Guidelines for Grant Applicants

Literacy Achievement and Retention Activity
AID-617A-15-0009

Reference Number: LARA/RFA/08/2016

Deadline for Submission of Proposals: 04:00 PM September 26, 2016
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USAID/Literacy Achievement and Retention Activity

1.1 Introduction

The Uganda Ministry of Education and Sports (MoES), in partnership with the US Agency for International Development (USAID)/Uganda, has positioned itself for a dramatic surge in Basic Education (BE) capacity and success. The five-year USAID/Uganda Literacy Achievement and Retention Activity (LARA), implemented by the MoES and RTI international, is designed to build upon and contribute to this momentum by expanding the early grade reading program and establishing a positive and supportive school climate in schools in 28 districts. LARA will work across all levels of MoES and with other education stakeholders to build the literacy of early primary grade learners and improve retention.

The project is designed to support the Government of Uganda, through the MoES, in its efforts to improve the literacy and retention of early primary grade learners by establishing positive and supportive school climate for learning in participating districts and reducing incidents of school-related gender-based violence (SRGBV).

The goal of USAID/Uganda Literacy Achievement and Retention Activity is to improve EGR and retention for 1.3 million students over the life of the project (April 7, 2015 to April 6, 2020). USAID/Uganda Literacy Achievement and Retention Activity has two main objectives:

1. Result (R) 1 focuses on increased capacity to delivery early grade reading. To achieve this goal, the activity focuses on improving reading skills in three local languages (Luganda, Runyoro-Rutooro, and Runyankore-Rukiga) and English for early primary (P) grade learners (e.g., P1–P4).

The Intermediate Results (IR) for R1 are:
- IR 1.1: Improved planning and management of early grade reading
- IR 1.2: Improved reading instruction in Primary (P) 1 to P4 classrooms
- IR 1.3: Increased community and household-level involvement in promoting literacy attainment

2. Result 2 focuses on promoting positive and supportive school climates through preventing and reducing incidents of school-related gender-based violence (SRGBV). It seeks to work with pupils, teachers, parents, and communities to implement the MoES policies that make school safer. It is aligned with the MoES National Strategic Plan on Violence against Children in Schools (2015–2020) and will uphold its 2014 Reporting, Tracking, Referral, and Response Guidelines on Violence against Children in Schools by promoting a positive and supportive school climate that includes improved classroom and school management and reducing incidents of school related gender-based violence (SRGBV).

The Intermediate Results for R2 are:
- IR 2.1: Improved capacity of the education system to implement school-related gender-based violence (SRGBV) policies
- IR 2.2: Schools strengthened to prevent and respond to SRGBV
- IR 2.3: Increased community support to prevent and respond to SRGBV
2.0 SCOPE OF WORK: SPECIFIC REQUIREMENTS AND TASKS

Under this grant category, successful applicants will implement activities such as (but not limited to) those illustrated under each thematic area below:

1. IR 1.3: Increased community and household-level involvement in primary literacy attainment

The underpinning hypothesis of the LARA Theory of Change is that if there is a positive and supportive school climate for learning, where bullying, corporal punishment and sexual harassment and abuse are not tolerated and when it is safe to travel to and from school, students look forward to attending school every day. If pupils are positively encouraged and assisted in both their academic and social emotional development by school staff and their parents or other family members, pupils will be more likely to stay in school and learning outcomes will be improved.

The sub-grants program is designed to bring the school and community together around two specific areas: 1) improving parents/guardians and other family members involvement in their children’s reading practice through social behavior change communications (SBCC); and 2) addressing and preventing school-related gender-based violence (SRGBV) through establishing community-based case management schemes, engaging all community members in reflection and participatory activities from Journeys,1 and social behavior change communications directed toward increasing the application of positive discipline in schools.

There are two requirements of the sub-grantees. Sub-grantees will be responsible for the specific tasks listed within each these requirements.

Requirement 1. Increase community and household-level involvement in primary literacy attainment.

When quality reading instruction in the classroom is combined with regular parent involvement in their child’s reading practice at home, teachers’ efforts are reinforced and pupils learn that reading is valued and fun.

Task 1.1. Implement a social behaviour change communications (SBCC) campaign that is designed to increase parental involvement in their children’s reading practice at home. Each sub-grantee will be responsible for adapting and producing evidence based SBCC interventions that have been identified and pretested by the LARA communications team during the first two quarters of the 2016/2017 fiscal year (e.g., October 2016 – March 2017). The SBCC interventions are anticipated to include a variety of media or “channels of communication.” These might include, for example, community drama, radio programs and public service announcements, SMS messaging, hosting of parental groups to discuss or listen to

1 Journeys is a curriculum used to build the capacity of selected community change agents to engage a broad base of community members in reflection and participatory processes that serve to shift cultural norms, attitudes and behaviors toward improved gender equality and more balanced power relations. Journeys also provides specific tools on how to catalyze community initiatives for prevention and response to school-related gender-based violence.
radio programs about specific home literacy activities, and visual media such as posters distributed in markets, schools and churches.

Task 1.2. Adapt and apply evidence based SBCC interventions, which serve to encourage teachers to regularly lend reading materials to pupils to take home and practice with their parents.

Task 1.3. Support the MoES reading promotion initiatives, “Drop and Read Days” and “Reading Corners.”

Requirement 2. Strengthen community commitment and capacity to provide SRGBV prevention and response programs.

A positive and supportive school climate for learning requires that all the school staff, parents/guardians, and the whole community understand the seriousness of violence perpetrated against children at school or traveling to and from school and, together, enforce a zero-tolerance policy for acts of bullying, corporal punishment and sexual harassment and abuse. This requirement calls on the sub-grantee to engage the entire community in reflection and dialogue about the prevailing social norms and power relations that lead to and maintain school-related gender-based violence (SRGBV), including bullying, corporal punishment and sexual harassment and abuse. These acts of violence take place at the school and as children travel to and from school. Acts of SRGBV can be perpetrated by school staff, pupils and persons outside of the school that are known to violate children while they are traveling to and from school.

As a result of sub-grantees activities supporting Requirement 2, community attitudes and practices are expected to shift toward more gender equality and more balanced power relations.

The Journeys curriculum provides the model that the sub-grantees are required to use in engaging the public in reflection, dialogue and community action related to the prevention of SRGBV. The underlying premise of this curriculum is that attitudes and beliefs are shifted only when there is personal reflection, dialogue, and whole community commitment to advocating for change. The Journeys curriculum, sub-grantees and the community leaders/sub-grantees discourages any use of conventional strategies for changing behavior such as lectures, power points, sensitization and awareness building. The premise of Journeys is that when it comes to matters of cultural norms and beliefs, community members are able to discover for themselves the relationships between gender norms and power relations and violence against children.

Thus through reflection and dialogue communities begin to – individually and collectively - recognize the sources of SRGBV such as social norms and power relations that produce and maintain SRGBV and recognize how such norms can be changed toward more gender equality and more balanced power relations. Though the key messages may be the same for conventional and reflective learning – the processes are different. In order to ensure that this model is applied in the community programs, the sub-grantees must apply the values given by the Journeys curriculum for community.

Through the support to communities and community change agents, communities are also strengthened in their ability to exercise cooperation with schools in building a positive and supportive school climate for learning. To this end, schools and communities work together as the
community is an integral part of the school environment. The process will follow the model given by the Journeys curriculum, and as discussed in length above, emphasizes the importance of facilitated reflection and participatory processes leading to collective decision-making about how to improve the climate of school and community to be more positive, caring and supportive.

Task 2.1. Journeys curriculum will be implemented in target communities.

Sub-task 2.1.1 Participate in the Journeys training for community

Sub-task 2.1.2 Identify and train two committed community leader/facilitators in the Journeys curriculum. These community leader/facilitators will be called “community change agents.”

Sub-task 2.1.3 Train community change agents in the Journeys curriculum

Sub-task 2.1.4 Support community change agents in implementing the Journeys curriculum and that these change agents cooperate with school change agents in building a positive and supportive school and preventing SRGBV, and provide oversight and quality assurance.

Task 2.2. Catalyze community cooperation and advocacy directed towards developing and implementing community-driven initiatives for preventing SRGBV.

Sub-task 2.2.1 Community change agents are encouraged to lead communities through the 5-step process of the U model for initiating community change given in the Journeys curriculum. The Journeys Training emphasizes the importance of the following steps in developing community-driven change actions: (1) through multi-stakeholder dialogue, reach consensus one key issue to address; (2) deepen understanding of the problem being addressed; (3) individual reflection on best actions; (4) action planning and implementation; (5) review, learning and adaptation of actions.

Sub-task 2.2.2 Community change agents are encouraged to collaborate with school change agents in catalyzing school-driven initiatives for establishing a positive and supportive school climate for learning. A positive and supportive school climate is directly related to the prevention of violence in schools. Research has shown that where life at school is positive and supportive, and all pupils feel that they are included and “belong,” and pupils feel protected from harm violence has been shown to decrease.


The MoES RTRR system provides a mechanism for reporting, responding to cases of SRGBV, including referral for health, psychosocial and legal support. However, the reporting, response and referral sources vary considerably from one community to the next and school officials and community members may not be aware of what these are. There could be any number of supply
side barriers to reporting and referral (e.g., availability of services) but there are also considerable demand side barriers including issue of quality of service delivery (e.g., willingness of school and community members to access services that are available because of poor quality, lack of trust in these services and/or people staffed, or fear of humiliation or stigmatization). There are a vast number of reasons why school officials, teachers, students and parents may choose not to report cases of SRGBV.

Thus it is critical that reporting structures and referral networks are viable within the communities that they are serving and still align with the RTRR Guideline. In this requirement, sub-grantees are expected to work with schools and communities in a collaborative fashion to map and evaluate existing referral networks and reporting structures for handling incidents of SRGBV and to develop a community-based case management plan that is involves managing cases which originate from either the community or the school. Thus there is expected to be only one community-based case management plan that involves the school and community, together. In this process, sub-grantees are expected to facilitate communities’ identification and address of the supply- and demand-side barriers to reporting and referral of SRGBV cases.

Task 3.1. Participate in training on the Reporting and Referral Web Mapping Guideline, provided by LARA

Task 3.2. Using the Reporting and Referral Web Mapping Guideline, map and report on the reporting structures and referral networks for targeted communities

Task 3.3. Using the Reporting and Referral Web Mapping Guideline, facilitate school/community reflection and dialogue to identify and address the local barriers to reporting and referral related to SRGBV. Using the Guideline, develop a community case study on the barriers and how they are addressed for each targeted activity. This task should take place working cooperatively with school and community.

Task 3.4. Using the Reporting and Referral Web Mapping Guideline and working cooperatively with schools and communities, develop a community-based case management plan for each target school/community.

Requirement 4. Ensure the fidelity of all planned interventions and provide data for measuring the impact of the sub-grantee tasks.

Task 4.1. Conduct a structured routine monitoring program to ensure the regularity and fidelity all tasks.

Task 4.2. Conduct regular learning activities and document outcomes in accordance with LARA and USAID Collaboration, Learning and Adaptation guidelines.

Task 4.3. Following the guidelines of the LARA M&E team, provide data required for tracking performance on all of the indicators listed below.

• # of community members participating in Journeys activities related to SRGBV disaggregated by sex and name of Journeys activities
• # of community members reached by SBCC messages on supporting early grade reading disaggregated by type of change communication (e.g., drama, radio, posters) and sex

• # of community members reached by SBCC messages on positive discipline disaggregated by type of change communication (e.g., drama, radio, posters) and sex

• # of PTAs or governance structures supported to prevent and respond to SRGBV.

• # of school communities establishing a school/community-based case management plan

• # of school communities establishing a school/community referral network/web

• # of school communities implementing actions to prevent SRGBV.

• Community average of parents/guardians attitudes about gender equality.

3.0 GRANT SIZE

3.1 Grant ceiling

Any grant awarded under this Request For Applications (RFA) shall fall within the following minimum and maximum grant ceilings:

• Minimum amount: 96,000,000 UGX (Ninety Six million Ugandan shillings)
• Maximum amount: 416,000,000 UGX (Four Hundred Sixteen million Ugandan shillings)

4.0 RULES FOR THIS REQUEST FOR APPLICATIONS

4.1 Guiding policies and procedures

All grants to be awarded under USAID/LARA will be governed by RTI’s policies and procedures on grant administration and in compliance with USAID’s policies and procedures. The grant applicants are encouraged to provide co-funding (at least 10%) to the project cost. The co-funding can be in funding of direct costs or in-kind such as staff time, vehicle/equipment hire and office space.

4.2 Eligibility Criteria

In order to be eligible for a grant, applicants must:

• be legal persons( registered at district or national level)
• have their headquarters in Uganda
• have operated within the proposed district
• have been active for more than 12 months
• be directly responsible for the preparation and management of the project, not acting as an intermediary/ consultant
• be willing to comply with all technical and financial requirements for participation in the program, including reporting and documentation of project activities

2 Even though the M&E team will collect this data, sub-grantees, working with community change agents to deliver the Journeys program, are expected to shift the cultural norms and beliefs of the community toward gender equality and balanced power relations.
• be willing to participate in assessments, trainings, workshops, or other activities considered important for achieving project goals
• have proven record of implementing programs related to child protection and prevention of violence against children
• experience in implementing behaviour change communication campaigns such as a literacy campaign, HIV prevention or prevention of gender based violence is desirable

4.3 Duration of grants
The planned duration of projects may NOT exceed 18 months.

4.4 USAID/LARA Focus Districts for this call

Grants under the USAID/LARA program will initially support organizations to implement activities in the following 13 districts: Mbarara, Sheema, Mitooma, Rakai, Lwengo, Kiboga, Nakaseke, Hoima, Mukono, Buvuma, Kayunga, Mpigi and Butambala.

5.0 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Applications must be submitted in accordance with the format provided and annexed to these Guidelines (Annex I). The full application will cover technical description, implementation plan, financial budget, and monitoring and evaluation plan. Applications must be submitted in One (1) original and Three (3) copies in A4 size, each bound. The full application including annexes should not be more than 35 pages using Times New Roman font style, Font size 12 and 1.5 line spacing. The complete application form, budget and any other requested appendices must also be supplied in electronic format (CD-ROM) in a separate and unique file (i.e. the application form must not be split into several different files). The electronic format must contain exactly the same application as the paper version enclosed. Applications must be submitted in a sealed envelope to the address indicated in 5.1 below;

Grants Information Sessions
RTI will conduct grant information sessions at appropriate venues to explain to interested applicants on the application process and preparation of a good Proposal paper. All interested applicants are invited to attend the scheduled meetings below;

<table>
<thead>
<tr>
<th>Date</th>
<th>Venue</th>
<th>Time</th>
<th>Target districts</th>
</tr>
</thead>
<tbody>
<tr>
<td>30/08/2016</td>
<td>Acacia Hotel</td>
<td>09:00 AM</td>
<td>Mbarara</td>
</tr>
<tr>
<td>31/08/2016</td>
<td>Hotel Zebra</td>
<td>09:00 AM</td>
<td>Masaka</td>
</tr>
<tr>
<td>01/09/2016</td>
<td>Silver Springs Hotel Bugolobi</td>
<td>09:00 AM</td>
<td>Kampala</td>
</tr>
<tr>
<td>02/09/2016</td>
<td>Hoima Kolping Hotel</td>
<td>09:00 AM</td>
<td>Hoima</td>
</tr>
</tbody>
</table>
5.1 Where and how to send applications

**Submission of Applications**
USAID/LARA will receive applications that are properly sealed in envelopes and submitted before the deadline. The outer envelope must bear the reference number of this RFA, together with the full name and address of the applicant, and the words ‘**Not to be opened before the opening session**’. Applications should be delivered to the address listed below and a signed certificate of receipt will be given to the deliverer. Applications can be submitted in a sealed envelope by registered mail, private courier service or by hand delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below:

**Postal Address**

Chief of Party,
USAID/Uganda Literacy Achievement and Retention Activity,
P.O Box 23582,
Kampala.

**Address for hand delivery or by private courier service**

Chief of Party,
USAID/Uganda Literacy Achievement and Retention Activity
Plot 2, Kafu Road,
Kampala.

5.2 Deadline for Submission of Applications

The deadline for the submission of proposals is at **4:00 PM September 26, 2016**. Any proposal submitted after the deadline will be rejected.

Issuance of this RFA in no way obligates the USAID/LARA program to issue any awards. However, USAID/LARA reserves the right to make fewer or more awards than expected. USAID/LARA will not be liable for any costs incurred in an applicant’s preparation of its response to this RFA. Furthermore, the USAID/LARA may issue written amendments/addendums to this solicitation at any time before the application submission due date.

6.0 EVALUATION PROCESS

USAID/LARA will organize and convene an evaluation committee that will evaluate the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, in accordance with the evaluation criteria set out for this RFA. The suggested criteria will address the importance of the technical and/or administrative elements. The selection criteria shall at the minimum include the following:

- Organization history, vision, mission (use less than 300 words)
- Project Description
- The technical merits of the applications (i.e. Are the goals realistic? How will the Grant help achieve results? Who are its beneficiaries? Is it reaching target sectors/population?);
6.1 Conduct Pre Award Survey

RTI must be fully satisfied that the applicant has the capacity to adequately perform in accordance with the principles established by USAID. An award can be made only after RTI makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence to carry out the grant activity, and will practice mutually agreed upon methods of accountability for funds and other assets funded by USAID. At a minimum, RTI must conduct a pre-award survey in order to make determination of responsibility; a formal survey may also be conducted if RTI determines it necessary.

6.2 Indicative Time Table

<table>
<thead>
<tr>
<th>Activity</th>
<th>DATE</th>
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</thead>
<tbody>
<tr>
<td>Deadline for Submission of Applications</td>
<td>September 26, 2016 (16:00)</td>
</tr>
<tr>
<td>Pre award assessment</td>
<td>03rd to 07th October 2016</td>
</tr>
<tr>
<td>Grant award and Contract signature</td>
<td>30 days after receiving USAID approval</td>
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</tbody>
</table>
ATTACHMENT A- 2: USAID/LARA Grant Application and Award Form

Instructions:

1. All applicants are required to complete and submit this application form.
2. All the attachments (A to C) referenced in this application are required parts of the application and must be attached to the completed application form. Therefore, a complete application should consist of this form and all the attachments.
3. By signing and submitting this application, the applicant attests to the Anti-Terrorism Certification in item 13.
4. Applicants must complete only Part I (items 1-14) and submit all the required attachments.
5. Instructions for obtaining DUNS number(for grants of $25,000 or more).

Part I – Application – All applicants must complete ALL of Part I.

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<table>
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<tbody>
<tr>
<td>1. Date of Application:</td>
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<td>2. Name of applicant:</td>
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<td>3. Address of applicant:</td>
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<td>4. Project Title:</td>
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<td>5. DUNS Number: (instruction attached)</td>
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<td>6. Names and titles of officer(s) authorized to represent the applicant and his/her alternate:</td>
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<td>(a) Authorized Officer:</td>
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<td>(b) Alternate:</td>
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<td>7. Proposed period of performance:</td>
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<td>8. Proposed Districts and Sub Counties</td>
<td>Names of partners</td>
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<td>9. Proposed budget (UGX):</td>
<td>Signature/Name/Title</td>
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6. Program Description (Required). The applicant must describe in detail the program of activities proposed to be supported by the grant. As shown below:

   ![Description of Activities Example]  

The program description must be results-oriented. Result is a significant, intended, and measurable change in the condition of the beneficiary, or a change in the host country, institutions, or other entities that will affect the beneficiary directly or indirectly. Results are linked by causal relationships; i.e., a result is achieved because related, interdependent result(s) were achieved. An excellent program description should address the following:
(a) Applicant’s understanding of the “development challenge,” opportunity, or problem. The applicant should discuss what political, social, economic, and environmental conditions(s) require(s) changing. How does the applicant know what needs changing? What appraisals, evaluations, needs analysis and other methodologies were used to understand what requires changing?

(b) Applications must clearly identify the beneficiaries, their number, location, and anticipated benefits that they will receive. What are the intended results (i.e., changes in conditions)?

(c) The link of the challenge, opportunity, or problem to the key objectives of the overall project. How will results contribute to the achievement of strategic objectives? What are the external factors and other critical assumptions that are likely to facilitate or hinder the achievement of the results?

8. Implementation Plan (Required). 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? Use the template below:

   ![Implementation Plan Template](image)

9. Monitoring and Evaluation Plan (Required). 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?

10. Budget and Budget Narrative (Required). Each application must contain a detailed line item budget accompanied by a budget narrative explaining all costs. 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.

   Applicants are required to submit the Budget and Budget Narrative as Attachment B to this application.

   ![Budget Template](image)

11. Management Systems Questionnaire (Required). All applicants are required to complete the questionnaire attached to this application. U.S. Agency for International Development (USAID) regulations require RTI International (RTI) to obtain information from all applicants in order to determine an applicant’s ability to comply with prescribed standards for (a) financial management, (b) property management, (c) procurement, and (d) reports and records. Please answer all questions to the best of your ability; do not leave blanks. Failure to provide the necessary information may cause your application to be rejected.

   Applicants are required to submit the completed Management Systems Questionnaire as Attachment C to this application.

   ![Management Systems Questionnaire](image)
12. Past Performance References (Required). All applicants are subject to a past performance reference check. Applicants must provide project name, donor, address, project amount, duration, key activities / outputs and other contact information of at least three past performance references below.

<table>
<thead>
<tr>
<th>Project Name</th>
<th>Name of Donor and Address (email and telephone)</th>
<th>Project budget</th>
<th>Duration (Start and End Date)</th>
<th>Key Activities / Outputs</th>
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13. Anti-Terrorism Certification (Required). It is a mandatory requirement by USAID and a condition of award that the applicant must certify that it does not support terrorism. Applicants unable to submit this signed certification will not be eligible for an award.

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

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

2. The following steps may enable the applicant to comply with its obligations under paragraph 1:
   a. Before providing any material support or resources to an individual or entity, the applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s Web site: http://www.treas.gov/offices/otfcc/ofac/sdn/t1sdn.pdf, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID through RTI.
   b. Before providing any material support or resources to an individual or entity, the applicant 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 Qaeda 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 applicant 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 applicant also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification
   a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”
   b. “Terrorist act” means:
      (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see United Nations terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp);
      (ii) an act of premeditated, politically motivated violence perpetrated against non-combatant targets by subnational groups or clandestine agents; or
      (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
   c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts.

e. The applicant’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the applicant that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the applicant 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.

<table>
<thead>
<tr>
<th>In Agreement to the terms and conditions above:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name of Applicant Organization:</td>
</tr>
<tr>
<td>Name and title of officer or his/her alternate</td>
</tr>
<tr>
<td>authorized to represent the Applicant (either</td>
</tr>
<tr>
<td>name that appears in Box 6 of this Application.</td>
</tr>
<tr>
<td>Signature:</td>
</tr>
<tr>
<td>Date:</td>
</tr>
</tbody>
</table>
ORGANIZATION INSTRUCTIONS

PURPOSE OF THIS STEP:

The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated. DUNS number identifies your organization.

This process should take no more than 2 business days.

WHAT IS A DUNS NUMBER & WHY DO I NEED OBTAIN ONE?

The Data Universal Number System (DUNS) number is a unique nine-character number that identifies your organization. It is a tool of the federal government to track how federal money is distributed. Most large organizations, libraries, colleges and research universities already have DUNS numbers. Ask your grant administrator or chief financial officer to provide your organization’s DUNS number. If your organization is based in the U.S., a DUNS number can be requested by phone or online. Webpage for phone number: http://fedgov.dnb.com/webform/pages/reqDuns_phone.jsp

If your organization is located outside the United States, you can request and register for a DUNS number through the following web site. Webpage for registration: http://fedgov.dnb.com/webform/displayHomePage.do

This is the information you will need to have available in order to obtain the DUNS number. (If your organization does not already have one):

- Legal Name of organization
- Name of the organization CEO
- The primary type of business your company engages in (NCIA/SIC CODE) 
  
  To obtain this code please go to www.naics.com/search.htm
  
  (Also see list attached)
- Any other name your business might be recognized by, i.e. doing business as (DBA)
- Physical organization address (city, state and zip code)
- Mailing address if separate from headquarters
- Telephone number
- Name of the primary contact person and his or her title
- Number of employees at your location
- Is this a home-based business?

If your organization does not have a DUNS number, use this Dun & Bradstreet (D&B) online registration process to receive one free of charge.

NOTE: Obtaining a DUNS number places your organization on D&B’s marketing list that is sold to other companies. You can request not to be added to this list during your application
# Implementation Plan Format

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>IMPLEMENTATION PERIOD</th>
<th>Expected Result (Output)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Year One</td>
<td>Year Two</td>
</tr>
<tr>
<td></td>
<td>Q1</td>
<td>Q2</td>
</tr>
</tbody>
</table>

**Objective One:**
- Activity 1.1:
- Activity 1.2:
- Activity 1.3:

**Objective Two:**
- Activity 2.1:
- Activity 2.2:
- Activity 2.3:

**Objective Three:**
Description of Activities

**Activity 1.1 Conduct interactive radio programs on highlights of the OAG, DIA reports:**
ULEFFE proposes to hold two monthly interactive live radio programs that will focus on key findings and recommendations from the OAG and DIA reports. The radio shows shall be hosted by resource persons such as chairperson DPAC, Civil Society representatives, members of civil society and religious leaders. The purpose of the radio programs will be to provide listeners with opportunity to obtain firsthand information on ............... It is anticipated that this will contribute towards stimulating demand for ........

**Activity 1.1: Conduct interactive radio programs on highlights of the OAG, DIA reports:**
- Describe the process – how the activity will be conducted
- State which key partners will be involved
- Highlight the anticipated output of the activity
# Attachment B-5: LARA Evaluation Criteria for Grant Applications

## Proposal Review Tool

<table>
<thead>
<tr>
<th>Date:</th>
<th>Name of Applicant:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Name/title/contact of applicant’s contact person

### Consortium Partners
1.
2.
3.

### Proposed district of coverage:

<table>
<thead>
<tr>
<th>District</th>
<th>Sub counties</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>No.</th>
<th>Area(s) of Assessment</th>
<th>Maximum Score</th>
<th>Actual Score</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Organization History And Past Performance</td>
<td>30</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>Clear and relevant mission and / or vision. A mission is relevant if the project to be implemented is in line with organization’s mission and vision</td>
<td></td>
<td>05</td>
<td></td>
</tr>
<tr>
<td>1.2</td>
<td>Relevant experience working in targeted district(s) to which you are applying for a grant award.</td>
<td></td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>1.3</td>
<td>Presents the organizational chart.</td>
<td></td>
<td>02</td>
<td></td>
</tr>
<tr>
<td>1.4</td>
<td>Presentation of past performance from previous clients.</td>
<td></td>
<td>07</td>
<td></td>
</tr>
<tr>
<td>1.5</td>
<td>Evidence of stable and sufficient sources of funding</td>
<td></td>
<td>06</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Technical Proposal</td>
<td>60</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1</td>
<td>Understanding of the Purpose of the Award</td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.1.1</td>
<td>Demonstrates understanding of the requirements of this award, the specific tasks and the indicators by which their performance will be measured</td>
<td></td>
<td>03</td>
<td></td>
</tr>
<tr>
<td>2.1.2</td>
<td>Demonstrates knowledge of the target population, culture, service providers, and relevant programs in operation in targeted districts.</td>
<td></td>
<td>02</td>
<td></td>
</tr>
<tr>
<td>2.2</td>
<td>Project approach and strategies</td>
<td>20</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.2.1</td>
<td>Innovations are evidence based, and when appropriate, include empirical evidence of previous success; comprehensive and lead to effectively managing SRGBV</td>
<td></td>
<td>05</td>
<td></td>
</tr>
<tr>
<td>2.2.2</td>
<td>Demonstrates how all activities work with and through the school and community and that initiatives will be school/community designed and implemented</td>
<td></td>
<td>05</td>
<td></td>
</tr>
<tr>
<td>2.2.3</td>
<td>Demonstrates how all community members will be reached through the program</td>
<td></td>
<td>03</td>
<td></td>
</tr>
<tr>
<td>2.2.4</td>
<td>Staffing and detailed operations are in line with the required tasks and results to be accomplished</td>
<td></td>
<td>03</td>
<td></td>
</tr>
<tr>
<td>2.2.5</td>
<td>Identifies relevant programs and players in target communities and spells out how they will ensure that programs are collaborative and well coordinated.</td>
<td></td>
<td>02</td>
<td></td>
</tr>
<tr>
<td>2.2.6</td>
<td>Demonstrates how applicant will collaborate with sub-national actors from the MoES, MGLSD, and Local Government</td>
<td></td>
<td>02</td>
<td></td>
</tr>
<tr>
<td>2.3</td>
<td>Project Monitoring and Evaluation</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3.1</td>
<td>Applicant describes what data is to be collected in order to track conduct as well as outputs and results. Tools to internally collect primary data. States who will be involved in collecting this data.</td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>2.3.2</td>
<td>Activity Monitoring Evaluation and Learning Plan including the following elements: theory of change; link to LARA Results; performance monitoring plan; activities that support collaboration, learning and adaption</td>
<td></td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Section</td>
<td>Description</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.3.3</td>
<td>Demonstrates how the quality of data is ensured.</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4</td>
<td><strong>Project Management and Staffing</strong></td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.1</td>
<td>Outlines the governance structure for the specific grants project</td>
<td>03</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.2</td>
<td>Description, with organizational chart, of all organizational staff, government officials and community volunteers and a narrative on the roles, responsibilities and level of effort for these actors.</td>
<td>03</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.3</td>
<td>Applicant provides a level of effort table showing each position on the project and the proportion of time that the various positions will be dedicated to the project</td>
<td>02</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.4.4</td>
<td>CVs attached for key staff</td>
<td>02</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5</td>
<td><strong>Gender</strong></td>
<td>5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.5.1</td>
<td>Demonstrates how the project tasks support gender equality among implementers (e.g., staff, community leaders and other volunteers) and beneficiaries and demonstrates how evidence for this will be provided</td>
<td>05</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6</td>
<td><strong>Sustainability</strong></td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6.1</td>
<td>Demonstrates knowledge of the target beneficiaries and describes expected impact on targeted beneficiaries</td>
<td>03</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6.2</td>
<td>Interventions demonstrate the multiplier effects such as scope for replication and extension of the outcome of the action)</td>
<td>03</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.6.3</td>
<td>Expected results of the proposed action are sustainable: financially (how will the activities be financed after the funding ends?), institutionally (will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?), at policy level (where applicable) (what will be the structural impact of the action, Environmentally (if applicable) (will the action have a negative/positive environmental impact?)</td>
<td>04</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td><strong>Cost Proposal</strong></td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1</td>
<td>Applicant uses the required budget template</td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2</td>
<td>Budget items in the budget are the proposed activities presented in the implementation plan</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.3</td>
<td>Budget is reasonable for implementing tasks and aligned with local costs</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.4</td>
<td>Demonstration of a direct link to project activities through comprehensive budget narrative</td>
<td>2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL ASSESSMENT SCORE** 100

**OVERALL COMMENT:**

Strengths:

Weaknesses:

Recommendations:

Name of Reviewer: ..............................................................  Signature: ........................................

Date: ..............................................................
Attachment C-1

Management System Questionnaire

For Grants to Non-US Organizations
with Simplified and/or Fixed Obligation Grants anticipated to be under $150,000

RTI International uses this questionnaire to verify applicant has the capacity or potential capacity to adequately perform in accordance with the principles established by the US Government and other donors to ensure that its accounting, record keeping and overall financial management systems meet applicable standards and to determine if the applicant’s system of internal controls is reasonable in the applicable cost principles.

Legal name of applicant organization:

Name and title of individual completing this questionnaire:

Signature of Individual Completing:

DUNS Number

A. General Information

1. Type of Organization: (Check either NGO or HG)

☐ Nongovernmental (NGO)

☐ Governmental (or host government [HG] institution)*

*An HG institution or a subdivision of it is an organization that functions as a governing body and in which the host government owns at least a 50 percent share or receives at least 50 percent of its financial support from the host government. Examples of HG entities are ministries, or local or state governments or agencies.

(Check one below)

☐ Non-Profit

☐ Educational

☐ For-Profit

☐ Other ____________________________
2. Is your organization incorporated or legally registered?

- [ ] Yes
- [ ] No

3. City and country of incorporation or legal registration:

4. Date of incorporation or legal registration:

5. Is your organization required to pay taxes on revenue/income, or is it exempt from such taxes?

- [ ] Required to pay taxes on revenue/income
- [ ] Exempt from taxes on revenue/income

6. Please list the number of employees of your organization:

- [ ] Full-time employees
- [ ] Part-time employees or Volunteers

7. Has your organization received funding from any agency of the U.S. Government in the last 3 years?

- [ ] Yes
- [ ] No

*If yes, please identify the source and specify the amount(s) received from each source, by year below:*

8. What is your organization’s fiscal year?

9. Do you anticipate expending $300,000 or more in funds received directly or indirectly from the U.S. Agency for International Development during your fiscal year?

- [ ] Yes
- [ ] No
B. Indirect/Overhead Rates

1. Does your organization have a Negotiated Indirect Rate Agreement (NICRA) with the U.S. Government?
   
   □ Yes
   □ No

If YES, please attach a copy to this Questionnaire and go to the next section.

If NO, does your organization plan to charge an indirect or overhead rate to the budget of the grant agreement?

   □ Yes
   □ No

If YES, please describe the basis upon how the indirect rate was determined.

Has the indirect rate been audited?
   
   □ Yes
   □ No

If YES, please provide a copy of an audit report with the audited indirect rate and an explanation of the indirect rate costs.

Is the indirect rate charged equally to all funders of your organization?

   □ Yes
   □ No

If NO, Please explain.

C. Financial Management

1. Is your accounting system [ ] manual or [ ] automated? If automated, what accounting software program are you using? Specify.
2. Do you have documented policies and procedures for processing transactions in accordance with laws, regulations, or management policy? If you answer yes, you also agree to make these documents available for inspection.

☐ Yes
☐ No

3. Is your accounting system capable of accurate, current, and complete reporting of the utilization of grant funds for all types of costs (including but not limited to labor, travel, materials, and equipment)?

☐ Yes
☐ No

4. Do you use a written chart of accounts containing a description of each account and are journal entries prepared, reviewed, compared with supporting details where necessary, and approved each accounting period?

☐ Yes
☐ No

5. Is your accounting system capable of tracking and documenting the utilization (see above) of grant funds by source?

☐ Yes
☐ No

6. Are the liquid assets (cash) of your organization kept in an interest-bearing bank account?

☐ Yes
☐ No

7. What is the name of your organization’s bank?

_____________________________________________________________________

D. Personnel:

27. Does your organization utilize an electronic timesheets system in accordance with United States Government regulations?

☐ Yes
☐ No

28. Does your organization have a timekeeping policy requiring employees to submit timesheets at least once a month?

☐ Yes
If the answers to the prior questions have been negative, please explain how do you record the hours worked for the assign project/activity?

E. Procurement and Property Management System

1. Does your organization have a written procurement manual?
   □ Yes
   □ No

2. Do you always solicit quotations from vendors before making a purchase over the local currency equivalent of $3,000?
   □ Yes
   □ No

3. Do you have a property management manual?
   □ Yes
   □ No
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.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
   a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury’s Office of Foreign Assets Control (OFAC) and is available online at OFAC’s website: http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
   b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the “1267 Committee”) [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee’s website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.
   c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
   d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-
   a. “Material support and resources” means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”
   b. “Terrorist act” means-
      (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: http://untreaty.un.org/English/Terrorism.asp); or
      (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
      (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
   c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

**Certification of Recipient**

By signing below the recipient provides certifications and assurances for the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

Date of Application ______________________________

Name of Recipient _______________________________

Typed Name and Title ______________________________

Signature ______________________________

Date __________________________