

**Request for Proposal**  
**for**  
**Production of White Board Animation Video**

RFP Number:	PYWD/Prog/025
RFP issued by:	Louis Berger – Punjab Youth Workforce Development Project
RFP Issuance Date:	February 11, 2019
Last date for submission of Proposal/ Quotation:	1700 Hours, February 14, 2019
Address for submission of Proposals/ Quotations:	The Award Committee Louis Berger – Punjab Youth Workforce Development Project House 164-A, Ahmed Block, New Garden Town Lahore, Pakistan
For additional information/ questioning/ clarification:	Mr. Shafqat Ismail, Procurement Specialist Email: <a href="mailto:Sismail@louisberger.com">Sismail@louisberger.com</a>

## **Request for Proposal for Production of White Board Animation Video**

### **RFP Number: PYWD/Prog/025**

Dear Applicants/ Bidders,

Louis Berger has been awarded Punjab Youth Workforce Development (PYWD) Project by United States Agency for International Development (USAID). PYWD Project aims to train and provide employment for youth, currently in Multan, Lodhran, Muzaffargarh and Bahawalpur districts of Punjab, Pakistan. With head office in Lahore, the PYWD project, is being implemented with the assistance of its two Subcontractors. In addition, the project is being executed in coordination with public and private institutions, who are providing vocational training and create employment opportunities for youth in focus districts of Punjab-Pakistan; building capacity of youth-serving institutions for skill training and mobilize local communities for youth development. The PYWD project also supports the overarching goals of Punjab Youth Policy.

Louis Berger PYWD Project welcomes the submission of proposals for production of White Board Animation Video, as per the requirements given in Section 3 of this Request for Proposal (RFP) document. The project anticipates awarding Fixed Price Subcontracts/ Purchase Orders after evaluation of proposals/ quotation on criteria given in Section 4. The project will retain the provided information in its record and may also solicit revised/ additional quotations from shortlisted companies/ vendors/ Service Providers. This RFP is comprised of five (5) sections as listed below:

- Section 1: Summary Information
- Section 2: Instructions to the bidder/ offerors
- Section 3: Scope of Work
- Section 4: Evaluation Criteria and Process
- Section 5: Required Certifications

This solicitation process does not constitute an award commitment on the part of Louis Berger, PYWD Project, its Subcontractors, USAID and/or any other organization or associated agency. Louis Berger PYWD Project reserves the right to accept or reject any bid, and to cancel the solicitation and bidding process at any stage and/or reject all bids at any time prior to award, without thereby incurring any liability to bidders or any obligation to inform bidders of the grounds for such action. Louis Berger PYWD Project will not pay for any costs incurred in the preparation or submission of a proposals or quotations. Due to shortage of processing and implementation time, only shortlisted entities will be contacted for final selection.

Requests for additional information, clarifications or other questions must be submitted in writing to Procurement Specialist, Mr. Shafqat Ismail (through email [Sismail@louisberger.com](mailto:Sismail@louisberger.com)), in accordance with Section 2 of this document by 1700 hours February 14, 2019.

The Project look forward for making award(s) to the most advantageous offer and individual enquiries may not be entertained for determination of status of applications and feedback on the process.

Best Regards

The Awards Committee  
Louis Berger – PYWD Project  
House 164-A, Ahmed Block  
New Garden Town, Lahore, Pakistan

## SECTION 1 - SUMMARY INFORMATION

### 1.1 RFP Document Issued By:

This Request for Proposal (RFP) document has been issued by Louis Berger. Louis Berger has been awarded Punjab Youth Workforce Development (PYWD) Project by United States Agency for International Development (USAID). PYWD Project aims to train and provide employment for youth, currently in Multan, Lodhran, Muzaffargarh and Bahawalpur districts of Punjab, Pakistan. The PYWD Project is being executed in coordination with public and private institutions, who are providing technical and vocational training and create employment opportunities for youth in focus districts of Punjab; building the capacity of youth-serving institutions for skill training and mobilize local communities for youth development. The PYWD project also supports the overarching goals of Punjab Youth Policy.

### 1.2 Activity Objective:

This request for proposal is being issued to solicit Proposals/ Quotations from qualified companies/ Service Providers, for producing a 2-3-minute (whiteboard animation) introductory video showing Projects key achievements, learnings and best practices. Moreover, the **aim** of the video is to highlight how project is enhancing the technical and vocational education and training sector, mobilizing target communities and improving the standard of living for youth in southern Punjab.

The required video shall also demonstrate the impact of studies, researches, events and campaigns carried out to meet following results:

- Increased economic opportunities for youth
- Enhanced and socially constructive attitudes among beneficiaries

The animator/firm should have expertise and qualified creative personnel capable of designing creative concepts, animations and post-production with guidance from our internal communications team.

### 1.3 RFP Number: PYWD/Prog/025

While making any correspondence or submission of any proposal/ quotation in response to this RFP Document, please mention the given RFP number for reference.

### 1.4 Questions or Requests for Additional Information/ Clarifications:

Questions, requests for additional information, clarifications must be submitted in writing through email to Procurement Specialist, Mr. Shafqat Ismail (Email: [sismail@louisberger.com](mailto:sismail@louisberger.com)). Verbal requests/ telephone calls will **NOT** be entertained.

### 1.5 Last date for submission of Proposals/Quotations:

Last date of the submission of quotations/ proposals is Thursday, February 14, 2019 by 1700 hours Pakistan Standard Time (PST). The proposals should be addressed to The Award Committee - PYWD Project. The proposals are required to be received at the address mentioned below:

The Award Committee  
Louis Berger  
Punjab Youth Workforce Development (PYWD) Project  
House 164-A, Ahmed Block,  
New Garden Town, Lahore, Pakistan

PYWD Project Award Committee reserves the rights to reject any or all submitted

proposals at its discretion and is under no obligation to issue an award. Similarly, the issuing authority may cancel the bidding process and reject all bids at any time prior to award, without thereby incurring any liability to bidders/ applicants or any obligation to inform bidders/ applicants of the grounds for such action.

**1.6 Amendment of RFP Document:**

The Award Committee - PYWD Project reserves the right to amend this RFP document upon written notice to bidders/applicants and/or through advertisement on website [www.brightspyre.com](http://www.brightspyre.com)

Louis Berger reserve the right to amend the scope of work required at any time before the award of subcontract/ purchase order to the successful bidders/ vendors.

**1.7 Award of Purchase Order/ Subcontract:**

After completing the procurement process by PYWD Project, Louis Berger shall award the Purchase Order/ Subcontract for the Supply of services at, on recommendations of PYWD Project Award Committee. The basis of Award shall be as under:

- (A) The PYWD Award Committee may recommend awarding a Purchase Order/ subcontract based on initial offers received without discussions. Therefore, each initial offer should contain the Offeror's/ bidders best terms from the cost/price and technical standpoint. It is intended that in project's life, the Award Committee will use this RFP process for recommendation to award of Purchase Orders/ Subcontracts for similar items specified in Section 3 of this document.
- (B) The Awarding Agency will base the potential award of a Subcontract/ Purchase Order resulting from this solicitation to the responsible Offerors/ bidder whose offer conforming to the solicitation which is most advantageous to the project, considering cost/ price or other factors considered, as detailed in this RFP Document. The selection criteria are given in Section 4 and associated covenants/ requirements are mentioned in Section 2 of this document.
- (C) Prior to get into the award process, the Awarding Agency may seek additional information and complete necessary Administrative Procedures. The Award Process is subject to compliance of Tax Laws of Islamic Republic of Pakistan, regulation of USAID, procurement rules and necessary approvals from competent authorities.
- (D) This solicitation does not commit Louis Berger, PYWD Project, USAID or any associated agency/ partner organization to make a contract award. The Award Committee of PYWD Project may (a) reject any or all offers, (b) accept other than the lowest offer, and (c) waive informalities or irregularities in offers received.

## **SECTION 2: INSTRUCTIONS TO THE BIDDER/ OFFERORS**

### **2.1 General:**

Eligible offerors are invited to submit proposals are under no obligation to do so. Offerors/bidders will **NOT** be reimbursed for any costs incurred in connection with the preparation and submission of their proposals/quotations. PYWD Project - Award Committee looks forward making an award to the most advantageous offer and due to shortage of processing and implementation time, only shortlisted entities may be contacted for final selection. Individual enquiries will not be entertained for determination of status of applications.

### **2.2 Type of Award:**

PYWD Project Award Committee contemplates awarding **Fixed Price** subcontract(s)/ Purchase Order(s) through this RFP process. Payments terms may be decided after negotiation with the shortlisted firm/ offeror/ bidder.

The Offeror shall follow the instructions contained herein and supply all information as required. Failure to furnish all information requested may disqualify a proposal/ quotation. A responsive proposal/ quotation is one that fully complies with all terms and conditions of the RFP document without modification. Incomplete Proposals/ Quotations will not be considered for further processing.

### **2.3 Receipt of Proposal and Acceptance Period:**

Proposals must be received by Thursday, February 14, 2019, 1700 hours Pakistan Standard Times (PST). The proposals/ quotation may be submitted in hard or soft copy after signatures of authorized signatory and company seal of the applicant. Soft copy of the proposal can be submitted through email to Mr. Shafqat Ismail, Procurement Specialist, email: sismail@louisberger.com

Digital/ Soft copy of the proposals should also be attached with the hard copy using portable Universal Serial Bus (USB)/ flash drive. The digital copy of the financial proposal/ quotation should be submitted in MS-Excel file format for analytical and comparison purposes. Other than financial offer, the documents can be provided in MS Word, PDF or JPEG format.

### **2.4 Preparation of Proposals**

The offeror/ bidder may submit proposal/ quotation for scope of work, given in Section 3 of this document. All sections of the proposal should be completed in accordance with paragraph 2.7 of Section 2 of this document. Documentation must be typewritten in English and signed by an individual authorized to commit an offer on behalf of your firm/ company. The completed forms shall have no erasures except those necessary to correct errors made by the Offeror, in which case such corrections shall be initialed by the person or persons signing the offer.

### **2.5 Source and Nationality Requirements:**

All goods and services offered in response to this advertisement are to be quoted and supplied, must meet USAID Geographic Code 937 in accordance with the United States Code of Federal Regulations (CFR), 22 CFR §228. The cooperating country for this procurement is 'Pakistan'. Please fill and attach the Geographic Location compliance sheet (format given in Section 5) with the technical proposal after signatures and company seal. Attachment to the compliance sheet with the proposal is mandatory.

In addition, offerors/ bidders may not offer or supply any commodities or services that

are manufactured or assembled in, shipped from, transported through, or otherwise involving any of the following countries: **Burma (Myanmar), Cuba, Iran, North Korea, (North) Sudan, Syria.**

## **2.6 Arbitration and Grievance Resolution:**

The Chief of Party (COP) of Punjab Youth Workforce Development Project will be the final authority and sole for arbitration. Any grievance or complaint regarding procurement process or decision should be addressed to the COP – PYWD Project.

## **2.7 The Proposal/ Quotation:**

The Proposal should be in the English language, typed, on white paper, single-spaced, with each page numbered consecutively. The below mentioned requirements are meant to have a complete picture of the applicant organization. Please use additional documents/ information, as you feel necessary and relevant.

A standard proposal package should comprise of following:

- A. Cover Letter
- B. The profile of the firm/ company
- C. Technical proposal
- D. Financial proposal/ quotation based on price of single unit.
- E. Required Certifications, as given in Section 5

The detail of each section of the proposal is given below:

### **2.7.1 Cover Letter**

The cover letter should be written on the letterhead of the firm/ company and it should:

1. State that the proposal is made to The Award Committee, PYWD Project.
2. State the Solicitation number for reference.
3. Furnish contact details of the company and contact person. This information should include full legal name, address, telephone & fax number, email of the organization, and the date of submission.
4. Contact detail of focal person for the proposal.

### **2.7.2 The profile of the Firm/ Company:**

The profile of the company should include but not limited to:

- List of office and branch offices, inside and outside Pakistan, if any
- Accreditation and affiliations with other companies/ organizations, if any
- Past Performance Information: List up to 3 of the most relevant contracts for similar works in the subject proposal. Please also mention the Pakistani Rupees/ US\$ value of such services, year of execution of the contract, name and contact details of the clients. Checks may be undertaken at any time, at the discretion of Awards Committee.
- Please provide at least 3 samples, similar to required videos.
- Undertaking by the applicant that organization has never been black-listed, nationally or internationally for undertaking any procurement by Public or Private organization.
- Registration status with the Income Tax and Sales Tax authorities. Please also attach PNTN, if registered in Punjab Tax Authorities, copy of NTN and GST.

### **2.7.3 Technical Proposal:**

The technical proposal should provide brief description of how the agency will approach and complete the required works and make deliverables given in scope of work, Section 3. Offerors/bidders are encouraged to suggest details, and if appropriate, offer alternative and/or additional suggestions. The offerors are also encouraged to include catalogs and pamphlets that substantiate the capacity of the applicant firm/ company to undertake the required works, as relevant.

The technical proposal should also include detailed technical specifications, list of auxiliary services to make the video more attractive and affective for the intended audience. The scope of work will include:

- 2-minute Video in the **whiteboard** format with custom hand drawn colorful characters, landscapes, architecture, infographic, statistics, icons, products and services.
- Voiceover recorded in Urdu & English (both or either one). Sound effects will be added with creative symbolic icons and animation.
- All descriptive drawings will be designed specifically for the project
- Subtitles will be embedded in the video
- Tasks include concept, script, screenplay design, story/mood boards, hand-drawn imagery, animation, coloring, sound design, voice over recording and revisions after getting feedback.
- Assignment should be completed in 8-weeks' time.

#### **2.7.4 Financial Proposal**

The Offeror are requested to:

- Prepare financial proposal (Quotation) in Pakistani Rupees or US\$.
- Quote prices that must be valid for at least 60 (sixty) calendar days from the last date of submission of proposal.
- Mention the General sales Tax (GST) amount separately, if applicable.
- Undertake that applicable penalty by Pakistani tax authorities shall be paid by your company, in case your company is not registered with the GST authorities.

PYWD Project is funded by USAID under Pakistan Enhanced Partnership Agreement (PEPA) between the United States of America and Islamic Republic of Pakistan. Therefore, the bidder must include GST in their financial bid separately. Later successful bidder will provide GST Invoice (Advance Copy) for which PYWD Project will provide the appropriate GST exemption document through Economic Affairs Division to the successful Bidder.

Louis Berger - Award Committee intend to award a subcontract based on offers received without further discussions. Therefore, each offer should contain the Offeror's/ bidder's best terms from the cost or price and technical standpoint.

#### **2.7.5 Required Certifications**

The bidders/ offerors are required to attach the certifications given in section 5 of this RFP with their proposal after signatures and stamp of the company.

### **2.8 Important Note:**

In cooperation with the Office of the Inspector General, USAID/Pakistan established the "Anti-Fraud Hotline" to provide an avenue for the reporting of fraud, waste, and abuse potentially associated with USAID-funded projects in Pakistan. The Anti-Fraud Hotline handles complaints with complete confidentiality and individuals are encouraged to

report when corruption, fraud, waste or abuse may exist in the USAID/Pakistan activities. Reports can be filed anonymously via the easy-to-use Hotline (toll free number 0800 84700); e-mail at [complaints@antifraudhotline.com](mailto:complaints@antifraudhotline.com); fax at 021-35390410; postal address at 5-C, 2nd Floor Khayban-e-Ittehad, Phase VII, DHA, Karachi, Pakistan; and on the website [www.anti-fraudhotline.com](http://www.anti-fraudhotline.com).



## SECTION 3: SCOPE OF WORK

### 3.1 Purpose of activity:

Production of a Whiteboard Animation Video Showcasing Key Achievements, Learnings and Best Practices of USAID-Punjab Youth Workforce Development Project

### 3.2 Background:

In Pakistan, slow economic growth and inadequate educational system, combined with limited economic opportunities, have contributed to high levels of youth unemployment. Deep socio-economic inequalities can engender at-risk communities where instability thrive and where women are restricted from pursuing vocational training and securing jobs. Rising unemployment must be addressed to provide a better standard of living to the youth, which now comprises more than half of the country's total population. Southern Punjab, like the rest of Pakistan, also suffers from a mismatch between trained workers and the needs of industry, creating a vicious cycle in which youth are unable to access existing workforce opportunities while industry suffers from a labor force with low productivity.

USAID-Punjab youth workforce development project, which is a three-year project (2016-2019) aims to train and provide employment for 10,000 youth of Bahawalpur, Lodhran, Multan and Muzaffargarh districts in South Punjab, including 35 percent women. Moreover, the video will showcase the project contributions with respect to providing gainful employment and entrepreneurial opportunities to the youth. In order to increase stability is focus areas project has been working on creating socially constructive attitudes among youth, communities and other stakeholders. Project through Behavior Change Communication Campaign is sensitizing individuals and groups to create awareness and generate support to promote positive Behavior Change.

The USAID-PYWD project comprises three main components:

- **Community engagement:** The project engages youth and communities in the four target districts to build community support for expanding youth employment opportunities.
- **Institutional capacity building:** The project is strengthening the capacity of 22 local technical or vocational institutions to provide updated, market-driven courses that equip youth with skills that will allow them to take advantage of emerging job opportunities.
- **Access to workforce education and training:** In partnership with leading training providers, the project provides job placements as well as career counseling services to youth and assists them in starting their own businesses by providing interest-free microfinance loans and entrepreneurship trainings.

<b>Development Objective: Increased Stability in Focus Areas</b> (Multan, Bahawalpur, Muzaffargarh & Lodhran)	
Youth economic opportunities Increased	Socially constructive attitudes among youth and their communities enhanced
Selected training institutions' capacity enhanced	Local community in focus areas engaged
Selected youth enrolled with training institutes, apprenticeship program & placed through career counseling services	Messages on positive social attitude and training opportunities communicated
Self-employment enterprises supported	

### 3.3 **The Purpose:**

USAID-PYWD Project seeks an animation service provider capable of producing a 2-3-minute (whiteboard animation) introductory video showing Projects key achievements, learnings and best practices. Moreover, the aim of the video is to highlight how project is enhancing the technical and vocational education and training sector, mobilizing target communities and improving the standard of living for youth in southern Punjab.

The video will also show the impact of studies, researches, events and campaigns carried out to meet following results:

- Increased economic opportunities for youth
- Enhanced and socially constructive attitudes among beneficiaries

The animator/firm should have expertise and qualified creative personnel capable of designing creative concepts, animations and post-production with guidance from our internal communications team.

### 3.4 **Terms Brief**

The scope of animation will include:

- 2-minute Video in the **whiteboard** format with custom hand drawn colorful characters, landscapes, architecture, infographic, statistics, icons, products and services.
- Voiceover recorded in Urdu & English (both or either one). Sound effects will be added with creative symbolic icons and animation.
- All descriptive drawings will be designed specifically for the project
- Subtitles will be embedded in the video
- Tasks include concept, script, screenplay design, story/mood boards, hand-drawn imagery, animation, coloring, sound design, voice over recording and revisions after getting feedback.
- Assignment should be completed in maximum 8-weeks' time.

### 3.5 **Qualifications, Background and Experience:**

Animation requires a high level technical/professional expertise and creativity; therefore, successful firm/candidate is required to have the following qualifications:

- Three examples of past whiteboard animation videos they have directly designed and produced (firm should have the copyrights of the video).
- Three examples should be produced preferably for the social sector
- Demonstrated competency with developing and producing whiteboard video animations and infographics for video infomercials.

Note: The proposal should provide the following information:

- i. Technical proposal: Outline and methodology for undertaking the video animation, as well as, the detailed work plan showing the assignment's important activities and milestones.
- ii. Detailed Company Profile
- iii. Financial proposal: Including a detailed quotation for the production of the video animation in PKR and/or USD.
- iv. Contact details of three past performance references.
- v. Three whiteboard Animation Videos produced for the social sector.

### **Deliverable, Process & Timeline:**

2-minute whiteboard animation video;

- Scripting Process – 7-10 days  
Review information and begin first script draft  
Rounds of script  
Create basic visual concepts  
Select art style
  
- Art Phase - 7-10 days  
Share drawing sequence  
Art revisions  
Select voice talent  
Finalize and approve drawing sequence and technique
  
- Recording and Editing - 7-10 days  
Approved artwork should be recorded live under camera  
Music, voice over and sound effects added  
Revisions depending on the feedback received  
Review and approve video  
Final video and source files delivered

If you are the creative animation house we are looking for, submit your interest and at least 3 samples along with the proposal.

## SECTION 4: EVALUATION CRITERIA

Evaluation criteria for selecting the successful Company/ Firm will include both technical and cost considerations consistent with the scope of work. The Awards Committee of PYWD project will assess and evaluate the proposals. The relative weight accorded to each criterion is expressed in points with maximum 100 in total.

#	Selection Criteria	Maximum score
1.	<b>Execution and Implementation Approach:</b> Define major activities, timeline in form of Gantt chart of those activities; Techniques to be used; contents shall be provided by Berger, the Service provider shall prepare the script, including subtitle/ voice over, etc.	35
2.	<b>Capabilities and Relevant Experience:</b> The profile of the applicant organization should demonstrate capabilities and experience in similar assignments.	15
3.	<b>Delivery Period:</b> Please specify the period for Delivery of Services in Calendar days.	10
4.	<b>Financial (Price) &amp; Price Validity:</b> The prices must be quoted in PKR or equivalent US\$. GST should be specified separately. Bid validity of should not be less than 60 calendar days	40
<b>Total Score</b>		<b>100</b>

### Key Points in evaluation of Proposals:

- 4.1 To assist in the evaluation of proposals, the Award Committee may, at its discretion, ask any applicant for a clarification of its proposal which shall be submitted within a stated reasonable period of time. Any request for clarification and all clarifications shall be in writing. If applicant does not provide clarifications of the information requested by the date and time set in Louis Berger's request for clarification, its proposal may be rejected.
- 4.2 Section 3 of this RFP provides guidance to offerors/ bidders concerning the documentation necessary to conduct an informed evaluation of each Bid. The bidders must furnish adequate and specific information in the proposals. A proposal may be eliminated from further consideration before a detailed evaluation is performed if the proposal is considered obviously deficient as to be totally unacceptable on its face or which prices are inordinately high or unrealistically low.
- 4.3 Louis Berger shall use all the factors, methods and criteria defined in the evaluation criteria to evaluate the bids of the Bidders and any specialist subcontractors. Louis Berger reserves the right to waive minor deviations in the evaluation criteria if they do not materially affect the capability of a Bidder to perform the contract.
- 4.4 The Award Committee reserves the right to award a contract under this RFP based on initial offers without discussions. Similarly, the committee also reserves the right to accept or reject one or all proposals received against this RFP.
- 4.5 Bidders shall not have a conflict of interest. Bidders shall be considered to have a conflict of interest, if they participated as a consultant in the preparation of the design or technical specifications of the works that are the subject of this solicitation. Where a firm, or a firm

from the same economic or financial group, in addition to consulting, also has the capability to manufacture or supply goods or to construct works, that firm, or a firm from the same economic or financial group, cannot normally be a supplier of goods or works, if it provided consulting services for the contract corresponding to this solicitation, unless it can be demonstrated that there is not a significant degree of common ownership, influence or control.

4.6 Louis Berger requires that Suppliers, Contractors, and Consultants observe the highest standard of ethics during the procurement and execution of such contracts. In pursuit of this policy, Louis Berger:

- (a) Defines, for the purposes of this provision, the terms set forth below as follows:
  - (i) “corrupt practice” means the offering, giving, receiving, or soliciting of anything of value to influence the action of a public official in the procurement process or in contract execution; and
  - (ii) “fraudulent practice” means a misrepresentation of facts in order to influence a procurement process or the execution of a contract to the detriment of the Borrower, and includes collusive practices among Bidders (prior to or after bid submission) designed to establish bid prices/ proposal at artificial, non-competitive levels and to deprive the borrower of the benefits of free and open competition;
- (b) Will reject a Bid/ proposal for award if it determines that the Bidder recommended for award has engaged in corrupt or fraudulent practices in competing for the Contract; and
- (c) will declare a firm ineligible, either indefinitely or for a stated period of time, to be awarded a subcontract if it at any time determines that the firm has engaged in corrupt or fraudulent practices in competing for, or in executing, a Louis Berger financed contract.

4.7 Any attempt by a Bidder to influence Louis Berger’s representatives in the evaluation of the bids or contract award decisions may result in the rejection of its bid/ proposal.

## **SECTION 5: REQUIRED CERTIFICATIONS**

Following certificates need to be signed by all applicants. These certifications are integral part of the proposal. Please print the below certificates and send back to us with your proposal after signature and stamp on each certificate. These certificates are:

- ✓ Certification Regarding Terrorist Financing
- ✓ Narcotics offenses and drug trafficking- key individual certification
- ✓ Narcotics offenses and drug trafficking - participant certification
- ✓ Certification regarding debarment, suspension, ineligibility and voluntary exclusion lower tier covered transactions
- ✓ Source and Nationality Compliance Form

### **Certification Regarding Terrorist Financing Implementing E.O. 13224**

USAID requires that recipients sign the certification below as a prerequisite to receiving a grant from a U.S. Government source. By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient has not provided 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.

2. Specifically, in order to comply with its obligations under paragraph 1, the Recipient will take the following steps:

- a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not appear (i) on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf> , or (ii) on any supplementary list of prohibited individuals or entities that may be provided by USAID to the Recipient. The Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm> .
- b. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware or that is available to the public.
- c. The Recipient 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, safe houses, 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 sub national groups or clandestine agents; or
  - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

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

APPLICANT:

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

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



**ANNEX B.1**

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

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: \_\_\_\_\_

Organization: \_\_\_\_\_

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.

**ANNEX B.2**

**PARTICIPANT CERTIFICATION  
NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

- a. 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.
- b. I am not and have not been an illicit trafficker in any such drug or controlled substance.
- c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

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

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

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

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 participants 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.

## ANNEX C

### **Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion Lower Tier Covered Transactions**

#### (a) Instructions for Certification

1. By signing and submitting this proposal, 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 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, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal 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 department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ 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. Each participant may, but is not required to, check the Non procurement List.

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 of these instructions, 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/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, 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.

Solicitation No: RFA No.

Application/ Proposal No.

Date of Application/Proposal:

Name of Recipient:

Typed Name and Title

Signature \_\_\_\_\_ Date

**ANNEX D**

**SOURCE AND NATIONALITY COMPLIANCE FORM**  
**(Attachment of this form with Technical Proposal is must)**

The purpose of this form is to gather information from bidders about source/nationality compliance. The authorized USAID geographic code for the USPCAS-E is 937.

**1. Origin:**

While the concept of “origin” has been deleted from the USAID procurement regulations, there are still significant U.S. regulations (such as OFAC regulations) that prohibit transactions with certain countries. As such, I confirm that the quoted items are not manufactured, grown, produced, shipped from, or otherwise originate from any of the following countries: ***Burma (Myanmar), Cuba, Iran, North Korea, (North) Sudan, or Syria.***

No, I cannot confirm

Yes, I confirm this is true.

**2. Source:**

The offered good are “Available for Sale” in the Cooperating Country:

- Supplier is an authorized sales representative/dealer of the manufacturer in the cooperating country. (Yes /NO)  
If yes please provide brief introduction and attach copies of dealership certifications.
- Quoted items are included in supplier’s standard catalog. (Yes /NO)  
If yes, attach catalog.
- Supplier certifies that quoted items are routinely traded or offered for sale in the cooperating country. (YES /NO)
- Supplier has an installation base in the cooperating country. (YES / NO)  
If yes provide some details of after sale support points with complete addresses.
- Offered equipment is serviceable by the supplier and has a valid warranty in the cooperating country (YES / NO)  
IF yes, please provide details of capability how equipment is serviceable in cooperating country
- Complete details of type of warranty offered in cooperating country (or attach standard warranty terms and conditions offered).
- Supplier will be responsible of ensuring that after sale service support / spare parts are available will try all efforts to make it available. (Bidder / Supplier agrees with is statement) (Yes / NO)

**For items purchased outside of the cooperating country:**

If the items are not “available for purchase” in the cooperating country, identify the “source” of the equipment and describe compliance with the authorized geographic code 937:

**The items will be imported from source is**

[Describe the "source" countries and compliance with the authorized geo code.]

3. **Nationality:**

Per 22 CFR 228.12, organizations must meet both (a) and (b) below, as well as either (c) or (d):

- A. The supplier is incorporated or legally organized under the laws of a country in the authorized geographic code:  
[Describe the supplier's registration status; attach a copy of their business license or official registration to support registration status.]
- B. The supplier is operating as an "on-going concern" in a country in the authorized geographic code.
- C. The supplier is managed by a governing body, the majority of who are citizens (or lawful permanent residents) of countries in the authorized geographic code:  
[Provide details and/or attach a certification from the supplier documenting that they comply with this.]
- D. The supplier employs citizens (or lawful permanent residents) of countries in the authorized geographic code, in more than 50% of its permanent full-time positions and more than 50% of its principal management positions:  
[Provide details, such as organizational chart with information, and/or attach a certification from the supplier documenting that they comply with this]