

**DEPARTMENT OF LABOR  
Bureau of International Labor Affairs**

**Project to Strengthen Worker Organizations in Haiti and Peru**

**ANNOUNCEMENT TYPE:** New. Notice of Availability of Funds and Solicitation for Cooperative Agreement Applications.

**FUNDING OPPORTUNITY NUMBER:** SGA 12-17

**CATALOG OF FEDERAL DOMESTIC ASSISTANCE (CFDA) NUMBER:** Not applicable.

**KEY DATES:**

- **Issuance Date:** October 9, 2012
- **Closing Date:** November 15, 2012
- **Closing Time:** 5:00 PM EST
- **Deadline for Submission of Technical Questions:** October 18, 2012
- **Date of Award:** No later than December 31, 2012

**TOTAL FUNDING AVAILABLE FOR AWARD:** \$2.2 million.

**NUMBER AND TYPES OF ANTICIPATED FUNDING AWARDS:** One or more cooperative agreements.

**ELIGIBLE APPLICANTS:** Any commercial, international, educational, or non-profit organization(s), including any faith-based, community-based, or public international organization(s) capable of successfully building the capacity of worker organizations in Haiti and/or Peru.

**EXECUTIVE SUMMARY:** The U.S. Department of Labor (USDOL), Bureau of International Labor Affairs (ILAB) announces its intent to award up to \$2.2 million for one or more cooperative agreements to one or more organizations in order to strengthen independent, democratic worker organizations in Haiti and Peru. The duration of the projects funded by this solicitation can be up to four years and six months. The start date of program activities will be negotiated upon award of an individual cooperative agreement, but will be no later than December 31, 2012.

Applications will be accepted via electronic submission to [www.grants.gov](http://www.grants.gov) or by hardcopy (to include electronic copy/CD) hand delivered or mailed to the Grant Officer at the following address:

**USDOL/Office of Procurement Services**  
**Attn:** Brenda White, Grant Officer  
200 Constitution Avenue NW, Room S-4307  
Washington, DC 20210  
Reference: SGA 12-17

**AGENCY CONTACTS:**

**Primary:** Brenda J. White, Grant Officer      **Alternate:** James Kinslow, Grant Officer

**Email:** [white.brenda.j@dol.gov](mailto:white.brenda.j@dol.gov)

**Telephone:** 202.693.4570

**Email:** [kinslow.james@dol.gov](mailto:kinslow.james@dol.gov)

**Telephone:** 202.693.4570

Technical questions received by e-mail will be posted on USDOL/ILAB's Web site at [www.dol.gov/ILAB/grants/main.htm](http://www.dol.gov/ILAB/grants/main.htm). A list of frequently asked questions (FAQs) about USDOL's Solicitations for Cooperative Agreements will be posted on USDOL/ILAB's Web site at <http://www.dol.gov/ILAB/grants/bkgrd.htm>.

## LIST OF ACRONYMS

BWH	Better Work Haiti
CCR	Central Contractor Registration
CFR	Code of Federal Regulations
CV	Curriculum vitae
DUNS	Dun and Bradstreet Number
FOIA	Freedom of Information Act
FTA	Free Trade Agreement
GOTR	Grant Officer's Technical Representative
GPRA	Government Performance and Results Act
HHS-PMS	Department of Health and Human Services-Payment Management System
HOPE II	Haitian Hemispheric Opportunity through Partnership Encouragement Act of 2008
ILAB	Bureau of International Labor Affairs
MOU	Memorandum of Understanding
MPG	Management Procedures and Guidelines
NGOs	Nongovernmental Organizations
NICRA	Negotiated Indirect Cost Rate Agreement
OMB	Office of Management and Budget
OSH	Occupational Safety and Health
OTLA	Office of Trade and Labor Affairs
PDG	President's Policy Directive on Global Development
PICC	Performance Improvement Consultative Committee
PMP	Performance Monitoring Plan
PTPA	Peru Trade Promotion Agreement
SF	Standard Form
SGA	Solicitation for Grant Applications
TAATC	Trade Agreement Administration and Technical Cooperation
TPIN	Trader Partnership Identification Number
UN	United Nations
USDOL	U.S. Department of Labor
USG	U.S. Government
VAT	Value Added Tax

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## **I. FUNDING OPPORTUNITY DESCRIPTION**

USDOL/ILAB intends to fund projects in Haiti and Peru that will improve the capacity of worker organizations to protect the rights of vulnerable workers and engage in effective advocacy and social dialogue. USDOL/ILAB is authorized to award and administer cooperative agreements for this purpose by the Consolidated Appropriations Act, 2012, P.L. 112-74 (2011). Cooperative agreements awarded under this solicitation will be managed by USDOL's Office of Trade and Labor Affairs (OTLA). OTLA, through its Division of Trade Agreement Administration and Technical Cooperation (TAATC), manages an international technical cooperation program to promote and protect the rights of workers internationally.<sup>1</sup>

### **A. Background and Problem Statement**

*Haiti:* Country conditions in Haiti present significant challenges for workers to organize. With an estimated 80% unemployment rate, workers often have limited leverage in the workplace. Only 2% of workers operate in the formal economy, where attempts to organize meet serious obstacles and labor leaders face the threats of dismissal and blacklisting. Confrontations between the business community and workers are the norm, and very few social dialogue efforts have been successful. Approximately 60% of those who are economically active are engaged in the agricultural sector, which the Labor Code explicitly excludes from its protection of the right to organize. There are only three collective bargaining agreements in Haiti, two in the private sector and one in the public sector.

The apparel sector employs the majority of the workers in Haiti's formal economy. Even though the industry has declined from a peak of 100 factories in 1986 to 23 factories in 2012, it remains central to Haiti's economy and job creation. The number of workers employed in factories engaged in the production of textile and apparel articles for export decreased by over 10% between December 2010 (27,264) and December 2011 (24,298), mostly due to the continued impact of the January 2010 earthquake; however, orders have been increasing over the past six months and employment is expected to grow again, particularly with the opening of the Caracol Industrial Park. Problems regarding freedom of association, sexual harassment, and forced overtime appear to be widespread. Recent efforts to form unions have resulted in massive or targeted layoffs, and only a few factories have been able to reach collective bargaining agreements or establish worker-management committees at the factory level.

The Haitian Hemispheric Opportunity through Partnership Encouragement Act of 2008 (HOPE II) offers special trade preferences to Haiti in exchange for compliance with specified labor eligibility requirements that apply at both the national and individual producer levels. These requirements include apparel producer compliance with international labor standards and with directly related Haitian labor laws that are consistent with international standards. USDOL has initiated several efforts to support the labor requirements of the legislation, such as providing funding to the International Labor Organization (ILO) to implement the Better Work Haiti (BWH) program, conducting factory-level investigations of compliance with international labor standards, and providing sector-wide and factory-specific technical

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<sup>1</sup> To learn more about our work, please see <http://www.dol.gov/ilab/programs/otla/taatc.htm>

assistance on compliance with international labor standards, including freedom of association.<sup>2</sup>

*Peru:* Conditions in Peru present specific challenges to unionization. Despite the general default rule that employment contracts in Peru are indefinite in duration, Peruvian law provides that temporary or fixed-term employment contracts may be used in nine specified circumstances with a maximum duration of three to five years.<sup>3</sup> However, designated industries that have their own specialized labor regimes, such as agriculture and non-traditional exports, do not have this five year limit. Questions about the enforcement of the general law and growth of the specialized labor regimes have led to an increase in the use of temporary and fixed term contracts, including indirect contracts through contractors, subcontractors, and other third-party intermediaries. These types of contracts have been increasing most notably in the non-traditional export and agricultural sectors, which are covered by specialized labor regimes. For example, the number of temporary contracts registered in the non-traditional export sector (which includes workers in the textile, fishing, wood and paper, non-metallic minerals and jewelry sectors) has risen from 42,931 in 1994 to 272,227 in 2008.<sup>4</sup>

Workers hired on these temporary contracts are effectively barred from participating in those firms' unions due to a fear that their contracts might not be renewed.<sup>5</sup> Instead of being used for temporary purposes, these contracts are often renewed indefinitely, resulting in long-term employees who are left without any practical ability to unionize. The Government of Peru has echoed these sentiments in suggesting that “temporary contracts have been used repeatedly as a means of discouraging trade union membership” and that this has generated “negative effects on the level of social protection.”<sup>6</sup>

The Peru Trade Promotion Agreement (PTPA), which entered into force on February 1, 2009, is the first U.S. trade agreement that incorporates the groundbreaking labor rights provisions of the May 10, 2007, Bipartisan Agreement on Trade Policy.<sup>7</sup> Under the PTPA Labor Chapter (Chapter 17), both parties committed to adopt and maintain in their statutes and regulations, and practices thereunder, the rights contained in the *ILO Declaration on Fundamental Principles and Rights at Work and its Follow-Up*, including freedom of association. USDOL seeks proposals that will continue to advance the aims of the PTPA Labor Chapter, such as freedom of association and the right to organize.

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<sup>2</sup> For more information on USDOL's work in Haiti, go to: <http://www.dol.gov/ilab/map/countries/haiti.htm>.

<sup>3</sup> Peruvian Law of Productivity and Labor Competitiveness (*Ley de Productividad y Competitividad Laboral*), Legislative Decree No. 728, March 27, 1997.

<sup>4</sup> Labor Development Program (PLADES), *Encouraging Debate on the Reform of Law 22342*, presented at Peru Decent Work Multi-stakeholder Forum, March 21, 2012, Lima.

<sup>5</sup> U.S. Department of State, 2011 Country Reports on Human Rights Practices: Peru.

<sup>6</sup> International Labor Organization, 357<sup>th</sup> Report of the Committee on Freedom of Association, p. 201, ¶ 873, June 2010, Geneva.

<sup>7</sup> For more information on the PTPA, please see the Web site of the Office of the United States Trade Representative at: <http://www.ustr.gov/trade-agreements/free-trade-agreements/peru-tpa/>.

## **B. Objectives**

The overarching objective of this project is to improve the capacity of worker organizations to protect the rights of vulnerable workers and engage in effective advocacy and dialogue in Haiti and Peru.

*Haiti:* USDOL intends to support a program to build the capacity of worker organizations in the export apparel sector to organize and effectively advocate for the rights and interests of workers. The project's objectives must address the capacity of worker organizations to protect and promote workers' rights with respect to freedom of association, sexual harassment, and forced overtime.

*Peru:* USDOL intends to support a program to build the capacity of worker organizations to organize and effectively advocate for the rights and interests of vulnerable workers, including temporary and fixed-term contract workers in export sectors.

## **C. Project Interventions (Strategy, Target Population, and Partners)**

The project(s) should accomplish the above objectives, in part, by 1) improving the administrative capacity of unions and other worker organizations to perform core functions; 2) promoting transparent, democratic, and inclusive practices among worker organizations; and 3) providing training and support to worker organizations to improve their participation in social dialogue, collective bargaining, and labor law enforcement activities. The project must assist worker organizations in monitoring working conditions and advocating on behalf of workers as they pursue efforts to claim their rights.

*Haiti:* The project must strengthen the capacity of unions and other worker organizations in the textile export sector. The project must complement and coordinate with on-going efforts by USDOL and other United States Government (USG) agencies in Haiti, including efforts under HOPE II. Applicants must seek to partner with local non-governmental organizations (NGOs) currently engaged in promoting worker rights in the textile export sector and build their capacity to organize and effectively advocate for the rights and interests of workers. The strategy must also describe how the project will support effective worker participation in the CTMO-HOPE Commission and BWH, particularly with regard to the worker-manager committees (Performance Improvement Consultative Committees – PICCs) that BWH is working to establish.<sup>8</sup>

*Peru:* The project must support unions and other worker organizations, including in sectors where the use of temporary and fixed-term contract workers is weakening labor rights, particularly the right to organize. To the extent possible, the project should focus on workers in the supply chains of export sectors. The project must complement and coordinate with relevant, on-going efforts by USDOL and other USG agencies in Peru. Applicants must collaborate and support local NGOs currently engaged in promoting worker rights, particularly for temporary and fixed-term contract workers.

## **D. Post-Award Activities and Requirements**

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<sup>8</sup> See <http://www.betterwork.org/EN/Pages/newhome.aspx> for information on the Better Work program.

In addition to the project interventions that an Applicant proposes in its Technical Proposal, the Applicant must also consider the post-award activities and requirements listed in Section VI.

### **E. Deliverables**

Following the award of the grant, the Grantee must collaborate with USDOL/ILAB to develop and/or finalize the list of deliverables listed in Section VI.

## **II. AWARD INFORMATION**

USDOL/ILAB expects to award up to \$2.2 million for one or more cooperative agreements to one or more organizations to strengthen worker organizations in Haiti and Peru. The duration of the projects funded by this solicitation can be up to four years and six months. The start date of program activities will be negotiated upon award of an individual cooperative agreement, but will be no later than December 31, 2012. Current USDOL/ILAB grantees are eligible to submit applications in response to this SGA. See Section VI.B on General Requirements and Reporting for more information on USDOL/ILAB's involvement with the recipient(s) of the cooperative agreement(s).

## **III. ELIGIBILITY INFORMATION**

### **A. Eligible Applicants**

Any commercial, international, educational, or non-profit organization(s), including any faith-based, community-based, or public international organization(s) capable of successfully building the capacity of worker organizations in Haiti and/or Peru is eligible to apply. Organizations applying for this award must demonstrate a proven ability to manage complex projects in developing countries through actions that support these aims. Lack of past experience with USDOL cooperative agreements, grants, or contracts does not bar eligibility or selection under this solicitation.

All Applicants and any proposed subgrantees or subcontractors must meet the following requirements:

- Compliance with all audit requirements, including those established in OMB Circular A-133.
- Demonstrated presence in Haiti and/or Peru — either independently or through a relationship with another organization with country presence (*i.e.*, a subgrantee or subcontractor) — enabling them to initiate program activities upon award of the cooperative agreement.

The following Applicants (including subgrantees/subcontractors) will not be considered:

- Foreign governments and entities that are agencies of, or operated by or for, a foreign state or government.
- Organizations designated by the USG to be associated with terrorism or that have been debarred or suspended will not be considered..

### **B. Cost Sharing or Matching**



No cost share is required (including in-kind contributions or matching fund contributions). However, USDOL welcomes applications that include cost share. Applicants that propose cost share must indicate the nature, source(s) of funds and/or in-kind contributions, the amount/estimated value in U.S. dollars, and the proposed project activities to be performed with these resources. They must also explain how the activities will complement and enhance project objectives. After award, cost share will be incorporated into the cooperative agreement. Grantees will be required to report on these funds in their quarterly SF-425 and are liable for the full amount of these funds during the life of the cooperative agreement.

Cost sharing from subgrantees and/or subcontractors must not be directed to the Applicant or its employees for their benefit and may only be used to support the work of the project or defray its costs. Applicants may not make the award of a subgrant or subcontract contingent upon a subgrantee or subcontractor agreeing to provide matching funds.

### **C. Other**

USDOL's Office of Procurement Services will screen all applications for responsiveness. If deemed non-responsive, the office will send a letter to the Applicant, indicating the reason for the determination of non-responsiveness. The letter will indicate which document was missing from the application, if the application was deemed non-responsive due to being incomplete.

Applications will be considered non-responsive and will be rejected for any one of the following reasons:

1. Failure to submit an application by [Grants.gov](http://www.grants.gov) (<http://www.grants.gov>) or hard copy via the U.S. Postal Service or other delivery service, such as Federal Express, DHL, or UPS.
2. Failure to include the required DUNS number(s) or proof of OMB exemption(s) from the DUNS number requirement.
3. Failure to submit both a completed Technical Proposal and a completed Cost Proposal.
4. Failure to include all of the required documents and annexes in the Cost Proposal or Technical Proposal including failure to submit all required audit report(s) and failure to include most recent single audit or to demonstrate compliance with single audit submission timeframes established in OMB Circular A-133 for applications from U.S.-based non-profit organizations that are subject to the Single Audit Act. For Applicants that are foreign-based or for-profit organizations, failure to submit the most current independent financial audit will result in an application being considered non-responsive and rejected.
5. Failure to demonstrate country presence.
6. Submission of an application with budget beyond maximum amount available.
7. Inclusion of an audit report(s) that reflects adverse opinions.
8. Failure to designate key personnel candidates or not including résumés and signed letters of commitment for key personnel candidates.
9. Failure to submit an application on time.

## **IV. APPLICATION AND SUBMISSION INFORMATION**

## **A. Address to Request Application Package**

The SGA application package and any amendments can be downloaded and viewed from [Grants.gov](http://www.grants.gov) by referencing Funding Opportunity Number **12-17**. In order to view the SGA and submit applications on [Grants.gov](http://www.grants.gov), Applicants must download free Pure Edge Viewer software, available from [http://www.grants.gov/Applicants/apply\\_for\\_grants.jsp](http://www.grants.gov/Applicants/apply_for_grants.jsp). The full-text version of and the SGA is also available on USDOL/ILAB's Web site, <http://www.dol.gov/ILAB/grants/main.htm>. All necessary information, including required forms, needed to apply for cooperative agreement funding is included in this solicitation.

To request a paper copy of this SGA and other related materials, you may contact USDOL:

U.S. Department of Labor  
Office of Procurement Services  
Attn: Brenda White, Grant Officer  
200 Constitution Avenue NW, Room S-4307  
Washington, DC 20210  
Reference: **SGA 12-17**

### Agency Contacts:

Primary - Brenda J. White, Grant Officer ([white.brenda.j@dol.gov](mailto:white.brenda.j@dol.gov), 202.693.4570)  
Alternate - James Kinslow, Grant Officer ([kinslow.james@dol.gov](mailto:kinslow.james@dol.gov), 202.693.4570)

## **B. Content and Form of Application Submission**

Applications must consist of two separate parts (1) a Technical Proposal and (2) a Cost Proposal. If either is missing, the application will be considered non-responsive and will be rejected. Unless specified as "optional" or "as applicable," all documents identified in this section must be included in the application package or the application to be considered complete and responsive. Applicants' Technical and Cost Proposals must address the entire Funding Opportunity Description outlined in the SGA. Applications must be organized as outlined below. All parts of the application (including required or additional supporting documents) must be written in English. All pages of the application must be numbered. Any additional documentation submitted that is not required or specifically requested under this solicitation will not be considered.

### **1. Technical Proposal**

Applicants must prepare a technical proposal as Part I of the application. The Technical Proposal must address the Applicant's technical capacity to plan and implement the proposed project in accordance with the provisions of this solicitation. The Technical Proposal must respond to all of the requirements in the Funding Opportunity Description. The Technical Proposal must contain all of the documents outlined below unless marked as "optional" or "as applicable." Applications must be no more than 50 pages (8-1/2" x 11" with 1" margins), single-sided, double-spaced pages. Font size must be no less than 12-point Times New Roman. The Abstract, Table of Contents and required annexes to the Technical Proposal do not count toward the page limit.

### **a. Abstract**

The Abstract must include: project title, name of the Applicant, proposed subgrantees or subcontractors (as applicable), summary of the proposed project design and key project activities, funding amount requested from USDOL (up to \$2.2 million), and total dollar value of cost share (if applicable).

### **b. Table of Contents**

The Table of Contents must list all sections of the Technical Proposal narrative, as discussed in this section, and the required documents and include their corresponding page numbers.

### **c. Project Design Narrative**

The Project Design Narrative must describe in detail the Applicant's response to the Funding Opportunity Description. At minimum, the Project Design Narrative must contain the following sections:

#### **1) Background and Problem Statement**

The Applicant's Background and Problem Statement should explain the specific problems the proposed project will address and any relevant background information. This section should describe key aspects of the implementing environment that contribute to identified problem(s).

#### **2) Objectives**

The Applicant's Objectives section should clearly identify specific objectives that clearly address the challenges identified in the Problem Statement and Background section and are ambitious but realistic given the implementing environment, scope of the problems to be addressed, and proposed budget.

#### **3) Target Population and Partners**

The Applicant's Target Population and Partners section should clearly identify the target population and the intended direct and/or indirect beneficiaries of the assistance that will be provided through these funds (*e.g.*, if the Applicant intends to implement a train-the-trainers program, direct beneficiaries would be those being trained to be trainers, while the indirect beneficiaries would be those who eventually receive training from those trainers). The Technical Proposal should clearly demonstrate strong linkages between the problem statement, proposed project objectives, and proposed target population.

In designing their project strategy, Applicants should consider existing policies and programs relevant to efforts to strengthen worker organizations in Haiti and Peru, including those established by other international organizations, government, private sector and civil society organizations. Where applicable, Applicants should give priority to working with and supporting any effective, already-existing efforts to strengthen worker organizations. The Technical

Proposal must identify a list of stakeholders with whom the project will coordinate actions and clearly explain the project's relationship with those stakeholders, how those stakeholders will be involved in the project, and any activities in which stakeholders shall participate.

#### **4) Project Interventions (Strategy, Outputs, Activities)**

The Applicant's Project Interventions section should justify their selected strategy and explain how it will fill any problems or gaps identified in the Background and Problem Statement. The Applicant should clearly identify its strategy(s) for addressing the identified problems and successfully achieving its proposed objective(s). The strategy(s) should clearly elucidate an "if... then" hypothesis or link between proposed project interventions and desired impact (*i.e.*, If the project successfully implements Activity X, then it will achieve Objective A). The Technical Proposal should also clearly identify *outputs* that will be *produced* by the Applicant (*e.g.*, trainers, manuals, awareness-raising campaign) and major *activities* that the Applicant will *implement* in order to produce those outputs. Proposed strategy(s), outputs, and activities should be ambitious but realistic given the implementing environment, scope of the problems to be addressed, and proposed budget.

Applicants should demonstrate knowledge and incorporate any relevant issues about political, gender, cultural, or other traditions and norms pertaining to and impacting the efforts of worker organizations in the target sectors, including how these issues will be considered while implementing project activities. Applicants must consider long-term sustainability of all efforts in the design of the proposal.

The Applicant must include a work plan identifying major project activities, deadlines for completing these activities, and person(s) or institution(s) responsible for completing these activities. The work plan must correspond to the project design narrative. Applicants may choose the most appropriate format of the work plan. The work plan should be included as an Annex to the Technical Proposal.

#### **5) Monitoring and Evaluation**

The Applicants Monitoring and Evaluation section should communicate a strategy for measuring both a) the successful implementation of project activities and b) the impact of proposed interventions on identified beneficiaries.

The strategy for measuring the successful implementation of project activities should include a description of how the work plan will be monitored and reported upon, how deviations from the work plan will be addressed, and any proposed implementation evaluations in addition to the mid-term and final evaluations that will be conducted by USDOL.

The strategy for evaluating the impact of proposed interventions should include a description of the hypothesis to be tested, the type of data that will be collected, and the strategy for identifying causal relationships. The project should include

indicators that measure one or more of the following improvements, as a result of DOL-funded interventions:

- Improvement in the capacity of social partners to protect worker rights and/or improve working conditions.
- The number of workers better able to exercise their rights and/or that experience improved working conditions.
- The number of workers with improved livelihoods.

#### **d. Organizational Capacity**

This section must describe the qualifications of the proposed Applicant and/or any proposed subgrantees and/or subcontractors to implement the project.

##### **1) International and U.S. Government Grant and/or Contract Experience**

The Applicant should highlight its experience with implementing projects related to building the capacity of worker organizations and experience implementing projects in Haiti and/or Peru. A description of the past performance of proposed subgrantee(s)/subcontractor(s) providing direct services must also be included.

A listing of the Applicant's previous grants, cooperative agreements, and/or contracts with USDOL, other Federal agencies, and other donors that demonstrates experience relevant to this solicitation may be included as an Annex to the Technical Proposal. The list should not include work that was completed more than 10 years before the announcement date of this SGA. The list may also include the past performance of proposed subgrantee(s)/subcontractor(s). At a minimum, the list should include the following information for each individual grant, cooperative agreement, and/or contract:

- Agency/Donor/Organization for whom the work was implemented
- Agency/Donor/Organization contact information (name, telephone number, email)
- Name of the project and instrument number
- Funding amount (in USD)
- Country of implementation and period of performance
- Brief summary of work performed and major accomplishments

##### **2) Country Presence and Host Government Support**

The Applicant must address its existing presence or ability to start up project activities in Haiti and/or Peru upon signing a cooperative agreement. The Applicant should also discuss its ability to work directly with relevant government agencies and NGOs, including local organizations and community based organizations, and its past experience working with these stakeholders. The Applicant should submit supporting documentation which demonstrates country presence and outreach to host government ministries or agencies and NGOs operating in Haiti and/or Peru.

Any documents that demonstrate country presence and corroborate host government support may be included as an Annex to the Technical Proposal. This Annex will not count towards the page limit. Documentation may include official registration of the Applicant's organization in Haiti and/or Peru, current Memorandum of Understanding (MOU) between the Applicant and the host government, and letters of support for the proposed project from the national and/or local governments.

### **3) Project Management Plan**

The Applicant must discuss its project management plan. This plan must include a narrative description of the structure of the project's management team, key personnel roles and responsibilities, and the lines of authority between key personnel and other project staff directly responsible for providing direct services to project beneficiaries. If any of the project personnel would be employed by a subgrantee/subcontractor, the Applicant must provide rationale of this selection and an explanation of the staffing structure.

The Applicant must submit a project management organization chart that provides a visual depiction of the project's management structure and lines of authority among all key personnel, other project staff being proposed, proposed subgrantee(s)/subcontractor(s), and other key stakeholders (if relevant). The project management organization chart may be included as an Annex to the Technical Proposal. This Annex will not count towards the page limit.

### **4) Personnel**

Key personnel positions are deemed essential to the successful operation of the project and completion of all proposed activities and deliverables. USDOL shall retain the authority to approve all key personnel changes throughout the life of the cooperative agreement. Key personnel must allocate 100% of their time to the project and live in the country where the project is being implemented. Key personnel positions must not be combined.

Applicants must propose candidates with qualifications to successfully implement the proposed strategy. Applicants must address candidates' level of competence, past experience relevant to this solicitation and qualifications to perform the requirements outlined in the Funding Opportunity Description and the Project Intervention proposed by the Applicant. Fluency in English is required as well as working knowledge of the relevant national language/s (Spanish in Peru and Creole and French in Haiti).

Proposed key personnel candidates must sign letters indicating their commitment to serve on the project for a stated term of the service and their availability to commence work within 45 days of cooperative agreement award. USDOL encourages Applicants to hire national/local staff for key personnel positions.

The Grantee must assume full responsibility for ensuring that all key personnel have a clear and thorough understanding of USDOL policies, procedures, and requirements and that all documents submitted to USDOL are in fluent English.

The application will be considered non-responsive and rejected if any key personnel candidates are not designated.

USDOL has designated the following position(s) as key personnel. Requirements for each individual position follows.

Project Director:

- Minimum of five years of experience in project management, supervision, administration, and implementation of cooperative agreement requirements (including meeting deadlines, achieving targets, and overseeing the preparation and submission of required reports to the project donor).
- Must be employed by the Grantee (not subgrantees/subcontractors).
- Establishes and maintains systems for project operations.
- Maintains working relationships with all project stakeholders, including coalition building and public-private partnerships promotion.
- Experience in a leadership role in implementing development projects relevant to this solicitation.
- Working knowledge of Spanish (Peru) and Creole and French (Haiti)

Applicants must identify any other program personnel deemed necessary to carry out the proposed strategy and provide strong management and oversight over the administrative functions of the project (*e.g.*, financial and personnel management). Applicants must propose candidates with qualifications to successfully implement the proposed strategy and fulfill all administrative responsibilities. Fluency in English and working knowledge of local languages is preferred.

The Technical Proposal must include an Annex (this Annex will not count towards the page limit) with position descriptions (outlining roles and responsibilities) and résumés or *curriculum vitae* (CV) for all key personnel and other personnel being proposed by the Applicant. It must also include signed letters of commitment from all proposed key personnel. Each résumé or CV must include:

- Educational background, including highest education level attained.
- Relevant work experience covering at least the last five years of employment to the present, including such information as the employer name, position title, clearly defined duties, and dates of employment.
- Salary information for at least the last five years of employment to the present.
- Special experience, capabilities, or qualifications related to the candidate's ability to implement the proposed strategy or fulfill the administrative responsibilities of the project and perform effectively in the proposed position.
- English and other relevant language skills (speaking, listening, reading, writing).

## **5) Fiscal Oversight**

The Applicant must provide a narrative description and evidence that their organization has a sound financial system in place to effectively manage the funds requested under this solicitation.

### **e. Audit Report(s)**

The Applicant's Technical Proposal must include audit report(s) of the Applicant and any proposed subgrantee(s) and/or subcontractor(s) (as applicable). It must include a cover sheet to the audit attachments listing all proposed subgrantees and/or subcontractors. The following audit attachments are required, depending on the organization's status:

- For Applicants from U.S.-based non-profit organizations and all proposed U.S.-based, non-profit, subgrantees and/or subcontractors that are subject to the Single Audit Act, include the most recent single audit and demonstrate compliance with single audit submission timeframes established in OMB Circular A-133.
- For Applicants and all proposed subgrantees and/or subcontracts that are for-profit or foreign-based organizations the Applicant's most current independent financial audit.

Audit reports may be included as an Annex to the Technical Proposal. This Annex will not count towards the page limit.

## **2. Cost Proposal**

Applicants must prepare a cost proposal as Part II of the application. Applicants must describe their financial capacity to plan and implement the proposed strategy in accordance with the provisions of this solicitation. The cost proposal must reflect consistency between the proposed costs and the work to be performed as outlined in the project design narrative of the Applicant's technical proposal. The cost proposal must contain the following: (1) an SF-424 Supplemental Key Contacts Information; (2) an SF-424 Application for Federal Assistance; (3) an SF-424A Budget Information; (4) a detailed outputs-based budget and an accompanying budget narrative; (5) an indirect cost form and supporting documentation; and (6) cost sharing information, if applicable.

### **a. Dun and Bradstreet Number(s)**

Applicants must include their unexpired Dun and Bradstreet (DUNS) number in the organizational unit section of Block 8 of the Standard Form (SF)-424. Applicants proposing subgrantees or subcontractors must submit each organization's DUNS number as an attachment to the Cost Proposal.

Organizations that do not have a DUNS number can receive a DUNS number at no cost by calling the dedicated toll-free number request line at 1-866-705-5711 or by using the web-based form available at <http://fedgov.dnb.com/webform>. Registration is brief and can be completed immediately when requested by phone, or within 1-2 business days when requested through the webform.

Applicants must be registered with the Central Contractor Registration (CCR). A DUNS number is required to register with CCR. Online registration for CCR is available through its home page <https://www.bpn.gov/ccr/default.aspx>. Completing



and submitting the registration takes approximately one hour to complete and your CCR registration will take 3-5 business days to process. After registration, Applicants will receive a confirmation number. The Point of Contact listed by the organization will receive a confidential Trader Partnership Identification Number (TPIN) via mail. For any questions regarding registration, please contact the CCR Assistance Center at 1-888-227-2423.

For all U.S. organizations, an Employer Identification Number (EIN) is also required. The EIN is issued by the Internal Revenue Service and may take an additional 2-5 weeks to become active.

## **b. Required Standard Forms**

**SF-424 Supplemental Key Contacts Information:** This form must include name, position title, address, telephone and fax numbers, e-mail address, and other relevant information for the Applicant's designated key contact person.

**SF-424 Application for Federal Assistance:** This form must reflect the entire amount of funds being requested under this solicitation and if applicable, the amount of any cost sharing proposed by the Applicant must be shown in Section 18.b. All applicable DUNS Numbers must be listed in Block 8 (and as an attachment for each subgrantee or subcontractor, as applicable)

**SF-424A Budget Information (Non-Construction Programs):** This form must include all costs for proposed activities. If applicable, in line 6 Applicants must include construction activities that are: 1) over \$5,000; and/or 2) for the construction of a permanent structure (latrines, wells) reported on the SF-424.

## **c. Outputs-Based Budget**

The outputs-based budget (including USDOL funds and any cost sharing funds reported on the SF-424 and SF-424A) must comply with Federal cost principles. This budget will become part of the cooperative agreement in the event of award. Any costs omitted by the Applicant may not be allowed to be included after award. If anticipated funding from another contract, grant, or award fails to materialize, USDOL will not provide additional funding to cover these costs. Applicants' cost proposals must not depend on other contracts, grants, or awards to implement the proposed strategy. A sample of output-based budget can be found at <http://www.dol.gov/ILAB/grants/bkgrd.htm>.

The detailed Outputs-Based Budget must:

- Show how the budget reflects project goals and design in a cost-effective way.
- Link to the activities, objectives, and outputs reflected in the project design narrative, work plan, and logic model.
- Allocate the largest proportion of project resources to direct intervention rather than direct and indirect administrative costs. Applicants must provide a breakdown of total administrative costs into direct and indirect administrative costs. The Grant Officer reserves the right to negotiate project and administrative cost levels before award.

- Include sufficient funds to finance appropriate in-country and international travel.
- Allocate funds for travel by the Project Director and/or other key personnel based in the field to meet annually with USDOL officials in Washington, D.C. or another site determined by USDOL.
- Budget for the Project Director and/or another key personnel staff member to travel to Washington, D.C. for a post-award meeting, which will be held within two months of award.
- Allocate funds sufficient to cover the costs associated with project monitoring and evaluation activities and meeting reporting requirements as discussed in the SGA. The project will be responsible for certain support costs to each evaluation such as providing ground transportation for the external evaluator, hosting an evaluation stakeholders meeting, and in-country transportation and accommodation costs for staff and other stakeholder's participation in the workshop. The Applicant should also ensure that there are sufficient funds to implement the Applicant's proposed impact evaluation strategy.
- Include costs for audits or attestation engagements as direct or indirect costs, whichever is appropriate, in accordance with the cost allocation procedures approved by the U.S. Federal cognizant agency.
- Include a contingency provision, calculated at five percent of the project's total direct costs to address circumstances affecting specific budget lines related to (1) inflation affecting specific project costs; (2) UN System or foreign government-mandated salary scale or benefits revisions; and (3) exchange rate fluctuations. However, USDOL also recognizes that certain unforeseen circumstances may arise and result in a need for exceptions to these uses of contingency provision funds and a need for budget modifications or time extensions. These include (1) changes in a country's security environment; (2) natural disasters; (3) civil or political unrest/upheavals or government transitions; or (4) delays related to loss of or damage to project property.
- Applicants should discuss the possibility of obtaining customs and VAT exemptions with host government officials during the preparation of their application. While host governments are encouraged not to apply customs or VAT taxes to USDOL-funded projects, some host governments may nevertheless choose to assess such taxes. When preparing their budgets, Applicants should account for such costs, since USDOL cannot provide assistance in this regard. If these costs are omitted, a Grantee may not be allowed to include them after award.

#### **d. Budget Narrative**

The cost proposal must include a budget narrative that corresponds to the outputs-based budget. The budget narrative must include a detailed justification, broken down by line item, of all of the Applicant's costs included in the outputs-based budget. Include a justification for any proposed housing costs, housing allowances, and/or personal living expenses.

#### **e. Indirect Cost Information**

**Indirect Cost Form for the Applicant** (*including one for each proposed subgrantee and subcontractor, as applicable*): The cost proposal must also contain information on the Applicant's indirect costs, using the form provided on USDOL/ILAB's Web site at <http://www.dol.gov/ilab/grants/bkgrd.htm>.

**Indirect Cost Supporting Documentation** (*including one for each proposed subgrantee and subcontractor, as applicable*): The cost proposal must include a current, approved Negotiated Indirect Cost Rate Agreement (NICRA) or a Certificate of Direct Costs if no indirect costs are claimed.

### **3. Survey on Ensuring Equal Opportunity for Applicants (Optional)**

All Applicants are requested, but not required, to complete and include the Survey on Ensuring Equal Opportunity for Applicants (OMB No. 1890-0014) in their applications; this form is provided on USDOL/ILAB's Web site at: <http://www.dol.gov/ilab/grants/bkgrd.htm>.

## **C. Suggested Pre-Award Activities**

In addition to the project interventions that an Applicant proposes in its Technical Proposal, the Applicant may consider undertaking pre-award activities in order to strengthen their applications. Cooperative agreement funds, however, may not be encumbered/obligated by a Grantee before the period of performance. Pre-award costs, including costs associated with the preparation of an application submitted in response to this SGA, are not reimbursable under this cooperative agreement (see Section IV.D.1). Some suggested activities are:

### **1. Host Government Consultations**

Efforts should be made to avoid duplication, enhance collaboration, and develop synergies with government efforts. Applicants should seek opportunities to coordinate and/or collaborate, as appropriate, with relevant government agencies/ministries at the national, regional, and local level. Therefore, USDOL encourages Applicants to discuss proposed interventions, strategies, and activities with host government officials and work cooperatively with appropriate government agencies at the national and/or local level, as appropriate, including relevant ministries or government bodies during the preparation of their applications and in developing project interventions

### **2. Working with Other Key Stakeholders**

Applicants should coordinate with and seek to build upon previous other USG activities in the country, as well as current related initiatives carried out by other organizations. Applicants should also coordinate with projects funded by relevant U.S. Government agencies. Therefore, during the preparation of their applications and in developing project interventions, USDOL encourages applicants to work with other key stakeholders and organizations on efforts to address the problem identified by the Applicant. USDOL also encourages Applicants to establish public-private partnerships, solicit assistance from non-Federal third parties who support the goals of this solicitation, or develop innovative South-South partnerships drawing from expertise developed in relevant country contexts,.

### 3. Needs Assessment

In designing the project, Applicants may carry out a pre-award needs assessment to identify key factors contributing to the identified problem(s). The assessment should inform project design and determine relevant and effective interventions. If conducted, any pre-award needs assessment will serve as a basis for a more detailed baseline assessment and/or project design mission that may be conducted post-award in partnership with USDOL.

#### D. Submission Dates and Times

- Closing Date: **TBD**
- Closing Time: 5:00 PM EST
- Deadline for Submission of Technical Question: **TBD (XX days after publication date).**

Applicants are advised to submit their applications in advance of the deadline. Applications may be submitted via the U.S. Postal Service or non-U.S. Postal Service delivery services, such as Federal Express or UPS. Regardless of the type of delivery service selected, Applicants bear the responsibility for timely submission. The application package must be received at the designated place by the date and time specified or it will be considered non-responsive and will be rejected.

Any application received at the Procurement Services Center after the deadline will not be considered unless it is received before the award is made and:

- It is determined by the Government that the late receipt was due solely to mishandling by the Government after receipt at USDOL at the address indicated; and/or
- It was sent by registered or certified mail not later than the fifth calendar day before the deadline; or
- It was sent by U.S. Postal Service Express Mail Next Day Service-Post Office to Addressee, no later than 5:00 p.m. at the place of mailing two (2) working days, excluding weekends and Federal holidays, before the deadline.

Use of other couriers must have equivalent dated registration certification documentation.

The only acceptable evidence to establish the date of mailing of a late application sent by registered or certified mail is the U.S. Postal Service postmark on the envelope or wrapper and on the original receipt from the U.S. Postal Service. The only acceptable evidence to establish the date of mailing of a late application sent by U.S. Postal Service Express Mail Next Day Service-Post Office to Addressee is the date entered by the Post Office clerk on the "Express Mail Next Day Service-Post Office to Addressee" label and the postmark on the envelope or wrapper on the original receipt from the U.S. Postal Service.

If the postmark is not legible, an application received after the above closing time and date will be treated as if mailed late. "Postmark" means a printed, stamped, or otherwise placed impression (not a postage meter machine impression) that is readily identifiable without further action as having been applied and affixed by an employee of the U.S. Postal Service on the date of mailing. Therefore, Applicants should request that the postal clerk place a legible hand cancellation "bull's-eye" postmark on both the receipt and the envelope or wrapper.

Confirmation of receipt can be obtained from Brenda White or James Kinslow (see cover page for contact information). Note: Please be advised that U.S. mail delivery in the Washington D.C. area can be slow and erratic due to security concerns. Applicants must consider this when preparing to meet the application deadline.

## **E. Funding Restrictions**

USDOL/ILAB highlights the following restrictions, unallowable activities, and specific prohibitions, as identified in OMB Circular A-122, 29 CFR Part 95, 29 CFR Part 98, and other USDOL/ILAB policy, for all USDOL-funded technical cooperation projects. Applicants' Technical and Cost Proposals must be developed in accordance with the provisions outlined below. If any Applicant has questions about these or other restrictions, please e-mail Brenda White or James Kinslow.

### **1. Pre-award Costs**

Cooperative agreement funds may not be encumbered/obligated by a Grantee before the period of performance. Pre-award costs, including costs associated with the preparation of an application submitted in response to this SGA, are not reimbursable under the cooperative agreement.

### **2. Direct Cash Transfers**

USDOL/ILAB does not allow for direct cash transfers to target beneficiaries. Purchase of incidental items is allowable if necessary for direct beneficiaries' participation in project activities. These beneficiary support costs could include direct costs such as books, provision of tuition, or transportation costs. If approved by USDOL, the Grantee or its subgrantees or subcontractor(s) must purchase or directly pay for these items in the form of vouchers or payment to the service provider, as opposed to handing cash directly to project beneficiaries or other individuals. This ensures that the money is used for its intended purpose and is not diverted or lost.

If an Applicant proposes the provision of beneficiary support costs, it must specify: (1) why these activities and interventions are necessary and how they will contribute to the overall project goals; and (2) how the disbursement of funds will be administered in order to maximize efficiency and minimize the risk of misuse. The Applicant must also address how beneficiary support costs will be made sustainable once the project is completed.

### **3. Construction**

Applicants must adhere to any requirements for construction that may be outlined in this paragraph and in Section I (Funding Opportunity Description) of this SGA. Funds for construction must be clearly specified in the budget. Any activities that lead to the creation of real property (*i.e.*, a new classroom, an addition to an existing building, wells, and latrines) that is of a permanent nature must be classified under construction expenses. Expenses in support of construction cannot be classified as supplies but should be budgeted under the construction line item. In general, USDOL expects construction to be limited to improving existing infrastructure and facilities of schools

and/or other learning environments in the project's target communities. In order to ensure sustainability, USDOL encourages Applicants to secure forms of cost sharing from communities and local organizations when proposing construction activities.

#### **4. Housing and Personal Living Expenses**

USDOL funds may only be used to pay for housing costs, housing allowances, and personal living expenses (*e.g.*, dependents' allowance) of project staff if they (1) are separately accounted for as direct costs of the project necessary for the performance of the project and (2) receive prior approval from USDOL. In accordance with federal cost principles, housing and personal living expenses may not be counted as fringe benefits or indirect costs. Housing and other personal expenses are costs that are appropriately the responsibility of individual employees, including local coordinators, whether they are residing in the United States or abroad. In general, housing costs, housing allowances, and personal living expenses will only be authorized under the cooperative agreement if deemed necessary for the performance of the project, in particular, in cases of extraordinary costs of living attributable to unique circumstances affecting a local economy.

#### **5. Subgrants and Subcontracts**

Subgrants and subcontracts awarded after the cooperative agreement is signed, and not proposed in the application, must be awarded through a formal competitive bidding process in accordance with 29 CFR 95.40-48. Subgrants and subcontracts are subject to audit, in accordance with the requirements of 29 CFR 95.26.

#### **6. Lobbying and Fundraising**

Funds provided by USDOL for project expenditures under cooperative agreements may not be used with the intent to influence a member of the U.S. Congress, a member of any U.S. Congressional staff, or any Federal, State, or local government official in the United States (hereinafter "government official(s)"), to favor, adopt, or oppose, by vote or otherwise, any U.S. legislation, law, ratification, policy, or appropriation, or to influence in any way the outcome of a political election in the United States, or to contribute to any political party or campaign in the United States, or for activities carried on for the purpose of supporting or knowingly preparing for such efforts. This includes awareness-raising and advocacy activities that include fundraising for, or lobbying of, U.S. Federal, State, or local governments. (See OMB Circular A-122, as codified at 2 CFR Part 230). This does not include communications for the purpose of providing information about the Grantees and their programs or activities, in response to a request by any government official, or for consideration or action on the merits of a Federally sponsored agreement or relevant regulatory matter by a government official.

Applicants classified under the Internal Revenue Code as a 501(c)(4) entity [See 26 U.S.C. 501(c)(4)] may not engage in any lobbying activities. According to the Lobbying Disclosure Act of 1995, as codified at 2 U.S.C. 1611, an organization, as described in Section 501(c)(4) of the Internal Revenue Code of 1986, that engages in lobbying activities directed toward the U.S. Government is not eligible for the receipt of Federal funds constituting an award, grant, cooperative agreement, or loan.

## **7. Funds to Host Country Governments**

USDOL funds awarded under cooperative agreements are not intended to duplicate existing foreign government efforts or substitute for activities that are the responsibility of such governments. Therefore, Grantees may not provide any of the funds obligated under this cooperative agreement to a foreign government or entities that are agencies of, or operated by or for a foreign state or government, ministries, officials, or political parties, except that where the Grantee has conducted a competitive process to select the awardee and has determined that no other entity in the country is able to provide services or undertake project activities. In such case, the Grantee may award subgrants/subcontracts to foreign government agencies or entities that are agencies of or operated by or for a foreign state or government, ministries, officials, or political parties. In such cases, Grantees must receive prior USDOL approval before awarding the subgrant/subcontract.

## **8. Miscellaneous Prohibitions**

USDOL funds may not be used to provide for:

- The purchase of land;
- The procurement of goods or services for personal use by the Grantee's employees;
- Entertainment, including amusement, diversion, and social activities and any costs directly associated with entertainment (such as tickets, meals, lodging, rentals, transportation, and gratuities). Costs of training or meetings and conferences, when the primary purpose is the dissemination of technical information including reasonable costs of meals and refreshments, transportation, rental of facilities and other incidentals are allowable. Costs related to child labor educational activities, such as street plays and theater, are allowable; and
- Alcoholic beverages.

## **9. Prostitution and Trafficking**

The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing and contribute to the phenomenon of trafficking in persons. U.S. Grantees and their subgrantees and subcontractors, cannot use funds provided by USDOL to lobby for, promote or advocate the legalization or regulation of prostitution as a legitimate form of work. Foreign-based Grantees and their subgrantees and subcontractors that receive funds provided by USDOL for projects to combat trafficking in persons cannot lobby for, promote or advocate the legalization or regulation of prostitution as a legitimate form of work while acting as a subgrantee or subcontractor on a USDOL-funded project. Further, U.S. Grantees and their subgrantees and subcontractors cannot engage in "severe forms of trafficking in persons" during the period of time the award is in effect, nor use forced labor in the performance of an award or subawards under the award, as these terms are defined by 2 CFR Part 175 and the Trafficking Victims Protection Act of 2000 (22 USC 7102). It is the responsibility of the Grantee to ensure that its subgrantees and subcontractors meet these criteria. This provision must be included in any applicable subgrant and subcontract that the Grantee awards using USDOL funds and the Grantee will obtain

a written declaration to that effect from the subgrantee or subcontractor concerned. Also, Applicants will be required to adhere to the requirements at 2 CFR Part 175 relating to trafficking in persons, which will be included in the cooperative agreement.

## **10. Inherently Religious Activities**

The Grantee(s) may work with and subgrant to or subcontract with religious institutions; however, Federal funds provided under a USDOL-awarded cooperative agreement may not be used for religious instruction, worship, prayer, proselytizing, other inherently religious activities, or the purchase of religious materials. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of Grantees and must be employed by Grantees in the selection of subgrantees or subcontractors. This provision must be included in all subgrants and subcontracts issued under the cooperative agreement.

Any inherently religious activities conducted by the Grantee must be clearly separated in time or physical space from activities funded by USDOL. Grantees must separately account for and segregate from Federal and matching funds (neither of which may be used to fund inherently religious activities), any non-Federal and non-matching funds (or allocable portion of those funds) used for such inherently religious activities. Additionally, direct beneficiaries of the project must have a clear understanding that their enrollment in a USDOL-funded project is not conditioned on their participation in any religious activities and a decision to not participate in any inherently religious activity will in no way impact, or result in any negative consequences to, their project standing. A Grantee should consult USDOL for prior approval if it is unclear if project activities are allowable.

## **11. Terrorism**

Applicants are bound by U.S. Executive Orders and U.S. law that prohibit transactions with and the provision of resources and support to individuals and organizations associated with terrorism. It is the legal responsibility of the Grantee to ensure compliance with these Executive Orders and laws. USDOL policy seeks to ensure that no USDOL funds directly or indirectly used to provide support to individuals or entities associated with terrorism. Applicants responding to this solicitation and Grantees subsequently awarded funding by USDOL under this SGA must check <http://www.treas.gov/offices/enforcement/ofac/sdn/t11sdn.pdf> to assess information available on parties that are excluded from receiving Federal financial and non-financial assistance and benefits. In the event of award, this provision must be included in all applicable subgrants and subcontracts issued under the cooperative agreement.

## **F. Other Submission Requirements**

Applications may be submitted in hard copy or electronically via [Grants.gov](https://www.grants.gov). Applications submitted by other means, including e-mail, telegram, or facsimile (FAX) will be not be accepted.

### **1. Electronic Submission**



Applicants electing to submit electronically must submit one electronic copy of the complete application via [Grants.gov](https://www.grants.gov). Applicants submitting via [Grants.gov](https://www.grants.gov) are responsible for ensuring that their application is received by [Grants.gov](https://www.grants.gov) by the deadline.

Applicants submitting their application electronically through [Grants.gov](https://www.grants.gov) should note the following submission instructions (1) an individual with authority to legally bind the Applicant must be responsible for submitting the application on [Grants.gov](https://www.grants.gov); (2) applications submitted through [Grants.gov](https://www.grants.gov) do not need to be signed manually; the form will automatically affix an electronic signature for the authorized person identified, and (3) when submitting on [Grants.gov](https://www.grants.gov), Applicants must save all attachments as a .doc, .pdf, .txt, or .xls file. If submitted in any other format, the application bears the risk that compatibility or other issues will prevent USDOL from considering the application. USDOL will attempt to open the document, but will not take any “corrective” measures in the event of issues with opening. In such cases, the non-conforming application will not be considered for funding.

To avoid unexpected delays that could result in the rejection of an application, Applicants should immediately initiate and complete the registration steps at [http://www.grants.gov/Applicants/get\\_registered.jsp](http://www.grants.gov/Applicants/get_registered.jsp) as registration can take multiple days to complete. Applicants should consult the [Grants.gov](https://www.grants.gov) Web site’s Frequently Asked Questions and Applicant User Guide, available at [http://www.grants.gov/help/general\\_faqs.jsp](http://www.grants.gov/help/general_faqs.jsp), and <http://www.grants.gov/assets/ApplicantUserGuide.pdf>. Within two business days of application submission, [Grants.gov](https://www.grants.gov) will send the Applicant two email messages to provide the status of application progress through the system. The first email, almost immediate, will confirm receipt of the application by [Grants.gov](https://www.grants.gov). The second email will indicate the application has both been successfully submitted and successfully validated or has been rejected due to errors. Only applications that have been successfully submitted and successfully validated will be considered. It is the sole responsibility of the Applicant to ensure a timely submission, therefore sufficient time should be allotted for submission (two business days), and if necessary, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if sufficient time is not allotted and a rejection notice is received after the due date and time, the application will not be considered.

Applicants can contact the [Grants.gov](https://www.grants.gov) Contact Center at 1-800-518-4726 or [support@grants.gov](mailto:support@grants.gov) to obtain assistance with any problems related to using [Grants.gov](https://www.grants.gov), including difficulties downloading the application package; software compatibility questions; and questions on how to assemble electronic application packages. USDOL bears no responsibility for data errors resulting from transmission or conversion processes.

## **2. Hardcopy Submissions**

Applicants electing to submit hard copies must submit one (1) blue ink-signed original, complete application, *plus* one (1) copy of the application, along with a CD that includes the Technical and Cost Proposals saved as .doc, .pdf, .txt, or .xls files. Hard copy applications must be delivered to the address on the cover page of this

announcement. Applicants are advised to submit their applications in advance of the deadline. Applications may be submitted via the U.S. Postal Service or non-U.S. Postal Service delivery services, such as Federal Express or UPS. Regardless of the type of delivery service selected, Applicants bear the responsibility for timely submission. The application package must be received at the designated place by the date and time specified or it will be considered non-responsive and will be rejected.

## **V. APPLICATION REVIEW INFORMATION**

### **A. Criteria**

The criteria outlined below will be used to evaluate applications submitted in response to this solicitation on the basis of 100 points. In addition to the specific criteria in Section IV, Applicants will be evaluated on the following:

#### **1. Project Design and Budget (50 points)**

Applicants will be evaluated and rated on (1) the overall quality, effectiveness, relevance, and clarity of their proposed project design and strategy and outputs-based budget; (2) the extent to which it responds to all of the requirements outlined in the SGA; (3) how cost effective and realistic the proposed costs are for achieving the proposed strategy; and (4) the extent to which the proposed strategy will promote long-term sustainability of efforts to build the capacity of worker organizations to protect the rights of vulnerable workers in the target areas. Applicants may be evaluated on the innovation of their strategy, including what makes the project distinctive from ongoing initiatives.

#### **2. Organizational Capacity (25 points)**

Applicants will be evaluated and rated on their demonstrated capacity to implement a project of similar type, funding amount and complexity. Applicants may be rated on their past performance over the past ten years with implementing grants, cooperative agreements, and/or contracts relevant to this SGA. USDOL may contact the organizations listed in the Applicant's past performance table. Past performance will be rated by the following factors:

1. Demonstrated capacity to manage projects of similar type, funding amount, and complexity.
2. Demonstrated ability to meet its project targets under past or current projects funded by USDOL or other donors.
3. Quality and timeliness of submitted grant, cooperative agreement, and/or contract deliverables to USDOL and/or other donors.
4. Demonstrated experience in providing quality technical, administrative, and financial oversight to subgrantees and subcontractors if applicable.
5. Performance of the Applicant's key personnel on current and past projects with USDOL and/or other donors.
6. Demonstrated ability to effectively manage project personnel, including whether the Applicant has a history of replacing key personnel with similarly qualified staff, and the timeliness of replacing key personnel, as necessary.

7. Demonstrated ability to work with national, regional and local governments and other key stakeholders.

### **3. Personnel and Project Management Plan (25 points)**

Applicants will be evaluated and rated on (1) the quality and clarity of their project management plan, (2) the quality, relevant experience and demonstrated effectiveness of proposed staffing for implementing the proposed strategy, and (3) the extent to which their staffing strategy promotes development of the capacity of local staff.

## **B. Review and Selection Process**

Each complete and responsive application will be objectively evaluated by a technical review panel against the criteria described in this SGA. Neutral, non-religious criteria that neither favor nor disfavor religion will be employed in the selection of cooperative agreement awardees. Applicants are advised that panel recommendations to the Grant Officer are advisory in nature. The Grant Officer may elect to select a Grantee on the basis of the initial application submission or the Grant Officer may establish a competitive or technically acceptable range from which a Grantee will be selected. If deemed appropriate, the Grant Officer may call for the preparation and receipt of final revisions of applications, following which the evaluation process described above, may be repeated, in whole or in part, to consider such revisions. The Grant Officer will make final selection determinations based on panel findings and consideration of factors that represent the greatest advantage to the Federal Government, including cost, the availability of funds, and the Applicant's past performance on Federal awards. USDOL reserves the right to (1) solicit information from Federal sources and/or non-Federal sources about the Applicant's past performance on any awards—including evaluations, audits, attestation engagements, and questionnaires; (2) assess the Applicant's past performance on Federal and/or non-Federal sources awards with respect to its potential effect on grant implementation; and (3) consider this information as part of its selection process. If USDOL does not receive technically acceptable applications in response to this solicitation, it reserves the right to terminate the competition and not make any award. The Grant Officer's determinations for awards under this solicitation are final.

Applicants should note that the selection of an organization as a potential cooperative agreement recipient does not constitute approval of the cooperative agreement application as submitted in response to this solicitation. Before the actual cooperative agreement is awarded, USDOL may enter into discussions with one or more selected Applicants for any reason deemed necessary, including negotiating components of the project design/strategy; budget; project duration; staffing; funding levels; and financial and administrative systems in place to support implementation of the cooperative agreement (including relevant issues raised in submitted audit report(s)). If negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiation and decline to fund the application. In the actual cooperative agreement, USDOL reserves the right to place special provisions on Grantees, such as in cases where USDOL has concerns about their application, including in their audit report(s). USDOL also reserves the right to negotiate program components further after award during the project design consolidation phase.

Award of a cooperative agreement under this solicitation may also be contingent upon an exchange of project support letters between USDOL and the relevant host government ministries in Haiti and Peru.

### **C. Anticipated Announcement and Award Dates**

Designation decisions will be made within 45 days after the deadline for submission of applications, where possible. USDOL is not obligated to make any awards as result of this solicitation, and only the Grant Officer can bind USDOL to the provision of funds under this solicitation. Unless specifically provided in the cooperative agreement, USDOL's acceptance of a proposal and/or award of Federal funds does not waive any cooperative agreement requirements and/or procedures.

## **VI. AWARD ADMINISTRATION INFORMATION**

### **A. Award Notices**

The Grant Officer will notify Applicants of designation results as follows:

**Designation Letter:** The designation letter signed by the Grant Officer serves as official notice of an Applicant's designation as Grantee. The designation letter will be accompanied by a cooperative agreement and USDOL/OCFT's most current Management Procedures and Guidelines (MPG). The MPG provides general management procedures and guidelines for Grant and Cooperative Agreements in areas that may not be explicitly detailed in the solicitation.

**Non-Designation Letter:** Applicants not designated will be notified formally of the non-designation. Applicants not designated must formally request a debriefing if they would like to be provided with the basic reasons for the determination.

Notification of designation by a person or entity other than the Grant Officer is not valid.

### **B. Post-Award Activities and Requirements**

In addition to the project interventions that an Applicant proposes in its Technical Proposal, the Applicant must also consider the following post-award activities and requirements.

#### **1. Project Design Mission**

After award, USDOL may elect to conduct a joint project design mission with the Recipient of the award(s) to finalize any elements of the project design and meet with key stakeholders and government officials to finalize stakeholder buy-in of the project design.

#### **2. Project Evaluations**

The project must conduct, at minimum, one mid-term (at the mid-point in the project duration) and one final (no later than three months before the project's end) implementation evaluation of the project. The evaluations will assess the degree to which a project is meeting (in the case of a mid-term evaluation) or has met (for final evaluations) its goals and objectives. USDOL will award a contract(s), independent of this SGA, to an external evaluator to complete these interim and final evaluations.

While external evaluators will design and implement the evaluations, Grantees must provide input into the evaluation Terms of Reference and assist in the planning and finalization of the evaluator's itinerary. In-country fieldwork for these evaluations typically lasts 1-2 weeks and there is a stakeholder workshop at the end of –site visit. Grantees should ensure that staff time is allocated for supporting the above activities.

### **C. Deliverables**

Following the award of the grant, the Grantee must collaborate with USDOL/ILAB to develop and/or finalize the following:

- A Project Document (including a project budget) that will set the technical parameters and provide guidance to the project. It must be prepared according to the standardized format outlined in the Annex and include performance indicators that support ILAB's Performance Goal 1.6 to *improve worker rights and livelihoods for vulnerable populations*. A first draft must be submitted to the Grant Officer's Technical Representative (GOTR) within 30 days after the completion of a joint project design mission with USDOL or 60 days after award (if no project design mission is conducted). The Project Document must be finalized to USDOL's satisfaction no later than 30 days after receipt of USDOL comments on the draft.
- A Final Work Plan identifying major project activities, deadlines for their completion, and person(s) responsible for completing these activities (within 30 days after the Project Document is finalized).
- A Performance Monitoring Plan (PMP) to establish the data needed to measure achievement of performance indicators and the methods for collection and reporting. It must be prepared according to a mutually-agreed upon format (within 60 days of finalizing the Project Document).
- A data collection system to systematically collect and report on the data necessary to measure achievement against the performance indicators (within 60 days of finalizing the Project Document).

The Grantee must submit copies of all required documents to USDOL by the specified due dates. Other documents that may be produced are to be submitted by mutually agreed-upon deadlines. The Project Document, Performance Indicators, Final Work Plan, PMP, and data collection system are subject to final approval by the GOTR.

### **D. Administrative and National Policy Requirements**

For the purposes of this solicitation and cooperative agreement awards, the Grantee will be the sole entity (1) to act as the primary point of contact with USDOL to receive and respond to all inquiries, communications and orders under the project; (2) with authority to withdraw or draw down funds through the Department of Health and Human Services-Payment Management System (HHS-PMS); (3) responsible for submitting to USDOL all deliverables, including all technical and financial reports related to the project; (4) that may request or agree to a revision or amendment of the cooperative agreement or the Project Document; and (5) responsible for working with USDOL to close out the project. Each Grantee must comply with all applicable Federal regulations and is individually subject to audit.

## **1. General Requirements**

Grantees are subject to the terms outlined in this solicitation, the cooperative agreement, and ILAB's Management Procedure Guidelines (MPG), including any future amendments to the MPG, for all projects awarded under this solicitation. They are also subject to applicable U.S. Federal laws (including provisions of appropriations laws) and regulations, Executive Orders, applicable OMB Circulars and USDOL policies. If, during project implementation, a Grantee is found in violation of any of the foregoing, the terms of the cooperative agreement awarded under this solicitation may be modified by USDOL, costs may be disallowed and recovered, the cooperative agreement may be terminated, and USDOL may take other action permitted by law. Determinations of allowable costs will be made in accordance with the applicable U.S. Federal cost principles.

### **a. USDOL**

- Shall provide the Grantee with programmatic support to help ensure effective implementation of the project, including training and consultation in USDOL/ILAB management, monitoring, and evaluation systems and standard operating procedures.
- Has the authority to approve or condition approval on recommended modifications to the funding proposal made by the Grantee for this project.
- Has the right to provide advice and consultation to the Grantee on specific criteria for this USDOL-funded project.
- Shall review and comment on Technical Progress Reports, Terms of Reference (TORs) for evaluations, and financial reports within 10 business days of receipt.
- Shall request country clearance where necessary for Grantee personnel and consultants.
- Shall review and approve proposal for development of any new educational materials within 10 business days of proposal.
- Has the right, at all reasonable times, to make site visits to review project accomplishments; to request and participate in evaluations or assessments of this USDOL-funded project, including provision of input on the methodology to be used for assessing the project's impact; and to hold discussions with the Grantee on policy issues as well as administrative and technical issues pertaining to the cooperative agreement. USDOL is expected to inform the Grantee in advance of its plans in the above respects and to work closely with the Grantee to incorporate the details of any USDOL-funded impact evaluations into the final project document well in advance of the project's official launch.

**b. The Grantee:**

- Within 60 days of signing the cooperative agreement, the Grantee must provide either a written subgrant or subcontract agreement with such entity, acceptable to USDOL, or an explanation as to why that entity will not be participating in the cooperative agreement, if applicable. USDOL reserves the right to re-evaluate the award of the cooperative agreement in light of any such change in an entity's status and may terminate the award if deemed appropriate.
- Shall establish the institutional and management systems and means necessary to provide and monitor the delivery of services.
- Submit trip reports to USDOL within fourteen (14) calendar days of project-related travel. When an implementing partner(s) travels with a USDOL staff member, the implementing organization will submit a draft trip report to the staff member within fourteen (14) calendar days of project-related travel for comments. The format for the trip report will be provided by USDOL.
- Submit all media-related materials developed by it or its sub-contractors under this grant, including relevant press releases, at least five working days in advance of their release, for approval by the USDOL GOTR before distribution.
- All materials produced by the Recipient must be provided to USDOL in hard copy and digital format for possible publication.
- Inform USDOL GOTR at least one month prior to scheduling any major public events or ceremonies regarding the project
- Provide USDOL a list of all travel proposed for each quarter.

**2. Project Audits and External Auditing Arrangements**

U.S.-based non-profit Grantees whose total annual expenditure of Federal awards is more than \$500,000 must have an organization-wide audit conducted in accordance with 29 CFR Parts 96 and 99, which codify the requirements of the Single Audit Act and OMB Circular A-133, and must comply with the timeframes established in those regulations for the submission of their audits to the Federal Audit Clearinghouse. Grantees must send a copy of each single audit conducted within the timeframe of the USDOL-funded project to their assigned GOTR at the time it is submitted to the Federal Audit Clearinghouse.

In accordance with 29 CFR Parts 96 and 99, USDOL has contracted with an independent external auditor to conduct project-specific attestation engagements at USDOL's expense to supplement the coverage provided by the annual audits that Grantees are required to arrange, which are referenced in the preceding paragraph. All Grantees, including foreign-based and private for-profit Grantees, are subject to attestation engagements during the life of the cooperative agreement. Such an attestation engagement will be conducted in accordance with U.S. Government

Auditing Standards, which includes auditors' opinions on (1) compliance with USDOL regulations and the provisions of the cooperative agreement and (2) the accuracy and reliability of the Grantee's financial and performance reports.

### **3. Administrative Standards and Provisions**

Cooperative agreements awarded under this solicitation are subject to the administrative standards and provisions that pertain to USDOL, and any other applicable standards that come into effect during the term of the cooperative agreement. Title 29 of the CFR is available from the U.S. Government Printing Office, at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=5e421ad42692a3a28f382a9aba659b2b&rgn=div5&view=text&node=29:1.1.1.1.39&idno=29>. Copies of all regulations referenced in this solicitation are available at no cost, online, at <http://www.dol.gov>.

- 29 CFR Part 2 Subpart D – Equal Treatment in Department of Labor Programs for Religious Organizations; Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- 29 CFR Part 31 – Nondiscrimination in Federally Assisted Programs of the Department of Labor— Effectuation of Title VI of the Civil Rights Act of 1964.
- 29 CFR Part 32 – Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance.
- 29 CFR Part 33 – Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Department of Labor.
- 29 CFR Part 35 – Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance from the Department of Labor.
- 29 CFR Part 36 – Federal Standards for Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.
- 29 CFR Part 93 – New Restrictions on Lobbying.
- 29 CFR Part 94 – Federal Standards for Government-wide Requirements for Drug-Free Workplace (Financial Assistance).
- 29 CFR Part 95 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and other Non-Profit Organizations, and with Commercial Organizations, For-Profit Organizations, Foreign Governments, Organizations Under the Jurisdiction of Foreign Governments and International Organizations.
- 29 CFR Part 96 – Federal Standards for Audit of Federally Funded Grants, Contracts and Other Agreements.
- 29 CFR Part 98 – Federal Standards for Government-wide Debarment and Suspension (Non-procurement).
- 29 CFR Part 99 – Federal Standards for Audits of States, Local Governments, and Non-Profit Organizations.

Copies of OMB Circulars referenced in this document can be found at:

- OMB Circular A-122– Cost Principles for Non-Profit Organizations  
[http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105\\_a122.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/omb/fedreg/2005/083105_a122.pdf)
- OMB Circular A-133 – Audits of States, Local Governments, and Non-Profit Organizations



[http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133\\_revised\\_2007.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/a133/a133_revised_2007.pdf)

- OMB Circular A-21 – Principles for Determining Costs Applicable to Grants, Contracts, and Other Agreements with Educational Institutions
- OMB Circular A-110 - Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations

[http://www.whitehouse.gov/omb/circulars\\_a110/](http://www.whitehouse.gov/omb/circulars_a110/)

#### **4. Transparency**

USDOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public Web sites is a means of promoting and sharing innovative ideas. For this grant competition, we will publish the Abstracts required by Section V and selected information from the SF-424 for all applications on USDOL's public website or similar publicly accessible location. Additionally, we will publish a version of the Technical Proposal required by Section V for all those applications that are awarded grants, on USDOL's Web site or a similar location. Except for the Abstract, none of the Annexes to the Technical Proposal described in Section IV will be published. The Technical Proposals and Abstracts will not be published until after the grants are awarded. In addition, information about grant progress and results may also be made publicly available.

USDOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information. Proprietary or business confidential information is information that is not usually disclosed outside your organization and disclosing this information is likely to cause you substantial competitive harm. Personally identifiable information is any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>9</sup>

Abstracts will be published in the form originally submitted, without any redactions. Applicants should not include any proprietary or confidential business information or personally identifiable information in this summary. In the event that an applicant submits proprietary or confidential business information or personally identifiable information, USDOL is not liable for the posting of this information contained in the Abstract. The submission of the grant application constitutes a waiver of the Applicant's objection to the posting of any proprietary or confidential business information contained in the Abstract. Additionally, the Applicant is responsible for obtaining all authorizations from relevant parties for publishing all personally identifiable information contained within the Abstract. In the event the Abstract contains proprietary or confidential business or personally identifiable information, the Applicant is presumed to have obtained all necessary authorizations to provide this information and may be liable for any improper release of this information.

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<sup>9</sup> Office of Management and Budget, *OMB Memorandum 07-16 and 06-19. GAO Report 08-536, Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008; available from <http://www.gao.gov/new.items/d08536.pdf>.

By submission of this grant application, the Applicant agrees to indemnify and hold harmless the United States, USDOL, its officers, employees, and agents against any liability or for any loss or damages arising from this application. By such submission of this grant application, the Applicant further acknowledges having the authority to execute this release of liability.

In order to ensure that proprietary or confidential business information or personally identifiable information is properly protected from disclosure when USDOL posts the winning Technical Proposals, Applicants whose Technical Proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with any proprietary or confidential business information and personally identifiable information redacted. All non-public information about the Applicant's and consortium members' staff (if applicable) should be removed as well.

USDOL will contact the Applicants whose Technical Proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the Applicant for USDOL to make the redacted version publicly available. USDOL will also assume that by submitting the redacted version of the Technical Proposal, the Applicant has obtained the agreement of all persons and entities whose proprietary, confidential business information, or personally identifiable information is contained in the Technical Proposal about what material to redact. If an Applicant fails to provide a redacted version of the Technical Proposal by the deadline established by USDOL, USDOL will publish the original Technical Proposal in full, after redacting only personally identifiable information. (Note that the original, unredacted version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential business information and any personally identifiable information.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or capable of identifying a person. The redaction of entire pages or sections of the Technical Proposal is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, USDOL will follow the procedures outlined in USDOL's Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

Redacted information in grant applications will be protected by USDOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If USDOL receives a FOIA request for your application, the procedures in USDOL's FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its "redacted copy."

## 5. Transparency Act Requirements

Applicants must ensure that they have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by section 6202 of Pub. Law 110-252) as follows:

- All Applicants, except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, must ensure that they have the necessary processes and systems in place to comply with the sub-award and executive total compensation reporting requirements of the Transparency Act, should they receive funding.
- Upon award, Grantees will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at the following website:  
<http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>.

The following types of awards are not subject to the Federal Funding Accountability and Transparency Act:

- (1) Federal awards to individuals who apply for or receive Federal awards as natural persons (i.e., unrelated to any business or non-profit organization he or she may own or operate in his or her name);
- (2) Federal awards to entities that had a gross income, from all sources, of less than \$300,000 in the entities' previous tax year; and
- (3) Federal awards, if the required reporting would disclose classified information.

## 6. Reporting Requirements

Grantees must submit copies of all required reports to USDOL by the specified due dates, unless otherwise indicated. More information on the reports and exact timeframes for their completion will be included in the cooperative agreement and the MPGs that are distributed to Grantees before signing the cooperative agreement with USDOL.

All reports (electronic copies of progress reports and hard copies of financial reports) must cite the assigned Project Identifying Number and be submitted as follows:

One Copy:     GOTR  
                  Office of Trade and Labor Affairs  
                  Bureau of International Labor Affairs  
                  U.S. Department of Labor  
                  Room S-5303  
                  200 Constitution Avenue, NW  
                  Washington, DC 20210

One Copy:     Grant Officer  
                  Procurement Services Center  
                  U.S. Department of Labor  
                  Room S-4307

200 Constitution Avenue, NW  
Washington, DC 20210

### **a. Technical Progress Reports**

- After signing the cooperative agreement, the Grantee must submit progress reports on the project as of the reporting date. The Grantee must submit technical progress reports on a quarterly basis no more than 30 days after the end of each quarter (*i.e.*, January 30, April 30, July 30, and October 30). Each such report must provide sufficient information to satisfy USDOL requirements under the Government Performance and Results Act (GPRA) and other U.S. Government and USDOL performance reporting requirements. USDOL shall inform the Grantee about specific performance indicators to be measured, as well as to inform the Grantee in cases where further quantitative or qualitative information is needed to satisfy performance reporting requirements.
- All progress reports must be prepared in narrative form according to the format prescribed in the MPG, which is distributed to Grantees after award.
- Grantees are required to budget for, collect, and report data as part of their performance reporting requirement to USDOL. USDOL will use this data to meet its reporting obligations under the GPRA. Grantees are required to report on a set of indicators every six months. All required performance indicators will be specified in the project PMP.
- Between reporting dates, the Grantee must also immediately inform USDOL of significant developments and/or problems affecting the Grantee's ability to accomplish work.
- In addition, the Grantee must send, upon request, copies of all public reports related to the project (e.g., monthly progress reports of partners, studies conducted with USDOL funds, awareness raising materials) to USDOL in English as soon as they are available.
- Upon request, the Grantee shall submit a brief narrative in paragraph form (one page maximum) of “human face” stories of how the program has impacted a key stakeholder during the performance period, including testimonials from government officials, workers, employers and other private sector partners and photos where available (including a signed waiver from anyone depicted in the photo).

### **b. Financial Reports**

Grantees must submit an electronic financial report (SF-425) to USDOL on a quarterly basis through the E-Grants system. The SF-425 must be submitted no more than 30 days after the end of each quarter (*i.e.*, January 30, April 30, July 30, and October 30).

In addition, Grantees will be asked to report on the project's detailed Outputs-Based Budget or a Financial Status Report that provides information on total allocations, expenditures, commitment of balances, and project balance by budget categories identified in the SF-424A through their quarterly Technical Progress Reports.

### **c. Final Reports**

Grantees must submit final technical and financial reports no later than 90 days after the project completion date. This stand-alone report must provide a complete and comprehensive summary of the progress and achievements made during the life of the project.

## **VII. AGENCY CONTACT(S)**

**Primary:** Brenda J. White, Grant Officer  
**Email:** [white.brenda.j@dol.gov](mailto:white.brenda.j@dol.gov)  
**Telephone:** 202.693.4570

**Alternate:** James Kinslow, Grant Officer  
**Email:** [kinslow.james@dol.gov](mailto:kinslow.james@dol.gov)  
**Telephone:** 202.693.4570

## **VIII. OTHER INFORMATION**

### **A. Office of Management and Budget Information Collection**

This SGA requests information from Applicants. This collection of information is approved under 1225-0086 OMB Information Collection No 1225-0086 (expires November 30, 2012). According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for the grant application is estimated to average 40 hours per response. These estimates include time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, completing and reviewing the collection of information, and drafting the proposal. Each recipient who receives a grant award notice will be required to submit semi-annual technical progress reports to ILAB. Each report will take approximately 10 hours to prepare. Any comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, should be directed to USDOL/ ILAB/OTLA, attention: Steve Marler (e-mail: [marler.stephen@dol.gov](mailto:marler.stephen@dol.gov) or phone: (202) 693-4804—please note that this is not a toll-free number); or in the USDOL Office of Procurement Services, attention: Brenda White and James Kinslow.

This information is being collected for the purpose of awarding a cooperative agreement. The information collected through this SGA will be used by the USDOL to ensure that cooperative agreements are awarded to the Applicants best suited to perform the functions of these cooperative agreements. Submission of this information is required in order for the Applicant to be considered for award of a cooperative agreement.

### **B. Privacy Act and Freedom of Information Act**

Any information submitted in response to this solicitation will be subject to the provisions of the Privacy Act and FOIA, as appropriate.

## **ANNEX**

For planning purposes, ILAB is including the established format/templates of various documents and deliverables. The recipient of this award may discuss customization of these formats/templates with the GOTR.

**Project Document Cover Page**

PROJECT DOCUMENT UNDER  
USDOL and \_\_\_\_\_ COOPERATIVE AGREEMENT

Project Title:	To be filled in by Grantee
USDOL Appropriation No.:	To be completed by USDOL US Fiscal Year xxxx
Cooperative Agreement No.:	
Geographical Coverage:	Country(ies) and/or Region(s)
Project Language(s):	English/xxxx/xxxx
Starting Date:	Day, Month, Year (USDOL to add at time of funding)
Completion Date:	Day, Month, Year (USDOL to add at time of funding)
Duration:	XX months
Executing Agency:	(Lead) Grantee and Associates (if applicable)
Partner agencies/Subcontractor(s):	xxx if applicable
USDOL Donor Contribution:	USD xxx,xxx
Other contributions:	USD xxx,xxx if applicable

## **PROJECT DOCUMENT FORMAT**

**Cover Page** (*see Attachment A*)

### **Executive Summary**

- 1. Background and Justification**
- 2. Target Groups**
- 3. Program Approach and Strategy**
  - 3.1. Narrative
  - 3.2. Full matrix presentation of Logical Framework Development Objective, Project Purpose (Immediate Objective), Outputs, Activities and Related Assumptions at each level.
  - 3.3 Project Implementation Timeline (Gantt Chart of Activities linked to Logframe)
  - 3.4 Budget (Cost of Activities linked to Outputs for Budget Performance Integration)
- 4. Approach to Project Monitoring, Tracking and Evaluation**
  - 4.1 Indicators and Means of Verification<sup>10</sup>
  - 4.2 Methodology for Monitoring and Reporting of Direct Beneficiaries
  - 4.3 Baseline Data Collection Plan
  - 4.4 Performance Monitoring Plan
  - 4.5 Evaluation Plan
- 5. Institutional and Management Framework**
  - 5.1 Institutional Arrangement (implementing level)
  - 5.2 Collaborating and Implementing Institutions and Responsibilities (including Government Sub contract Table where applicable)
  - 5.3 Other Donor or International Organization Activity and Coordination
  - 5.4 Project Management Organizational Chart (preferably in an attachment)
- 6. Contributions to Project**
  - 6.1 Contributions provided by the USDOL
  - 6.2 Contributions/Inputs provided by the Grantee (and Associates, if applicable)
  - 6.3 National and/or Other Contribution<sup>11</sup>
- 7. Sustainability and Exit Strategy**

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<sup>10</sup> Initial choice of and justification of indicators and means of verification can be refined and/or adapted after baseline collection and development of Monitoring and Evaluation Plan.

<sup>11</sup> Clearly indicate how the resources being dedicated to the project reflect new investments being made in support of the project, as opposed to ongoing programs or previous obligations of resources.



## **PROJECT DOCUMENT LOGICAL FRAMEWORK**

USDOL-TAATC requires its grantees to summarize their project design using a Logical Framework (Logframe). A Logframe is a matrix that clearly documents the logic and causal linkages underlying a project's strategy. In developing a Logframe, a project documents how activities will lead to outputs (intermediate results) which, taken together, will lead to achievement of the project's purpose. The project's purpose is the overall result for which the project will be held accountable. The Logframe matrix also includes a contextual goal that reflects the broader societal issue that the project hopes to influence.

In addition to requiring projects to provide a narrative summary of this hierarchy of results (activities-outputs-purpose-goal), the Logframe also requires the project to list performance indicators for each result and the means by which those indicators will be measured. Projects are expected to select appropriate indicators and targets at both the output and purpose levels, which are the most critical results for ensuring the project achieves its intended outcomes. Projects have the option of monitoring relevant indicators at the lowest, activity level and the contextual goal level as well. The final element of the Logframe is the assumptions column, which projects use to describe those conditions outside their control which might affect achievement of project results. Projects must carefully consider what might go wrong that would affect the link of activities to outputs, the link of outputs to purpose and the link of purpose to goal. Any issues that are outside the project's control which might affect the project's ability to achieve results are documented in the assumptions column so they can be monitored over the life of the project

### SAMPLE PERFORMANCE MONITORING PLAN

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION	
				SCHEDULE/FREQUENCY	RESPONSIBLE OFFICE
<p><b><i>Development Objective: Strengthened ability of the MOL to enforce the new labor law and increase knowledge and awareness of the new law and internationally-recognized core labor standards among members of the judiciary, workers, employers and general public.</i></b></p>					
Percentage of labor disputes that are resolved based on the provisions of the new labor law.	<p><u>Definition:</u> “Labor disputes” means labor complaints filed with MOL or the judiciary system OR cases opened based on inspections initiated by MOL</p> <p><u>Unit:</u> Labor dispute</p>	National MOL, provincial MOL offices, national court system, provincial court system	MOL and judiciary system provide list of complaints and cases to project office and their disposition. Information is analyzed by project office.	Quarterly	Project office
<p><u>Comments/Notes:</u></p>					
<p><b><u>Immediate Objective 1:</u> Increased sustainability of project impact.</b></p>					
MOL, judiciary, and worker/employer/civil society organizations establish plans to utilize the labor law curriculum	<p><u>Definition:</u> “Judiciary” means the school that trains all judges in the country. “Worker organizations” means labor unions or other groups that represent workers. “Employer organizations” means groups representing the labor or HR interests of employers. “Civil society organizations” means...</p> <p><u>Unit:</u> Organizations</p>	MOL, judiciary, and worker/employer/civil society organizations	Project staff survey relevant organizations	Once yearly	Project office

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION	
				SCHEDULE/FREQUENCY	RESPONSIBLE OFFICE
<u>Comments/Notes:</u>					
<b>Output 1.1:</b> Comprehensive training curriculum.					
# of training curriculum components	<u>Definition:</u> “Training curriculum components” are curricula of each individual training module, each of which covers a different topic related to the new labor law  <u>Unit:</u> Components	Project office	Comparison of topics covered by training curriculum components developed to topics covered in the national labor law	Quarterly	Project Office
<u>Comments/Notes:</u>					
<b>Immediate Objective 2:</b> Increased understanding and awareness of the new labor law and internationally-recognized core labor standards within the MOL for its effective implementation and enforcement					
Number of inspections with new standardized questionnaire	<u>Definition:</u> “Inspections” are workplace inspections conducted by MOL inspectors.  <u>Unit:</u> Inspections	MOL	MOL report number of inspections conducted using new standardized questionnaire to project office	Quarterly	Project office
Increased knowledge of the labor law provisions	<u>Definition:</u> “Labor law provisions” are the provisions of the new national labor law  <u>Unit:</u>	Project trainers	Project trainers report pre-training test scores and post-training test scores	Whenever labor law training is offered	Project office

PERFORMANCE INDICATOR	INDICATOR DEFINITION AND UNIT OF MEASUREMENT	DATA SOURCE	METHOD/APPROACH OF DATA COLLECTION	DATA ACQUISITION	
				SCHEDULE/FREQUENCY	RESPONSIBLE OFFICE
Improved skills of inspection staff	<p><u>Definition:</u> “Skills” are those techniques used to assess workplace compliance with the national labor law. “Inspection staff” are MOL labor inspectors.</p> <p><u>Unit:</u></p>	Project trainers	Project trainers observe randomly selected inspectors as they conduct labor inspections and compare application	One observation per month for the life of the project	Project office
<u>Comments/Notes:</u>					

### Sample PMP Data Tracking Table

	Year One					Year Two				
	Q1	Q2	Q3	Q4	TOTAL	Q1	Q2	Q3	Q4	TOTAL
<b>Percentage of labor disputes that are resolved based on the provisions of the new labor law.</b>										
# of labor disputes in the reporting period										
# of labor disputes resolved according to law										
% labor disputes resolved according to law										
<b>MOL, judiciary, and worker/employer/civil society organizations establish plans to utilize the labor law curriculum</b>										
MOL ("1" in the year they est. plan)										
Judicial school ("1" in the year they est. plan)										
# worker organizations										
# employer organizations										
# civil society organizations										
TOTAL										
<b># of training curriculum components</b>										
<b>Number of inspections with new standardized questionnaire</b>										
# inspections conducted										
# inspections conducted using new questionnaire										
% inspections conducted with new questionnaire										
<b>Increased knowledge of the labor law provisions</b>										
# trainees completing training program										
# trainees with higher post-test										

	Year One					Year Two				
	Q1	Q2	Q3	Q4	TOTAL	Q1	Q2	Q3	Q4	TOTAL
score										
% trainees with higher post-test score										
<b>Improved skills of inspection staff</b>										
# labor inspectors observed										
# of labor inspectors scoring 0 - 33% on improvement checklist										
# inspectors scoring 34 - 66% on improvement checklist										
# inspectors scoring 67 - 100% on improvement checklist										

## **Sample Work Plan**

The project Work Plan should convey the following information:

- All major project activities
- Start and end dates for these activities
- Person(s) responsible for completing these activities

USDOL-TAATC does not require a specific format for the project Work Plan; however the Work Plan must correspond to activities identified in the Logframe. The format should reflect the specific characteristics and needs of a project. It may, for example, be divided by project component, country or region.

Work Plans submitted after Year 1 are updates/revisions of the original project Work Plan that take into account implementation realities that might not have been evident when the project was designed. They must illustrate to what extent the activities in the previous year's Work Plan were achieved, what delays were confronted, and the corrective action taken to help put the project on schedule. Updated/revised Work Plans must be submitted annually as an attachment to the September technical progress report. Work Plans must also be revised and submitted to USDOL when a formal project revision request making programmatic changes has been approved by USDOL.





# Technical Progress Report

OFFICE OF TRADE AGREEMENT ADMINISTRATION AND TECHNICAL  
COOPERATION

(due in September, December, March, and June)

<b>Grantee:</b>							
<b>Project title:</b>							
<b>Project number:</b>		<b>Reporting Dates:</b>		<b>Preparation date:</b>			
		<b>From:</b>	<b>To:</b>	dd.mm.yyyy			
		dd.mm.yyyy	dd.mm.yyyy				
<b>Project budget:</b> <u>Source</u> <u>Amount</u>		<b>Start date:</b> dd.mm.yyyy  <b>End date:</b> dd.mm.yyyy		<b>Evaluation dates:</b>			
					Planned as per Project Document/ Monitoring and Evaluation Plan	Proposed new dates	Actual dates carried out
		Mid-term:		dd.mm.yyyy	dd.mm.yyyy	dd.mm.yyyy	
		Final:		dd.mm.yyyy			
<b>Grantee's HQ Contact official:</b> (name, phone, fax and email)			<b>Person responsible for completing the report:</b> (name, title, office address, phone, fax and email)				
<b>Grantee's Field Contact official:</b> (name, phone, fax and email)							
<b>OBJECTIVES:</b> (Objectives as stated in the approved Project Document <sup>12</sup> .)							

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<sup>12</sup> If the objectives have been formally revised and approved by USDOL, indicate "Revised" in brackets after the relevant objective.

## I. OVERALL PROGRESS OF THE PROJECT

### II. Summary:

Please provide your assessment of the overall achievement of the project during the current reporting period and progress towards major defined impact. This section should in a few paragraphs, provide an analysis of the achievements of the project as a whole. Please assess issues or problems to the extent that there have been changes since the last TPR. You may also wish to consider any unanticipated effects of project activities. **(Maximum length 1 page. If regional project, maximum 2 pages considering the project as a whole rather than country by country)**

### III. PROBLEMS / ISSUES MATERIALLY IMPAIRING THE ACHIEVEMENT OF PROJECT OBJECTIVES, PROPOSED SOLUTIONS AND ACTIONS TAKEN OR TO BE TAKEN

Major problems/issues referenced here have already been encountered, are currently emerging, or are foreseen in the near to medium term. Once a problem/issue has been resolved and reported, it should be removed from this section.

#### A. Implementation: (include technical as well as management issues; including administrative, financial and budgetary issues)

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)

#### B. Stakeholders, partners and implementing agencies:

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)

#### C. External factors: (include particularly those external factors identified as being critical assumptions in the Project Document and/or other emerging critical external factors )

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)

**D. Other major issues/problems**

Problem/Issues	Proposed solutions and action(s) taken or to be taken (if action necessary, identify person responsible)

## **Project Revision Form USDOL-TAATC funded projects**

Project Title:

Cooperative Agreement Number:

USDOL Appropriation Number:

Submission and Resubmission Dates: (Include both, as applicable)

See Section 9 for more detailed information regarding Project Revisions.

The submission to USDOL for project revision, including both major programmatic and budget revisions, should include:

In cases where a significant change in strategies, project purpose, existing conditions or implementation modalities will be involved, the entire Project Document should be revised and marked as “Revision #.” This shall include the budget and other proposed revisions (i.e. Work Plan, Logframe, PMP, etc.), as applicable.

In all other cases, this Project Revision Form should be completed and include the current and proposed revised budget (in an outputs-based format as included with the Project Document), as applicable. In addition, revisions must include a brief summary sheet outlining the proposed budget line-item changes.

Formal revision requests must be submitted to USDOL at least six months prior to the project end date. Only in exceptional cases will USDOL consider a project revision request that is made within less than six months of the project end date. However, very few cases are viewed by USDOL as “exceptional” and, therefore, very few project revisions will be approved under these circumstances. All official submissions are expected to be through the Grantee’s HQ. USDOL is expected to submit a written response electronically to the Grantee within 15 calendar days after receipt of the proposed modification. However, such a revision must not be implemented prior to the receipt of a USDOL response.

### **BACKGROUND AND JUSTIFICATION FOR PROJECT REVISION**

The purpose of the revision must be stated at the beginning of the narrative in a clear and concise manner. For example, “the purpose of this revision is to request a 6-month extension and to revise the budget at no-cost.”

This section must provide the following information:

- a) where the project is in terms of meeting its objectives;
- b) considerations of a political or programmatic nature or other issues that explain the context of the revision;
- c) justification of the amount of time requested including a description of what will take place within the extended timeframe.

**EFFECTS OF REVISION ON THE PROJECT**

(If there is no change being proposed in any of the items below, note “no change” in the revised project/remarks column. If there is a change being proposed, the item should be noted in both columns – as given in the original Project Document and as proposed).

The revision table must be consistent with the changes/revisions proposed in the background section. For example, if the narrative describes a revision in the indicators, the change is also expected to be pointed out in the table.

Project Elements	Current Project/Remarks (if no change in element from original document, please indicate “no change”)	Revised Project/Remarks (if no change in element from original document, please indicate “no change”)
Geographical areas and reach		
Target group – Direct Beneficiaries		
Indicators at the project purpose level		
Program strategies leading to significant change in project outputs		
Project purpose		
Key personnel		
Budget		
Project duration		
Project ending date		
Other aspects or elements (please specify)		

Note: A copy of the current approved project budget and a copy of the proposed budget, with a brief summary sheet outlining the proposed changes, should be attached along with the request for budget revision.