

## REQUEST FOR APPLICATIONS

<b>Procurement Number:</b>	LAC2021Regional15o
<b>Open Date:</b>	November 12, 2021
<b>Questions Deadline:</b>	November 17, 2021
<b>Closing Deadline:</b>	November 24, 2021
<b>Geographical Area Restrictions:</b>	N/A
<b>Point of Contact:</b>	Luis Robles, Program Officer, lrobles@iri.org

**Background:** The International Republican Institute (IRI) is a nonprofit, nonpartisan, organization dedicated to advancing freedom and democracy worldwide. Since 1983, IRI has worked to develop democratic institutions and ideals, carrying out a variety of international programs to promote freedom, self-government and the rule of law worldwide. IRI provides technical assistance in the areas of political party strengthening, developing civic institutions and open elections, promoting democratic governance and advancing the rule of law.

Media and civil society play a unique and pivotal role in providing oversight and accountability to disclose and prevent corruption. Unfortunately, institutional opacity and limited access to public information restrict opportunities for citizen scrutiny of anticorruption efforts. Meanwhile, the capacity of journalists to carry out rigorous and safe investigations of acts of corruption varies considerably and inhibits the generation of well-informed reporting of corruption within government institutions.

In this environment, IRI combines capacity building and exchange activities to strengthen the internal investigative capacity of journalists and media outlets across Latin America and develop a transnational network of journalists and justice sector actors who will be able to support one another for improved government accountability. In each country included in the project, IRI will work with a local media-focused association or civil society organization to co-implement a series of trainings and exchanges to build media oversight and accountability.

**Eligibility:** Organization

- Based in Peru
- Previous experience in conducting and/or supporting intersectoral dialogues and/or roundtables
- Experience engaging journalists, civil society organizations and/or public officials necessary for project success.
- A demonstrated understanding of the elements of effective, inclusive discussions and/or roundtables.

**Period of Performance:**

SOW 1 (Intersectoral Dialogues - Journalists): December 15, 2021 – February 15, 2022

SOW 2 (Intersectoral Dialogues - Justice Sector): December 15, 2021 – February 15, 2022

SOW 3 (Joint Roundtables): February 15, 2022 – March 31, 2022

**Statement of Work:**

The sub-awardee(s), in coordination with IRI, will organize and facilitate a series of discussions and roundtables to facilitate the coordination of journalists and justice sectors on preventing corruption and impunity. These activities will inform journalists on the varying judicial processes linked to following corruption cases so that beneficiaries can follow up and provide adequate oversight of the justice sector. Vendors can apply to Scope of Work 1, Scope of Work 2, Scope of Work 3 or any combination of the three.

**Scope of Work 1: Intra-Sectoral Journalist Dialogues (ceiling: \$8,750)**

IRI seeks to develop the understanding of journalists and justice sector actors on the role each sector plays in the investigation of corruption. The subawardee will:

- In coordination with IRI, host a series of three intra-sectoral dialogues in Peru with journalists on the roles that journalists and the judicial sector play in preventing and investigating corruption. Discussion during the session should result in movement toward consensus and priorities for the participants on the issue.
  - Participants must include media associations and journalists, and may include anticorruption CSOs and other anticorruption stakeholders
  - Illustrative dialogue themes may include:
    - Understanding the Challenges to Investigating Corruption
    - Advantages and Barriers to Collaboration with Media and Civil Society
    - Identifying Goals and Opportunities
- Each intra-sectoral discussion session must build off the previous one to ultimately identify needs or areas of interest shared for future discussion between the two sectors targeted in this program
- Create a shortlist of thematic areas of focus for future inter-sectoral roundtables between the media and justice sectors
- Conduct monitoring and evaluation of the participants' change in understanding and awareness of how different sectors play a role in confront corruption

Deliverables will include

- Proposed workplan, including workshop dates, times and locations, as well as
  - List of proposed participants
  - List of proposed topics
  - Illustrative list of participating organizations
  - Illustrative list of judicial sector actors
- Materials for each session and participation attendance list and session report detailing agenda, consensus reached and next steps
- Pre and post tests for each of the dialogue sessions on the monitoring and evaluation question in the scope of work above
- Final narrative report to include

- Assessment of each dialogue session
- Summary of the consensus areas and priorities identified through sessions
- Final assessment and proposed shortlist of future thematic focus areas

Scope of Work 2: Intra-Sectoral Justice Sector Dialogues (ceiling: \$8,750)

IRI seeks to develop the understanding of journalists and justice sector actors on the role each sector plays in the investigation of corruption. The subawardee will:

- In coordination with IRI, host a series of three intra-sectoral dialogues in Peru with justice sector actors on the roles that journalists and judicial actors play in preventing and investigating corruption. Discussion during the session should result in movement toward consensus and priorities for the participants on the issue.
  - Participants must include justice sector actors, public officials or anti-corruption experts
  - Illustrative dialogue themes may include:
    - Understanding the Challenges to Investigating Corruption
    - Advantages and Barriers to Collaboration with Media and Civil Society
    - Identifying Goals and Opportunities
- Organize separate dialogues between representatives of the judiciary and legal systems
- Each intra-sectoral discussion session must build off the previous one to ultimately identify needs or areas of interest for future discussion between the two sectors targeted in this program
- Create a shortlist of thematic areas of focus for future inter-sectoral roundtables between the media and justice sectors
- Conduct monitoring and evaluation of the participants' change in understanding and awareness of how different sectors play a role in confront corruption

Deliverables will include

- Proposed workplan, including workshop dates, times and locations, as well as
  - List of proposed participants
  - List of proposed topics
  - Illustrative list of participating organizations
  - Illustrative list of judicial sector actors
- Materials for each session and participation attendance list and session report detailing agenda, consensus reached and next steps
- Pre and post tests for each of the dialogue sessions on the monitoring and evaluation question in the scope of work above
- Final narrative report to include
  - Assessment of each dialogue session
  - Summary of the consensus areas and priorities identified through sessions
  - Final assessment and proposed shortlist of future thematic focus areas

Scope of Work 3 Joint Roundtables (ceiling: \$17,500)

- In coordination with IRI, organize and facilitate a series of four joint inter-sectoral roundtables in Peru between justice sector actors and media representatives
  - Participants may include media associations, anticorruption CSOs, journalist leaders, justice sector actors, and government representatives, among others. IRI will provide a list of participants from its ongoing program that must be invited, and the subawardee may expand upon it.
  - Subawardee will develop roundtable thematic topics in collaboration with IRI, based on IRI's ongoing project. Illustrative joint roundtable themes may include:
    - The Media and Legal System's Role in Protecting Human Rights
    - The Media and Legal System's Role in Promoting Peace and Security
    - The State and Purpose of Investigative Reporting
    - Tools and Best Practices in Investigating Corruption
- Identify and recommend an expert moderator to facilitate discussions during the roundtable topics
  - IRI will approve the moderator for the discussions
- After each roundtable session, formulate two to three actionable recommendations on the discussed topics.
  - Illustrative action points may include commitments to improve access to information, share investigative reports between sectors or justice actors committing to drawing upon journalist research. These action points should be shared with all participants following each discussion.
- Conduct monitoring and evaluation of the participants' change in understanding and awareness of how different sectors play a role in confront corruption

Deliverables will include

- Proposed workplan, including workshop dates, times and locations, as well as
  - List of proposed participants
  - List of proposed topics
  - Illustrative list of participating organizations
  - Illustrative list of judicial sector actors
- Materials for each session including participation attendance list, complete agenda, a summary of the discussion, and the list of two to three actionable recommendations developed during the discussion
- Pre and post tests for each of the dialogue sessions on the monitoring and evaluation question in the scope of work above
- Final narrative report to include
  - Assessment of each roundtable session
  - Summary of the recommended action items developed in the roundtables
  - Provide list of collaborations that resulted from the discussions
  - Final assessment and proposed ideas for future engagement

### **Technical Applications:**

All applications must include a comprehensive explanation of the methods to be used for implementation. Applications must not exceed 5 pages.

1. The first page of the application must show the following:

- a. The name, address, DUNS Number (required) and telephone and facsimile numbers of the Applicant (and electronic address if available);
  - b. A statement specifying the extent of agreement with all terms, conditions, and provisions included in the solicitation and agreement to furnish any or all items for which prices are offered;
  - c. A statement concerning whether or not the applicant has received a Negotiated Indirect Rate Cost Agreement from the US Government, currently or in the past. If yes, please attach NICRA.
  - d. Names, titles, and telephone and facsimile numbers, and electronic addresses of persons authorized to negotiate on the Applicant's behalf with IRI in connection with this RFA; and
  - e. Name, title, and signature of person authorized to sign the proposal. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
  - f. The application must state the organization's indirect costs recovery methodology, which must be **ONLY** one of the following:
    - i. 10% percent de minimis rate; OR
    - ii. Current NICRA approved by the US Government (must attach copy); OR
    - iii. Direct charging of indirect costs.
2. Applicants shall provide a list of at least five previously executed awards of a similar nature for the last three years along with the contact details for each funder. IRI may contact the funder as a reference check.
  3. Applicants shall provide a list of at least five program beneficiaries for previously executed grants of a similar nature for the last three years along with the contact details for each. IRI may contact the individuals as a reference check.
  4. Applicants shall provide third-party evaluations of past activities if available.
  5. All applications must include background on the organization's prior experience as it relates to the requested scope of work.
  6. Resumes of all individuals who will be responsible for the programmatic and financial management of the award must be attached.
  7. Describe current and past projects and funding sources and any potential impact current activities might have on this award.
  8. Describe accounting practices and organizational infrastructure, as well as technology and intellectual property owned by the organization, which will be used to complete the scope of work.
  9. Applicants shall provide audited financial statements and management letters for the last three years.
  10. Applicants shall provide a copy of legal registration documents (for organizations) or one form of legal ID (individuals). An English translation should be attached if necessary.
  11. Applicants shall provide a statement detailing revenue from the last three years.
  12. If selected for award, the selected applicant shall provide a detailed allocation policy if funded by more than one source, other than the current subaward.
  13. Using the attached checklist [below](#), the applicant should indicate what information will be submitted for IRI's review.

### **Cost Applications:**

The budget should be submitted in two forms: (1) a detailed, cost category budget and (2) a milestone budget.

1: Cost Category budget: A detailed budget in US Dollars including the specific line item costs outlined here must be submitted to estimate project costs. Each application should also have a detailed explanation of why the budgeted amounts are necessary for completing the scope of work. The total amount budgeted for this project must not exceed **\$35,000.00 USD**.

All one-time and recurring costs must be fully described in the budget. Rates should be quoted, inclusive of all but showing separately, costs of inspection, services, transportation, taxes, import duties if any and other levies.

- *Personnel* – In general, employees receiving benefits from the applicant organization are considered staff. Consultants hired to assist with the program, who do not receive benefits, should be included under contractual. Identify staffing requirements by each position title and brief description of duties. For clarity, please list the annual salary of each position, percentage of time and number of months devoted to the project. (e.g., Administrative Director: \$30,000/year x 25% x 8.5 months; calculation:  $\$30,000/12 = \$2,500 \times 25\% \times 8.5 \text{ months} = \$5,312.5$ ).
- *Travel* - Staff and any participant travel:
  - International airfare
  - In-country travel (not in the United States)
  - Domestic travel in the United States, if any
  - Per diem/maintenance: includes lodging, meals and incidentals for both participant and staff travel. Rates of maximum allowances for U.S. and foreign travel are available from the following website: <http://www.gsa.gov/portal/category/21287> and [http://aoprals.state.gov/content.asp?content\\_id=184&menu\\_id=78](http://aoprals.state.gov/content.asp?content_id=184&menu_id=78). Per diem rates may not exceed the published U.S. government allowance rates; however, institutions may use per diem rates lower than official government rates.
  - Please explain differences in fares among travelers on the same routes (e.g., project staff member traveling for three weeks whose fare is higher than that of staff member traveling for four months). Please note that all travel, where applicable, must be in compliance with the Fly America Act. For more information see <http://www.gsa.gov/portal/content/103191>.
- *Supplies* - List items separately using unit costs (and the percentage of each unit cost being charged to the grant) for photocopying, postage, telephone/fax, printing, and office supplies (for example, Telephone:  $\$50/\text{month} \times 50\% = \$25/\text{month} \times 12 \text{ months}$ ).
- *Contractual* – Estimate the direct costs for items such as translation, interpretation, honoraria, local hires, legal fees, accounting/audit services, and any other contractual work that will be needed as part of the project.
  - Consultant Fees: For example lecture fees, honoraria, travel, and per diem for outside speakers or external evaluators: list number of people and rates per day (for example,  $2 \times \$150/\text{day} \times 2 \text{ days}$ ).
- *Other Direct Costs*- these will vary depending on the nature of the project. The inclusion of each should be justified in the budget narrative. Audit costs can be included if they are not part of the indirect pool and only the portion of the cost associated with this program.

- *Indirect/Overhead Costs* – applicants can choose to budget directly for costs such as rent, utilities, technology, human resources and other general operating costs, **or** a de minimis rate of 10% can be applied to the total amount of direct expenses budgeted **or** the percentage of approved NICRA. **NOTE:** Organizations that have had an approved NICRA in the past or currently cannot use the 10% de Minimis; they must budget and report directly on the indirect costs of the project.

2: Milestone Budget: Using the format below, provide the estimated timeline of activities and corresponding payments:

<b>Milestone</b>	<b>Description of Milestone</b>	<b>Required Deliverable</b>	<b>Estimated Date of Completion</b>	<b>Amount</b>
1				\$
2				\$
3				\$
4				\$
5				\$
...				\$

### **Evaluation and Award Process:**

1. Applications will be evaluated by IRI for compliance with administrative requirements, previous experience of similar projects by the Applicant, technical capacity, the qualifications of the personnel for the project, and prices. IRI may contact the Applicant's previous clients and may obtain any information related to other projects that the Applicant has executed. IRI may contact any applicant for clarification or additional information, but Applicants are advised that IRI reserves the right to make decisions based solely on the information provided with the applications. IRI may but is not obligated to conduct additional negotiations prior to issuance of a contract and may at its sole discretion elect to issue contracts to one or more applicants.
2. Mathematical errors will be corrected in the following manner: If a discrepancy exists between the total price proposed and the total price resulting from multiplying the unit price by the corresponding amounts, then the unit price will prevail and the total price will be corrected. If there were a discrepancy between the numbers written out in words and the amounts in numbers, then the amount expressed in words will prevail. If the Applicant does not accept the correction, the offer will be rejected.
3. IRI may determine that an application is unacceptable if the prices proposed are materially unbalanced between line items or sub-line items. Unbalanced pricing exists when, despite an acceptable total evaluated price, the price of one or more contract line items is significantly overstated or understated as indicated by the application of cost or price analysis techniques. An application may be rejected if IRI determines that the lack of balance poses an unacceptable risk.
4. IRI will conduct a Technical/Price Weighted evaluation and source selection based on evaluation factors listed below. Technical evaluation factors have a total of 100 points; price evaluation has a total of 100 points. These factors will serve as the standard against which all technical information will be evaluated and identify the

determination factors that Applicants should address. IRI intends to evaluate applications in accordance with the Statement of Work of this RFA and make an award to the Applicant achieving the highest combined score proposal (technical and cost), demonstrating both technical compliance and price reasonableness.

5. If a cost realism analysis is performed, cost realism may be considered in evaluating performance or price.

**Evaluation of Applications:**

1. The applications will be evaluated by a technical evaluation committee using the criteria shown below. When evaluating the competing applications, IRI will consider the written technical/capability information provided by the applicants, and any other information obtained by IRI through its own research.
2. The criteria listed below are presented by major category, so that Applicants will know which areas require emphasis in the preparation of their applications.
3. IRI will evaluate applications in accordance with the technical criteria and weightage shown in the table below. A total 100 points are assigned according to the following criteria:

Criteria	Points
Compliance with content requested: The extent to which the firm’s proposed solution fulfills IRI’s stated objectives as set out in this RFA.	25
Past Performance: The applicant’s stability, experience and record of past performance.	20
Organizational Capacity: An assessment of the organizational capacity to achieve the proposed activity set out in the application.	25
Cost efficiency: Cost, flexibility and transparency of applicant’s financial application.	30
Total	100

**Submission Instructions:**

Quotes must be submitted via email to Luis Robles, at [lrobles@iri.org](mailto:lrobles@iri.org) with the subject line “RFA LAC2021Regional15o”.

**RFA Terms and Conditions:**

- Prospective Applicants are requested to review clauses incorporated by reference in the section “Notice Listing Contract Clauses Incorporated by Reference”.
- All applications must be submitted in English.
- IRI may reject any or all applications if such is within IRI’s interest.
- Payment will be made in US Dollars by way of electronic transfer.
- Proof of costs incurred, such as but not limited to receipts, pictures and financial documents may be requested during and for up to three years after the end of the grant period.



- The Applicant’s initial application should contain the Applicant’s best offer. Applicants may submit modifications to their application any time before the solicitation closing date and time.
- IRI reserves the right to make multiple awards or partial awards if, after considering administrative burden, it is in IRI’s best interest to do so.
- Discussions with Applicants following the receipt of an application do not constitute a rejection or counteroffer by IRI.
- By applying to this RFA, applicant is certifying that if it is awarded a contract, none of funds payable under the resulting contract will be used to (1) procure or obtain, extend or renew a contract to procure or obtain; (2) enter into a contract (or extend or renew a contract) to procure; or (3) obtain the equipment, services, or systems 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 in compliance with the National Defense Authorization Act. Covered telecommunications equipment and services mean any of the following:
  - i. Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities).
  - ii. For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
  - iii. Telecommunications or video surveillance services provided by such entities or using such equipment.
  - iv. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country. ([2 CFR 200.216](#)).
- IRI will hold all submissions as confidential and submissions shall not be disclosed to third parties. IRI reserves the right to share applications internally, across divisions, for the purposes of evaluating the applications.

**Notice Listing Contract Clauses Incorporated by Reference**

IRI is required to make the subrecipient subject to the clauses of the prime award. This subaward incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Where “flow-down” to the subrecipient is appropriate and applicable, references to “USAID” or “Department of State” shall be interpreted to mean “IRI” and “Subrecipient” to mean “lower-tier subrecipients”. Included by reference are 2 C.F.R. parts 200, 600 and 700 and USAID Standard Provisions for Non-US Non-governmental Organizations/US Department of State Standard Terms and Conditions. The allowability of costs incurred by non-profit organizations and institutions of higher education is determined in accordance with the provisions of 2 C.F.R. Part 200 Subpart E, “Cost Principles.” The allowability of costs incurred by commercial organizations and those non-profit organizations listed in Appendix VIII to 2 C.F.R. 200 is determined in accordance with the provisions of the Federal Acquisition Regulation (FAR) at 48 C.F.R. Part 31, the

Department of State Acquisition Regulation at 48 C.F.R Part 631, and Agency for International Development, 48 C.F.R. Part 731.

### **IRI Obligations**

Issuance of this RFA does not constitute an award commitment on the part of IRI, nor does it commit IRI to pay for costs incurred in the preparation and submission of an application.

### **Required Certifications**

The following certificates need to be signed by all Applicants. These certifications are an integral part of the application. Please print them off and send back to us with your application after signature on each certificate. They are:

- Certification Regarding Terrorist Financing
- Narcotics offenses and drug trafficking- key individual certification
- Certification regarding debarment, suspension, ineligibility and voluntary exclusion lower tier covered transactions
- Certification regarding allocation of funding resources
- Conflict of interest statement
- Lobbying disclosure
- Authorized Individuals
- Taxpayer Identification Number

## Applicant Checklist

The following information is required for your application to be considered complete. Incomplete applications may be removed from consideration. Please fill out the checklist below to indicate what information your organization will be submitting for review.

- Application which includes the following:
  - Background on the organization
  - A comprehensive explanation of the methods to be used for implementation
  - Name, address, DUNS Number (required) and telephone and facsimile numbers of the Applicant (and electronic address if available);
  - List of at least five previously executed awards
  - Third-party evaluations of past activities (if available)
  - List of current and past projects and funding sources and any potential impact current activities might have on this award.
- Attachments
  - Copy of organization's legal registration documents
  - Resumes/CV of all individuals who will be responsible for the programmatic and financial management
  - Audited financial statements and management letters for the last three years
  - Statement detailing revenues from the last three years
  - Detailed Cost Category Budget
  - Milestone Budget
  - (if selected) detailed allocation policy
  - (For CR) Accounting Questionnaire
- Certifications (following this checklist)
  - Certification Regarding Terrorist Financing
  - Narcotics offenses and drug trafficking- key individual certification
  - Certification regarding debarment, suspension, ineligibility and voluntary exclusion lower tier covered transactions
  - Conflict of interest statement
  - Lobbying disclosure
  - Certification regarding allocation of funding resources
  - Authorized Individuals
  - Taxpayer Identification Number

## **CERTIFICATION REGARDING TERRORIST FINANCING**

By responding to this solicitation, the bidder provides the certification set out below:

1. The Applicant, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Applicant to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Applicant will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by IRI to the Applicant.
  - b. Before providing any material support or resources to an individual or entity, the Applicant also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Applicant should refer to the consolidated list available online at the Committee's Web site: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Applicant will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Applicant also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
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."
  - 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.
  - iv. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
- c. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of IRI funds or IRI-financed commodities to the ultimate beneficiaries of IRI assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Applicant 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.
- d. The Applicant's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Applicant that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Applicant has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Entity Name: \_\_\_\_\_  
Address: \_\_\_\_\_

**NARCOTICS OFFENSES AND DRUG TRAFFICKING- KEY INDIVIDUAL  
CERTIFICATION**

I hereby certify that within the last ten years:

1. I have 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. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have 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: \_\_\_\_\_

Entity Name: \_\_\_\_\_

Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are 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 you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 13CFR Part 145. The regulations were published as Part VII of the May 26, 1988 Federal Register (pages 19160-19211).

Copies of the regulations may be obtained by contacting the person to which this proposal/bid/application/quote is submitted.

1. By signing and submitting this proposal/bid/application/quote, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal/bid/application/quote is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal/bid/application/quote that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the IRI.
6. The prospective lower tier participant further agrees by submitting this proposal/bid/application/quote that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 above, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
  
1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
  
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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

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

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Entity Name: \_\_\_\_\_

Address: \_\_\_\_\_



## CONFLICT OF INTEREST STATEMENT

IRI is committed to integrity in procurement, and only selects suppliers based on objective business criteria such as price and technical capacity.

IRI does not tolerate fraud, collusion among bidders, falsified proposals/bids, bribery, or kickbacks. Any entity or individual violating these standards will be disqualified from this procurement, barred from future procurement opportunities, and may be reported to both USAID and the U.S. Office of the Inspector General.

IRI employees and agents are strictly prohibited from asking for or accepting any money, fee, commission, credit, gift, gratuity, object of value or compensation from current or potential vendors or suppliers in exchange for or as a reward for business. IRI employees and agents engaging in this conduct are subject to termination and will be reported to USAID and the U.S. Office of the Inspector General. In addition, IRI will inform USAID and the U.S. Office of the Inspector General of any supplier offers of money, fee, commission, credit, gift, gratuity, object of value or compensation to obtain business.

By signing this certification, the bidder agrees to:

- Disclose as part of the proposal submission any close, familial, or financial relationships with IRI staff and agents. For example, the bidder must disclose if a bidder's mother conducts volunteer trainings for IRI.
- Disclose as part of the proposal submission any family or financial relationship with other bidders submitting proposals. For example, if the bidder's father owns a company that is submitting another proposal, the bidder must state this.
- Certify that the prices in the bid/proposal/application/quote have been arrived at independently, without any consultation, communication, or agreement with any other bidder or competitor for the purpose of restricting competition.
- Certify that all information in the proposal and all supporting documentation are authentic and accurate.
- Certify understanding and agreement to IRI's prohibitions against fraud, bribery and kickbacks.

Please contact IRI Contracts Officer Halina Manno at [hmanno@iri.org](mailto:hmanno@iri.org) for any questions or concerns regarding the above information or to report any potential violations.

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Entity Name: \_\_\_\_\_  
Address: \_\_\_\_\_

## 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 subcontracts, subgrants, 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.

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Entity Name: \_\_\_\_\_  
Address: \_\_\_\_\_

**CERTIFICATION REGARDING ALLOCATION OF FUNDING RESOURCES**

By responding to this solicitation, the bidder provides the certification set out below:  
The Applicant to the best of its current knowledge certifies that the Level of Effort (LOE) stated in the cost category budget submitted with this proposal is correct and adequate to complete the scope of work.

The Applicant also certifies that all costs, including indirect costs submitted as part of this proposal are properly allocable to IRI and any other USG awards on the basis of a beneficial or causal relationship between the expenses incurred and the USG awards to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently across all USG awards.

If the Applicant is claiming the 10% de minimis rate in the budget, this methodology once elected will be used consistently for all US Government funded awards until such time as the Applicant chooses to negotiate for a rate, which the Applicant may apply to do at any time.

In the event that any of the personnel assigned to the project are collaborating directly or indirectly with another international cooperation project, we will notify the administrator of the project IRI is implementing, understanding that the level of work should not exceed 100% among all the international cooperation programs of the United States Government. If the stated level of effort changes at any time during the implementation of the subaward, Applicant will immediately inform IRI and make adjustment, and document what other resources will be brought in to cover those responsibilities and complete the scope of work and milestone deliverables.

Signature: \_\_\_\_\_  
Date: \_\_\_\_\_  
Name: \_\_\_\_\_  
Title/Position: \_\_\_\_\_  
Entity Name: \_\_\_\_\_  
Address: \_\_\_\_\_

## **Authorized Individuals**

The offeror/bidder/applicant represents that the following persons are authorized to negotiate on its behalf with IRI and to bind the recipient in connection with this procurement:

Name	Title	Telephone	Email

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

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

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Entity Name: \_\_\_\_\_

## **Taxpayer Identification Number (TIN)**

If the offeror/bidder/applicant 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 the recipient's TIN:

TIN: \_\_\_\_\_

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

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

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Entity Name: \_\_\_\_\_