



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

**RFA# USAID ESP Activity-2021-02  
“Innovative Energy Systems in Fish and Agro-Processing Industries”**

**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 catalyze innovative, replicable, and scalable energy systems<sup>1</sup> solutions in the Fish- and Agro-Processing Industries<sup>2</sup> in the Philippines where they do not already exist or complement existing ones. This RFA provides prospective applicants with a fair opportunity to develop and submit applications to USAID ESP Activity for potential funding. The grant will support entities that have a robust design and plan, and capacity to subsequently implement innovative energy solutions that will showcase the benefits of institutionalizing energy management systems in either or both target industries.

Specifically, the innovative energy solutions are expected to contribute to and achieve the following:

- Increased utilization of advanced energy sources and systems, and
- Adopts competitive and transparent opportunities for new energy investments

The grant will have three parts:

1. Identification of the Fish- and/or Agro-Processing facility which is representative of or closely represents the processing industrial segment/s in the country, and where potentials for replication and scaling up to the same segment is high. Equally important at this stage is selection of the specific enterprise whose top management is keen and committed to implement the recommended priority measures within the timeframe of the USAID ESP Activity.
2. Conduct of energy audit where baseline energy consumption in the industrial facility is established, and opportunities, both technical and non-technical, to optimize energy use is systematically identified, analyzed and prioritized – complete with cost/benefit analysis. The array of energy interventions, particularly the utilization of advanced energy and hybrid systems should not only result in the reduction in energy intensity and other allied resources like water but also improvement in value-add to the final product. It is crucial that concerned facility officials/personnel are actively involved in this whole exercise. The resources and arrangements for the implementation of the energy efficiency measures are likewise initially defined.

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<sup>1</sup> Innovative energy system solutions can invariably include not only technical but also non-technical interventions, i.e., energy management system and/or implementation of economically and impactful energy efficiency and conservation technology solutions.

<sup>2</sup> Classified as Designated Establishments (DE) with average annual consumption during the previous year of more than 500,000 kWh equivalent (DE Type 1: >500,000 to <4,000,000kWh; DE Type 2: >4,000,000kWh equivalent).



3. Implementation of priority innovative energy system/s with quick returns and significant impacts are made within the timeframe of USAID ESP Activity. In this phase, the grantee will have to finalize the energy narrative (additionality included) in the enterprise, including post-implementation monitoring and verification to measure actual energy reduction and monetary savings, among other things. Accompanying compendium of the array of energy efficiency measures applicable to similar processing industry segments, complete with the potential impact of energy-smart Fish- and/or Agro-Processing Industry, and sources of as well as appropriate financing instruments and government incentives will form part of this phase.

The grant will be awarded in combination of technical assistance, research, training, and/or other inputs towards achievement of specific objectives that respond to expressed needs in and contributes to achievement of stated expected results in the Fish- and Agro-Processing Industries. Opportunities for leveraged funds, is preferred, which are expected to be higher from a private sector partnership specifically with local company/organizations (proponent Fish- and Agro-Processing entities, other organizations/companies). The leveraged funds are necessary specifically for the procurement of equipment or hardware allied to or forming part of the identified energy systems or sources that will not only optimize energy utilization but also improve the product quality.

Issuance of this RFA neither constitutes an award nor a commitment on the part of RTI or USAID to pay for costs or defray expenses incurred in the submission of the application. In addition, this RFA is not intended to replace any current or future funding agreements organizations may have with any government department/multilateral or bilateral agencies.

## 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 to two awards in either or both Fish- and Agro-Processing Industry
	Funding amount for each award (estimated maximum)	Up to PHP 25,000,000
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 ESP Activity seeks a qualified applicant to directly engage with either or both a Fish-and/or Agro-Processing Industry partner (classified Types 1 and 2 DEs) and relevant stakeholders (service and technology providers) to optimize facility-wide energy utilization through implementation of innovative energy systems which would lead to institutionalized sustainable energy management system in compliance to and aligned with the Energy Efficiency and Conservation Act or EEC Act (R.A. No. 11285) and its IRR, at the minimum. The innovative energy systems should eventually form part of the strategic thrust of the processing facility to improve the overall industrial energy performance, reduce energy utilization, hence greenhouse gases and raw material consumption, improve product quality and increase productivity. The program should likewise complement existing standards, e.g., ISO. Where feasible, the applicant should employ innovative and cutting-edge/international best practices and best of class energy efficiency and conservation interventions, and low-carbon/ green energy solutions, including hybrid energy (combination of conventional and renewable sources), that are best adapted to local energy resource conditions.

### 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**

With the passing of RA No. 11285<sup>3</sup> and its IRR, EEC - forming part of energy management program - will be institutionalized and will be a key element of the country's energy transition path towards low-carbon and green energy development. It will likewise contribute to the more secure and resilient Philippines.

## V. USAID ESP Activity 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,

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<sup>3</sup> Republic Act (R.A.) No. 11285 "An Act Institutionalizing Energy Efficiency and Conservation, Enhancing the Efficient Use of Energy, and Granting Incentives to Energy Efficiency and Conservation Projects", was signed into law on April 12, 2019. The Act, commonly known as Energy Efficiency and Conservation Act (EEC Act), and its Implementing Rules and Regulations (IRR), mandates establishments consuming more than 100,000kWh equivalent annually to submit energy utilization reports, inclusive of their respective energy management plans and programs, to the Department of Energy (DOE), the lead agency implementing the EEC Act.

- 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 Energy Systems in Fish- and Agro-Processing Industries Grant Program Objectives

Energy, both electricity and fuel, is an indispensable commodity in Fish- and Agro-Processing in order to produce the product while preserving the nutritional content, ensuring safety, extending the shelf life of the product, and hence, minimizing food waste. Broadly, the most energy intensive activities are drying, cooling, post-harvest and storage, food and beverage processing. According to R. Sims et al<sup>4</sup>, the total energy demand in the food processing industry can be around three times the direct energy consumed in the prior stage of the value chain. Energy is required for processes, such as heating, cooling, refrigeration, and electricity. This is not to mention the embedded energy in the packaging materials like the tin cans, bottles, and plastics. Processing, hence, offers an excellent entry point to introduce innovative energy systems as it is housed in a single facility or contiguous space, and that the impact is highly likely significant. In tropical countries like the Philippines, demand for refrigeration is rapidly increasing. Improving the EEC through the introduction of innovative energy systems comes to a fore with the rising cost of energy and ageing processing facility equipment, among others, to increase productivity and improve product quality. Oftentimes, EEC at the demand side is ignored but they should come first in the equation before even addressing the supply side.

This grant is targeting organizations/companies, as defined for in this request, which supports and achieve either or both grant themes below.

***Policy and technical research/studies.*** USAID through ESP seeks to establish energy sector knowledge and learning hubs at universities across the three main island groups (Luzon, Visayas, Mindanao), in order to conduct objective analysis of critical energy issues and recommend practical solutions on topics such as increasing the affordability of energy, optimal design of demand-side management (DSM) programs, expanding inclusivity and local energy access, and mitigating investment risks. The hubs will also be used as training platforms and will host dialogues on local issues.

***Innovative energy technologies, systems, or applications.*** Current energy innovations may be limited in scale and sustainability due to policy restrictions, limited financing, and lack of technology support. Through ESP's Energy Evolution Challenge, USAID seeks to support pilot approaches that can overcome constraints, scale up technologies, test innovations (e.g., financing models including results-based financing [RBF]), support US/GPH business partnerships, improve resilience, and/or are eligible for future US International Development Finance Corporation funding. Grants may be awarded to develop productive use

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<sup>4</sup> Sims, R., Flammini, A., Puri, M. and Bracco, S. (2015). FAO and USAID. "Opportunities for Agri-Food Chain to be Energy Smart."

of energy and off-grid systems; implement cybersecurity, resilience, and monitoring systems; or provide proof of concept for new approaches or technologies.

In order to achieve the Grant objectives, a successful grantee is expected perform the following:

- Assess and scan the environment within and beyond the enterprise and identify opportunities and issues that facilitate and accelerate as well as impede the EEC transformation. These include: (a) presenting a clear and robust plan to identify the Fish- and Agro-Processing Industrial facility representative of the same industrial segment in the country; (b) obtaining firm management commitment of the processing facility; (c) assessing the current level of energy use, and projected improvements in energy utilization; (d) evaluating the corresponding prioritized innovative energy interventions (both technical and non-technical; indexed against international best practices in similar sector, and including the striking of balance and right mix between energy supply and demand); (e) identifying means of implementing these interventions; and (f) doing performance monitoring and verification.
- Kick-off the transformation of the facility into an energy-smart processing facility by initially implementing at least one viable innovative energy system that will show quick wins. The transformation process should be supporting collaboration<sup>5</sup>, partnerships, gender inclusion, knowledge and technical/management expertise transfer which enable better and more professional decision-making, regulation, and innovation within the enterprise.
- Develop an energy management framework for the processing facility with menu of EEC measures, roadmap to replicate and scale up the innovative energy systems to similar industrial segments and quantify the impact of the proposed solutions, in terms of energy demand and energy reductions (and the attendant GHG reductions), energy intensity and indices, improvement in quality of products and services, among others. The grantee should be able to complement this phase of work with communications and marketing strategy and allied materials for dissemination, considering the local context and issues.

The Applicant, cognizant of the limitations as well as opportunities brought about by COVID-19 pandemic, will make use of innovative approaches to accomplishing the objectives.

Potential applicants are made aware that, if successful in their application, they will be expected to participate in the USAID ESP Activity's communication advocacy approach, monitoring and evaluation program, engagement tools with government partners (DOE and ERC, among others), reporting and capacity development activities.

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

Anticipated results for this grant may include, but are not limited to;

1. A robust energy management framework for processing segment Fish and Agro industry, considering the local context and the energy resource condition.
2. Monitoring and verification plan, to compare baseline energy consumption and allied inputs

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<sup>5</sup> A critical part of any successful transformation practice not excluding energy management is getting management buy-in and employees on board.



(raw materials including water) and product quality and quantity, and periodic targets up to end of grant period, as well as GHG emissions reduced/avoided.

3. Compendium of the Business Case of EEC innovations/interventions in the target segment which details the array of measures, ranging from no-cost, medium- to high-capital-investment, along with implementation arrangements including sourcing, financing, procurement; and expected returns as well as equivalent GHG emission reduction where appropriate.
4. Documentation of the EEC transformation exercise, from the identification of the potential enterprise, getting commitment and support from concerned stakeholders within and outside of the organization, conducting energy assessments, prioritizing projects, accessing/arranging financing, procurement, capacity building, experiences in implementing the innovation, etc.
5. Roadmap for the energy management transformation in Fish- and Agro-Processing Segment for replication and scaling-up throughout the country considering the local contexts and issues.
6. Environmental Management Plan focusing on compliance to existing laws and regulations in rolling out the EEC interventions in the processing segment, and proper disposal of obsolete equipment and/or wastes. Equally important is the management of environmental risks and mitigation of the same.
7. A policy brief highlighting what facilitates or hinders adoption and deployment of innovative energy (EEC) systems and what policy recommendations or other improvements in the enabling environment are needed to accelerate and scale-up the EEC transformation process considering that technology is evolving.
8. A comprehensive final Terminal Report.

Funded recipients will be expected to comply with USAID ESP Activity reporting requirements, including the reporting of grant activities, improvement in energy utilization and product/service quality, documentation of lessons learned, evidence that EEC/energy management has become an integral component of the enterprise's strategic pursuit for business excellence, projected deferment in capacity additions due to the reduction in demand, and equivalent GHG emission reduction. All projects will submit monthly and annual narrative and financial reports. Feedback will be provided to grantees on reports submitted.

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

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

USAID ESP Activity grant support may be extended to energy innovators, technology providers, enterprises, civil society organizations, community-based organizations, businesses, commercial establishments, academic institutions, and research institutions, that meet the following eligibility requirements:



- Demonstrated experience working in the energy industry in the Philippines
- 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
- Cost realism of the budget
- Past performance / proven track record

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)
- Political parties, groupings, or institutions or their subsidiaries and affiliates
- Any entity that will have conflict of interest by participating in the call for grants
- 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

- Activity 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 to eliminate 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 RTI International and USAID

#### **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 (TEC). 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 the processing segment of the target industry. 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, 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 the "track record," 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/energy-smart transition in the selected processing segment of the industry and whether the activity itself is sustainable, replicable and scalable (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. (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 12.*
4. *Applicants must complete only Part I (items 1-12) 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 local currency (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 or Peso 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 I:
  - 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 Applicatin.	
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 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



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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		Unit	Frequency	Unit	Level of Effort	USAID ESP		GRANTEE CONTRIBUTION		TOTAL
		PHP	Qty					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>												
<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>												
<b>iii. SUPPLIES &amp; EQUIPMENT</b>												
	1 Laptp 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>												
<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>												
<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											
	1 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>												
<b>TOTAL DIRECT COSTS</b>												