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NETHOPE
PAYMENT INNOVATIONS



REQUEST FOR APPLICATIONS

PROGRAM:	NetHope / Global Broadband and Innovations (GBI) Alliance, Fixed Amount Award Grants to Support Institutional Preparedness to Use Digital Cash Transfers in Humanitarian Response
RFA NO:	RFA-PI-06-01/2016
DATE OF ISSUANCE:	Monday, July 18, 2016
DUE DATE FOR QUESTIONS:	Wednesday, July 27, 2016
RESPONSE TO QUESTIONS:	Monday, August 8, 2016
CLOSING DATE:	Monday, August 22, 2016
ESTIMATED AWARD DATE:	September/October 2016

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ATTACHMENT A

1 PURPOSE STATEMENT

USAID's Office of Foreign Disaster Assistance (OFDA), Food For Peace (FFP), and U.S. Global Development Lab's Digital Finance team are exploring how digital payment systems can maximize the utility of cash transfer programs (CTP) for humanitarian response while delivering lasting benefits, such as expanding financial inclusion and contributing to the growth of economic infrastructure.

This RFA seeks to incentivize organizations to consider ways of improving **preparedness** around CTPs that also provide a pathway to increased access to, and usage of, formal financial services. It is designed to solicit applications to award up to two (2) fixed amount subwards (FASs). The primary purpose is to support organizations working in humanitarian response contexts to develop institutional preparedness that places them in a position to respond to an emergency by using the most appropriate modality (e.g. cash, voucher, in-kind assistance) without defaulting to otherwise less preferred options simply because there are systems and processes already in place to use them.

Furthermore, this RFA seeks to fund cash preparedness pilots that utilize digital means of delivery, which link recipients to inclusive and lasting financial services. At a minimum, these services should directly link or create viable pathways to ownership of a basic transaction account which enables them to make a variety of transactions including storing value, receiving and/or making payments, transferring funds and cashing-in/-out. This RFA aims to learn from grantee experiences in order to provide best practices and other resources to the humanitarian community moving forward.

While in-kind aid distribution continues to be a major part of humanitarian response, there has been a steady and growing increase in the use of CTP to deliver aid in emergencies.¹ Evidence continues to mount around the use of cash for achieving humanitarian outcomes more efficiently and effectively within appropriate contexts.² Running parallel to the increased use of cash where it is feasible for both recipients and responding organizations, digital payment products and services (be they mobile-, card-, or biometric-based) are expanding access to financial services in markets and geographies where no such infrastructure previously existed.

Vulnerable populations are now able to receive payments remotely, rapidly, and to locations that are often more convenient to access. Given that some of the digital platforms powering these services also offer the user access to a formal account with a licensed financial institution, this development also means that the digital channel may serve as an on-ramp to a wider variety of financial services, such as savings, micro-credit, and micro-insurance. Offering beneficiary payments through a basic transaction account, therefore, may help these populations transition to services useful not only for rapid recovery but also for protracted response situations.

¹ BTCA, "Module: Cash Transfers" <https://www.betterthancash.org/tools-research/toolkits/development-partners/framing-the-case/cash-transfer/introduction>

² <http://www.odi.org/projects/2791-humanitarian-cash-cash-transfers-high-level-panel-humanitarian-cash-transfers>

In order to ensure that digital cash payments can be delivered quickly without slowing down time to response, there is a need to better understand how organizations can position themselves in advance to more efficiently and effectively deploy CTP.

This RFA is issued to ensure that all interested, qualified, and eligible organizations have a fair opportunity to submit applications for funding. For the purposes of this RFA, “organizations” are defined as local and international development organizations (i.e, NGOs, Civil Society Organizations, and contractors). Consortiums or Cash Working Groups are encouraged to apply, but need to be contractually represented by a single organization.

To be considered for funding, grant applicants must meet the eligibility requirements and submit a proposal answering the questions set out in Section 2.6, Application Contents, which can be found below.

2 INSTRUCTIONS TO APPLICANTS

2.1 GRANTEE ELIGIBILITY

This competition is open to non-governmental, non-profit or for-profit entities. To be eligible for funding, applicants must comply with the following conditions:

- Organizations must be legally organized, registered or otherwise authorized to conduct business in their country or countries of operation where the work under the grant will occur.
- Organizations must provide a DUNS number.
- Organizations must submit their application in English.
- We encourage applications from the following countries:
 - Democratic Republic of Congo
 - Ethiopia
 - Mali
 - Philippines
 - Zimbabwe
 - Pakistan
 - Afghanistan
 - Kenya
 - Somalia
- Organizations must be able to complete implementation within the stated timeframe of twelve months.

2.2 FUNDING

The mechanism for funding is a fixed amount award (FAS) The most recent USAID grant provisions relating to FASs may be found at <http://www.usaid.gov/ads/policy/300/303mat>. Clauses “required as applicable” are provided in the Attachment. NetHope anticipates awarding up to two (2) FAS\’s to successful grantees under this RFA.

The maximum funding amount for an individual grant under this RFA will be USD \$210,000 per grant. Each grant will have a term of no more than twelve months. The grant

funds are intended to provide support to selected organizations for costs associated with developing and testing institutional preparedness around cash programming that results in an organization's ability to utilize a CTP while also creating linkages for payment recipient to formal financial services through the use of digital payments. Grant funding will be provided in tranches disbursed upon satisfactory completion and acceptance of milestones outlined in the grant agreement.

2.3 APPLICATION SUBMISSION DEADLINE

Applications may be submitted at any time before **17:00 pm UTC+6 on Friday August 5, 2016**. Submissions received after the deadline will not be considered.

2.4 SUBMISSION METHOD FOR APPLICATIONS

Applicants should submit questions and applications by email to: paymentinnovations@nethope.org NetHope is not accepting paper applications for this RFA. All questions and answers will be shared via email with all interested applicants.

The email subject line should read "Application for Grants to Support Cash Preparedness in Humanitarian Response – [Name of Organization submitting application]".

Technical applications and attachments may be submitted in Microsoft Word or PDF. Budgets must be submitted in Microsoft Excel.

2.5 REVIEW PROCESS

Grant applications will be reviewed and grants awarded by an evaluation panel. NetHope will lead and coordinate the evaluation panel. A technical evaluation committee will review all technical applications on their Technical Approach, Scalability, Cost Application, and Personnel, using the evaluation criteria detailed below.

It is anticipated that awards will be made within two months after the submission deadline, as stated on the cover of this RFA. Final negotiations and awards will be managed by NetHope.

NetHope reserves the right to make any number of awards or none at all. NetHope is not responsible for any costs associated with the development of applications.

2.6 APPLICATION CONTENTS

Applicants will develop their applications based on: their understanding of how cash preparedness for use in a humanitarian assistance context would transpire; their prior relevant institutional experience; their knowledge of recent developments and trends in the financial services sector where they intend to operate; and their ability to articulate which approach would be most feasible and successful. In all cases, applicants shall clearly explain the rationale for the proposed approach chosen.

Submissions must clearly state the objectives and the expected results of the program within the life of the funding period, and define an implementation plan with a proposed time frame and budget. Ongoing monitoring and reporting of the funded activities will be the responsibility of the applicant.

Technical applications should not exceed 10 pages and should be written in English. Applications should include submission of a technical application with attachments and a cost application. Applications must remain valid for at least six (6) months. The format should be as follows:

Part A: Technical Application (Limit 10 pages)

Cover page (approximately 1 page)

1. Organization's name:
2. Technical contact name:
3. Technical contact person's position:
4. E-mail address:
5. Telephone number:
6. Name of the country that your organization has selected to conduct the work under this grant:

Technical Proposal (approximately 9 pages)

1. Motivation for Responding to this RFA
 - a. Describe the key reasons why you are interested in developing institutional preparedness to use digital CTP in a humanitarian assistance context.
 - b. Describe specifically how this grant will assist your organization in pursuing this goal.
 - c. Describe the challenges you are currently facing in deploying CTP (especially through digital and account-based³ modalities)?
2. Strategic Commitment to Implementing Cash Transfer Programming:
 - a. Identify actions or steps has your organization already made, or will make in the near term, to prioritize and support institutional preparedness to use cash transfer programming in the market(s) you have identified?
3. Current Operational Preparedness Systems & Processes
 - a. Describe the existing systems and processes in place your organization uses for maintaining preparedness for rapid emergency response in the identified program area(s). Please specify whether these cover in-kind distributions, vouchers, and/or cash.

³ Account is defined as a product that is assigned to a single individual and that can be used to store, send, and receive funds separate from the donor-funded response payments.

- b. If your organization does not currently prepare for CTP in emergency response, describe how existing preparedness methods may be relevant to CTP and what new approaches might be taken.
4. Assessment of Overall Market Dynamics & Scoping of Service Offerings:
 - a. Identify the broader, macro level challenges and opportunities (i.e. regulatory, infrastructure, geographic, demographic, etc.) to the use of CTP in general in the market(s) you have selected.
 - b. Describe available payment service providers in the market(s).
 - c. Describe what options exist for digital, account-based payments in the identified market(s).
 - d. Explain how appropriate do you feel these service offerings are for the program participants you would engage in an emergency response context.
 - e. List the benefits you anticipate could be realized by using such a service from the perspective of a) your organization and b) your likely program participants.
5. Partner Selection
 - a. Identify the partnerships (with the private sector, government, or development organizations) you need to establish to be best prepared to quickly deploy digital cash transfers in a future emergency response.
 - b. Indicate if it will be possible to coordinate with other humanitarian organizations on preparedness to avoid any redundancy of preparedness efforts.
 - c. Describe any prior experience you have with these payments services. [*Note: You can choose to evaluate more than one; prior experience is not a prerequisite for responding to this RFA*].
 - d. If you have not already identified one or more service providers, describe your approach to evaluation and engagement within the market(s) you have selected.
 - e. Describe how you are taking into consideration program participant capabilities and preference when it comes to the different types of cash-based service offerings (digital or otherwise) you are considering.
6. Implementation Plan
 - a. Describe the steps your organization will take to implement a cash-based preparedness plan, including timelines, milestones and responsibilities assigned.
 - b. Identify the affected departments and briefly describe the anticipated modifications (i.e. to policy, procedure, roles, etc.) to develop this kind of preparedness.
 - c. Describe the type of training that will be needed both internally for your staff, as well as for program participants.
 - d. Describe whether you anticipate any potential resistance to building cash-based preparedness, either internal or external, and how you plan to mitigate this.

7. Defining Success & Measurement

- a. Describe how you will define success for achieving institutional preparedness for CTP, and list examples of key performance indicators or benchmarks.
- b. Describe how you will test, measure and evaluate institutional preparedness success. This must include some element of a simulation-based exercise (e.g. table top exercise or TTX) or ‘stress test’ with the selected partner and other key stakeholders, to evaluate performance and forecast any unforeseen obstacles that may occur during the actual response.

8. Knowledge Creation & Dissemination

- a. Describe what types of lessons and insights might be most valuable to similar organizations that manage humanitarian assistance programs and want to be better prepared to use cash and account-based payments when appropriate.
- b. Describe how you will engage with national, regional, and/or international venues, associations, working groups. etc. to share your organization’s experiences and encourage others to consider similar undertakings or partner with you.
- c. Identify one or more concrete learning products you will produce under the proposed project.

Technical Attachments (Please submit the following attachments with the Technical Application. Note that they do not count towards the 10-page limit)

1. Provide a timeline of key activities and milestones in Gantt Chart format you will take to implement, test, and evaluate your organization’s preparedness to use alternatives to in-kind aid.
2. Please provide the CV of the principal staff person who will oversee the implementation of this grant (maximum 3 pages).

Part B: Cost Application

1. Submit a summary and detailed budget with budget notes in Microsoft Excel identifying how you will allocate the grant funds during the grant term, including proposed level of effort of any staff who will be working on this grant. Applicants can include any costs associated with CTP preparedness development and knowledge management as long as they are adequately justified in the budget narrative.
2. Include a signed bio data form USAID Form 1420 for any proposed staff or consultants who have a daily rate greater than \$50 USD.
3. Note per Standard Provision RAA 7, you are required to report host-country taxes assessed on commodities exceeding \$500/unit.

4. Profit or fee is not an allowable cost and may not be included in your proposed budget.

2.7 EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this RFA. A total of 100 points are possible for the complete application. The relative importance of each criterion is indicated by approximate weight by points.

In evaluating the applications, the review committee will examine overall merit and feasibility, as well as specific criteria relevant to each component as elaborated below. Up to two (2) awards will be made to the overall highest scores amongst the applicants.

Applicants should note that these criteria:

- (1) serve as the standard against which all applications will be evaluated, and
- (2) serve to identify the significant criteria that applicants should address in their applications.

As cited in section 2.1, We encourage applications from the following countries:

- Democratic Republic of Congo
- Ethiopia
- Mali
- Philippines
- Zimbabwe
- Pakistan
- Afghanistan
- Kenya
- Somalia

EVALUATION CRITERIA	Points
Technical Approach	
1. <i>Motivation & resources to pursue CTP</i> - Organization can demonstrate that senior leadership at the HQ and Country levels are on-board and invested in developing this kind of institutional preparedness and view it as a priority	
2. <i>Strategic commitment to CTP</i> - Organization can demonstrate that relevant departments (i.e. Logistics, Programs, Finance, Legal) have been consulted or will serve as key internal stakeholders and that staff at appropriate levels will be actively involved	
3. <i>Assessment of selected market(s) & service provider landscape</i> - Selected market(s) is/are appropriate for investing in cash and digital finance preparedness, in that service provider options exist but there are barriers to wide-scale uptake. Organization can demonstrate an ability to assess the overall market as well as the feasibility of using of cash- or digitally-based services in a humanitarian assistance context	
4. <i>Existing preparedness capacity</i> - Organization can demonstrate, through prior experience, that it has existing capacity and understands the core requirements for developing institutional preparedness	60 points
5. <i>Well-articulated approach for engagement</i> - Organization can demonstrate the capacity to evaluate provider offerings in terms of appropriateness of the product and supporting ecosystem to the meet the needs of all key users (i.e., organization staff, program participants, affiliated market actors)	
6. <i>Implementation plan</i> - Organization can demonstrate that grant funds will be allocated to support a plan that will establish the necessary policies, processes, and capacity to sustain institutional preparedness beyond the life cycle of the grant	
7. <i>Defining success & effective measurement</i> - Organization can demonstrate a multi-faceted understanding of the technical and non-technical requirements to build institutional preparedness for the use of alternatives to in-kind aid and how to measure success relative to those requirements	
Personnel	
8. <i>Relevant skills & experience</i> - Proposed staff assigned to implement this FAS have roles within the organization that align with the near-term needs of the project and responsibilities for longer-term management and oversight of activities related to preparedness beyond the lifecycle of the grant	15 points
Knowledge Capture & Dissemination	
9. <i>Ability to capture relevant lessons learned</i> - Organization can articulate effective methods and tools for identifying aspects of the project that would be of greatest value to other organizations on a practical level	15 points
10. <i>Vision for sharing insights & experiences</i> - Organization can articulate a plan for knowledge dissemination that prioritizes in-country engagement as well as proposes how best to leverage regional or international networks	
Cost Application	
11. <i>Allowability and Reasonableness</i> - Proposed amount reflect standard provisions around spending, and a clear understanding of the requirements stated in this RFA, and is consistent with the various elements of the grantee's application	10 points

12. <i>Competitive</i> - Proposed amount falls within an acceptable range based on the other estimates received in response to the solicitation.	
Unrealistically low or high proposed prices, initially or subsequently, may be grounds for eliminating an application from competition either on the basis that the applicant does not understand the requirement or the applicant has provided an unrealistic application.	
TOTAL	100 points

Supporting Documentation for Pre-Award Assessment/Site visits

At the conclusion of the evaluation process, any selected firm will be required to complete a Financial Pre-Award Assessment in order for NetHope to ascertain that the organization has the capacity to perform successfully under the terms and conditions of the proposed grant. As part of the Pre-Award Assessment process the firm will also be requested to submit their incorporated papers, certificate of registration and/or Tax ID number (TIN). Applicants may be asked to submit additional documentation to illustrate that the organization has the capacity to implement the grant. Site visits may be conducted by NetHope to evaluate the organization in these areas.

2.8 GRANT DELIVERABLES

Under a FAS, payment is made against established milestones. Upon selection, NetHope will work with the recipient to establish an appropriate milestone table that reflects the activities and timeframes to be completed in the program description.

Grant Recipients will be required to submit the following deliverables:

1. Project Work Plan & GANTT Chart describing key activities, milestones, and timeline
2. Quarterly Progress Reports to include: i) budget burn rates, ii) key activities performed and outcomes, iii) summary of barriers and challenges, iv) next steps
3. Final Report to include: *[some of the documentation below is intended for public consumption but sensitive data may be protected by agreement between each grant recipient and NetHope]:*
 - a. Budget Burn Rate & Key Outcomes
 - b. Overview of Key Components associated with cash preparedness, *[To include a comparison between key components associated with CTP preparedness vs. preparedness for in-kind aid]*
 - c. Documentation of Barriers and Challenges encountered *[particularly problems or issues encountered by: i) the organization with the use of alternatives to in-kind aid; ii) potential recipients' differential access to digital cash assistance, particularly as they relate to gender, literacy, urban/rural divides, and technological and financial capabilities.]*
 - d. Key Lessons Learned
 - e. Road Map that identifies key next steps and describes how the organization intends to maintain CTP institutional preparedness

4. Results from a Preparedness Simulation or Table Top Exercise
5. Knowledge Sharing Events
 - a. Organize & lead an in-country Workshop
 - b. Participate in a Webinar(s) to more broadly disseminate the organization's experience to relevant regional or international networks, communities of practice, etc.
 - c. Publication of at least one other learning product (case study, guide, online module, etc.)
 - d. Participant Training report, if any, in accordance with Standard Provision RAA No.9

3 TERMS AND CONDITIONS

3.1 GRANT AGREEMENT

A grant agreement will include the approved project description, approved budget, reporting requirements and relevant provisions. Once executed it is a legally binding agreement between NetHope and the recipient organization. Once the grant agreement is signed, it cannot be modified without prior written approval from NetHope.

3.2 GRANT APPLICATION PROVISIONS

NetHope is required to respect the provisions of the NetHope Prime Award provisions, the United States Foreign Assistance Act and other United States laws and regulations. The grant program will be administered according to NetHope's policies and procedures as well as USAID's regulations as provided in the Standard Provisions for Fixed Amount Awards to Non-Governmental Organizations.

3.2.1 Late Submissions, Modifications, and Withdrawals of Applications

At the discretion of NetHope, any application received after the exact date and time specified for the receipt may be considered ineligible for consideration.

Applications may be withdrawn by written notice via email received at any time before award. Applications may be withdrawn in person by an organization or his authorized representative, if the representative's identity is made known and the representative signs a receipt for the application before award.

3.2.2 False Statements in Offer

Applicants must provide full, accurate and complete information as required by this solicitation and its attachments.

3.2.3 Conflict of Interest Clause

Applicants must provide disclosure of any past, present or future relationships with any parties associated with the issuance, review or management of this solicitation and anticipated award. Failure to provide full and open disclosure may result in NetHope having to re-evaluate selection of a potential applicant.

3.2.4 Authorized USAID Principal Geographic Code

The USAID Principal Geographic Code for this program is 937. However, as stated above, applicants are encouraged from countries outlined in RFA 2.1 and 2.7.

3.2.5. Prohibited Goods and Services

Under no circumstances shall the recipient procure any of the following under this award, as these items are excluded by the Foreign Assistance Act and other legislation which govern USAID funding. Programs which are found to transact in any of these shall be disqualified:

- a) military equipment;
- b) surveillance equipment;
- c) commodities and services for support of police or other law enforcement activities;
- d) abortion equipment and services;
- e) luxury goods and gambling equipment; and
- f) weather modification equipment.

3.2.6 Restricted Goods

Only those goods necessary for the accomplishment of milestone goals are explicitly approved in the grant award and may be acquired and are subject to the provisions provided in the Standard Provisions for Fixed Amount Subwards to Nongovernmental Organizations.

3.2.7 Certifications for Non-Governmental Recipients

Certifications provided in Attachment A are required by NetHope and USAID and must be signed by the authorized official, dated and included in the application.

Recipients will be required to comply with the content of the certifications as a part of the grant agreement **when/if** funding is approved.

3.2.8 Disclaimers

- NetHope may cancel this solicitation and not award any grant funding.
- NetHope may reject any or all responses received.
- Issuance of solicitation does not constitute an award commitment by NetHope.
- NetHope reserves the right to disqualify any offer based on applicant failure to follow the solicitation instructions.
- NetHope will not compensate applicants for response to solicitation.
- NetHope reserves the right to issue awards based on initial evaluation of offers without further discussion.
- NetHope may choose to award only part of the activities in the solicitation, or issue multiple awards based on the solicitation activities.
- NetHope reserves the right to waive minor application deficiencies that can be corrected prior to award determination to promote competition.

3.2.9 Permission for Use and Disclosure

By way of submitting an application under this RFA, the applicant consents to the disclosure of the documents submitted by the applicant to the reviewers involved in the selection process within NetHope.

3.2.10 Standard Provisions

Grantees must comply with all Mandatory Standard Provisions under 303mat , <http://www.usaid.gov/ads/policy/300/303mat>.

Only the following RAA provisions apply:

- RAA1. FIXED AMOUNT AWARDS ADVANCE PAYMENT AND REFUNDS (JUNE 2012)
- RAA3. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)
- RAA4. USAID ELIGIBILITY RULES FOR PROCUREMENT OF COMMODITIES AND SERVICES (JUNE 2012)
- RAA5. FLY AMERICA ACT RESTRICTIONS (August 2013)
- RAA6. OCEAN SHIPMENT OF GOODS (JUNE 2012)
- RAA7. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
- RAA8. PATENT RIGHTS (JUNE 2012)
- RAA9. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
- RAA11. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)

ATTACHMENT A

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions (as provided in <https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>)

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
2. Certification Regarding Lobbying
3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)
4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224
5. Certification Regarding Trafficking in Persons
6. Certification of Recipient

Part II – Key Individual Certification: Narcotics Offenses and Drug Trafficking

Part III – Participant Certification: Narcotics Offenses and Drug Trafficking

Part IV – Other Statements of Recipient

1. Authorized Individuals
2. Taxpayer Identification Number (TIN)
3. Data Universal Numbering System (DUNS) Number

Certifications, Assurances, Other Statements of the Recipient and Solicitation Standard Provisions

Part I – Certifications and Assurances

Applicants are required to complete all applicable certifications with submission of their application. The full text is provided at the following website:
<https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf>

Certification of Recipient

By signing below the Recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224, and (5) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

This certification and assurance is given by the Recipient in consideration for the purpose of obtaining a grant from NetHope that is funded by funds provided by USAID. The Recipient recognizes and agrees that Federal financial assistance has been or will be extended to NetHope in reliance on the representations and agreements made in this assurance, and that the United States and NetHope shall have the right to seek judicial enforcement of this assurance and certification. 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.

Name of Grant Program _____

Date of Grant Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

Part II – Key Individual Certification: Narcotics Offenses and Drug Trafficking

The Recipient hereby certifies that within the last ten years:

1. The Recipient is not and has not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. The Recipient is not and has not been an illicit trafficker in any such drug or controlled substance.
3. The Recipient is not and has not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

NOTICE:

1. The Recipient is required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If the Recipient makes a false Certification the Recipient is subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part III – Participant Certification: Narcotics Offenses and Drug Trafficking

1. The Recipient hereby certifies that within the last ten years:
 - a. The Recipient is not and has not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
 - b. The Recipient is not and has not been an illicit trafficker in any such drug or controlled substance.
 - c. The Recipient is not and has not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.
2. The Recipient understands that NetHope may terminate the Grant if it is determined that the Recipient engaged in the above conduct during the last ten years or during the term of the Grant.

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. The Recipient is required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

If the Recipient makes a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

Part IV – Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction

(a) As required by sections 744 and 745 of Division E of the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. 113-235), and similar provisions, if contained in subsequent appropriations acts, none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1) “Was convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”; or

(2) (2) “Has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government”. It is USAID’s policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) Applicant Representation:

(1) The Applicant represents that it is is not an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2) (2) The Applicant represents that it is is not an organization that has any unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

Part V – Other Statements of Recipient

1. Authorized Individuals

The Recipient represents that the following persons are authorized to negotiate on its behalf with NetHope and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.	Email Address
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2. Taxpayer Identification Number (TIN)

If Recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate Recipient's TIN:

TIN: _____

3. Data Universal Numbering System (DUNS) Number

- a) Unless otherwise specified in the solicitation using an applicable exemption, in the space provided at the end of this provision, the Recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.
- b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the Recipient does not have a DUNS number, the Recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the Recipient. The Recipient should be prepared to provide the following information:
 - (1) Recipient's name.
 - (2) Recipient's address.
 - (3) Recipient's telephone number.
 - (4) Line of business.
 - (5) Chief executive officer/key manager.
 - (6) Date the organization was started.
 - (7) Number of people employed by the recipient.
 - (8) Company affiliation.

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- c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____