

SECTION A - PROGRAM DESCRIPTION

Defending Human Rights in Partnership with Civil Society (*DIGNITY*).

The United States Agency for International Development (USAID) /Sri Lanka is soliciting applications under a new program: Defending Human Rights in Partnership with Civil Society. This solicitation intends to support critical national civil society organizations engaged in the promotion and protection of human rights.

A.1 INTRODUCTION

USAID/Sri Lanka is implementing an integrated conflict response strategy to address the root causes of the conflict in Sri Lanka. The Mission's program supports humanitarian, peace building, democracy and governance, as well as economic growth strategies to address the most deleterious symptoms of the conflict in Sri Lanka. As part of the US government's integrated strategy, USAID has established a fund to support organizations that will protect and promote human rights.

A.2 BACKGROUND

Three months after the end of the 25-year-long conflict with the Liberation Tigers of Tamil Eelam (LTTE), the Government of Sri Lanka (GSL) continues to detain more than 280,000 people, almost all of them Tamils displaced by the fighting, in what the GSL describes as 'welfare camps'. These Sri Lankan citizens remain in the camps with no freedom of movement, and access to the camps by humanitarian organizations, the media, and independent monitors is severely restricted.

Despite the end of the military campaign against the LTTE, there are widespread concerns about the continuing failure to respect human rights standards in Sri Lanka, and coupled with an inability to investigate and prosecute human rights offenders, these factors continue to undermine the legitimacy of post-conflict development in Sri Lanka. The targeting of human rights defenders, journalists and civil society staff silences an important voice and limits access to information and services for vulnerable groups and minorities.

The purpose of this APS is to support a strategy that "holds the line" against the further weakening of civil society, and particularly of those groups that play a critical role in defending human rights and democratic norms. The APS seeks to preserve space and capacity more than to build new capacities. Many civil society groups critical to protection and promotion of human rights in Sri Lanka are struggling to keep up with the tremendous pressures posed by the end of the conflict. Some pressures are relatively mundane but burdensome, such as the government's increasing reporting requirements, and others are much more dangerous.

A.2.1 Defending Human Rights in Partnership with Civil Society.

Through this APS, USAID intends to provide financial support for:

- 1) Institutional strengthening for qualified civil society organizations (defined below) to support ongoing programs, and
- 2) Innovative activities to protect and promote human rights issues.

The goal of these grants will be to a) strengthen civil society organizations to ensure that they continue to perform their mandates in as efficient a manner as possible; and b) pilot innovative activities that serve as catalysts for future programs.

For the purposes of this APS, the term “qualified civil society organization” means national NGOs that currently implement programs in one or more of the following areas:

- (a) Provide of legal information and services targeting vulnerable groups;
- (b) Support advocacy on human rights issues in Sri Lanka;
- (c) Conduct and disseminate research on human rights, constitutional reform, and political processes in Sri Lanka.
- (d) Support advocacy to combat corruption and promote transparency and good governance in public institutions;
- (e) Initiate public interest litigation on critical human rights issues; and
- (f) Provide technical assistance and training to enhance the physical safety of staff, protection of client records, and communications/IT security for human rights organizations.

Expected Results and Indicators:

Through this program, USAID expects to support civil society partners that are implementing programs that have measurable results, and build long-term capacity to continue the initiatives into the future. Each grantee will establish its own set of outcome indicators and benchmarks, but likely indicators may include:

1. Increased access to legal services by victims of human rights violations
2. Increased advocacy on key human rights issues;
3. Improved institutional capacity to support human rights programming through research, and information dissemination
4. Increased use of internationally accepted best practices, and technologies adopted into human rights programming

Each activity/agreement will establish its own set of outputs but at a minimum may include one or more of the following indicators:

1. # of vulnerable citizens who receive support services through USG supported activities.
2. # of public advocacy campaigns on human rights supported by USG
3. # of individuals/groups who received legal aid or victim's assistance with USG support
4. # of justice sector personnel that received USG training

A.3 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under the resultant agreement(s) is contract is 935.

A.4 AVAILABILITY OF FUNDS

USAID intends to fund a series of grants ranging between US\$100,000 – US\$200,000 per grant. Proposals submitted in response to this APS should not exceed the total budget specified above and proposals with budgets exceeding this range will not be considered by the Technical Evaluation Committee. USAID reserves the right to fund a portion of any proposal submitted in response to this APS.

A.5 PERIOD OF AWARD

The anticipated period of performance is 12-18 months from approximately December 2009.

A.6 PLACE OF PERFORMANCE

Place of performance for this award is Sri Lanka.

A.7 EXECUTIVE ORDER ON TERRORISM FINANCING (FEB 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the responsibility of the contractor/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all sub-awards issued under this APS.

A.8 FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JAN 2002)

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" or as approved by the USAID Sri Lanka Agreement Officer.

A.9 ADDITIONAL CLAUSES

USAID's Implementing Partner Notices (IPNs) are a part of this solicitation and will be made a part of the award document. IPNs may be obtained from the USAID/ India website at: http://www.usaid.gov/in/working_with_us/ipnt.htm.

A.10 MARKING UNDER ASSISTANCE INSTRUMENTS

Branding and marking under this Cooperative Agreement will be carried out in accordance with AAPD 05-11 http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf.

A.11 USAID DISABILITY POLICY (DEC 2004)

- (a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

http://www.usaid.gov/about_usaid/disability/.

- (b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

A.12 APPLICABILITY OF 22 CFR PART 226 (May 2005)

- (a) For any sub-awards made with Non-US sub-Recipients the grant shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with sub-Recipient monitoring procedures in accordance with OMB Circular A-133.

A.13 APPLICABLE REGULATIONS AND REFERENCES

Standard Provisions will be provided in full text, as applicable, in the resultant agreement.

- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226 USAID Assistance Regulations
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

- 22 CFR 228 USAID Source, Origin, Nationality Regulations
http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html
- ADS Series 303 Acquisition and Assistance
<http://www.usaid.gov/policy/ads/300/303.pdf>
- SF 424, SF 424A, SF 424B
http://www07.grants.gov/agencies/approved_standard_forms.jsp or
- <http://www.grants.gov/techlib/SF424-V2.0.pdf>
- <http://www.grants.gov/techlib/SF424A-V1.0.pdf>

SECTION B – APPLICATION PREPARATION GUIDELINES

B.1. GENERAL INFORMATION

USAID/Sri Lanka is responsible for management of the award process.

B.2. APPLICATION INSTRUCTIONS

This section provides the instructions and submission procedures for the applications. Please read the entire APS. Respond as appropriate including attachments as necessary.

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical and cost applications should be submitted electronically to snavaratne@usaid.gov with a copy to aosrilanka@usaid.gov.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- a. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this APS are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- b. Acknowledgement of Amendments to the APS shall be submitted together with the application.
- c. Applicants are expected to review, understand, and comply with all aspects of this APS including attachments. Failure to do so will be at the applicant's risk.

- d. Each applicant shall furnish the information required by this APS. The applicant shall sign the application and print or type the name and title clearly on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority.
- e. Applicants must ensure that all the certifications are completed and signed (See Section D of the APS). In the submissions, the applicants must include as necessary any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility in accordance with ADS E303.3.9 at the following website: <http://www.usaid.gov/policy/ads/300/303.pdf>
- f. Applicants who include data they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
 1. Mark the title page with the following legend:
"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a Cooperative Agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Cooperative Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction.
 2. Mark each sheet of data it wishes to restrict with the following legend:
"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this APS must request it in writing by the date specified on the cover letter of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant Agreement will not be binding. Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment of this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

Faxed applications will not be considered.

B.3 - GENERAL APPLICATION INSTRUCTIONS

Applications should be kept as succinct as possible. Detailed information should be presented only when required by specific APS instructions and should be appropriately organized and referenced. Applications received by the deadline will be reviewed for responsiveness to the requirements set forth in this APS.

As detailed further below, the application (comprised of the technical and budget sections) is limited to twelve (12) pages plus specified attachments. Any additional information will not be provided to the technical evaluation committees. Applications must be written in English. Applications should use single-spaced pages with each page consecutively numbered, and use a font not any smaller than Times New Roman Font 12 typeset.

Applications shall be submitted electronically, by the application deadline, via email attachment using Word 97 or newer and/or Excel 97 or newer. **Do not submit electronic copies in .zip format.** The application must consist of two (2) electronic files, labeled “TECHNICAL-APS 383-09-505” and “BUDGET-APS-383-09-505.” Printed hardcopies are not requested nor required by the closing time and due date. Applications submitted in hardcopy will not be reviewed.

Should the applicant organization be successful, hardcopies and/or supplemental information with live signatures may be requested thereafter by the Agreement Officer. This APS is the official source document for your application. Applicants should retain for their records a copy of the application and all attachments/enclosures which accompany their application. USAID will only consider applications conforming to the prescribed format.

B. SPECIFIC APPLICATION INSTRUCTIONS

B.1. - TECHNICAL ELECTRONIC FILE: NOT TO EXCEED 12 PAGES PLUS SPECIFIED ATTACHMENTS, INCLUSIVE OF THE FOLLOWING:

(a) Cover Page (separate page, not more than one (1) page): The Cover Page must include the solicitation number 383-09-505, names of the organizations involved, and title of the application. In addition, the Cover Page should provide a contact person for the primary applicant, including the individual’s name, title or position with the organization/institution, mailing address, email address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, and, if not, the contact information for the appropriate person with authority to negotiate should also be listed.

(b) Executive Summary (separate page, not more than one (1) page): The Executive Summary must summarize the key elements of the applicant’s Technical File, including, but not limited to, the Technical Narrative (see next section), and provide NO COST FIGURES other than the total amount of USAID funds requested.

(c). Technical Narrative (not more than twelve (10) pages excluding any attachment pages as specified within this APS):

The technical narrative will be evaluated in accordance with the Evaluation Criteria set forth below. The application must clearly describe the applicant’s institutional strategy and core programming, with references to the program areas listed in **Section III. A: Program Scope and Objectives, (a) – (f).** **The applicant’s assertion, that they are a “Qualified NGO”** will be determined by their description of their core programs. In accordance with the intent of this APS, the applicants must have an explicit human rights mandate, and face threats and challenges in the implementation of their programs.

The Technical Narrative should also include the following:

Organizational and Team Capabilities including personnel and staffing

Illustrative Work Plan (must be included as Attachment 1 of the (application)).

Past Performance References: For purposes of past performance evaluation, applicants shall furnish award numbers and other details with contact information, for three (3) projects funded over the past three (3) years by USAID, or any other bilateral donor. The details shall include the following: name of the organization or agency which funded the program(s); award number; point of contact's name, email address and phone number; and the overall dollar value of the program.

B.2. - BUDGET (COST) ELECTRONIC FILE – NOT TO EXCEED 3 PAGES PLUS SPECIFIED ATTACHMENTS, INCLUSIVE OF THE FOLLOWING:

(a) A Budget Narrative which provides in detail the total costs for implementation of the proposed program for the full program period of up to 18 months. The budget should clearly show how funds will be used to support the activities proposed in the application's Technical Narrative. The budget should display unit costs (if applicable) and costs by year and should include sub-budgets for each component. Suggested line items include, but are not limited to, the following: personnel, fringe benefits, office rent, utilities, equipment, communications, and local travel. The Budget Narrative must explain all costs –and the basis of those costs – contained in the budget.

(b) Branding Strategy and Marking Plan: Each application must include a plug figure of \$5,000 in the Application Budget for USAID's Branding Strategy and Marking Plan requirements pursuant to USAID's Acquisition and Assistance Policy Directive 05-11, available at:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf.

Should your application be recommended for award under this APS, the USAID Mission Agreement Officer will request your organization to submit the following:

(1) A Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged; and,

(2) A Marking Plan that will detail the public communications, commodities, and program materials intended to visibly bear the USAID identity together with a negotiable budget for each. Once submitted, the Branding Strategy and Marking Plan and their costs, must be negotiated and approved by the USAID Mission Agreement Officer prior to award. For further information on Marking Under Assistance Instruments visit:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf.

B.3 - USAID RESPONSIBILITIES

Examples of USAID responsibilities are as follows. The Agreement Officer, or as specifically delegated, the Agreement Officer's Technical representative (AOTR) might provide:

- a) Collaboration in establishing annual work objectives and approval of an annual work plan.
- b) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- c) Collaboration in determining corrective actions, where necessary.

B.4 - GRANTEE'S RESPONSIBILITIES

The Grantee of the program will operate in accordance with the terms and conditions of the grant. USAID requires that the Grantee to have satisfactory administrative systems operational at the time of the award. Program activities should commence no later than 30 days after notification of award. Implementing partner will be responsible for all aspects of the program. The implementing partners will likely be responsible for the following activities and documentation during the life of the program:

Examples of a Grantee's responsibilities may include:

- a) Collaboration in establishing annual work objectives.
- c) Collaboration in assessing progress and identifying issues that arise which may impact the success of the program.
- d) Collaboration in determining corrective actions, where necessary.
- e) Conducting ongoing assessment of progress and a final evaluation, and submitting quarterly reports according to the requirements outlined in the award;
- f) Compliance with USAID branding requirements;
- g) Requesting approval for any changes in program description; and
- h) Submitting updated Standard Form 424A annually.

B.5 - REPORTING

Program implementation reporting will be determined based on the outcome of the finalization of the planned program and the delineation of roles and responsibilities. An annual performance monitoring plan, using established baseline data and specific, measurable targets and indicators will also be agreed upon.

Financial reporting will be in accordance with the requirements of the obligating document, following mutual agreement of provisions.

SECTION C - EVALUATION PROCEDURES

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent necessary (if award is not made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Award(s) will be made to the responsive and responsible applicant(s) whose technical and cost application(s) offer the greatest technical merit, value, cost and other factors considered.

To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

C.1 EVALUATION CRITERIA

Applicants should note that these criteria serve to (a) identify the significant matters which applicants should address and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

C.2 TECHNICAL EVALUATION CRITERIA

TOTAL POINTS POSSIBLE: 100

The criteria and sub-criteria listed below serve as the standard against which all applications shall be evaluated.

(A). Technical Narrative: Approach and Methodology: Sub-Total Not To Exceed 60 Points

(i) The technical narrative provides a clear articulation of the applicant's current and planned human rights programs (as described in Section III. A: Program Scope and Objectives (a) to (f)), and the objectives to be achieved during the life of the award: **(NTE 20 Points)**

ii) The extent to which the applicant's current programs address critical human rights concerns in Sri Lanka and emphasize innovation and the use of internationally recognized best practices: **(NTE 10 Points)**

iii) The application contains an explanation of how the applicant's programs will: (a) increase the protection of the human rights of vulnerable communities in Sri Lanka; (b) increase the awareness of human rights issues in Sri Lanka domestically and/or internationally; and, (c) pursue legal remedies on behalf of the victims of human rights violations domestically or internationally. Ideally, the applicants' proposed activities address should address and assist in meeting gaps in current responses to human rights issues arising from the conflict as identified through a brief conflict and context analysis. **(NTE 20 Points)**

iv) The application contains a clear and reasonable description of how the applicant's programs will be implemented, managed, and sequenced as well as connected effectively with the (A). (i) and (ii) requirements above. **(NTE 10 Points)**

(B). Organizational and Team Capabilities: Sub-Total Not To Exceed 30 Points

i) A brief description of the organizational history and experience of the applicant that demonstrates their experience in supporting human rights programming in Sri Lanka. The composition and organizational structure of the proposed project team is well described, including team member titles, roles and requisite technical expertise. **(NTE 30 Points)**

(C). Past Performance: Not to Sub-Total Exceed 10 Points

Within the Technical narrative, applicants shall furnish award numbers and contact

information for three related projects funded over the past three years by USAID or, another bilateral donor. A past performance review by the USAID Mission shall be used to confirm statements within the application, including but not limited to organizational experience. The results of this past performance review may clarify the understanding of the other evaluation Criteria to the extent that adjusting those scores would be necessary. **(NTE 10 Points)**

C.3 COST APPLICATION/FINANCIAL PLAN

Following the technical review process, a review of the cost realism analysis will be conducted. Cost has not been assigned a percentage weight but will be evaluated for reasonableness, cost-effectiveness and allowability in accordance with the applicable cost principles. Negotiations may be conducted with all applicants whose applications, after discussion, have a reasonable chance of being selected for award. An award will be made to a responsible applicant whose application is most highly ranked in accordance with the evaluation criteria in Section C. Costs are less in significance to all technical factors combined. Applicants should consider the following when preparing the cost applications and provide a narrative of how the cost application reflects these areas:

- Cost Effectiveness and Efficiency: The cost effectiveness of the organization's approach and its ability to affect a wide base of beneficiaries, i.e.,
 1. Effectiveness of proposed cost control structure
 2. Budget transparency to effectively track expenditures;
 3. Subcontracting/making methods are clearly defined.
 4. Cost efficiency of proposed Other Direct Costs (ODCs)
 5. Applicant's market competitive pricing estimates of tangible items to be used for performance;
 6. Competitiveness of pricing and sound purchase methods of international and in- country air travel and surface transportation.

C.3.1 COST APPLICATION FORMAT

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID prior to award. While there is no page limit, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

Include a budget for each funding scenario with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Forms 424 and 424A (See Section E-Annex A, & B of the APS) may also be downloaded from the USAID web site,

- http://www07.grants.gov/agencies/approved_standard_forms.jsp or
- <http://www.grants.gov/techlib/SF424-V2.0.pdf>
- <http://www.grants.gov/techlib/SF424A-V1.0.pdf>

- a. The applicants must provide an electronic copy of the budget (in Microsoft Excel) with calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line item (in Microsoft Word)
- b. The breakdown of all costs associated with the activities by line item. (See Sample in Section E - Annex B, take note: **the detailed budget must be rolled into the summary cost element budget that will be provided at a later date**).
- c. The breakdown must include costs associated with each activity according to costs of, if applicable, headquarters, and/or regional offices; each partner organization involved in the program; expatriate technical assistance and those associated with local in-country technical assistance; and
- d. The procurement plan* for equipment to be purchased under the Cooperative Agreement.

***Procurement Plan**

Application should include a detailed procurement plan containing explicit information on how procurements will be accomplished. Carefully read the guidance regarding Source Origin, Nationality Regulations in 22 CFR 228 at the following website: 22 CFR 228 USAID Source, Origin, Nationality Regulations

http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html

C.3.2 Applicants responding to this APS are not required to provide a cost share component in their proposed budget.

Section D - Certifications, Assurances, and Other Statements of Applicants;

The applicant need not submit the certifications along with the application. The Agreement Officer shall request the short listed applicants to submit the certifications during negotiations.

Section E – ANNEXES

- A. INSTRUCTIONS FOR THE SF 424A
- B. ADDITIONAL GUIDANCE- SAMPLE BUDGET

INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This form is designed so that application can be made for funds from one or more programs. In preparing the budget, adhere to any existing Federal or agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, or agencies may require budgets to be separately shown by function or activity. For other programs, or agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary Lines 1-4
Columns (a) and (b)**

For applications pertaining to a *single* Federal program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used,

the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line Entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing program applications, submit these forms before the end of each funding period as required by the agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the funding period only if the Federal or agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental s and changes to existing s, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new s and continuation s the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental s and changes to s, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal or agency in determining the total amount of the .

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the . If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing s.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal or agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ADDITIONAL GUIDANCE - SAMPLE BUDGET

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-s, which should be included in other.

g. **Construction**

Applicants should include all labor and material and supplies for construction projects.

h. **Other**

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The applicant should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

i. **Indirect Charges**

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

Standard Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies must be documented, etc

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to Standard Form 424.

SAMPLE COOPERATIVE AGREEMENT BUDGET

| <u>Budget Cost Element</u> | Budget Amount US \$_ | Remarks* |
|-----------------------------------|-------------------------|----------|
| Total Direct Labor | \$_____ | (1) |
| Salary & Wage | | |
| Fringe Benefits | | |
| Allowances | | |
| Consultants | \$_____ | (2) |
| Travel, Transportation & Per Diem | \$_____ | (3) |
| Participant Training | \$_____ | (4) |

| | | |
|--------------------------------------|-----------------|------|
| Other Direct Costs | \$ _____ | (5) |
| Sub awards (grants and subcontracts) | \$ _____ | (6) |
| Security Costs | \$ _____ | (7) |
| Training | \$ _____ | (8) |
| Procurement (Equipment & Supplies) | \$ _____ | (9) |
| Indirect Costs | \$ _____ | (10) |
| Total Amount | \$ _____ | |

*Provide detailed breakdown of costs and narrative-indicate page or Annex #

This detailed budget will be rolled into the summarized budget to be provided at a later date.