



Request for Application (RFA)

RFA Title: Understanding of Dynamics of Resurgent Authoritarian Influence at Cross-National or Global Levels
RFA Number: ATARI-01-2021
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The United States Agency for International Development (USAID) **Analytic Task on Authoritarian Resurgence and Influence (ATARI)** Activity implemented by Development Professionals Inc.-Making Cents International (DPI-MCI) is seeking grant applications from qualified entities to provide technical support as described in the Statement of Work in this document. DPI-MCI anticipates awarding up to two grants for the subject solicitation.

Grants under this RFA will be awarded and implemented in accordance with USAID and US Government regulations governing grants under contracts and DPI-MCI's internal grant management policies.

Issuance of this solicitation does not constitute an award commitment on the part of DPI-MCI, nor does it commit DPI-MCI to pay for any costs incurred in the preparation or submission of an application. DPI-MCI reserves the right to reject any and all applications, if such action is considered to be in the best interest of the contract.

This funding opportunity is posted on <https://makingcents.com/atari-grants-rfa> and may be amended. Potential applicants should regularly check the website to ensure they have the latest information pertaining to this RFA. If you have difficulty accessing this document, please contact the Grants Manager at grants@makingcents.com.

Any explanation desired by an applicant regarding the meaning or interpretation of this RFA must be requested in writing, in English, via grants@makingcents.com and must be submitted no later than the date and time specified in the Questions Due line stated above. This will allow sufficient time for a reply/amendment to reach all applicants before they submit their responses. Answers to all questions will be posted to <https://makingcents.com/atari-grants-rfa> by the date specified above. Any information that substantially changes the requirements of this RFA shall be released through the issuance of an amendment to the RFA. DPI-MCI may, at its own discretion, extend the deadline for the submission of applications.

DPI-MCI employees and employees of ATARI subcontractors may not ask for, and applicants are prohibited from offering, any money, fee, commission, credit, gift, gratuity, thing of value, or compensation to obtain or reward improper favorable treatment regarding this solicitation. Any improper request from an employee of DPI-MCI or an ATARI subcontractor should be reported to the Grants Manager via email at grants@makingcents.com.

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1. Project Description

A. Background

The purpose of the United States Agency for International Development (USAID) Analytic Task on Authoritarian Resurgence and Influence (ATARI) Activity is to support and inform the strategic planning, design, and implementation of democracy, human rights, and governance (DRG) programming to counter resurgent authoritarian influences (RAI). ATARI will develop and pilot a new diagnostic tool for assessing RAI in USAID partner countries and work collaboratively with interested USAID Missions and select stakeholders to formulate effective responses. As an interrelated component, ATARI will also synthesize the growing body of research and evidence on Chinese, Russian, and other authoritarian influence operations, identify knowledge and data gaps, and provide support through convening of and awarding grants to members of a growing community of researchers-practitioners.

The activity is implemented by Development Professionals, Inc.-Making Cents International (DPI-MCI) in collaboration with the National Opinion Research Center at the University of Chicago (NORC), TetraTech ARD, and FHI 360. The ATARI team delivers its assistance through the implementation of the following core project components/focus areas:

Task 1, Improving DRG Strategic and Programmatic Responses to RAI: This Task is subdivided into three sequential activities: developing an RAI diagnostic tool, piloting the RAI diagnostic tool, and developing and disseminating practitioner guidance.

Task 2, Systematically Collect, Generate, and Share Insights on RAI: This Task is subdivided into three interrelated activities: conducting a systematic review of existing research and data, awarding grants under contract to support research, and facilitating information and networking in a broader community of practice.

B. Objective

The objective of ATARI's grant program is to support projects that generate learning to fill in gaps of understanding related to dynamics of RAI at cross-national or global levels.

C. Detailed Program Description

ATARI seeks applicants that propose projects that respond to one of the two research topics outlined below. The activity anticipates awarding up to two grants, one for each of the two research topics outlined below; no grant will be less than USD50,000 or greater than USD250,000. Projects may take up to seven months to complete, and partial or preliminary results are required to be presented during the second half of June 2022 at a community of practice workshop.

Research Topic #1

What development responses to malign actors have been programmed through US foreign assistance funding, and to what effect?

As the efforts of malign actors to destabilize and harm democracies have intensified and expanded, US Government (USG) agencies, like USAID and the US Department of State, and private democracy promotion organizations like the National Endowment for Democracy partners have responded with innovative programming approaches in a context-driven and ad hoc fashion. USAID's DRG Center needs a more complete understanding of these programming responses, including:

- An inventory of possible programming responses to malign actions since 2015.

- A portfolio or repertoire that categorizes these programming responses, for example in terms of clusters of programming, DRG subsectors, and/or specific malign actors.
- An analysis of the nature, quantity, and quality of evidence that the programming responses have been effective in countering authoritarian malign action.

The successful applicant will have deep familiarity with the DRG strategies and programming of key USG and USG-funded democracy promotion actors; demonstrable experience researching reports, analyses, and other materials in those actors' publications and archives, as well as experience interviewing leaders and key experts of those actors; a clear understanding of applied research as practiced in both performance monitoring data and program evaluation; and fluency with relevant external data sources.

Research Topic #2

Develop a composite measure that captures multiple dimensions and aspects of malign actor behavior in other countries that potentially threaten democracy.

As researchers have focused on democratic backsliding and authoritarian learning, a growing body of data is being collected on "soft power" aspects of malign actor behavior. For example, new data sets capture infrastructure projects, cybersecurity tools, capital flows, professional training, academic exchanges, formal visits by high-level officials, and more. USAID's DRG Center needs a more complete understanding of trends and complexity as malign actors deepen relationships with other countries. The composite measure project would include:

- Conceptual justification for composite measure construction.
- Full explication of composite measure.
- List and description of key data resources, including update frequency.
- Dataset with composite measure calculations and source data.
- Data visualizations of trends for five countries with scores between 3-7 in V-Dem's Regimes of the World (ambiguous) indicator.
- Estimation of level of effort needed to update the dataset.

The successful applicant will have deep familiarity with datasets capturing various behaviors of the most prominent malign actors, demonstrable experience creating datasets from source materials and designing composite measures, demonstrable experience engaging with foreign assistance donors on DRG-related research projects, and proficiency in producing data visualizations and infographics for policy-oriented audiences.

D. Authority/Governing Regulations

ATARI grant awards are made under the authority of the US Foreign Affairs Act and USAID's Automated Directives System (ADS) 302.3.5.6, "Grants Under Contracts." Awards will adhere to the guidance provided in [ADS Chapter 303](#), "Grants and Cooperative Agreements to Non-Governmental Organizations," and the terms of the USAID [Standard Provisions for Fixed Amount Awards to Nongovernmental Organizations](#). ADS 303 references two additional regulatory documents issued by the US Government's Office of Management and Budget (OMB):

- 2 CFR 200 [Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#) (US applicants are subject to 2 CFR 200 in its entirety); and
- 2 CFR 700, [USAID Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#).

DPI-MCI is required to ensure that all organizations receiving USAID grant funds comply with the guidance found in the regulations referenced above, as applicable to the respective terms and conditions of their grant awards, as well as DPI-MCI grant procedures.

USAID retains the right at all times to terminate, in whole or in part, ATARI grant-making authorities.

2. Award Information

DPI-MCI anticipates awarding up to USD400,000 total through up to two individual fixed award amount grants. No grant will be less than USD50,000 or greater than USD250,000 under this solicitation (or local currency equivalent for non-US organizations). The final amount will be dependent upon grant activities and final negotiation.

The estimated start date of any grant awarded under this solicitation is February 25, 2022. The duration of any grant award under this solicitation is expected to be no more than seven months.

There is no cost-sharing requirement for these grants.

DPI-MCI reserves the right to fund any or none of the applications submitted.

3. Eligibility

This RFA is issued to ensure that all interested and qualified organizations have a fair opportunity to submit applications for funding. DPI-MCI will not accept applications from individuals. Foreign governments, state and local governments, and US Government departments and agencies may also not apply for funding under this RFA. All applicants must be legally recognized organizational entities under applicable law.

A. Types of Organizations Eligible

The following types of organizations may apply for funding under this RFA:

- US and non-US non-profit organizations,
- Institutions of higher education,
- Charitable or private foundations,
- Privately owned enterprises or firms, and
- Research or policy institutes.

B. Further Eligibility Criteria

1. Grants will only be made to the responsible applicants able to demonstrate that they:

- Are legally organized as one of the above types of organizations.
- Represent objectives that are consistent with the broad objectives of ATARI.
- Must have existing capacity to engage key stakeholders.
- Must have a proven track record in evidence-based research using qualitative and/or quantitative data relevant to ATARI's objectives.
- Display sound management in the form of financial, administrative, and technical policies and procedures and present a system of internal controls that safeguard assets; protect against fraud, waste, and abuse; and support the achievement of program goals and objectives. DPI-MCI will assess this capability prior to awarding a grant.

- Are in good standing with all civil and fiscal authorities (e.g., not declared insolvent).
 - Possess financial accountability and maintain detailed records of all expenses.
 - Will not charge a fee or receive profit under the grant agreement.
 - Are willing to sign applicable assurances, statements, and certifications prior to receiving a grant, including:
 - Certification Regarding Terrorist Financing (Required for all grantees),
 - Certification of Recipient (Required for all grantees),
 - Certification Regarding Lobbying (Required for all grantees), and
 - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs (Required for all grants where any part of the proposed program will be undertaken in the US).
 - Do not appear on any of the following:
 - "Lists of Parties Excluded from Federal Procurement and Non-procurement Programs" available at <https://sam.gov/content/exclusions>.
 - List of Specially Designated Nationals and Blocked Persons, maintained by the US Department of Treasury's Office of Foreign Assets Control (OFAC) available at <https://home.treasury.gov/policy-issues/financial-sanctions/specially-designated-nationals-and-blocked-persons-list-sdn-human-readable-lists>.
 - List compiled by the United Nations Security Sanctions Committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") available at <https://scsanctions.un.org/search/>.
2. DPI-MCI will work with the successful grantees to draft a branding strategy and marketing plan which will be annexed to the grant agreement.
 3. All USAID grantees must secure a unique entity identifier (UEI) and must register in SAM, the System for Award Management. SAM is the US Government's portal for managing the processes for contracts, grants, and cooperative agreements. Information about registration procedures may be found at www.sam.gov. Organizations may submit applications under this RFA without SAM registration. However, the apparently successful applicant will be required to register and must submit evidence of registration to DPI-MCI prior to grant award. Therefore, applicants are encouraged to register with SAM early so that, if selected, award will not be delayed. Note that SAM registration is free to all.
 4. To make a responsibility determination of financial and management capacity, shortlisted applicants will be further requested to submit the following:
 - a. Audited Financial Reports: Copies of the applicant's financial reports for the previous three (3) year period, which have been audited by a certified public accountant or other auditor acceptable to DPI-MCI. In the event audited financial reports are not available, other documentation regarding the applicant's financial viability and capability shall be provided, for example, income statements and balance sheets.
 - b. Certificate of Incorporation/Association.
 - c. Cash flow statements.
 - d. Organizational chart.
 - e. Copies of the applicant's accounting and operational policies/manuals (if available).
 - f. Documentation that the applicant has the ability to comply work under the grant award conditions.

C. Ineligible Organizations

Ineligible organizations include:

- Private enterprises and firms that propose fees.
- Private foundations established for estate managing purposes.
- ATARI implementers to prevent any potential conflict of interest.
- Government entities or officers.
- Political parties, groupings, or institutions or their subsidiaries and affiliates.
- Organizations that advocate, espouse, or promote anti-democratic policies or illegal activities.
- Faith-based organizations whose objectives are for discriminatory and religious purposes, and whose main objective of the grant is of a religious nature.
- Any entity whose name appears on the List of Parties Excluded from Federal Procurement and Non-procurement Programs.

4. Application and Submission Instructions

A. Grant Application

Instructions and templates for the full application are provided in Annexes A-D. Applicants shall present their technical application and budget with accompanying notes in the formats provided and shall follow the instructions and guidelines listed in these annexes.

Applicants must propose activities related to one of the two research topics in the RFA's Program Description, introducing innovations that are appropriate to their organizational strengths. Applications should be kept as concise and succinct as possible. Detailed information should be presented only when required by specific RFA instructions and be appropriately organized and referenced. Applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and adherence to application format. Applications not conforming to this RFA may be categorized as non-responsive, thereby eliminating them from further consideration.

Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration. The applicant should retain for its records a copy of the application and all enclosures that accompany their application.

All grant activity costs must be within the normal operating practices of the applicant and in accordance with its written policies and procedures. For applicants without an audited indirect cost rate, the budget may include direct costs that will be incurred by the applicant to provide identifiable administrative and management costs that can be directly attributable to supporting the grant objective.

The application must be signed by an authorized agent of the applicant.

Applicants that submit full applications that meet or exceed the merit review criteria will be notified of next steps in the application process.

B. Ineligible Activities and Expenses

ATARI grant funds may not be utilized for the following:

- Any purchases that are not necessary to execute the grant activity, including any grantee headquarter expenses that are not directly linked to the implementation of the proposed project.

- Profit or fee.
- Alcoholic beverages.
- International airfare unless the applicable Standard Provision is included in the grant agreement or when airfare is provided as in-kind grant.
- Items having a value of USD5,000 or more.
- Fines, penalties, previous obligations, or bad debt.
- Activities that contribute to the destruction, deterioration, or the degradation of natural resources, and/or environment.
- Illegal activities as defined by the host country and/or USAID.
- Subsidies to organizations that are not legally recognized.
- Ceremonies, celebrations, parties, gifts, or gratuities.
- Purchases of prohibited goods such as military equipment, police equipment, commodities, and services for support of police and other law enforcement activities, surveillance equipment, abortion equipment and services, luxury goods, gambling equipment, climate/weather modification equipment.
- Purchase of restricted goods such as agricultural products, pesticides, fertilizer, motor vehicles, pharmaceutical and contraceptive items, used equipment, US Government-owned excess property, and surplus equipment.

C. Responsibility Determination

All applicants are subject to a pre-award risk assessment conducted by DPI-MCI to ascertain whether the organization has the minimum management capabilities required to handle US government funds. The recommendation or selection of an applicant with established procedures does not guarantee an award. To assist in making this determination, finalists will be required to complete a financial capability questionnaire which consists of the applicant's recent audited financial statements, projected budget, cash flow, organization chart, and applicable policies and procedures.

An award shall be made only when DPI-MCI makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by DPI-MCI.

D. Application Submission

Interested applicants who meet the eligibility criteria as listed in Section 3 should prepare and submit an application, in English, using the template and instructions in Annex A. Applicants should submit the full application to the Point of Contact listed in Section 4.E below.

Applicants should submit to the Point of Contact the following materials as a **PDF** package (AND in the **additional format** where indicated below):

- A. Signed Cover, Organization, and Program Information, of Annex A;
- B. Annex A, Application, in **Microsoft Word**;
- C. The CVs of program personnel as indicated in Section III of Annex A;
- D. A budget, using Annex B as the template in **Microsoft Excel**;
- E. An implementation plan, using Annex C as the template;
- F. Signed and dated Required Certifications (Annex D);
- G. A copy of the applicant's latest audited financial statements (or NICRA, if applicable); and
- H. A copy of the applicant's valid legal registration.

This RFA will remain open until January 14, 2022 5:00 p.m. EST. Applications must reach the designated Point of Contact (grants@makingcents.com) on or before the above-mentioned deadline. Applications received after the closure date/time above will not be considered.

DPI-MCI will record the date formal grant applications are received, the name of the organization, and the signature of the organization’s representative who is delivering the proposal.

E. Point of Contact

It is anticipated that this RFA, including any references/hyperlinks/attachments set forth herein, contains everything that a potential applicant will need to apply. However, if additional information is needed, a potential applicant may communicate with the following Point of Contact:

Grants Manager
 +1 (202) 783-4090 (tel)
grants@makingcents.com

5. Application Evaluation

Full applications will be evaluated by a Grant Evaluation Committee against the review criteria below. These criteria will serve as the basis upon which the application will be evaluated. Selection will be based on evaluation of the applicant’s technical proposal and approach and the applying organization’s capacity to satisfactorily manage and implement the proposed grant program. Cost and other factors will be considered, and award will be made only if the application is determined to be technically acceptable and cost reasonable.

Category	Description	Points
1. Strategic Fit	<ul style="list-style-type: none"> Contribution toward the project objectives 	25
2. Technical Approach	<ul style="list-style-type: none"> A clear and practical relationship between the defined problem and the solution proposed Goals clearly outlined Innovative technical approach Clearly defined and realistic implementation plan Clear division of labor and supervisory responsibilities Potential obstacles identified and solutions addressed 	30
3. Personnel	<ul style="list-style-type: none"> Project leaders have relevant experience with similarly complex projects Relevance of staff technical skills to the proposed program Tasks and subtasks assigned to appropriate skill levels Supervisory personnel have relevant research project management experience 	20
4. Organizational Capabilities	<ul style="list-style-type: none"> Past performance on similar projects Soundness of accounting and procurement practices Capacity to adhere to USAID financial guidelines 	15
5. Cost Effectiveness	<ul style="list-style-type: none"> Cost realism Completeness 	10
TOTAL POINTS		100

6. Further information regarding RFA

DPI-MCI reserves the right to change or cancel this RFA or any of its requirements at any time during the RFA process; such actions by DPI-MCI will either be posted publicly or directly communicated to all applicants, as appropriate.

The preparation of all materials for submission against this RFA to DPI-MCI will be at the applicant's sole cost and expense, and neither DPI-MCI nor USAID shall, under any circumstances, be responsible for any pre-award cost or expense incurred by the applicant nor shall DPI-MCI or USAID be liable for any anticipated outcome from the submission of an application in response to this solicitation. All documentation and/or materials submitted with the application shall become and remain the property of ATARI.

7. Award and Administration Information

All grants to US organizations will be negotiated, denominated, and funded in US dollars. All grants to non-US organizations will be negotiated, denominated, and funded in the local currency of the applicant and will specify the applicable US dollar equivalent.

All costs funded by the grant must be allowable, allocable, and reasonable. In no instance will total disbursements made under the grant agreement exceed the applicable US dollar equivalent specified in the grant agreement.

Grant applications must be supported by a detailed and realistic budget as described in Section 4. DPI-MCI reserves the right to conduct financial reviews or audits to ensure the adequate accountability of applicants expending grant funds.

Grantees will be required to report on a schedule agreed-to during the negotiation phase with reporting aligned with grant deliverables and/or calendar quarters depending on the grant structure.

DPI-MCI reserves the right to make an award based on initial submission without discussion; hence, applications should be initially submitted with the most favorable terms from a technical and budget perspective. However, DPI-MCI reserves the right to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Issuance of this RFA and assistance with application development do not constitute an award or commitment on the part of DPI-MCI, nor does it commit DPI-MCI to pay for costs incurred in the preparation and submission of an application. Further, DPI-MCI reserves the right to accept or reject any or all applications received. Applicants will be informed in writing of the decision made regarding their application.

Cover: Organization and Program Information

1. Title of the proposed grant activity (Descriptive, precise, and brief):
2. Name of Organization:
3. Legal Name (If different from that listed above):
4. Type of Organization: [*select*: US entity / non-US entity] operating as a: [*select*: corporation incorporated under the laws of [select: the State of ENTER or the country of ENTER]; a partnership; a nongovernmental nonprofit organization; a state or local governmental organization; a private college or university; a public college or university; an international organization; a joint venture]
5. Tax Identification Number:
6. Unique Entity identifier (UEI) and/or DUNS: [leave blank if your organization has not completed its registration in SAM.gov]

7. Organization contact information:

Name of representative:	
Title of representative:	
Mailing address:	
Mobile:	
Office phone:	
Email:	
Website:	

8. Grant Amount:

Amount requested from ATARI:	[list in local currency]	[list in US dollars]
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Note: All applications must be supported by the attached Annex B, Grant Budget template and accompanying budget notes. The budget shall be prepared in local currency and US dollar equivalent.

The application must be signed by an authorized agent of the applicant.

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

Submitted by: [Name, Title]

Signature

Date

Instructions:

Sections 1-4 of the application may not exceed ten [10] pages total. Page maximums per section are indicated below. All sections must be included in the application, including Annexes.

All applications must be submitted in English.

Font must be Calibri 11 point, 1" margins on all sides, and in 8.5" by 11" paper/page size.

Section I. Executive Summary (maximum one [1] page)

1. Describe the goal of the proposed grant activity, how it relates to the relevant research topic, and how it contributes to the topic objective and ATARI objectives.
2. Provide an overview of your technical approach, program leadership, and implementation plan.
3. Provide an overview of your organization's capabilities to undertake this research.
4. Provide an overview of requested funding, including percentages by major budget category.

Section II. Technical Approach and Personnel (Maximum seven [7] pages)

1. Describe the proposed activity and expected results in detail. Describe the main tasks that are proposed under the activity as identified in the research topic description, the expected results to be achieved, and how the tasks are linked to the grant objective and the needs detailed in the research topic description. This activity detail should keep in mind the evaluation criteria contained in the RFA.
2. Provide an overview of the implementation plan detailed in Section III and Annex C. Include anticipated amount of time it will take to achieve project outputs. The progress towards the achievement of these results may be considered to be a progress indicator of the project.
3. Describe the relevant technical qualifications of the program leader(s) (principal investigators). Describe briefly the technical qualifications of other program staff.

Section III. Implementation Plan (Maximum two [2] pages)

1. Supply a basic organizational chart for the grant activity proposed.
2. Provide a coherent discussion of tasks and key subtasks, including relevant timeframes. Connect tasks and subtasks from the implementation plan to program staff.
3. Identify supervisory roles by program leader(s) and their project management experience.
4. Three-page maximum CVs are required for all program personnel who will undertake research, oversight, and quality control.

All implementation plans must be supported by Annex C, which lists all identified tasks over the duration of the activity.

Section IV. Organizational Experience and Capacity (Maximum one [1] page)

Describe the organization's experience implementing similar activities.

ANNEX C: IMPLEMENTATION PLAN

Relabel the columns in the Timeline section below with the appropriate half-month start and end. For example, if your proposed start date is 15 February 2022, relabel column 1a with “2/22a” for the first half of February, column 1b with “2/22b” for the second half of February, column 1c as “3/22a” for the first half of March, etc. to represent the half-months of 1-15 February 2022, 16-28 February 2022, 1-15 March 2022, etc.

Place an X in the appropriate box below to indicate the first and last half-month of the corresponding task. Place “DRG” in the column where the USAID Conference (anticipated for the second half of June 2022) will be included in the implementation plan.

Task List each task. Please be as specific as possible. Use additional pages if necessary.	Grant Resources Required and Detailed Explanation of Use	Bi-Monthly Timeline														Person(s) Responsible Who is responsible for overseeing and implementing the task?	Milestones How will you measure the success of the task?	
		1a	1b	2a	2b	3a	3b	4a	4b	5a	5b	6a	6b	7a	7b			

ANNEX D: REQUIRED CERTIFICATIONS AND ASSURANCES

D1 – Certification Regarding Terrorist Financing, Implementing Executive Order 13224

D2 – Assurance of Compliance with Laws and Regulations Governing Non- Discrimination in Federally Assisted Programs

D3 – Certification Regarding Lobbying

D4 –Certification on Compliance with National Defense Authorization Act (NDAA) - NDAA 889-Representation-Form-with-Clauses

D5 – Certification of Recipient

D1 - Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3. The Certification in the preceding sentence will not be deemed applicable to material support or resources provided by the Recipient pursuant to an authorization contained in one or more applicable licenses issued by the US Treasury's Office of Foreign Assets Control (OFAC).
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by OFAC and is available online at OFAC's website: <https://home.treasury.gov/policy-issues/financial-sanctions/specially-designated-nationals-and-blocked-persons-list-sdn-human-readable-lists>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <https://scsanctions.un.org/search/>
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
 - (i) "Training" means instruction or teaching designed to impart a specific skill, as opposed to general knowledge.
 - (ii) "Expert advice or assistance" means advice or assistance derived from scientific, technical, or other specialized knowledge
 - b. "Terrorist act" means-
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

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

- c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
- e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

Signature _____

Name, Title _____

Organization _____

Date _____

D2 - Assurance of Compliance with Laws and Regulations Governing Non- Discrimination in Federally Assisted Programs

Note: This certification applies to all organizations that propose any part of the grant program will be undertaken in the United States.

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

- (a) The recipient hereby assures that no person in the United States will, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:
 - (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000- d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
 - (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
 - (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
 - (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
 - (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.
- (b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and must be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

Signature _____

Name, Title _____

Organization _____

Date _____

D3 - Certification Regarding Lobbying

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned must complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned must require that the language of this certification be included in the award documents for all subawards at all tiers (including contracts, subawards, and contracts under grants, loans, and cooperative agreements) and that all subrecipients must certify and disclose accordingly.

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

Statement for Loan Guarantees and Loan Insurance

"The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement will be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure."

Signature _____

Name, Title _____

Organization _____

Date _____

D4 – Certification on Compliance with the National Defense Authorization Act (NDAA)

I _____, certify that

(First and Last name, type or print)

I am the _____, of

(Official Title, type or print)

Organization:

(Organization Legal Name, Address, City, Postal Code, Country, type or print)

I completed enclosed 52.204-24 and 52.204-26 representations and certifications related to NDAA Act accurately up to my best knowledge.

By signing this form, I certify that misleading or inaccurate information represents violation of False Claims Act and may result to immediate cancellation or termination of current or future contract with the U.S. Government.

Signature

Date (MM/DD/YYYY)

Note:

Read the information below closely and follow the instructions in the first paragraph regarding which certifications the applicant should complete based on its proposed grant activities.

Items which the applicant may need to complete, based on its reading of the instructions and its proposed grant activities, are highlighted in yellow solely to ensure that the applicant does not overlook which sections may need to be completed.

52.204-24 Representation Regarding Certain Telecommunications and Video Surveillance Services or Equipment. (Oct 2020)

The Offeror shall not complete the representation at paragraph (d)(1) of this provision if the Offeror has represented that it "does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument" in paragraph (c)(1) in the provision at [52.204-26](#), Covered Telecommunications Equipment or Services—Representation, or in paragraph (v)(2)(i) of the provision at [52.212-3](#), Offeror Representations and Certifications-Commercial Items. The Offeror shall not complete the representation in paragraph (d)(2) of this provision if the Offeror has represented that it "does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services" in paragraph (c)(2) of the provision at [52.204-26](#), or in paragraph (v)(2)(ii) of the provision at [52.212-3](#).

(a) *Definitions.* As used in this provision—

Backhaul, covered telecommunications equipment or services, critical technology, interconnection arrangements, reasonable inquiry, roaming, and substantial or essential component have the meanings provided in the clause [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.

(b) *Prohibition.*

(1) Section 889(a)(1)(A) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2019, from procuring or obtaining, or extending or renewing a contract to procure or obtain, any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(2) Section 889(a)(1)(B) of the John S. McCain National Defense Authorization Act for Fiscal Year 2019 (Pub. L. 115-232) prohibits the head of an executive agency on or after August 13, 2020, from entering into a contract or extending or renewing a contract with an entity that uses any equipment, system, or service that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system. This prohibition applies to the use of covered telecommunications equipment or services, regardless of whether that use is in performance of work under a Federal contract. Nothing in the prohibition shall be construed to—

(i) Prohibit the head of an executive agency from procuring with an entity to provide a service that connects to the facilities of a third-party, such as backhaul, roaming, or interconnection arrangements; or

(ii) Cover telecommunications equipment that cannot route or redirect user data traffic or cannot permit visibility into any user data or packets that such equipment transmits or otherwise handles.

(c) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".

(d) *Representation.* The Offeror represents that—

(1) It will, will not provide covered telecommunications equipment or services to the Government in the performance of any contract, subcontract or other contractual instrument resulting from this solicitation. The Offeror shall provide the additional disclosure information required at paragraph (e)(1) of this section if the Offeror responds "will" in paragraph (d)(1) of this section; and

(2) After conducting a reasonable inquiry, for purposes of this representation, the Offeror represents that—

It does, does not use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services. The Offeror shall provide the additional disclosure information required at paragraph (e)(2) of this section if the Offeror responds "does" in paragraph (d)(2) of this section.

(e) *Disclosures.*

(1) Disclosure for the representation in paragraph (d)(1) of this provision. If the Offeror has responded "will" in the representation in paragraph (d)(1) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

- (A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a distributor, if known);
 - (B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and
 - (C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.
- (ii) For covered services—
- (A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or
 - (B) If not associated with maintenance, the Product Service Code (PSC) of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(1) of this provision.
- (2) Disclosure for the representation in paragraph (d)(2) of this provision. If the Offeror has responded "does" in the representation in paragraph (d)(2) of this provision, the Offeror shall provide the following information as part of the offer:
- (i) For covered equipment—
- (A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known);
 - (B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and
 - (C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.
- (ii) For covered services—
- (A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or
 - (B) If not associated with maintenance, the PSC of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (b)(2) of this provision.
- (End of provision)

52.204-26 Covered Telecommunications Equipment or Services-Representation. (Oct 2020)

- (a) *Definitions.* As used in this provision, "covered telecommunications equipment or services" and "reasonable inquiry" have the meaning provided in the clause [52.204-25](#), Prohibition on Contracting for Certain Telecommunications and Video Surveillance Services or Equipment.
- (b) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".
- (c)
- (1) *Representation.* The Offeror represents that it does, does not provide covered telecommunications equipment or services as a part of its offered products or services to the Government in the performance of any contract, subcontract, or other contractual instrument.
 - (2) After conducting a reasonable inquiry for purposes of this representation, the offeror represents that it does, does not use covered telecommunications equipment or services, or any equipment, system, or service that uses covered telecommunications equipment or services.

(End of provision)

D5 - Certification of Recipient

To: DPI-MCI

I, _____ (Name), _____ (Title), as a legally authorized representative of _____ (Organization Name) do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel, indirect costs, and procurement under this agreement and I further certify that the organization is in compliance with those requirements and other applicable U.S. laws and regulations.

I, we, understand that a false, or intentionally misleading certification could be the cause for possible actions ranging from being found not responsible for this award, termination of award, or suspension or debarment of this organization in accordance with the ADS 303 Standard Provision for Non-US Nongovernmental Organizations (for in-kind, standard, and simplified grants) entitled "Award Termination and Suspension" and the ADS 303 Standard Provision for Fixed Award Amount Grants to Nongovernmental Organizations entitled "Debarment and Suspension."

I, we, further agree that by signing below, we provide certification and assurance for the following:

- (1) Certification Regarding Terrorist Financing - Implementing Executive Order 13224
- (2) Certification Regarding Lobbying and Statement for Loan Guarantees and Loan Insurance
- (3) Certification on Compliance with National Defense Authorization Act (NDAA) - NDAA 889-Representation-Form-with-Clauses

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

I declare under penalty of perjury that the foregoing is true and correct.

Signature _____

Name, Title _____

Organization _____

Date _____