



U.S. Trade and Development Agency Proposal and Budget Model Format

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Introduction

The U.S. Trade and Development Agency (USTDA) is a foreign assistance agency that advances economic development and U.S. commercial interests in developing and middle-income countries. The agency accomplishes its mission by providing grant funding to overseas project sponsors for various activities, including technical assistance, early investment analyses, and training. USTDA awards grants directly to overseas project sponsors who, in turn, select U.S. companies to perform agency-funded activities. The sponsor may be a government institution at the national, state/provincial, or local level, or it may be a local private company.

USTDA activities are designed to facilitate U.S. private sector participation in overseas development projects that have the potential to generate significant exports of U.S. goods and services. The agency also promotes overseas development by providing project sponsors with access to U.S. private sector solutions to their development needs.

USTDA-funded activities fall into two categories: (1) trade capacity building and sector development; and (2) project definition and investment analysis. Trade capacity building and sector development assistance supports the establishment of industry standards, rules and regulations, trade agreements, market liberalization and other policy reform. Project definition and investment analysis generally involves studies that support large capital investments

that contribute to overseas infrastructure development.

Under USTDA guidelines, overseas project sponsors are able to either competitively select a U.S. company to perform the grant activity work or request that a specific U.S. company perform the work on a sole-source basis. In the case of competed work, the agency usually fully funds the activity; the competition to conduct the USTDA-funded work, which is usually announced on the Federal Business Opportunities website (www.fedbizopps.gov), does not occur until after a grant agreement between USTDA and the overseas project sponsor has been signed. Under the sole-source scenario, USTDA normally requires that the U.S. company conducting the work to contribute resources toward the completion of the grant-funded activity, and enter into a cost-share agreement with USTDA. USTDA also encourages the project sponsor to make a financial contribution toward completion of the grant activity.

If you are interested in submitting a sole-source proposal to USTDA, you should first familiarize yourself with the agency's mission and funding criteria. USTDA's website (www.ustda.gov) has a significant amount of information that will assist interested companies. The next step is to call USTDA and ask to speak to the Regional Director or Country Manager for your region or country of interest to informally discuss your proposed project. Assuming there is mutual interest, you

should provide the USTDA contact with a brief (2-3 page) outline of the project. If, after review of the outline, USTDA staff encourages you to proceed, you should prepare a detailed proposal using the Model Format provided below.

General Proposal Guidelines

Since all requests for USTDA assistance ultimately must be made by an overseas project sponsor residing in a developing or middle-income country, you should complete a proposal only if you are able to obtain a letter of support from the project sponsor designating the project as a priority, and that the project sponsor is interested in using your services to perform the work under the grant agreement. The topics listed in the model format may not be applicable for certain project proposals.

USTDA's review of a proposal it receives from a U.S. company involves three steps. First, USTDA staff conducts an internal review to determine whether the proposal represents an appropriate opportunity for USTDA support. Second, proposals that satisfy this internal analysis are independently assessed by either a USTDA-funded definitional mission (DM) or desk study (DS) consultant. This analysis is based on:

- The priority the project sponsor attaches to the project, and if it is infrastructure specific, its likelihood of receiving implementation financing; and
- Whether the project offers mutual economic benefit for the country where it is located and the United States, including potential opportunities for commercial cooperation with U.S. firms.

A DM provides an evaluation of a particular proposal, and involves travel to the designated country. A DS provides analysis of a detailed proposal and is produced within the United States. The opportunities to conduct DMs and DSs are reserved for small U.S. firms. In order to preserve the integrity of the analysis provided in DMs and DSs, firms are not permitted to perform subsequent USTDA grant-funded activities related to proposals that they previously evaluated for the agency.

Third, USTDA conducts due diligence on potential contractors and subcontractors for USTDA-funded activities in order to ensure that our projects are in compliance with applicable U.S. law and the agency is working with reputable and solvent entities. USTDA performs these due diligence procedures on potential overseas project sponsors, potential U.S. contractors and subcontractors, parent corporations, and principal officers, directors and shareholders. Additionally, potential contractors and subcontractors must complete the Sole-Source Contractor Questionnaire provided in Annex VII below.

Definitions. As used in this Model Format:

“Study” means the technical assistance, feasibility study, or training program for which USTDA funding is being sought;

“Project” means the actual objective that a USTDA-funded activity would help to achieve or implement;

“Project sponsor” is the overseas entity that will have responsibility for implementing the project;

“Proposer” or **“Company”** is the U.S. company submitting the proposal to USTDA on behalf of the overseas project sponsor; and

“Contract” is the contract between the host country project sponsor and the U.S. company that is performing the USTDA-funded activity.

Nationality. USTDA funding is intended for services sourced in the United States. However, up to 20% of USTDA funding may be subcontracted by the U.S. company conducting a USTDA-funded activity to host country organizations. Proposals must clearly identify the nationality of individuals and companies who will actually conduct the study.

Cost-Sharing and Reimbursement. In most non-competitive or sole-sourced cases, USTDA requires cost-sharing, i.e., USTDA only partially covers the cost of the study. The remainder of the cost is borne by the company and/or by the project sponsor. USTDA’s contribution varies according to a

number of factors, including the size of the U.S. company, the costs the company has incurred in developing the project, and the risks associated with the project. In addition, USTDA usually requires the company to reimburse part or all of USTDA’s funding if the project is implemented and the company realizes substantial economic benefit from it. These commitments are included in a letter agreement between USTDA and the U.S. company.

Copies. At least two hard copies of the proposal must be submitted to USTDA. In addition, an electronic version (as an e-mail attachment or on a CD) must be provided. If the proposal contains confidential commercial information, it should be so marked.

USTDA Model Proposal and Budget Format for U.S. Companies

A. Executive Summary (1-3 pages). A concise summary of the proposal, including the specific objective of the requested USTDA-funded activity.

B. Project Description (3-6 pages). A brief description and history of the project, including, among other things, host country and/or other project sponsors, sector, project location, source of raw materials, infrastructure requirements, proposed technological approach, legal and regulatory framework (licenses, permits, etc.), implementation schedule, and economic fundamentals (estimated capital cost, operating costs, interest expense, taxes, expected revenues, etc).

C. Project Sponsor's Capabilities and Commitment (1-2 pages). Demonstration of the project sponsor's commitment and ability to implementation of the project. Include a description of the project sponsor's business activities or government mandate.

D. Implementation Financing (2-4 pages). A discussion of financing options for project implementation, including:

1. An overall cost estimate, proposed ownership and financing structure, and schedule for project implementation; and
2. Evidence that financing is available or likely to be available for the project, including a description of discussions with representatives of potential lenders and, if the project is host-country financed or guaranteed, representatives of the appropriate host country financing authority. Provide names and phone numbers of contacts, and summarize their comments.

For projects involving U.S. equity investment, the following additional information must be provided:

3. A complete set of audited financial statements from the U.S. investor for the past three years which show evidence of an operation with a solid financial structure and cash flow and a net worth sufficiently large to assure the availability of the equity required for the project; and
4. Evidence of a debt-equity structure for financing the project that corresponds to the requirements of the most likely source of implementation financing, or why it cannot be provided. Sources of equity should be identified, and letters of intent/commitment from investors should be provided.

In the event that any of the requested additional information or documentation is not available, you should provide an explanation of why it is not available.

E. U.S. Export Potential (1-2 pages). A best estimate of the U.S. export potential of the project, including an estimate, by category and dollar value, of the U.S. goods and services that

might be procured for project implementation and an illustrative list of potential U.S. suppliers of the goods and services for each category with contact names and telephone numbers.

F. Foreign Competition (1 page). A description of the foreign competition for the goods and services likely to be procured for project implementation by category, including a discussion of U.S. industry competitiveness in each category, taking into account geographic factors, local industry capabilities, technology and licensee issues, past procurement tendencies of the project sponsor, and how the procurement is likely to be conducted.

G. Developmental Impact (1-2 pages). A discussion of the most important benefits that the project will provide to the host country. Items of primary interest to USTDA include: Infrastructure (including any positive environmental impacts), Human Capacity Building (including jobs and training), Technology Transfer and Productivity Improvements and Market-Oriented Reforms. Mention other host country economic development benefits, such as financial revenue enhancements and others where appropriate. (For more detail please refer to Annex VI on USTDA Development Impact Measures.)

H. Impact on the Environment (1 page). A statement on the likely consequences the project might have on the environment. The Terms of Reference for the proposed USTDA-funded activity must include, at a minimum, a preliminary review of the project's impact on the environment, with reference to local requirements and those of potential lending agencies. The feasibility study should identify potential negative impacts and discuss the extent to which they can be minimized.

I. Impact on U.S. Labor (1 page). A statement regarding the impact of the project on U.S. labor that addresses the legislative prohibitions on the use of Foreign Assistance funds (please refer to Annex I).

J. Qualifications (1-2 pages). Relevant background on the proposer or company, including audited financial statements for the past three years, and the qualifications and experience of the team members who would perform the USTDA-funded activity. (Note that all team members must comply with USTDA's nationality requirements. Please refer to Annex II).

K. Justification (1 page). An explanation of why USTDA funding is needed.

L. Terms of Reference (1-3 pages). Detailed Terms of Reference and schedule for the feasibility study. The terms of reference must include, at a minimum:

- 1. Purpose and objective of the activity.** This section should contain a concise statement.
- 2. A technical assessment.** This section should include relevant background information that is pertinent to the technology selection.
- 3. An economic analysis of the project.** This section will usually include a cash flow analysis, attention to market conditions, raw material availability, supply agreements, off-

take agreements, and competing alternative methods of achieving the same or similar project objectives.

4. A financial analysis of the project. This section should consider the availability of equity and debt financing as well as the views of potential public and private financing organizations, such as the World Bank, relevant regional multilateral development bank(s), the Export-Import Bank of the United States and the Overseas Private Investment Corporation.

5. An appropriate environmental analysis of the project. A preliminary review of the project's anticipated impact on the environment with reference to local requirements and those of multilateral lending agencies (such as the World Bank). This review would identify potential negative impacts, discuss the extent to which they can be mitigated, and develop plans for a full environmental impact assessment if and when the project moves forward to the implementation stage. This includes the identification of steps that the project sponsor will need to undertake subsequent to the activity's completion and prior to project implementation.

6. A review of regulatory issues related to the project. This should include a discussion of any regulations that would impact the project's viability or prognosis to move forward.

7. An analysis of key host country development impacts. (Infrastructure, Human Capacity Building, Technology Transfer and Productivity Improvement and/or Market-Oriented Reform). These factors are intended to provide the project's decision-makers and interested parties with a broader view of the project's potential effects on the host country.

The analysis shall focus on what developmental impact is likely if the project is implemented according to a USTDA-funded activity's recommendations. While specific focus shall be paid to the immediate impact of the project, analysis shall include any additional developmental benefits that may result from the project's implementation, including spin-off and demonstration effects.

Accordingly, the analysis shall be an assessment of each of the following categories with respect to the project's potential development impact:

(a) Infrastructure: Provide a statement on the infrastructure impact, giving a brief synopsis. For example, "The project would result in the construction of a power plant that would provide 500MW of power. This plant would serve ___ [number] additional households in ___ [area]."

(b) Market-Oriented Reform: Provide a description of any regulation, laws, or institutional changes that are recommended and the effect they would have if implemented.

(c) Human Capacity Building: Assess the number and type of local positions that are needed to construct and operate the proposed project, as well as the number of local people who would receive training. Describe potential training program associated with the USTDA-funded activity.

(d) Technology Transfer and Productivity Enhancement: Provide a description of any advanced technologies that would be utilized as a result of the project and any efficiency that would be gained (e.g. “By upgrading the power plant’s old boilers, efficiency will be increased from x% to y%”).

(e) Other: Describe any other developmental impacts or benefits that would result from the project, for example, follow-on or replication projects, safer workplace, increased good governance or improved financial revenue flows to the host country.

For specific information regarding USTDA’s development impact goals and measures, please contact Regional Director or Country Manager at USTDA for the country in which you are interested, or see Annex VI on USTDA Development Impact Measures.

8. U.S. sources of supply. This section should provide an assessment of the availability of potential U.S. sources of supply for project implementation. Include business name, point of contact, address, telephone, e-mail, and fax numbers shall be included for each source.

9. An implementation plan. This section should describe the anticipated next steps necessary to implement the project.

10. Final Report. The U.S. company performing the USTDA-funded activity shall prepare and provide to the project sponsor and to USTDA a Final Report in accordance with the Grant Agreement. Each of the above tasks in this Terms of Reference must be distinctly set forth in the Final Report in a substantive and comprehensive manner, and shall include all corresponding deliverables. The Final Report shall contain an Executive Summary. In addition to any other required deliverables in the Grant Agreement, the U.S. company selected to perform the activity will provide both the project sponsor and USTDA with 6 copies (each) of the final report on CD-ROM. The CD-ROM version of the final report will include:

- Adobe Acrobat readable copies of all documents;
- Source files for all drawings in AutoCAD or Visio format; and
- Source files for all documents in MS Office 2000 or later formats.

The Terms of Reference must be designed to meet the requirements of the most likely source(s) of implementation financing. The requirements of some of the potential financing sources may be found at the following web sites:

www.opic.gov/finance.home.html

www.exim.gov/tools.index.html

www.ifc.org/proserv
www.adb.org/PrivateSector/finance/default.asp
www.ebrd.com/applyindex.html
www.iadb.org
www.afdb.org/opportunities/business_generic_proc_notices_country.htm

M. Study Budget (2-3 Pages)

The Proposer shall provide a detailed budget that is divided into three parts: a line item budget and task breakdown (Annex III), a Task Completion Schedule (Annex IV), and a budget narrative (Annex V). All costs in the budget should be reasonable and allocable to the work being performed, and should support the study Terms of Reference. The budget should provide sufficient detail to enable USTDA staff or others reviewing the material to understand completely, not only the budgeted amounts, but also the methodology that justifies the budget amounts. The budget should be provided in accordance with the format in Annex III and should include:

- Labor, budgeted by position title and task for each of the positions on the study team. Positions should be identifiable, with descriptions of the positions and proposed team members included in the proposal. Person-Days should reflect the proposed number of days of work effort proposed for each position for each task. The labor cost shall be derived as set forth in Annex III. The proposed budget may not include fee or profit.
- Itemization for per diem, transportation, communications, purchased services/contracts, translation of Final Report, and other direct costs. Per diem must be based on U.S. Government rates, which are available on the State Department web site (<http://www.state.gov/m/a/als/prdm/>).

The Task Completion Schedule should list each major task to be performed in support of the study Terms of Reference. The duration of each task is to be graphically presented in a bar chart as illustrated in Annex IV.

The budget narrative should provide a detailed budget explanation and justification presenting how all costs have been derived in accordance with the sample provided in Annex V. The narrative must include an explanation for every line item. In general, each narrative statement should describe, in as much detail as possible:

- What the specific item is
- How the specific item relates to the project
- How the amount shown in the budget was arithmetically determined.

Impact on U.S. Labor Statement

The Foreign Operations, Export Financing and Related Programs Appropriations legislation restricts U.S. foreign assistance from being used to provide: (a) any financial incentive to a business enterprise currently located in the United States for the purpose of inducing such an enterprise to relocate outside the United States if such incentive or inducement is likely to reduce the number of employees of such business enterprise in the United States because United States production is being replaced by such enterprise outside the United States; (b) assistance for any project or activity that contributes to the violation of internationally recognized workers rights; and (c) direct assistance for establishing or expanding production of any commodity for export by any country other than the United States, if the commodity is likely to be in surplus on world markets at the time the resulting productive capacity is expected to become operative and if the assistance will cause substantial injury to United States producers of the same, similar, or competing commodity.

USTDA Nationality Requirements

The purpose of USTDA's nationality, source, and origin requirements is to assure the maximum practicable participation of American contractors, technology, equipment and materials in the pre-feasibility, feasibility, and implementation stages of a project.

USTDA Standard Rule (Grant Agreement Standard Language):

Except as USTDA may otherwise agree, the following provisions shall govern the delivery of goods and services funded by USTDA under this Grant Agreement: (a) for professional services, the Contractor must be either a U.S. firm or U.S. consultant; (b) the Contractor may use U.S. subcontractors without limitation, but the use of subcontractors from host country may not exceed twenty percent (20%) of the USTDA Grant amount and may only be used for specific services from the Terms of Reference identified in the subcontract; (c) employees of U.S. Contractor or U.S. subcontractor firms responsible for professional services shall be U.S. citizens or non-U.S. citizens lawfully admitted for permanent residence in the U.S.; (d) goods purchased for implementation of the Study and associated delivery services (e.g., international transportation and insurance) must have their nationality, source and origin in the United States; and (e) goods and services incidental to Study support (e.g., lodging, food, and transportation) in host country are not subject to the above restrictions. USTDA will make available further details concerning these standards of eligibility upon request.

Nationality:

1. Rule

Except as USTDA may otherwise agree, the Contractor for USTDA funded activities must be either a U.S. firm or a U.S. consultant. Prime contractors may utilize U.S. subcontractors, but the use of host country subcontractors is limited to 20% of the USTDA grant amount.

2. Application

Accordingly, only a U.S. firm or U.S. consultant may submit proposals on USTDA-funded activities. Although those proposals may include subcontracting arrangements with host country firms or individuals for up to 20% of the USTDA grant amount, they may not include subcontracts with third country entities. U.S. firms submitting proposals must ensure that the professional services funded by the USTDA grant, to the extent not subcontracted to host country entities, are supplied by employees of the firm or employees of U.S. subcontractor firms who are U.S. individuals.

Interested U.S. firms and consultants who submit proposals must meet USTDA nationality requirements as of the due date for the submission of proposals and, if selected, must continue to meet such requirements throughout the duration of the USTDA-financed activity. These nationality provisions apply to whatever portion of the Terms of Reference is funded with the USTDA grant.

3. Definitions

A "U.S. individual" is (a) a U.S. citizen, or (b) a non-U.S. citizen lawfully admitted for permanent residence in the U.S. (a green card holder).

A "U.S. consultant" is (a) a U.S. citizen whose principal place of business is in the United States, or (b) a non-U.S. citizen lawfully admitted for permanent residence in the U.S. (a green card holder) whose principal place of business is in the U.S.

A "U.S. firm" is a privately owned firm which is incorporated in the U.S., with its principal place of business in the U.S., and which is either (a) more than 50% owned by U.S. individuals, or (b) has been incorporated in the U.S. for more than three (3) years prior to the issuance date of the request for proposals; has performed similar services in the U.S. for that three (3) year period; employs U.S. citizens in more than half of its permanent full-time positions in the U.S.; and has the existing capability in the U.S. to perform the work in question.

A partnership, organized in the U.S. with its principal place of business in the U.S., may also qualify as a "U.S. firm" as would a joint venture organized or incorporated in the United States consisting entirely of U.S. firms and/or U.S. individuals.

A nonprofit organization, such as an educational institution, foundation, or association may also qualify as a "U.S. firm" if it is incorporated in the United States and managed by a governing body, a majority of whose members are U.S. individuals.

Source and Origin:

1. Rule

In addition to the nationality requirement stated above, any goods (e.g., equipment and materials) and services related to their shipment (e.g., international transportation and insurance) funded under the USA Grant Agreement must have their source and origin in the United States, unless USTDA otherwise agrees. However, necessary purchases of goods and project support services which, are unavailable from a U.S. source (e.g., local food, housing and transportation) are eligible without specific USTDA approval.

2. Application

Accordingly, the prime contractor must be able to demonstrate that all goods and services purchased in the host country to carry out the Terms of Reference for a USTDA Grant Agreement that were not of U.S. source and origin were unavailable in the United States.

3. Definitions

"Source" means the country from which shipment is made.

"Origin" means the place of production, through manufacturing, assembly or otherwise.

Questions regarding these nationality, source and origin requirements may be addressed to the USTDA Office of General Counsel by calling (703) 875-4357.

**Required Budget Format for
Grant Proposals from U.S. Companies**

DIRECT LABOR COSTS:

<u>TOR Task</u>	<u>TOR Task Name</u>	<u>Primary Contractor (Employee) Labor</u>		
		<u>Total Person Days</u>	<u>Daily Rate*</u>	<u>= TOTAL COST</u>
I	Task _____	(Position A)	_____	_____
		(Position B)	_____	_____
TOTALS:		_____	_____	_____

<u>TOR Task</u>	<u>TOR Task Name</u>	<u>Non-Employee Labor</u>		
		<u>Total Person Days</u>	<u>Daily Rate**</u>	<u>= TOTAL COST</u>
I	Task _____	(Position A)	_____	_____
		(Position B)	_____	_____
TOTALS:		_____	_____	_____

TOTAL DIRECT LABOR COSTS:

OTHER DIRECT COSTS:

<u>Purchased Services/Contracts***</u>	<u>Tasks</u>	<u>TOTAL COST</u>
_____	_____	_____
_____	_____	_____

<u>Travel</u>	<u>Trips</u>	<u>Trip Cost</u>	<u>TOTAL COST</u>
International Air Travel	_____	_____	_____
In Country Air Travel	_____	_____	_____
Ground Transportation	_____	_____	_____

	<u>Trip Days</u>	<u>Per Diem Rate</u>	<u>TOTAL COST</u>
Per Diem	_____	_____	_____
Other (local travel, etc.)	_____	_____	_____
Interpreters	_____	_____	_____

<u>Other</u>	<u>TOTAL COST</u>
Reproduction and Binding	_____
Courier Services	_____
Visa Services	_____
Communication	_____

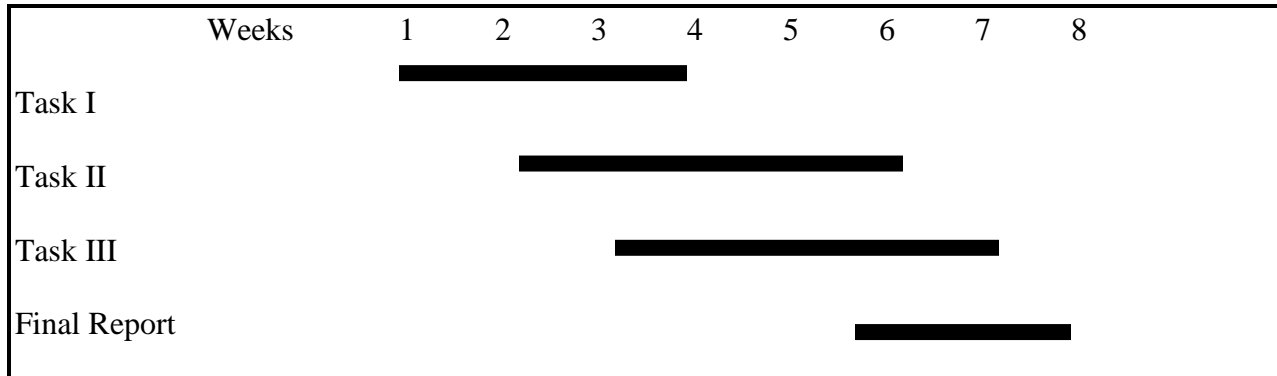
TOTAL OTHER DIRECT COSTS:

TOTAL COSTS (DIRECT LABOR COSTS + OTHER DIRECT COSTS):

TOTAL U.S. COMPANY COST SHARE:

PROPOSED USTDA GRANT:

1. Primary Contractor (Employee) Labor Costs = Salary + Overhead + Benefits (no fee or profit).
2. Non-Employee Labor Cost = Salary + Overhead + Benefits + Reasonable Fee or Profit.
3. Purchased Services/ Contracts may include engineering drawings, lab work, surveys, translation, etc., which would not be included in Non-Employee Labor Cost above.

Task Completion ScheduleInstructions

List each major task to be performed. The duration of each task is to be graphically represented. For example, in the illustrative schedule, Task 1 is to begin in Week 1 and end in Week 4. Preparation of the Final Report begins in Week 6 and is completed in Week 8.

Budget Narrative Requirements

Direct Costs

Direct Labor - Only salaries and wages for employees of the proposing organization should be identified here. Provide the job title; the names of the individuals, if known; the experience and training that describes the individual's capabilities for the project and supports the proposed daily rate; and an explanation of how the individual will support the Terms of Reference. For each, provide the mathematics for how the loaded rate was developed.

Examples:

Project Manager/Senior Engineer – This individual will provide necessary guidance and support to the project to ensure successful completion of the System Design and oversee the completion of the Terms of Reference. The proposed individual has 15 years experience managing telecommunications projects. It is estimated that 130 days will be required at a daily rate of \$1455. The rate was calculated with a base salary of \$776 a day and includes a fringe benefit rate of 25% and an overhead rate of 50%.

Junior Engineer – This individual will work with the Senior Engineer to develop the system design and provide documentation for the feasibility study. It is estimated that 75 days will be required at a daily rate of \$728 a day. The rate was calculated with a base salary of \$388 a day and includes a fringe benefit rate of 25% and an overhead rate of 50%.

Other Direct Labor – Consultants and other Non-Employee Labor should be identified here. Provide the job title; names of the individuals, if known; primary organization affiliation, if applicable; experience and training that describes the individual's capabilities for the project and supports the proposed daily rate; and a justification of how the individual will support the Terms of Reference. For each, provide the mathematics for how the loaded rate was developed.

Example:

Independent Consultant – This individual will develop questionnaires and surveys to gather data from local participants and officials for the marketing plan. The individual will have experience developing and administering questionnaires and knowledge of the host country. It is estimated that 30 days will be required at a daily rate of \$577 a day. The rate was calculated with a base salary of \$300 a day and includes a fringe benefit rate of 30% and an overhead rate of 45%. A small profit/fee may be added, if justified.

Other Direct Costs

Purchased Services/Contracts – For each purchased service or contract, include a clear description of the work to be performed as it relates to the Terms of Reference and a separate detailed budget for each. If the contractor or vendor is known, provide a basis for selection.

Examples:

Translation Services – A translation service provider will be hired to translate the final report. It is estimated that 1000 pages will be translated at \$1.00 a page. The budget estimate is based on actual costs to translate similar documents in the past.

ABC Marketing, Inc. – This contractor was selected because they have 10 years experience developing marketing plans with significant experience in the host country. ABC Marketing will develop the

marketing plan utilizing the data collected from questionnaires and surveys. Attached is ABC Marketing's detailed budget of \$15,324.

Domestic and Foreign Travel

Include the destination and its relationship to the project and the Terms of Reference. Itemized costs must be included for each trip.

Examples:

The Project Manager/Senior Engineer and the Junior Engineer will travel to the host country for the Kick-Off Meeting and two subsequent trips for System Design Work. The Independent Consultant will travel to the host country for the Kick-Off Meeting and two subsequent trips for collection of data for the Marketing Plan.

One Kick-Off Meeting to be attended by the Project Manager/Senior Engineer, Junior Engineer, and Independent Consultant

Roundtrip Airfare (Economy Class): $\$2,973/\text{per Trip} \times 3 \text{ People} = \$8,919$

Per Diem: $\$182 \times 10 \text{ days} \times 3 \text{ People} = \$5,460$

Local Transportation: $\$250/\text{trip} \times 9 \text{ Trips} = \$2,250$

Transportation to/from Airport: $\$100/\text{Trip} \times 4 \text{ Trips} = \200

Two System Design Trips (10 days each) for the Project Manager/Senior Engineer and Junior Engineer

Roundtrip Airfare (Economy Class): $\$2,973 \times 2 \text{ Trips} \times 2 \text{ People} = \$11,892$

Per Diem: $\$182 \times 2 \text{ Trips} \times 10 \text{ days} \times 2 \text{ people} = \$7,280$

Local Transportation: $\$250/\text{trip} \times 18 \text{ Trips} = \$4,500$

Transportation to/from Airport: $\$100/\text{trip} \times 4 \text{ trips} = \200

Two Data Gathering Trips for the Marketing Plan (10 days each) for the Project Manager/Senior Engineer and Independent Consultant

Roundtrip Airfare (Economy Class): $\$2,973 \times 2 \text{ Trips} \times 2 \text{ People} = \$11,892$

Per Diem: $\$182 \times 2 \text{ Trips} \times 10 \text{ days} \times 2 \text{ people} = \$7,280$

Local Transportation: $\$250/\text{trip} \times 18 \text{ Trips} = \$4,500$

Transportation to/from Airport: $\$100/\text{trip} \times 2 \text{ trips} = \200

Other Expenses

Other expenses may include such items as reproduction, publishing costs, and telephone calls. Provide a detailed explanation for each as to how it relates to the Terms of Reference and include calculations on how the numbers have been derived.

Example:

Reproduction of the Final Report – Eight copies of the final report will be reproduced and bound in accordance with the final report specifications provided by USTDA.

Reproduction: $1000 \text{ Pages} \times \$0.10/\text{per Copy} \times 8 \text{ Copies} = \800

Binding and Final Report Specifications: $\$20/\text{per Copy} \times 8 \text{ Copies} = \160

Guidance on USTDA Developmental Impact Measures

USTDA has a dual mission of promoting U.S. exports and advancing economic development in the host country. USTDA would like to re-emphasize the agency's developmental mandate. Toward this goal, the agency is collecting more detailed information regarding the impact of its activities on the economic development of the host country.

What does USTDA mean by Developmental Impact?

USTDA's activities impact host country economic development in a variety of ways. There are four primary categories that are tracked and measured. However, the agency recognizes that there are additional ways that activities can benefit the host country. Therefore, study contractors are encouraged to address any significant benefits.

Category	Explanation
Infrastructure	USTDA funds feasibility studies (FS) and technical assistance (TA) for many critically important infrastructure projects such as power plants, roads, ports, airports, telecommunications systems, water and sewerage systems or environmental improvements or enhancements, as well as projects such as refineries and manufacturing plants. Implementation of these projects contributes to the improvement and security of the physical, financial and social infrastructure of the developing world.
Market-Oriented Reform	Many USTDA activities have as a primary objective the facilitation of market-oriented reforms in developing countries. These reforms include encouraging more transparent regulatory systems and institutions, privatization of state-owned economic entities, promotion of greater competition in non-competitive economic sectors, lowering of non-tariff barriers to trade, strengthening of intellectual property rights and modernizing international trade systems and regulations.
Human Capacity Building	When implemented, the agency's projects often create new job opportunities, sustain employment for those in jeopardy of losing jobs and/or offer advanced training to upgrade the capability of the work force. USTDA considers a project to have Human Capacity Building impact if ten or more jobs are created and/or ten or more people receive significant training.
Technology Transfer and Productivity Improvement	The agency's projects result in the introduction of advanced technologies (e.g. management information systems or process technologies) or licenses that improve processes and/or systems, resulting in greater economic productivity or more efficient use of resources.
Other	Other development benefits not captured by the above four categories - examples include enhanced government revenue, increased good governance or spin-off projects.

How Should the Terms of Reference of a USTDA-Funded Activity Address Developmental Impact?

The Terms of Reference (TOR) should include a task that assesses the expected developmental benefits of the proposed project. For example:

The FS/TA Contractor shall report on the potential Developmental Impact of the project in the host country. In this section, the FS/TA Contractor should focus on what the economic development outcomes will be if the project is implemented according to the study recommendations. While specific focus should be paid to the immediate impact of the specific project that is being considered, the FS/TA contractor should include, where appropriate, any additional developmental benefits to the project, including spin-off and demonstration effects. The analysis of potential benefits of the feasibility study contractor should be as concrete and detailed as possible. The Developmental Impact factors are intended to provide the project's decision-makers and interested parties with a broader view of the project's potential effects on the host country. The FS/TA contractor will provide estimates of the project's potential benefits in the following areas:

- **Infrastructure:** A statement on the infrastructure impact giving a brief synopsis. For example “This project would result in the construction of a power plant that would provide 500MW of power. This plant would serve x additional households in the region.”
- **Market-Oriented Reform:** A description of any regulation, laws, or institutional changes that are recommended and the effect they would have if implemented.
- **Human Capacity Building:** The Contractor should address the number and type of positions that would be needed to construct and operate the proposed project as well as the number of people who will receive training and a brief description of the training program.
- **Technology Transfer and Productivity Enhancement:** A description of any advanced technologies that will be implemented as a result of the project. A description of any efficiency that will be gained (e.g. “By upgrading the power plant’s old boilers, efficiency will be increased from x% to y%).
- **Other:** Any other developmental benefits to the project, including any spin-off or demonstration effects.

How Will This Affect the Final Report For the Feasibility Study or Technical Assistance?

A section in the final report will be devoted to the projected host country Developmental Impact of the FS or TA recommendations if they are implemented. The section should focus primarily on the key issues mentioned above (infrastructure and industrialization, human capacity building, technology transfer and productivity, and market oriented reform). Other host country development impacts (e.g. improved financial revenue flows to host government etc.) can be mentioned where appropriate. The discussion should be as detailed and concrete as possible, and the contractor may provide estimates in ranges as appropriate.

SOLE-SOURCE CONTRACTOR QUESTIONNAIRE

I. Company Information

A. Company Profile

Provide the information listed below relative to the Company. If the Company is proposing to subcontract some of the proposed work to another firm(s), the information below must be provided for each subcontractor.

1. Name of firm and business address (street address only), including telephone and fax numbers.
2. Year established (include predecessor companies and year(s) established, if appropriate).
3. Type of ownership (e.g. public, private or closely held).
4. If private or closely held company, provide list of shareholders and the percentage of their ownership.
5. List of directors and principal officers (President, Chief Executive Officer, Vice-President(s), Secretary and Treasurer; provide full names including first, middle and last). Please place an asterisk (*) next to the names of those principal officers who will be involved in the Feasibility Study.
6. If Company is a subsidiary, indicate if Company is a wholly-owned or partially-owned subsidiary. Provide the information requested in items 1 through 5 above for Company's parent(s).
7. Project Manager's name, address, telephone number, e-mail address and fax number.

B. Company's Authorized Negotiator

Provide name, title, address, telephone number, e-mail address and fax number of the Company's authorized negotiator. The person cited shall be empowered to make binding commitments for the Company and its subcontractors, if any.

C. Negotiation Prerequisites

1. Discuss any current or anticipated commitments which may impact the ability of the Company or its subcontractors to complete the Feasibility Study as proposed and reflect such impact within the project schedule.

2. Identify any specific information which is needed from the Grantee before commencing contract negotiations.

D. Company's Representations

Company shall submit a proposal that contains the following representations (or an explanation as to why any representation cannot be made), made as of the date of the proposal:

1. Company is a corporation *[insert applicable type of entity if not a corporation]* duly organized, validly existing and in good standing under the laws of the State of _____. The Company has all the requisite corporate power and authority to conduct its business as presently conducted, to submit this proposal, and if selected, to execute and deliver a contract to the Grantee for the performance of the Feasibility Study. The Company is not debarred, suspended, or to the best of its knowledge or belief, proposed for debarment or ineligible for the award of contracts by any federal or state governmental agency or authority.
2. The Company has included herewith, a certified copy of its Articles of Incorporation and a certificate of good standing issued within one month of the date of signature below by the State of _____. The Company commits to notify USTDA and the Grantee if they become aware of any change in their status in the state in which they are incorporated. USTDA retains the right to request an updated certificate of good standing.
3. Neither the Company nor any of its principal officers have, within the three-year period preceding the submission of this proposal, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal or state criminal tax laws, or receiving stolen property.
4. Neither the Company, nor any of its principal officers, is presently indicted for, or otherwise criminally or civilly charged with, commission of any of the offenses enumerated in paragraph 2 above.
5. There are no federal or state tax liens pending against the assets, property or business of the Company. The Company, has not, within the three-year period preceding the submission of this proposal, been notified of any delinquent federal or state taxes in an amount that exceeds \$3,000 for which the liability remains unsatisfied. Taxes are considered delinquent if (a) the tax liability has been fully determined, with no pending administrative or judicial appeals; and (b) a taxpayer has failed to pay the tax liability when full payment is due and required.

6. The Company has not commenced a voluntary case or other proceeding seeking liquidation, reorganization or other relief with respect to itself of its debts under any bankruptcy, insolvency or other similar law. The Company has not had filed against it an involuntary petition under any bankruptcy, insolvency or similar law.

The selected Company shall notify the Grantee and USTDA if any of the representations included in its proposal are no longer true and correct at the time of its entry into a contract with the Grantee.

Name of Authorized Representative of Company: _____

Signature of Authorized Representative: _____

Date: _____

E. Subcontractor Profile

1. Name of firm and business address (street address only), including telephone and fax numbers.
2. Year established (include predecessor companies and year(s) established, if appropriate).

F. Subcontractor's Representations

If any of the following representations cannot be made, or if there are exceptions, the Subcontractor must provide an explanation.

1. Subcontractor is a corporation [*insert applicable type of entity if not a corporation*] duly organized, validly existing and in good standing under the laws of the State of _____. The subcontractor has all the requisite corporate power and authority to conduct its business as presently conducted, to participate in this proposal, and if the Company is selected, to execute and deliver a subcontract to the Company for the performance of the Feasibility Study and to perform the Feasibility Study. The subcontractor is not debarred, suspended, or to the best of its knowledge or belief, proposed for debarment or ineligible for the award of contracts by any federal or state governmental agency or authority.
2. Neither the subcontractor nor any of its principal officers have, within the three-year period preceding this RFP, been convicted of or had a civil judgment

- rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government contract or subcontract; violation of federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, violating federal or state criminal tax laws, or receiving stolen property.
3. Neither the subcontractor, nor any of its principal officers, is presently indicted for, or otherwise criminally or civilly charged with, commission of any of the offenses enumerated in paragraph 2 above.
 4. There are no federal or state tax liens pending against the assets, property or business of the subcontractor. The subcontractor, has not, within the three-year period preceding this RFP, been notified of any delinquent federal or state taxes in an amount that exceeds \$3,000 for which the liability remains unsatisfied. Taxes are considered delinquent if (a) the tax liability has been fully determined, with no pending administrative or judicial appeals; and (b) a taxpayer has failed to pay the tax liability when full payment is due and required.
 5. The subcontractor has not commenced a voluntary case or other proceeding seeking liquidation, reorganization or other relief with respect to itself or its debts under any bankruptcy, insolvency or other similar law. The subcontractor has not had filed against it an involuntary petition under any bankruptcy, insolvency or similar law.

The selected subcontractor shall notify the Company, Grantee and USTDA if any of the representations included in this proposal are no longer true and correct at the time of the Offeror's entry into a contract with the Grantee.

Name of Authorized Representative of subcontractor: _____

Signature of Authorized Representative: _____

Date: _____