

ANNEX A – TECHNICAL APPLICATION FORM

Please use the following format to submit your application.

Applications shall be submitted in English (Times New Roman 12 pt. font.) and may **not be more than ten (10) pages and information beyond page ten will be disregarded** The Application must be signed by a senior representative authorized to make commitments on behalf of the Applicant.

This application is in response to **PAOP-RFA-2021-005**.

A. Applicant Information

1. Date of application:	
2. Name of Organization	
3. Type of Business (Sole proprietor, partnership, limited company, cooperative, small or micro-enterprise)	
4. DUNS Number	
5. Address (physical)	
6. Telephone	
7. Email	
8. Key contact person(s) and title Name: Job Title: Email:	
9. Country/ countries for project implementation	
10. Company short description	
11. Intervention main objective	
12. Business References (require two)	
13. Percentage of women in senior management (C-Suite executives)	
14. Describe how your project will ensure environmental soundness and compliance in design and implementation as required by 22 CFR 216 Agency Environmental Procedures .	
15. Estimated number of healthcare facilities electrified	
16. Grant funding being requested (US\$):	
17. Proposed period of performance (not to exceed 12 months):	

B. Company Summary

- What is your organization's vision and objectives?
- What business models for energy access does your company currently use?
- What is the size of your business (per your preferred definition such as # of employees, annual sales volume, etc.) and what is the percentage of women on the team?
- How long has your business been in operation?
- Who are your customers (currently)? Who are your suppliers?
- Evidence of your experience and presence in sub-Saharan Africa.

For sections C through I, the questions listed are to guide your answers. However, your responses should address all questions that are applicable. Additionally, responses may expand beyond the questions below as you deem fit.

C. Impact (25 points)

- How will the proposed solution impact maternal and child health by electrifying one or more healthcare facilities?
- How does your solution address the needs of the surrounding community/catchment area?
- What are the current challenges and barriers to electrification at the proposed facilities? How does this solution overcome these challenges?
- What are the existing gaps in healthcare services and how does this solution help to bridge those gaps?
- Provide qualitative and/or anecdotal evidence and context to help interpret the impact metrics in Annex B.

D. Innovation (10 points)

- Does the proposed solution introduce a new revenue stream, business model, scale up new technology, etc?
- How is this solution novel and innovative compared to existing solutions?
- If this approach has been piloted before, please provide details.

E. Viable and scalable solution (15 points)

- Demonstrate that the proposed solution is technologically and economically viable, with a defined plan to scale the proposed solution past the period-of-performance of this grant.
- How will this grant be catalytic to your organization's medium- and long-term strategy?
- What market research have you conducted to determine needs/viability of your proposed solution? What other market research is needed to inform the implementation of your proposed solution (if any)?
- Provide a proposed strategy for the next three years, that may include:
 - Projected pipeline of facilities

- Financing strategy
- Operational strategy (i.e. staffing, offices, etc.)
- Potential partners

F. Leverage of other funds/resources (5 points)

- Highlight leveraging of resources from other sources, including other donor funding, financing, and/or in-kind contributions.
- How will these other funds be used?

G. Management and operational capacity (20 points)

- Who are the key team members and why are they key to the project’s success?
- What expertise and experience do these team members bring?
- What past-performance is most relevant to this proposed project?
- What are lessons-learned from past experience that will be carried through on this proposed project?
- If there are expertise gaps, how will these gaps be bridged (e.g. hiring a consultant, partnership, etc.)?

H. Commercial Sustainability/Financial Self-Reliance (15 points)

- Do you have stakeholder buy-in for the facilities proposed (e.g. agreement with Ministry of Health)?
- How will the proposed solution address long-term operation and maintenance?
- How will the proposed solution remain financially viable after the period-of-performance of this grant?
- If facility receives funding via performance-based payments, what are the expected increases in payments post-electrification? What assumptions are underlying these expectations? (provide evidence)
- If the proposed solution includes a revenue generating activity (microenterprise), what are the expected revenues post-electrification? What assumptions are underlying these expectations? (provide evidence)
- Who will be the off-taker(s) and what assurances/agreements will be in place for payments from the off-taker?

I. Cost efficiency (10 points)

- Scoring based on Annex E: Detailed Budget and Budget Justification. No additional information required in Annex A: Technical Application Form.

J. Previous Donor support/Investment: Has your organization had any previous support or investment from USAID/Power Africa or another donor partner? If so, please provide information as per the table below:

Name of Donor	Contact Address	Period/duration	Amount	Activities covered

K. Cost proposal/budget in US Dollars

Please provide summarized budget below, indicating what support is requested from PAOP using the table below.

Budget Category	Total Amount
Personnel	
Fringe Benefit	
Consultants	
Travel and Transportation	
Equipment	
Other Direct Costs	
TOTAL ESTIMATED AMOUNT	

By affixing my signature below, I certify that to the best of my knowledge, the information provided in this application is accurate and correct:

Submitted by: (name): _____

(title): _____

Signature: _____

Date: _____

Full Application

For application to be considered all documents listed below should be submitted together with this application form.

1. Annex A: Technical Application Form
2. Annex B: Technical Application Spreadsheet
3. Annex C: Grant Application Monitoring, Evaluation, and Learning (MEL) Plan
Applicants should demonstrate a realistic plan for monitoring, tracking, and reporting performance, including a plan for collecting, evaluating and validating performance data. An excellent Monitoring and Evaluation Plan should contain a set of indicators that would permit continuous measurement of progress toward targeted results. For each result, what is the performance indicator? What is the baseline data? What is the performance target? What is the timetable for achieving results? For each performance indicator, what is the definition and what is the unit of measurement? What are the plans for reporting and using the performance information? Indicators should provide for sex-disaggregated data collection where possible.
4. Annex D: Implementation Plan
An excellent implementation plan should show how the anticipated results would be achieved. What activities, processes, or strategies are essential to achieve the results? Why will the planned work lead to the intended results? What is the anticipated timetable for the achievement of the results?
5. Annex E: Detailed Budget (in excel and presented in US dollars) and Budget Justification (in word)
Applicants must submit a detailed budget in excel format, accompanied by a narrative that explains the basis of the estimate for each line item. Lump sum budgets will be considered non-responsive and will be rejected. An acceptable budget will have all costs broken out by unit costs and should clearly show the number of units used for each line item. Each line item should identify the type of cost, e.g., labor units, units of materials and/or equipment, travel, transportation, communications, etc. The narrative will describe how the applicant arrived at each unit cost and the number of units for each line item.

The indicative budget for this RFA is up to USD 225,000 per grant depending on the quality of applications. The final number of projects funded will depend on the quality of applications, value-for-money, and the policy needs of PAOP. Applicants are encouraged to consider the scoring matrix in the development of their Application to ensure the development of credible Applications.
6. Annex F: Required Certifications (signed and dated)
7. Proof that the applicant is eligible to work in the country

8. Business referral letters for previously performed similar work
Letter(s) should be on the letterhead of the organization providing support for the project and signed by appropriate staff from the organization
9. CVs of key personnel, management and technical, who will oversee the project.
The Applicant must provide detailed resumes of key personnel positions. Resumes should show the qualifications and experience of the individual. "Key personnel" are those staff who play significant roles in performing or supervising the work for the activities.
10. Organizational diagram.

ANNEX B: TECHNICAL APPLICATION SPREADSHEET

The information captured in this spreadsheet will be utilized as part of the application merit review for the Powering Maternal and Child Healthcare (PAOP- RFA-2021-005) Request for Applications. As such, the worksheets have been arranged and titled based on the merit review criteria elements set out in the RfA.

Specific instructions relating to the completion of each worksheet (tab) are included in the body of the document. There are also some general rules that apply to the overall spreadsheet, unless the instructions on the worksheet (tab) explicitly state otherwise:

- Instructions are included in each worksheet (tab) in italics.
- We encourage all applicants to read all instructions before entering information.
- Within the instructions any references to elements of this spreadsheet or any other applications documents are **Bold and Capitalized**.
- All white cells have been locked to prevent changes to the template.
- Pale yellow cells represent required input.
- Pale green cells represent optional, not required input.
- Some cells include additional notes, these are marked by a red triangle in the upper right corner of the cell.

- Some cells have restricted inputs to ensure consistent data entry; these restrictions can relate to formatting only, or restrict the allowable values to a prepopulated list (dropdown will appear) or an allowable range of values.
- **Current** values should be based on the period pre-electrification and ideally based on actual data.
- **Projected** values should be based on post-electrification and are estimated.
- Where a cell is listed as required but is not relevant to your project, please enter the number zero (0) or "N/A".
- Sample entries that mix real and synthetic information have been included in many of the tables in **red text**, these are included as guidance only and should be deleted and written over.

Please provide some characteristics on the proposed technical and business model solution in the **Solution** and **Key Equipment** tables.

Solution	
Solution Format	
Payments	
Payment Format	
Remote Monitoring	

Key Equipment Suppliers	
Component(s)	Manufacturer
Solar Modules	
Inverter	
Charge Controller	
Remote Monitoring	

The expectation is that this grant should be catalytic and that any successful grantee would continue and scale the innovation after the period of performance of the grant. Please indicate the number of further facilities expected to be electrified if your application and implementation of the proposed projects are successful.

Year	Facilities to be electrified	Justification/Comments
1		
2		
3		
4		
5		
Total	0	

Please complete the **Risk Register**, identifying, assessing and suggesting mitigation and contingencies for each risk identified. Please focus on risks that would threaten the success of the grant objectives; these risks may include (but are not limited to) political risk, schedule risk, technical risk, financial risk.

Risk Register						
#	Risk	Impact on Project	Likelihood	Impact	Mitigating Actions	Contingency
1	Customs delays	May delay commencing installation and all subsequent project stages	Low	High	Use of existing suppliers and experienced clearing agent we regularly work with	Recruitment of additional short term technicians to accelerate installation phase
2						
3						
4						
5						
6						
7						
8						
9						
10						

Please complete the **Key Personnel** table, identifying all key personnel and their respective roles in implementing the proposed grant. Resumes for all personnel identified in the Key Personnel Matrix should be included in **Annex F**.

Key Personnel					
#	Project Role	Name	Title	Organization	Justification/Notes
1	Project Manager				
2	Financial Manager				
3	Technical Lead				
4	Environmental and Social Lead				
5					
6					
7					
8					
9					
10					

Please complete the **Staffing** table with the sum of full-time equivalent personnel in each category. Please enter values based on your overall current staffing, not project-specific staffing. If you intend to hire additional staff, contractors or consultants for the execution of the proposed project, please ensure to detail this in **Annex A**.

Staffing		
Category	National (Full Time Equivalent)	Global (Full Time Equivalent)
Senior Management		
Administrative		
Engineers		
Technicians		
Medical Experts		
Full-time Total		
Part-time Total		

Please provide the sum total of all expected operational, maintenance and replacement costs for the systems proposed to be installed under this grant in the **Operating and Maintenance Costs** and **Replacement Costs for Key Equipment** tables. All project costs are to be captured, not just those to be subsidised by the grant.

Operating and Maintenance Costs		
Description	Annual Cost (\$)	Notes/Comments
Generator fuel		
Maintenance staff salaries		
Transport		
Consumables		
[please add any other cost categories]		
Total	\$ -	

Replacement Costs for Key Equipment					
Description	Initial Cost (\$)	Replacement Cost (\$)	Warranty Period (yrs)	Expected Life (yrs)	Notes/Comments
Batteries					
Inverters					
Charge controllers					
Meters					
[please add any other key equipment categories]					

ANNEX C: Grant Application MEL Template

PAOP Grant Application- Monitoring, Evaluation and Learning Plan Template

Name of Organization:

Request For Application No:

Project title:

1. Provide a narrative description of how the grant will be monitored and evaluated.

2. Provide a narrative description of how the organization will use monitoring data to guide programming decisions and interventions.

3. Complete the table below and include clear targets and indicators to measure progress. Include activities and action items from your grant implementation plan.

Activity	Performance Indicator	Precise Definition	Target	Data Source	Method of Data Collection	Frequency of data collection	Data Verification Plan	Reporting of Data	Location of data storage
	Number of health facilities electrified	Total number of health facilities electrified. The health facilities should have improved solar off-grid electrical energy production equipment and related electrical installations to guarantee the constant supply of essential services. Data for this indicator should be disaggregated by: <ul style="list-style-type: none">• # with maternity/delivery care• # with inpatient treatment capacity							

Activity	Performance Indicator	Precise Definition	Target	Data Source	Method of Data Collection	Frequency of data collection	Data Verification Plan	Reporting of Data	Location of data storage
	Number of beneficiaries	<p>If for a healthcare facility, this would be the estimated number of patients the facility treats annually, if for an off-grid company providing some other health related service this would be estimated number of customers</p> <p>Data for this indicator should be disaggregated by:</p> <ul style="list-style-type: none"> • Gender 							
	<i>Applicant to insert other tailored indicators specific to its program</i>								

ANNEX E: DETAILED BUDGET

Organization: _____
 Request For Application No.: _____
 Currency: US Dollars (budget must be presented in US Dollars)
 Start Date: _____
 End Date: _____
 Project title: _____

							Project Year
							mm/dd/yy-mm/dd/yy
1.	SALARIES		Unit Type (eg, day, month, item, training)	Monthly Base Salary	Number of months	Level of Effort	Amount
		[List Position Title]					-
		[List Position Title, etc.]					-
		Support Staff					-
		Subtotal Salary					-
2.	FRINGE BENEFITS		Unit Type (eg, day, month, item, training)	Unit Cost	Number of months	Level of Effort	Amount
		[List Position Title]					-
		[List Position Title, etc.]					-
		[List Position Title, etc.]					-
		Subtotal Salary					-
3.	CONSULTANTS		Unit Type (eg, day, month, item, training)		Daily Rate	# Days	Amount
		[Consultant Scope]					-
		[Consultant Scope]					-
		[Consultant Scope]					-
		Subtotal Consultants					-
4.	EQUIPMENT		Unit Type (eg, day, month, item, training)		Unit Cost	Unit	Amount
		[provide description]					-
		[provide description etc.]					-
		Subtotal Equipment					-
5.	TRAVEL/TRANSPORTATION		Unit Type (eg, day, month, item, training)	Qty	Unit Cost	Unit	Amount
		Local Transport					-
		Domestic:					-
		Per Diem					-
		Transportation					-
		International:					-
		Per Diem:					-
		Airfare:					-
		[provide description]					-
		[provide description]					-
		Misc. (visas, passports, shots, etc.)					-
		Subtotal Travel					-
6.	OTHER DIRECT COSTS		Unit Type (eg, day, month, item, training)	Cost/month	Units	Number of Months	Amount
		Rent/Utilities					-
		Communications/Shipping					-
		Office Supplies					-
		Bank Fees					-
		[Describe/list other items as needed]					-
		[Describe/list other items as needed]					-
		Subtotal ODCs					-
8.	OTHER		Unit Type (eg, day, month, item, training)	Unit Cost	Unit	Months	Amount
		[Specify]					-
		Subtotal Other					-
TOTAL PROJECT COSTS							-

Guidance on the Preparation of Budget Justification

- A. Budget notes are a written detailed description for each cost in a budget and must accompany the budget submitted to PAOP. Budget notes should provide the layperson who possesses little knowledge of the subject matter of the proposed activities with sufficient detail to determine if the cost estimate is reasonable and based on actual costs. Specifically, budget notes must identify, justify, and/or explain:
- each type of unit used,
 - the number of units proposed,
 - the cost per unit, and
 - how costs were derived (determined to be reasonable).
- B. Costs need to be based on actual expenses, i.e. quotes, actual price paid, or experience.
- C. Please make sure similar costs are consistent throughout the budget. If, for example, a consultant plans to fly round-trip from City A to City B and is scheduled for two trips in the course of project implementation, then the base cost for each ticket budgeted for this consultant's trips must be the same.

Annex E: Budget Justification

Organization/Company:

Request for Application:

Currency: US Dollars (budget must be in presented in USD)

Project title:

The following provides a detailed justification for the line items presented in the attached budget.

1. SALARIES

2. FRINGE BENEFITS

3. CONSULTANTS

4. EQUIPMENT

5. TRAVEL/TRANSPORTATION

6. OTHER DIRECT COSTS

7. OTHER



USAID
FROM THE AMERICAN PEOPLE

Certifications, Assurances,
Representations, and
Other Statements of the Recipient
A Mandatory Reference for ADS Chapter 303

Partial Revision Date: 06/07/2018
Responsible Office: M/OAA/P
File Name: 303mav_060718

Certifications, Assurances, Representations, and Other Statements of the Recipient

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

Part I – Certifications and Assurances

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

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

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

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to

participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

2. Certification Regarding Lobbying

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the U.S. Treasury's Office of Foreign Assets Control (OFAC).

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 is maintained by OFAC, 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 Web site:

<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.”

(i) “Training” means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.

(ii) “Expert advice or assistance” means advice or assistance derived from scientific, technical, or other specialized knowledge.

b. “Terrorist act” means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

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

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

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

5. Certification Regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013

Note: This certification must be completed prior to receiving an award if the estimated value of services required to be performed under the award outside the United States exceeds \$500,000. This certification must also be submitted annually to the Agreement Officer during the term of the award.

By signing below, the applicant or recipient, as applicable, through its duly designated representative, after having conducted due diligence, hereby certifies the following:

1. The applicant/recipient has implemented a compliance plan to prevent the prohibited activities identified in section (a) of the Mandatory Provision “Trafficking in Persons” and is in compliance with that plan;
2. The application/recipient has implemented procedures to prevent any activities described in section (a) of the Mandatory Provision “Trafficking in Persons” and to monitor, detect, and terminate any contractor, subawardee, employee, or other agent of the applicant/recipient engaging in any activities described in such section; and
3. To the best of the representative’s knowledge, neither the applicant/recipient, nor any employee, contractor, or subawardee of the applicant/recipient, nor any agent of the applicant/recipient or of such a contractor or subawardee, is engaged in any of the activities described in section (a) the Mandatory Provision “Trafficking in Persons.”

6. Certification of Recipient

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206), (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Trafficking in Persons above.

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

Request for Application or
Annual Program Statement No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual Certification Narcotics Offenses and Drug Trafficking

I hereby certify that within the last ten years:

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

Part III – Participant Certification Narcotics Offenses and Drug Trafficking

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

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assister, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

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

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”.

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

(b) Applicant Representation:

1. The Applicant represents that it is [] is not [] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.
2. The Applicant represents that it is [] is not [] an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Part V – Prohibition on Providing Federal Assistance to Entities that Require Certain Internal Confidentiality Agreements – Representation (May 2017)

(a) Definitions.

“Contract” has the meaning given in 2 CFR Part 200.

“Contractor” means an entity that receives a contract as defined in 2 CFR Part 200.

“Internal confidentiality agreement or statement” means a confidentiality agreement or any other written statement that the recipient requires any of its employees or subrecipients to sign regarding nondisclosure of recipient information, except that it does not include confidentiality agreements arising out of civil litigation or confidentiality agreements that recipient employees or subrecipients sign at the behest of a Federal agency.

“Subaward” has the meaning given in 2 CFR Part 200.

“Subrecipient” has the meaning given in 2 CFR Part 200.

(b) In accordance with section 743 of Division E, Title VII, of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235) and its successor provisions in subsequent appropriations acts (and as extended in continuing resolutions), Government agencies are not permitted to use funds appropriated (or otherwise made available) for federal assistance to a non-Federal entity that requires its employees, subrecipients, or contractors seeking to report waste, fraud, or abuse to sign internal confidentiality agreements or statements that prohibit or otherwise restrict its employees, subrecipients, or contractors from lawfully reporting such waste, fraud, or abuse to a designated investigative or law enforcement representative of a Federal department or agency authorized to receive such information.

(c) The prohibition in paragraph (b) of this provision does not contravene requirements applicable to Standard Form 312, (Classified Information Nondisclosure Agreement), Form 4414 (Sensitive Compartmented Information Nondisclosure Agreement), or any other form issued by a Federal department or agency governing the nondisclosure of classified information.

(d) **Representation.** By submission of its application, the prospective recipient represents that it will not require its employees, subrecipients, or contractors to sign or comply with internal confidentiality agreements or statements prohibiting or otherwise restricting its employees, subrecipients, or contractors from lawfully reporting waste, fraud, or abuse related to the performance of a Federal award to a designated investigative or law enforcement representative of a Federal

department or agency authorized to receive such information (for example, the Agency Office of the Inspector General).

Part VI – Other Statements of Recipient

1. Authorized Individuals

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

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

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

(a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the 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 email Dun and Bradstreet at **globalinfo@dbisma.com** to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic) _____
 QUANTITY _____
 ESTIMATED UNIT COST _____

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

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED GOODS _____
 PROBABLE GOODS _____
 PROBABLE (Generic) _____
 UNIT COST _____
 SOURCE _____

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

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED _____
 PROBABLE _____

INTENDED USE (Generic) _____
 UNIT COST _____
 SOURCE _____

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

TYPE/DESCRIPTION _____
 QUANTITY _____
 ESTIMATED _____
 PROBABLE SUPPLIER _____
 NATIONALITY _____
 RATIONALE (Generic) _____
 UNIT COST (Non-US Only) _____
 FOR NON-US _____

6. Past Performance References

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

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.

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