



**Request for Applications (RFA)  
USAID Energy Secure Philippines Activity  
Energy Evolution Challenge**

**RFA# ESP – ESCO EEC in LGUs - 2021-003**

**“ESCO-led Innovative Energy Efficiency and Conservation in Local Government Units”**

**I. Purpose for Funding Opportunity**

The USAID Energy Secure Philippines (ESP) Activity through its Energy Evolution Challenge grant facility seeks applications to fund, in the form of grants, qualified organizations/companies to support an energy service company (ESCO) who has a partner local government unit (LGU) to design and implement an energy efficiency and conservation (EEC) project that can become a practical guide for scaling up and replicating EEC initiatives in LGUs. LGUs are prime movers in the promotion and implementation of the Philippine EEC Act (RA 11285) and in integrating EEC efforts in the Local Development Plans and Local Energy Plans. These contribute to improving municipal services and increased local energy resilience and sustainability.

The grant will be implemented in two phases. **First phase** involves the preparation or enhancement of the LGU’s Local Energy Plan under which the Local EEC plan is expected to be articulated. This phase will help identify appropriate energy efficiency interventions as well as innovative financing mechanisms and procurement methods. Under the LEC, the EEC initiative is also anticipated to become or form part of a local ordinance that will serve as a long-term blueprint to guide future EEC efforts of the LGU. The EEC plans will then be implemented in the second phase of the project.

In the **second phase**, the ESCO grantee in partnership with the LGU, will execute an EEC transition program. Efforts may include retrofitting or replacing inefficient equipment with more efficient ones, developing systems, building capacity, and other interventions that are geared towards reducing energy consumption in business operations and communities. To be able to undertake these activities, the grantee must collaborate with the electric distribution utility operating within the LGU and build private-public partnerships.

The partnership grant will be awarded in combination with technical assistance, training, and/or other inputs from the ESP team geared towards achievement of specific objectives that respond to expressed local needs in and contributes to achievement of stated expected results of USAID ESP. The grant will also involve integration with related activities stated in plans of USAID ESP and its partner subcontractors. This will particularly include the activities of the Philippine League of Local Environment and Natural Resources Officers (PLLENRO) on Local Energy Code formulation and adoption, Local Energy Planning, and preparation of Local Energy Efficiency and Conservation Plan.

The issuance of this RFA does not constitute an award, a commitment on the part of RTI or USAID, nor does it commit to pay for costs incurred in the submission of an application. In addition, this RFA is not intended to replace any current or future funding agreements organizations may have with any government agency.



**II. Summary**

1	Date of Announcement	August 02, 2021
2	Issuing Office	RTI International – USAID ESP Activity
3	RFA to be submitted by email to:	grants@energysecure.ph
4	Submission deadline	September 03, 2021
5	Notification of Selection	September 15, 2021
6	Submission Method	Documents must be submitted electronically in English
7	Anticipated awards	One ESCO in cooperation with one to three LGU/s
	Funding amount for the award	Up to PhP25,000,000
8	Duration of award	Twenty-four (24) months with potential for extension but not exceeding the Activity life-of-project ending on October 2025
9	RFA Q & A Due	August 10, 2021

**III. Program Statement**

The USAID Energy Secure Philippines (ESP) Activity is looking for an ESCO Partner that can develop, launch and sustain Innovative EEC in Local Government Units. USAID ESP has on-going partnerships with USAID’s Cities Development Initiatives partners namely the cities of Batangas, Cagayan de Oro, Iloilo, Tagbilaran, General Santos, Legaspi, Puerto Princesa, and Zamboanga which can be proposed as sites (<https://www.usaid.gov/philippines/partnership-growth-pfg/cdi>). However, other LGUs that have viable prospects or have exemplary initiatives for EEC scaling up and replication can also be considered for the grant.

**IV. Background: The USAID ESP Activity**

The \$34 million USAID-funded Energy Secure Philippines (ESP) Activity focuses on advancing inclusive economic growth and resilient development through increasing private investment in order to promote advanced technology deployment and boost the energy sector’s resilience to shocks and stresses. To achieve this objective, ESP aims to mobilize \$750 million in private sector investment that will stimulate 500 megawatts in additional generation capacity. ESP’s \$7.5 million grants program aims to catalyze and encourage private sector engagement and collaboration with local non-governmental entities in the implementation of complementary and reinforcing energy interventions.

Overall, the ESP Activity contributes to the achievement of the Philippines Energy Sector Strategic Directions 2017-2040 and to the goals of the U.S. Government’s Asia Enhancing Development and Growth Through Energy (EDGE) Initiative, particularly in pursuing enhanced energy security through a transparent, market-driven, and resilient energy sector. Asia EDGE aims to expand access to affordable, reliable energy, including highly efficient conventional fuels, nuclear, and renewables, which reduces poverty, fosters inclusive economic growth, and promotes sustained prosperity.

## IMPROVE ELECTRIC UTILITY PERFORMANCE

The ESP Activity introduces methodologies, tools, cutting-edge analytic systems, and other technology applications to upgrade performance standards, improve operational efficiencies, and strengthen the financial and operational position of power utilities. ESP’s menu of technical assistance promotes integrated resource and resilience planning with comprehensive risk and vulnerability assessments, including a focus on countering cyber security threats.






## INCREASE DEPLOYMENT OF ADVANCED ENERGY SOURCES AND SYSTEMS

The ESP Activity supports the operationalization of existing laws, regulations, and policies that support the extensive use of advanced energy systems, which will result in a more efficient and affordable electricity market with a variety of products and services. ESP will develop a customized capacity building assistance that will equip developers, distribution utilities, and local governments with the technical and financial facility to deploy and expand delivery of new and emerging technology innovations to improve business conditions for sustained private sector investment.

## ENHANCE COMPETITION IN THE POWER SECTOR

The ESP Activity works to broaden the number of market participants to balance large firm dominance and lower the threshold for retail competition to reach the household level. ESP also supports the adoption of a minimum set of standards for quality equipment and services and to enforce transparent, competitive procurement processes to level the playing field for all vendors, suppliers, and service providers in the energy sector. Doing so enhances the benefits of competition and reduces electricity costs for consumers.

## TARGETS BY THE NUMBERS

-  **500 MW** of new additional electricity generating capacity
-  **\$750 MILLION** of private sector investments leveraged
-  **3 UTILITY IMPROVEMENT/RELIABILITY PLANS** implemented
-  **6 ADVANCED ENERGY SYSTEMS FRAMEWORKS** developed and implemented
-  **5 LOCAL ENERGY CODES** adopted by LGUs
- 5 LGUS INTEGRATED** under the **EVOSS ACT**

## V. USAID ESP Theory of Change

USAID has set forth a Theory of Change for the Energy Secure Philippines (ESP) project:

*If the Philippines improves the performance of its energy utilities, increases utilization of advanced energy sources and systems, and adopts competitive and transparent opportunities for new energy investments; then the energy sector will*



*be more secure and resilient, thus inclusive economic growth and self-reliance in the Philippines will advance.*

An integrated implementation approach is being done to affect this Theory of Change. To help deliver the desired impact in its 5 years of activity life, USAID ESP is pursuing the following approaches:

- Scaling-Up Markets for Advanced Energy Systems,
- Fostering Inclusive Growth and Investment,
- Building Resilient Systems, and
- Empowering Consumer Choice.

These strategic approaches are anticipated to deliver at least 500 MW in new capacity, \$750 million in private investment, and increased demand for reliable, affordable electricity.

## **VI. Innovative EEC in LGUs - Grant Objectives**

Energy efficiency and conservation (EEC) is an important facet of the energy industry but lags behind in terms of mainstreaming, and this is evident in many fronts – from technology and systems application to financing. This grant is targeting organizations, as defined for this request, which may help surmount this challenge and to achieve the following objectives:

- a. Design, implement, and document an innovative EEC model that harmonizes policy, technology, financing, procurement, and capacity building in LGUs.** Applicants will evaluate the EEC policies in their proposed LGU and from there determine needs and gaps. Such policies can include a Local Energy Code, a Local Energy Plan, or a Local Energy Efficiency and Conservation Plan. These will be based on national policies particularly the EEC Act. From these policies and plans, the Applicant will develop an EEC road map in cooperation with the LGU using methodologies and templates from the Department of Energy. From this road map, a detailed EEC transition plan or a scale-up plan will be prepared by the Applicant and will serve as the anchor of the actual EEC model. The Applicant will then flesh out the transition or scale-up plan by providing appropriate and cost-effective support which may include technical assistance, technology, equipment, systems development, capacity building, and viable financing mechanisms that takes into account government procurement requirements. Financing options will also include the careful study and consideration of other funding mechanisms including but is not limited to the Energy Regulation 1-94 or ER 1-94 fund, National Wealth Tax, municipal and green bonds, and other applicable funding options. The EEC transition plan may include the buildings and premises, commercial establishments, and other energy intensive facilities that is under the management of the LGU. The Applicant will carefully document all processes and will establish a baseline, progress milestones, and project life targets in terms of energy consumption. Finally, the Applicant will develop a sustainability plan and will be expected to continue the EEC service provision within the same LGU. In this regard, a long-term performance contract between the ESCO and partner LGU is anticipated.

- b. **Study, compare, and present different options for EEC technology applications and prepare a menu of solutions applicable to LGUs.** In the course of developing and documenting the EEC model, the Applicant will develop a matrix of solutions or a menu for EEC initiatives that would be useful for LGUs. This menu of solutions is expected to feature the elements stated above including indicative costs and savings and will be graduated from entry level to full-scale implementation to accommodate different levels of LGU capacity for EEC transition. These options will be prepared into a user-friendly material that can be available in print and online.
- c. **Recommend policies and/or policy enhancements that can improve the adoption of EEC in LGUs.** In the process of developing and implementing the EEC model, the Applicant will observe, document, and report on how pertinent policies are either facilitating or hindering the promotion and adoption of EEC. In the interest of enhancing these policies or formulating new ones, the Applicant will also prepare detailed recommendations to further establish or strengthen policies that enable the implementation of EECs.
- d. **Develop and deploy communication and marketing strategies and materials that promote EEC adoption in LGUs.** Finally, the Applicant in close cooperation with the USAID ESP Communications Team will conduct audience / stakeholder analyses, formulate IEC strategies and approaches, and conduct events and activities that will promote EEC adoption in LGUs.

The Applicant will take into account the limitations as well as opportunities driven by the current COVID-19 pandemic. Innovative approaches to accomplishing the objectives in the context of this situation are expected. Further, the applicant, when necessary, will meet with USAID ESP's partners including the DOE and activity subcontractors. USAID ESP will arrange these meetings in coordination with the grantee.

## **VII. Expected Results and Performance Indicators**

Anticipated results for this grant will include, but are not limited to:

1. A long term and comprehensive EEC Transition plan that takes into account policy, technology, systems, financing, and business models, developed in close cooperation with the partner LGU.
2. A data driven energy consumption monitoring plan that establishes a baseline and sets a target by the end of the grant period.
3. A business plan that includes financing and transactional arrangements that are geared for long-term ESCO-LGU partnership.
4. Implementation and deployment of technology, systems, promotion, capacity building, financing, and other related support that will establish, demonstrate, and promote EEC innovations.
5. Documentation of the processes and experiences in implementing the EEC Innovations.
6. An EEC technology, systems, and financing options matrix designed for LGUs.
7. A policy paper that includes an analysis of facilitating or hindering policies and recommendations to enhance or improve the said policies.
8. Communications plan and actual conduct of at least 2 events or activities that promote EEC.



9. An Environmental Management Plan that presents the potential positive and negative impacts of as well as a Climate Risk Management Plan that takes into account the impact of climate change on the EEC Innovation and the measures to leverage or mitigate such impacts.
10. A comprehensive final Terminal Report

Applicants will be expected to comply with USAID ESP reporting requirements, including the reporting of grant activities, numbers of individuals reached, documentation of lessons learned, and evidence of organizational networking. A grantee will submit monthly and annual narrative and financial reports. RTI will provide feedback to grantees on reports submitted.

### **VIII. Minimum Eligibility Criteria**

**Applicants must meet the following minimum eligibility requirements to qualify for funding under this RFA:**

This grant prioritizes Energy Service Companies (ESCOs) in need of support and who registered or are about to register with the Department of Energy. Applicant ESCOs are required to partner with at least one LGU. Energy innovators, technology providers, enterprises, civil society organizations, community-based organizations, businesses, commercial establishments, academic institutions, and research institutions can also apply as long as they have a formal and active partnership with an ESCO. Applicants must meet the following eligibility requirements:

- Demonstrated experience working in the energy industry in the Philippines, with preference to organizations with established track record in research, organizational development, data analytics, and knowledge management.
- Applications meet minimum evaluation criteria for
  - a) Soundness of technical approach
  - b) Understanding of local context, and
  - c) qualifications of proposed personnel
- Demonstrated financial capacity to manage large USG grants or sub-grants portfolio.
- Cost realism of the budget
- Past performance

All Energy Secure Philippines grant support may **not** be extended to the following:

- Organizations that are not legally registered
- Any entity that has been found to have misused USAID funds in the past (unless specifically approved by USAID contracting officer)
- Any entity that will have conflict of interest by participating in the call for grants
- Political parties, groupings, or institutions or their subsidiaries and affiliates
- Any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-procurement Programs (<http://www.sam.gov/>)
- Any entity with a member that appears on the U.S. Department of Treasury Office of Foreign Assets Control (OFAC) Specially Designated Nationals (SDN) and Blocked Persons list



- Any entity with members directly or indirectly involved in money laundering, acts of terrorism, gambling, prostitution and child trafficking, drugs.

All Energy Secure Philippines grant funds cannot be utilized for the following activities;

- Purchases of restricted goods, such as agricultural commodities, motor vehicles, pharmaceuticals, contraceptive products, pesticides, used equipment and fertilizers without the previous approval by the USAID Contracting Officer through RTI.
- Prohibited goods under USAID regulations, including but not limited to police or law enforcement equipment, abortion equipment and services, weather modification equipment, luxury goods, and gambling equipment.
- Purchases of goods or services restricted or prohibited under the prevailing USAID source/origin/ nationality and other regulations; or from countries or suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at <http://www.sam.gov>.
- Construction, infrastructure, renovation, and rehabilitation projects. Definition of “**Construction**” for purposes of this manual means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.

**Application content must include:**

- a. Completed Application Cover Sheet with project title; organization name and contact information including contact person, address, telephone, fax, and email address.
- b. Executive Summary (not to exceed 1 page)
- c. Completed and signed Grant Application Form
- d. Program description. See instructions in the Grant Application Form (10 pages maximum)
- e. Implementation Plan. See Application Form. (2 pages)
- f. Monitoring and evaluation plan. See application Form (2 pages)
- g. Sustainability Plan. Describe how project activities will be sustained beyond USAID ESP funding. (1 Page)
- h. Budget and Budget Narrative. See instructions on Grant Application Form.
- i. Completed Organizational Control Environment Questionnaire (Attachment A)
- j. Past Performance. See instructions in the Grant Application Form.
- k. Anti-Terrorism Certification. See instructions on Grant Application Form.
- l. Proof of registration in the Philippines.

**IX. Selection Process**

- a. Screening: This is the initial assessment of applications that remove the applications that do not meet the minimum eligibility criteria.
- b. Technical Evaluation: This is the in-depth review of applications by the technical evaluation committee.
- c. Final approval by USAID and RTI International



**X. Budget, Program Income, and Audit**

In accordance with ADS 302 and ADS 303, the total value of any individual grant to a U.S. organization, if any, must not exceed \$100,000. This limitation does not apply to grant awards to non-U.S. organizations.

Grant Program Income generated or earned by the Grantee because of the Grant Award e.g., Fees for services performed and for the sales of services, use or rental of real or personal property acquired with grant funds, sale of commodities or items fabricated under the grant, payments of principal and interest on loans made with grant funds; and any donations that are solicited by the Grantee during a grant activity shall be reported to USAID ESP. Program Income earned under Grant Awards shall be applied and used in the following descending order:

1. Added to funds committed by USAID and the Grantee to the project or program, and used to further eligible project or program objectives;
2. Used to finance the non-Federal share of the project or program; and
3. Deducted from the total project or program allowable cost in determining the net allowable costs on which the federal share of costs is based.

If the terms and conditions of the Grant Award do not specify how Program Income is to be used, then number 2 above shall apply automatically. Grantees shall have no obligation to the US Government regarding Program Income earned after the end of the grant period. Costs incurred when generating Program Income may be deducted from gross income to determine program income if the costs have been charged to the Grant Award and comply with applicable rules for allowable costs under grants.

Upon completion of the project, the recipient will provide all required final progress, performance, and financial reports.

**XI. Evaluation Criteria**

All applications meeting the minimum eligibility requirements and conformance to the requirements of this RFA will be evaluated by a technical evaluation committee. The following evaluation criteria and scoring will be used for review and weighted in favor of results-oriented programs. The evaluation criteria and the points to be awarded include:

Merit Review and Category	Points
Feasibility of technical approach	35
Extent of contribution to USAID ESP Activity objectives	20
Management and operational capacity	15
Commercial Sustainability/Financial self-reliance (replication, scale-up)	15
Cost efficiency/effectiveness	15
Overall Rating (out of 100 points)	100





These merit review criteria elements are described more fully below.

- A. Feasibility of technical approach. The quality and feasibility of the proposal in terms of the viability of the proposed technical approach, (i.e., the ability to produce intended outcomes), appropriateness of the proposed methodology, innovativeness, and the work plan for achieving project objectives to offer significant impact in EEC initiatives geared towards LGUs. Evaluation may either include approaches proven to be effective or new untried approaches with promise. (35 points)
- B. Extent of contribution to USAID objectives. The extent to which the proposed activity contributes to the stated USAID ESP Activity objectives and desired outcomes including energy security, resilience, and cross-cutting themes on gender, environmental management, climate risk management, and current pandemic considerations. (20 points)
- C. Management and operational capacity. Evidence of the capability to undertake and accomplish the proposed activities. The application should demonstrate the organizations' effectiveness in terms of internal structure, technical capacity, and personnel. In addition, the organization must demonstrate adequate financial management capability. The evaluation will be based principally on the background, qualifications, reputation, performance timeliness, appropriateness, and skills of its personnel; and its track record in terms of service quality, client satisfaction and achievements related/similar to the grant opportunity. (15 points)
- D. Commercial Sustainability/Financial Self-Reliance. The extent to which the funded activity will result in building and strengthening the EEC transition in the selected segment of the LGU and whether the activity itself is sustainable, replicable, and scalable. This would include technological, institutional, business, and financial models or arrangements to be developed or strengthened. (15 points).
- E. Cost efficiency. The degree to which budgeting is clear and reasonable and reflects best use of organization and grant resources and demonstrates a clear commitment to real investment by the applicant and the target processing company. Takes into consideration cost share, counterparts, or leveraged funds. (15 points)



**Grant Application Form Instructions:**

1. All Applicants are required to complete and submit this application form.
2. All the attachments (A to E) 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 14.
4. Applicants must complete only Part I (items 1-14) and submit all the required attachments Part I – Application – All Applicants must complete ALL of Part I.

1. Date of application:	
2. Name of Applicant:	
3. Address of Applicant:	
4. DUNS Number: (instruction attached)	
5. Names and titles of officer(s) authorized to represent the Applicant and his/her alternate: a. Authorized Officer: b. Alternate:	
6. Proposed period of performance:	
7. Proposed budget:	
Signature/Name/Title	

5. Executive Summary (No more than 1 Page) and a Program Description (No more than 10 pages, excluding required attachments detailed below) (Required). Applicants are required to submit the **Program Description** that includes **Implementation Plan, Sustainability Plan, and Monitoring and Evaluation Plans** as **Attachment A** to this application.

The Applicant must describe in detail the program of activities proposed to be supported by the grant. The program description must be results-oriented and demonstrate likely success in achievement of the stated indicators. 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. Clear identification of the beneficiaries, their number, location, and anticipated benefits that they will receive. *What are the intended results (i.e., changes in conditions)?*

6. 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?

7. **Sustainability Plan (Required)**. Describe how project activities will be sustained beyond funding. (No more than 2 Pages)
8. **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?*
9. **Budget and Budget Narrative (Required)**. Each application must contain a **detailed line-item budget** presented in MS Excel 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.
  - **Direct Labor**. The Applicant must propose direct labor costs for each person providing direct support to the work requirements set forth in the Program Description. The budget must include the name of the person, position, direct salary rate and the number of direct labor hours that each person will perform in support of the solicitation requirements.
  - **Direct Costs** All travel estimates, material/equipment purchases, consultants and any other direct costs shall be separately identified, detailed, and reasonably supported by market rates and/or historical costs.
  - The budget must be in Philippine Peso.
  - Applicants are required to submit the **Budget and Budget Narrative** as **Attachment B** to this application.
10. **Organizational Control Environment 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 **Organizational Control Environment Questionnaire** as **Attachment A** to this application.
11. **Past Performance References (Required)**. All Applicants are subject to a past performance reference check. Applicant should provide the contact information for partners (international donor, government department, private donor, other organization) with whom the Applicant has worked in the last three (3) years, in the implementation of a similar program. The reference information shall include the procuring/financing organization, location, current telephone or e-mail information, points of contact, award number if available, dollar value of activity, and brief description of work and dates performed.



Contact Name/Organization	Award (Number, value, brief description).	Address	E-mail	Telephone
(1)				
(2)				
(3)				

12. **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:**

- I. 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.
- II. The following steps may enable the Applicant to comply with its obligations under paragraph.
  - 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 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 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 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 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.
- III. 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 United Nations terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>);
  - 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, microenterprise 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.

**IV. In Agreement to the terms and conditions above:**

Name of Applicant Organization:	
Name and title of officer or his/her alternate authorized to represent the Applicant (either name that appears in Box 5 of this Application.	

Signature: \_\_\_\_\_

Date: \_\_\_\_\_



## 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 TO 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](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](http://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.

### **Restrictions**

Grant funds provided under the terms of this RFA shall not be used to finance any of the following commodities as per ADS 312, Eligibility of Commodities:



Ineligible Commodities: Military equipment, surveillance equipment, commodities or equipment for the support of police or other law enforcement activities, abortion equipment and services, luxury goods, gambling equipment, weather modification equipment.

Restricted Commodities: Agricultural commodities, motor vehicles, pharmaceuticals, contraceptives and condoms, pesticides, used equipment, fertilizer.

Others: Purchases of goods or services restricted or prohibited under the prevailing USAID source and nationality and other regulations found under ADS 310 or from countries and suppliers as may be identified by USAID's consolidated list of debarred, suspended, or ineligible subcontractors at <http://www.epls.gov/>



**ATTACHMENT A**

**Organizational Control Environment Questionnaire**

- 1. Legal name of applicant organization: \_\_\_\_\_
- 2. Name and title of individual completing this questionnaire: \_\_\_\_\_
- 3. Signature of Individual Completing: \_\_\_\_\_
- 4. DUNS Number \_\_\_\_\_

**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

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

10. Has the organization ever been audited in accordance with United States Federal Guidelines such as A-133 or ADS 591?

- Yes
- No

If so, covering what period? \_\_\_\_\_

What was the auditor's opinion? (Circle One)

Unqualified Approval / Qualified Approval / No opinion rendered

11. Is your organization currently or has ever been formally excluded (debarred or suspended) from receiving US Government funding?

- Yes
- No



### 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.

1. 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.

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

Yes  
 No

If NO, please explain.

### 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? \_\_\_\_\_

8. Do you agree to make all financial records relating to the utilization of grant funds available for audit?

- Yes
- No

9. Are duties and/or authorities separated so that no one individual has complete authority over an entire financial transaction?

- Yes
- No

10. Are transactions approved by persons having the authority to do so in accordance with established policies and procedures?

- Yes
- No



11. Are key records matched before a transaction is approved (i.e., matching purchase order, receiving report, and vendor invoice before the invoice is approved for payment)?

- Yes
- No

12. Are calculations, extensions, additions, and accounting classifications independently reviewed?

- Yes
- No

13. Who (name/title/position) reviews requests for payments by the organization?

\_\_\_\_\_

14. Who (name/title/position) approves payments made by the organization?

\_\_\_\_\_

15. Who (name/title/position) signs on checks issued as payment by the organization?

\_\_\_\_\_

16. Is it your policy and practice that the person receiving cash does not have the authority to sign checks and reconcile bank accounts and does not have access to accounting records other than cash receipts?

- Yes
- No

17. Is it your policy and practice that different persons prepare checks, sign checks, reconcile bank accounts, and have access to cash receipts?

- Yes
- No

18. Do you use pre-numbered forms to record all of your financial transactions and account for the sequence of all numbers used?

- Yes
- No

19. Is it your policy and practice that receiving reports, inspection documents, etc., are matched with billing notices or other documents used to record delivered orders and related liabilities to provide assurance that only valid transactions are recorded?



- Yes
- No

20. Are vendor invoices and shipping documents date stamped and tracked to ensure they are recorded on a timely basis?

- Yes
- No

21. Are your source documents canceled after processing to provide assurance that the same documents will not be reused and will not result in recording transactions more than once (i.e., only original documents are used to process transactions)?

- Yes
- No

22. Are your financial statements prepared by authorized personnel having sufficient experience and expertise to ensure compliance with applicable accounting principles?

- Yes
- No

23. Who (name/title/position) prepares the financial reports for the organization?

\_\_\_\_\_

24. How frequently does the organization prepare financial statements?

- Monthly
- Quarterly
- Annually

25. What financial monitoring systems are in place to ensure that activity budgets are not exceeded?

26. Are operating costs compared with approved budgets and variances explained?

- Yes
- No

**D. Personnel:**



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

- Yes
- No

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

- Yes
- No

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

4. Are incoming and outgoing assets counted, inspected, and received or given up on the basis of proper authorization in accordance with established procedures?

- Yes
- No

5. Are assets on hand periodically inspected and counted, and the results compared with asset records?

- Yes
- No



6. Are there different individuals responsible for purchasing merchandise or services, receiving merchandise or services, and approving vouchers?

- Yes
- No

**F. Reports and Records**

1. Are cash receipt totals recorded before cash is transmitted for deposit?

- Yes
- No

2. Are secured facilities used when appropriate, and access to critical forms and equipment limited to authorized personnel?

- Yes
- No

3. Is access to programs and data files restricted to authorized personnel only?

- Yes
- No

4. Are assets and records protected against physical harm?

- Yes
- No

5. Are the sources of summarized data compared with the underlying subsidiary records and/or documents before the data are accepted for inclusion in summarized records and reports?

- Yes
- No

6. Are procedures followed to check the completeness and accuracy of data summarization, and exceptions reviewed and resolved by authorized persons?

- Yes
- No

**G. Insurance**

Does the organization maintain any of the following types of insurance? Copies of current insurance certifications (or insurance policy) should be available for review.

Worker's Compensation:  Yes  No

Amount of Coverage:  
\_\_\_\_\_

Name of Carrier:  
\_\_\_\_\_

Property Insurance:  Yes  No

Amount of Coverage:  
\_\_\_\_\_

Name of Carrier:  
\_\_\_\_\_

General Liability Insurance:  Yes  No

Amount of Coverage:  
\_\_\_\_\_

Name of Carrier:  
\_\_\_\_\_

Other (please explain): \_\_\_\_\_

Amount of Coverage:  
\_\_\_\_\_

Name of Carrier:  
\_\_\_\_\_



**ATTACHMENT B**
**Detail Budget format (Sample Only)**

USAID ESP Activity										
Name of Company/Organization:										
Period of Performance:										
No.	Item Budget	Unit Cost	Qty	Unit	Frequency	Unit	Level of Effort	USAID ESP	GRANTEE CONTRIBUTION	TOTAL
		PHP		person, package, pieces, etc.		day, month, time, etc		PHP	PHP	PHP
<b>I. DIRECT LABOR COST</b>										
A. Salary										
	1 Program Manager			/month						0.00
	2 Program Officer			/month						0.00
	3 M&E Officer			/month						0.00
	4 Finance Officer			/month						0.00
<b>TOTAL DIRECT LABOR</b>										0.00
<b>II. TRAVEL AND PER DIEM</b>										
In-Country Trave;/Expenses										
Program Staff Travel										
	1 Accommodation			/ per person, per day						0.00
	2 M&E			/ per person, per day						0.00
	3 Air Travel			/ per person, per day						0.00
	4 Local transportation to conduct and monitor activities			/ per person, per day						0.00
<b>TOTAL TRAVEL AND PER DIEM</b>										0.00
<b>III. SUPPLIES &amp; EQUIPMENT</b>										
	1 Laptop Computer + MS Office			/unit						0.00
	2 All-in-one printer/copier & scanner			/unit						0.00
	3 Printer toner cartridge			/unit						0.00
	4 Projector			/unit						0.00
	5 Digital Camera			/unit						0.00
<b>TOTAL SUPPLIES AND EQUIPMENT</b>										0.00
<b>IV. OFFICE EXPENSES</b>										
	1 Office Rental			/unit						0.00
	2 Bank Charges			/unit						0.00
	3 Electricity Bill			/unit						0.00
	4 Generator Fuel & Maintenance			/unit						0.00
	5 Internet			/unit						0.00
	6 Communication			/unit						0.00
	7 Stationeries			/unit						0.00
<b>TOTAL OFFICE EXPENSES</b>										0.00
<b>V. OTHER DIRECT COSTS</b>										
Support for Meetings of USAID ESP Activity										
	1 Monthly meeting of USAID ESP Community of Practice			Transportation & Refreshments per person						0.00
	2 Monthly meeting of USAID ESP customer Association/Committees			Transportation & Refreshments per person						0.00
	3 Monthly Women's Group Meetings			Transportation & Refreshments per person						0.00
	4 Monthly Civil Society Meetings			Transportation & Refreshments per person						0.00
	5 Monthly Industry Meetings			Transportation & Refreshments per person						0.00
	6 Quarterly Coalition Meetings with USAID ESP Activity			Transportation & Refreshments per person						0.00
	7 Quarterly Town Hall Dialogue with Local Authorities & Key Stakeholders			Transportation & Refreshments per person						0.00
Support for USAID ESP Activity with Key Stakeholders										
I Annual USAID ESP Summit at Provincial/Regional Level										
	a Hall hire			Hall						0.00
	b Banners			Workshop Materials						0.00
	c Note Pads & Pens			Workshop Materials						0.00
	d Participant Welfare			Transportation& Refreshments per person						0.00
	2 Coordination/Visits to Government and Other Stakeholders									
	a USAID ESP Community of Practice			Transportatopm						0.00
	b USAID ESP Customer Associations/Committees			Transportatopm						0.00
	c Women's Groups			Transportatopm						0.00
	d Civil SocietyGroups/Industry Association			Transportatopm						0.00
	3 Facility Visits									
	4 Quarterly USAID ESP Media Campaign									
	a Hall Hire			Hall						0.00
	b Banners & Flyers			Materials						0.00
	c Public Address Systems			Equipment						0.00
	d Hand Sanitizers			Materials						0.00
	e Different Types of Flipcharts			Materials						0.00
	f Pens (Markers)			Materials						0.00
	g Participant Welfare			Refreshments per person						0.00
	h Transportation for organizing committee (Women, Industry, Civil Society)			Transportation						0.00
<b>TOTAL OTHER DIRECT COSTS</b>										0.00
<b>TOTAL DIRECT COSTS</b>										0.00