measurable, realistic, and time-bound. The plan may propose performance and/or results based methods of monitoring progress and evaluating success. The plan will also describe the Applicant’s approach to inviting collaboration in its activities among implicated stakeholders, and how taking such measures will help the Applicant to learn and adapt to what it learns.

5. Draft first year work plan

This plan must give a timeline for activities in the first year. Activities must be broken down by objective and easy to track against the budget and against expected outcomes and targets for the first year.

6. Institutional capacity

This section must describe Applicant’s experience addressing similar challenges and of the Applicant’s strengths and distinctive competence that make it well-suited to address the identified challenge(s).

7. Management and Staffing Plan

This Plan is meant to demonstrate how the Applicant intends to deploy human resources to most effectively carry out its intended activities. An organigram and assignment of roles and responsibilities must help USAID understand the Applicant’s ability to manage its assets toward obtaining the results it seeks by using its USAID award funding.

8. Budget

- Proposed budget
- Cost-share. If applicable, a proposed amount of leverage from prospective partners, both cash as well as in-kind. Applicants are not required to include cost-sharing (matching) funds; however, USAID encourages applications drawing on additional sources of funding to leverage USAID’s limited resources.

B. Technical cost application:

USAID will evaluate the cost/business application separately for cost effectiveness and realism. 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 illustrate the 3-year period of performance, using the budget format shown in the SF-424A. The anticipated amount of each award will be between \$400,000 and \$1,000,000.

If the applicant has established a consortium or another legal relationship among its partners, the Cost application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the applicants including identification of the applicant with which USAID will treat for purposes of Agreement administration, identity of the applicant which will have accounting responsibility, how agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

The Cost Application should contain the following sections:

- 1) Title Page
- 2) SF 424 Forms
- 3) Budget
- 4) Budget Narrative
- 5) Certifications, Assurances, and Representations
- 6) Supporting documentation (as applicable)

1. Cover page

Include APS Number, project title, proposed alternative title (if applicable), name of organization(s) submitting application, name of authorized official, telephone numbers, e-mail, and mailing address for contact.

2. SF 424 Form(s)

Applicant shall submit the application using the SF-424 series:

Instructions for SF-424 <http://www.grants.gov/assets/SF424Instructions.pdf>
SF424⁷ http://apply07.grants.gov/apply/forms/sample/SF424_2_1-V2.1.pdf
Instructions for SF-424A <http://www.grants.gov/assets/InstructionsSF424A.pdf>
SF 424A <http://apply07.grants.gov/apply/forms/sample/SF424A-V1.0.pdf>
Instructions for SF-424B <http://www.grants.gov/assets/InstructionsSF424B.pdf>
SF 424B <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>

Failure to accurately complete these forms could result in a non-funded application.

3. Budget

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and shall be broken out by project year, including itemization of the federal and non-federal (cost share if mentioned) amount. The Budget will include the following worksheets or tabs, and contents, at a minimum:

⁷ Please disregard the expiration date 03/31/2012 as the form is still valid.

- a) **Summary Budget**, inclusive of all program costs (federal and non-federal), broken out by major budget category and by year for activities implemented by the applicant and any potential subrecipients for the entire 3-year period of the program.
- b) **Detailed Budget**, including a breakdown by year, by budget category and budget line items for all federal funding (core and field support) and cost share or leveraging for the entire implementation period of the program.
- c) **Subpartners' Detailed Budgets** for each subpartner, for all federal funding (core and field support) and cost share/ leveraging, broken out by budget category and by year, for the entire implementation period of the program.

The Detailed Budgets shall contain the following budget categories and information, at a minimum:

Salaries and Wages should be proposed in accordance with the applicant's personnel policies and should include as much as possible information about the personnel's name, position, status, salary rate, level of effort and salary escalation factors. Please explain your assumptions in the Budget Narrative.

Fringe Benefits (if applicable). Please provide adequate justification for the proposed rate. If the applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the applicant determined the rate; in this case, 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 U.S. dollars and as a percentage of salaries;

Travel including information about the number of trips, domestic, regional, and international, the estimated costs, the purpose of the trip, the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per Diem shall be based on the applicant's travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain your assumptions in the Budget Narrative.

Equipment, including information on estimated types of equipment, models, cost per unit and quantity.

Supplies related to this activity.

Contractual, identifying any goods and services being procured through a contract mechanism.

Other Direct Costs including but is not limited to: communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in

the applicant's indirect rates). The narrative shall support and provide additional information for all other direct costs.

General and administrative Costs: The applicant shall support the proposed administrative cost rate.

4. Budget Narrative Contents

To support proposed costs for the project, all applicants must provide a detailed Budget Narrative that explains how the costs were estimated and the methodologies used. The Budget Narrative must provide detailed explanation of all costs and the reasoning behind any assumptions:

- a) All federal costs associated with the program.
- b) All costs proposed by each sub-partner.
- c) The breakdown of any financial and in-kind contributions of all organizations involved in implementing this program.
- d) Potential contributions of non-USAID or private commercial donors to this program (cost share) in accordance with 22 CFR 226.23 and/or 2 CFR 215.
- e) Procurement plan for commodities, goods and services (if applicable).

5. Certifications

Applicants that succeed at the co-design phase will be required to complete and submit a SF 424.

As per the ADS 303.3.8, Applicant must sign certifications found in ADS 303mav, including:

- Certification Regarding Lobbying (22 CFR 227);
- Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206, Prohibition of Assistance to Drug Traffickers);
- Certification Regarding Terrorist Financing;
- Certification Regarding Trafficking in Persons; and
- Certification of Recipient

If the applicant is considered appropriate to receive federal funding for this mechanism the applicant needs to be aware of the following:

1. For non –U.S organizations, Mandatory Standard Provisions mentioned in USAID's Automated Directive System (ADS) 303 are applicable.
2. In order to be eligible to receive U.S Government funding, organizations must meet certain requirement. While these requirements do not have to be met in order to submit a concept paper under the APS, they will need to be met if the applicant is requested to submit a full application. The requirements are:

- a) Registration Matters
 - All first-time applicants for USAID funding are subject to a pre-award survey

to verify that the applicant has proper procedures in place to receive USAID funding (ADS 303.3.8)

- In accordance with 2 CFR Part 25, all organizations (unless exempt) are required to have a Data Universal Numbering System (DUNS) number and register with Systems for Award Management (SAM). To obtain information regarding the preceding, see the respective links: <http://www.dnb.com> and <https://www.sam.gov/portal/public/SAM/>. Note: the DUNS number must be submitted with the application (it is required on the SF-424).
- Please allow several weeks for processing through SAM.GOV.
- Some domestic organizations may also need to register as a U.S. Private Voluntary Organization (PVO). Applicants may determine if they meet the definition for a PVO and find registration instructions here (<http://www.usaid.gov/pvo>). Registration is not required before application submission but, if required, must be completed before funding can be disbursed.

The applicant is required to: (i) Be registered in SAM before submitting its application; (ii) Provide a valid DUNS number in its application; and (iii) Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency. USAID may not make a Federal award to an applicant until the applicant has complied with all applicable DUNS and SAM requirements. If the applicant has not fully complied with the requirements by the time USAID is ready to make an award, USAID may determine that the applicant is not qualified to receive a Federal award.

C. Reporting

The requirements for reporting on the program activities will be determined in a collaborative manner, and will be outlined in the final award, including the submission of an annual work plan, a regular program performance report (frequency to be determined with the successful applicant), and a final report. USAID and the implementing partner will also agree on an annual performance monitoring plan, using established baseline data and specific, measurable targets and indicators; the final award will include that requirement.

D. Branding Strategy and Marking Plan

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

The plan will describe how the program is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and

explains how they will be acknowledged. The Branding Strategy will be negotiated and finalized as part of assistance award. Specific communications and promotion measures shall be described in the “Branding Strategy” and “Branding Implementation Plan” and specific marking will be described in the “Marking Plan” for this award(s). ADS 320 may be found at the following websites:

<http://www.usaid.gov/policy/ads/300/320.pdf>;

<https://www.usaid.gov/sites/default/files/documents/1868/320.pdf>

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

E. Standard Provisions

MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (DECEMBER 2014)

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline “from the American people”, unless amended by USAID to include additional or substitute use of a logo or seal and tagline representing a presidential initiative or other high level interagency initiative. The standard USAID logo must be used unless the award requires use of an additional or substitute logo.

The USAID Identity (including any required presidential initiative or related identity) is available on the USAID Web site at www.usaid.gov. Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

- (1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;
- (2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;
- (3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
- (4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
- (5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot

be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. The recipient must implement the requirements of this provision following the approved Marking Plan in the award.

c. The AO may require a preproduction review of program materials and “public communications” (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

d. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer’s Representative (AOR) and to USAID’s Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

“The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide.”

e. Any “public communication” in which the content has not been approved by USAID must contain the following disclaimer:

“This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

f. The recipient must provide the USAID AOR, with two copies of all program and communications materials produced under this award.

g. The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

- (1) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
- (2) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
- (3) Undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;
- (4) Impair the functionality of an item;
- (5) Incur substantial costs or be impractical;
- (6) Offend local cultural or social norms, or be considered inappropriate; or
- (7) Conflict with international law.

h. The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.

(1) Approved waivers “flow down” to subawards and contracts unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(2) USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant

Administrator.

i. The recipient must include the following marking provision in any subagreements entered into under this award:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s, or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

LIMITING CONSTRUCTION ACTIVITIES (AUGUST 2013)

- a) Construction is not eligible for reimbursement under this award unless specifically identified in paragraph d) below.
- b) Construction means —construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.
- c) Agreement Officers will not approve any subawards or procurements by recipients for not to exceed the amount specified in the construction line item of the award budget. The recipient must receive prior written approval from the AO to transfer funds allotted for construction activities to other cost categories, or vice versa.
- d) Description
Construction is not eligible for reimbursement under this award
- e) The recipient must include this provision in all subawards and procurements and make vendors providing services under this award and subrecipients aware of the restrictions of this provision.

USAID IMPLEMENTING PARTNER NOTICES (IPN) PORTAL FOR ASSISTANCE (JULY 2014)

(a) Definitions

“USAID Implementing Partner Notices (IPN) Portal for Assistance (“IPN Portal)” means the single point where USAID posts proposed universal bilateral amendments for USAID awards, which can be accessed electronically by registered USAID recipients. The IPN Portal is located at <https://sites.google.com/site/usaidipnforassistance/>.

“IPN Portal Administrator” means the USAID official designated by the Director, M/OAA, who has overall responsibility for managing the USAID Implementing Partner Notices Portal for Assistance.

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

the Agency notification of such revisions or new requirements.

- (b) By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:
 - (1) Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and
 - (2) Receive universal bilateral amendments to this award and general notices via the IPN Portal.
- (c) Procedure to register for notifications.

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

(d) Processing of IPN Portal Amendments

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

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

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

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

UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)

- a. Requirement for System of Award Management (SAM). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in SAM until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration and more frequently, if required by changes in your information or another award term.
- b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:
 - (1) Must notify potential subrecipients that no entity (see definition in paragraph c. of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
 - (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.
- c. Definitions. For purposes of this award term:
 - (1) System of Award Management (SAM) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the SAM Internet site (currently at www.sam.gov).
 - (2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at fedgov.dnb.com/webform).
 - (3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR 25, subpart C:
 - (i) A governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization; and
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
 - (4) Subaward:
 - (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you, as the recipient, award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200 subpart F Audit Requirements).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
 - (5) Subrecipient means an entity that:

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

REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)

a. Reporting of First-Tier Subawards.

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

(2) **Where and when to report.**

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

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

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

b. Reporting Total Compensation of Recipient Executives.

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

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

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

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

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

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

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

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

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

- c. Reporting of Total Compensation of Subrecipient Executives.
- (1) Applicability and what to report. Unless you are exempt, as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you must report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –
 - (i) In the subrecipient's preceding fiscal year, the subrecipient received—
 - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 - (ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at www.sec.gov/answers/execomp.htm.)
 - (2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:
 - (i) To the recipient.
 - (ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (for example, between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions.

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

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

e. Definitions.

For purposes of this award term:

- (1) Entity means all of the following, as defined in 2 CFR 25:
 - (i) A governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization;
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
- (2) Executive means officers, managing partners, or any other employees in management

- positions.
- (3) Subaward:
 - (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see 2 CFR 200 subpart F Audit Requirements).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.
 - (4) Subrecipient means an entity that:
 - (i) Receives a subaward from you (the recipient) under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
 - (5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
 - (i) Salary and bonus.
 - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - (iii) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 - (v) Above-market earnings on deferred compensation which is not tax-qualified.
 - (vi) Other compensation, if the aggregate value of all such other compensation (for example, severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)

- (a) By submission of an application and execution of the award, the applicant/recipient agrees that at least fifty (50) percent of the cost of award performance incurred for personnel must be expended for employees of the prime/local entity.
- (b) By submission of an application and execution of the award, the Applicant/Recipient represents that it is an individual, a corporation, a nonprofit organization, or another body of persons that:
 - (1) Is legally organized under the laws of;
 - (2) Has as its principal place of business or operations in;
 - (3) Is majority owned by individuals who are citizens or lawful permanent residents of; and

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

[END OF APS]