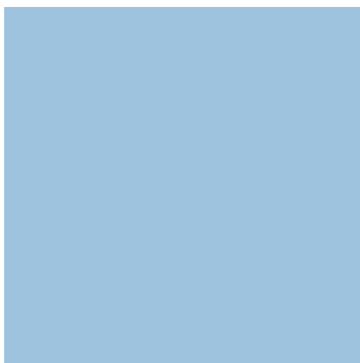




INSTITUTE OF
INTERNATIONAL
EDUCATION

**DEMOCRACY FELLOWS AND GRANTS PROGRAM
DEMOCRACY, HUMAN RIGHTS, AND GOVERNANCE (DRG) RESEARCH AND INNOVATION GRANTS
ANNUAL PROGRAM STATEMENT: 2013**



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Acronym List

APS	Annual Program Statement
CPG	USAID's Bureau for Africa; Office of Sustainable Development; Conflict, Peacebuilding, and Governance Division
DFG	Democracy Fellows and Grants Program
DO	Development Objective
DRG	Democracy, Human Rights, and Governance
DRG Center	USAID's Center of Excellence on Democracy, Human Rights, and Governance
DUNS	Data Universal Numbering System
EEO	Ensuring Equal Opportunity
FAA	Foreign Assistance Act
FY	Fiscal Year
IIE	Institute of International Education
NICRA	Negotiated Indirect Cost Rate Agreement
USAID	United States Agency for International Development
USD	United States Dollars

I. SUMMARY OF FUNDING OPPORTUNITY

The Institute of International Education (IIE)—on behalf of the Center of Excellence on Democracy, Human Rights, and Governance (DRG Center) at the United States Agency for International Development (USAID)—is issuing this Research and Innovation Grants Annual Program Statement (APS) to invite applications for innovative research that will enhance both a deep theoretical and an applied understanding of the dynamics of democracy, human rights, and good governance. This APS is issued under IIE’s Democracy Fellows and Grants (DFG) program, funded by the DRG Center.

The DRG Center is a global resource for evidence-based research on what works best in promoting, protecting, and deepening democracy (for more on the DRG Center, see Attachment 1). The DRG Center seeks to support research that is most likely to generate information, findings, or recommendations that can inform or be applied to USAID DRG foreign assistance projects, approaches, frameworks, and strategic planning. Research awards of \$10,000 to \$100,000 are available.

The DRG Center’s research interests are diverse. The Center is interested in applications that promise a significant advance in its understanding of any of the myriad issues on which it works (see *Section III*). Research can be basic or applied, qualitative or quantitative, although all must be theoretically motivated, methodologically rigorous, and capable of passing peer review at the highest level.

The research to be supported under this APS is one element of a much broader effort by the DRG Center to expand its knowledge base and better link its strategic planning to academic research and data. The centerpiece of this broader effort is an initiative to design new DRG projects that employ impact evaluations using experimental and quasi-experimental design. Other elements of the DRG Center’s learning agenda include increased use of survey data, developing better and disaggregated democracy indicators, undertaking more case studies, and research in theories of democratic change.

For this year’s APS, the DRG Center is partnering with USAID’s **Bureau for Africa; Office of Sustainable Development; Conflict, Peacebuilding, and Governance Division (CPG)**. CPG provides technical advice and support to USAID missions in Africa on issues related to Peace and Security and to DRG and will be looking for applications that combine a theoretical focus of interest in DRG with an empirical focus on sub-Saharan Africa. CPG will sit with the DRG Center on the APS Evaluation Committee (see *Section V*), but applicants need not propose an African focus to be considered for, or to receive, an award under this APS.

IIE will award grants to conduct research, according to the specifications presented in *Section III*. The maximum amount available for each grant will be \$100,000, for a period of twelve (12) months. The amount of award is subject both to the availability of funds and to the quality and viability of applications received. IIE reserves the right to make one award, multiple awards, or no awards at all under this APS.

This APS is issued worldwide as a public notice to ensure that all interested, qualified institutions have a fair opportunity to submit applications for funding. IIE will accept applications from US and non-US colleges, universities, research institutions, think tanks, or other non-profit organizations that conduct research in relevant fields. Both public and private colleges and universities are eligible, provided they are not formed primarily for commercial or business purposes. Only institutions eligible for assistance under US laws will be accepted.

II. FUNDING OPPORTUNITY DETAILS

Funding mechanism: Grants awarded will be either cost reimbursable or fixed obligation, based on the scope of work. Apparently successful applicants will be informed of grant type when they are notified that they have been selected to receive funding under this APS. Apparently successful applicants will be provided appropriate templates for the grant type and support in finalizing the grant (see *Section VI*).

APS Issuance Date: October 18, 2013

Final Closing Date: October 17, 2014

Submission: electronic, to dem.grants@iie.org

Questions: Questions on this APS may be submitted at any time, but applicants will benefit most from submitting questions early. Questions should be submitted to dem.grants@iie.org; IIE will post questions (without attribution) and answers on the DFG website: www.iie.org/DFG. Applicants should check the DFG website frequently as no notice of postings will be issued.

Deadline to submit applications for first round of review: November 22, 2013, at 11:59 PM EST

Estimated grant size: \$10,000 – \$100,000

Maximum grant size: \$100,000

Maximum grant period: 12 months

Estimated total number of awards: around 10; number of awards is subject to available funding and funding level requested by top-ranked applicants.

Currency of grant award: US Dollars (USD) for US organizations; local currency for non-US organizations, with an established, not-to-exceed ceiling amount in USD.

Eligibility Criteria: Applicant

- Is a public or private university, research institution, think tank, or other non-profit organization.
- Is a legally registered entity, according to the laws of the country in which it operates.
- Is eligible for assistance under US Government laws.
- Has a Data Universal Numbering System (DUNS) number.

Individuals must apply through their affiliated institution, which will be the legal entity to which the grant is issued.

Notice to applicants: Applicants are strongly encouraged to apply by the first deadline, on November 22, 2013. IIE will announce on the DFG website when all funds currently dedicated to this APS have been awarded. Step 2 applicants (see *Section V*) which are not initially selected for funding may remain under consideration throughout the open period of the APS, should additional funding become available.

III. USAID DRG RESEARCH INTERESTS AND PRIORITIES

The USAID's DRG research interests are reflected in the new DRG Strategy adopted in June 2013. The Strategy's framework identifies four primary Development Objectives (DOs), each of which has several subsidiary objectives. The full Strategy is available at [http://www.usaid.gov/sites/default/files/documents/1866/USAID%20DRG %20final%20final%206-24%203%20\(1\).pdf](http://www.usaid.gov/sites/default/files/documents/1866/USAID%20DRG%20final%20final%206-24%203%20(1).pdf)

DO1: The promotion of participatory, representative, and inclusive political processes and institutions.

- 1.1. Advancing civil and political rights, including freedoms of expressions, association, peaceful assembly, and access to information.
- 1.2. Promoting politically engaged and informed citizenries, active civil society organizations, organized labor, independent and open media, and representative political parties.
- 1.3. Supporting the implementation of participatory governance by state institutions, including at the sub-national level.
- 1.4. Supporting the fair and impartial establishment and implementation of policies and laws.

DO2: Foster greater accountability of institutions and leaders to citizens and the law.

- 2.1. Provide electoral assistance that enables citizens to exercise their right to select and replace their leaders through periodic, free and fair elections.
- 2.2. Support the ability of civil society and of independent and open media to provide oversight and an informed critique of government.
- 2.3. Strengthen the institutions and systems that enable the rule of law and checks and balances among branches of government.
- 2.4. Assist state institutions at all levels in delivering on the mandates of their offices, fulfilling the public trust, and providing public goods and services through transparent and responsive governance.

DO3: Protect and promote universally recognized human rights.

- 3.1. Support mechanisms for protection, mitigation, and response to violations against human rights, in particular human rights of the most vulnerable.
- 3.2. Prevent violations of human rights by strengthening rights frameworks, institutions, and oversight.
- 3.3. Promote human rights principles in accordance with universal values and international norms.

DO4: Integrate democracy, human rights, and governance principles and practices across USAID's development portfolio.

- 4.1. Strengthen country-based mechanisms for participation, inclusion, and local ownership across all USAID development sectors, including food security, health, education, economic growth, and environmental protection, among others.
- 4.2. Encourage host governments and civil society to employ legitimate and effective accountability measures.
- 4.3. Promote equality of opportunity and access to public goods and services particularly with respect to poor and marginalized populations.

The DRG Center is organized into a number of teams, sub-teams, and working groups whose varied interests provide additional guidance on the type of research that is likely to be of interest to the Center. The teams are introduced below; more about these teams and a list of knowledge area groups can be found in Attachment 1.

- **Civil Society and Media (CSM)** focuses on issues relating to civil society, media, youth, and labor.
- **Cross Sectoral Programs (CSP)** is responsible for integrating DRG principles into other development sectors, including health, agriculture, economic growth, climate change, conflict mitigation, and education.
- **Elections and Political Transitions (EPT)** promotes electoral competition, political accountability, and consensus-building through the conduct of free and fair elections.
- **Governance and Rule of Law (GROL)** supports activities to improve the accountability, transparency, and responsiveness of governing institutions, systems, and processes. It also promotes legal and regulatory frameworks that improve order and security, legitimacy, checks and balances, and equal application and enforcement of the law.
- **Global and Regional Policy (GRP)** supports evidence-based DRG policies and strategies and leads the DRG Center's efforts in supporting country-specific DRG assessments and strategic planning.
- **Human Rights (HR)** supports the elevation of human rights across all development sectors. Areas of particular focus include support for human rights defenders and institutions; atrocity prevention; countering trafficking in persons; the rights of vulnerable populations, including the rights of the lesbian, gay, bisexual, transgender, and intersex (LGBTI) population; and transitional justice.
- **Learning (L)** leads the DRG Center's learning agenda by cumulating, expanding, and disseminating research on all aspects of DRG through impact and performance evaluations, survey research, and rigorous qualitative research and through strengthening relations with the international academic community.

The **Bureau for Africa's CPG Division** invests in research tracking trends in governance, civil society, and media across a broad range of African countries, and generates and disseminates knowledge and best practices in areas such as African leadership, decentralization and local governance, civil society enabling environment, and transnational organized crime. CPG is interested in:

- Factors influencing the transfer of power and authority from central to sub-national governments; how these affect democracy and development; and how, if at all, decentralization alters traditional systems;
- Understanding the main recent and emerging trends in DRG across Africa and which trends are most promising for/threatening to progress on democratic governance; and
- Assessing the impact of rapid urbanization on the promotion of DRG in Africa; the best approaches and tools for USAID to respond; and how critical governance and social service requirements of citizens, particularly the urban poor, can be met.

IV. APPLICATION INSTRUCTIONS

Applications include two components: a technical application (with two annexes, as described below) and a cost application. Applications may be submitted to dem.grants@iie.org in .doc, .docx, or .pdf (searchable) formats. Any pages submitted in excess of the limitations and requirements detailed in this section will be discarded and will not be reviewed, including any annexes other than those required.

If an applicant experiences technical difficulties with submission, the applicant may contact IIE at +001.202.326.7710, no later than 12:00PM EST (noon) on the date of submission. Incomplete or late applications will be considered non-responsive and ineligible.

Organizations may submit more than one application but must submit a separate, complete application for each research project. Applications submitted for consideration under this APS may be eligible to receive grants during the full open period of this APS (October 18, 2013 – October 17, 2014); however, applicants are strongly encouraged to apply by the first review deadline of **November 22, 2013**.

Applicants will be notified at the following times:

- When applications will not be selected for funding under this APS.
- When applications have not been selected to receive funding in the first round, because funding was exhausted, but may be selected for funding during the APS open period, if and when other funding is identified.
- When applications have been selected to receive funding in the first round.

IIE reserves the right to ask questions of applicants and to invite organizations to apply. An invitation to submit a proposal does not constitute a commitment to award. Under no circumstances will IIE reimburse any costs that an applicant may incur in the preparation or submission of an application.

A. TECHNICAL APPLICATION

A complete Technical Application includes a technical proposal and two (2) technical annexes. All documents must be prepared in Times New Roman 11 or relative font, single-spaced, on Letter (8.5" x 11") or A4 (8.27" x 11.69") paper, with one-inch (1") margins. Page limits must be strictly adhered to, and material that exceeds the page limit will not be reviewed.

The technical proposal is limited to a total of 12 pages and must contain the following sections:

1. **Title Page** (1 page, not counted against the page limit) including:
 - a. Name and address of organization
 - b. Principal location of business
 - c. Type of organization
 - d. Project title
 - e. Primary technical point of contact (name, title, email address, telephone number)
 - f. Partners, if any
 - g. Total amount of funding requested
 - h. Signature of representative authorized to enter into legally binding agreements for the applying organization

2. A **Project Summary** (maximum 2 pages) that identifies the research project to be addressed; discusses its importance in the context of USAID’s DRG interests; and provides a brief, non-academic summary of the research to be conducted.
 3. A **Project Proposal** (maximum 10 pages) that:
 - a. Summarizes, synthesizes, and critically evaluates the extant research on the proposed topic;
 - b. Identifies strengths and weaknesses of this research, both theoretical and methodological;
 - c. Provides a statement of theory and identifies the hypotheses to be tested;
 - d. Outlines the measurement and estimation strategies and discusses data to be used; and
 - e. Provides the fullest possible description and justification of the theoretical and methodological approaches proposed for the research.
- If gender is a relevant aspect of the research question, the application must address it.
4. **Works Cited** (not counted against the page limit): Full citations must be provided for research referenced in the technical proposal.

ANNEXES TO THE TECHNICAL APPLICATION

Applicants must submit the following annexes, and must adhere strictly to the page limits. Additional annexes will not be reviewed.

Annex 1: CV(s) of the Principal Investigator(s) (maximum 2 pages each): Applicants should submit the CV(s) of scholar(s) who will be the primary researcher(s) on the grant. CVs may follow any format, but should be limited to biographical data, professional accomplishments, and a maximum of the five (5) publications most relevant to the research question. Should the application be successful, the primary researcher(s) may be designated as key personnel, in which case the grantee would need to receive IIE approval before replacing the primary researcher(s).

Annex 2: Timeline: Applicants should complete Attachment 2: Project Timetable. Applicants should add or delete rows as necessary to accommodate the appropriate number of results and activities for their project. Applications may only have one goal, with no intermediary results, or may have two or more intermediary results—depending on the design and complexity of the proposed research project.

Ensuring Equal Opportunity (EEO) Survey: Applicants are asked to download and submit the EEO Survey, attached to this APS. The completion of the EEO survey is optional and will not affect the evaluation of the application.

B. COST APPLICATION

Applicants must complete the budget template (Attachment 3) provided with the APS. Please note:

1. The budget must represent all costs necessary to complete the proposed research project.
2. The notes must provide sufficient detail for the Evaluation Committee to evaluate the cost application.

3. Staff and consultants will need to be identified by name; title; and percentage, or number of days, of level of effort to be charged to the grant.
4. Travel costs will need to be calculated per trip per staff member or consultant and the total cost per trip must include:
 - a. Airfare; all international travel must comply with the Fly America Act and be approved by USAID.
 - b. Per diem (lodging and meals & incidental expenses); per diem may not exceed USG limits.¹
 - c. Local transportation (taxis, car rental).
 - d. Communication costs (purchase of SIM card or local cell phone, internet fees).
5. Cost share is not required, but if proposed must be noted. Cost share includes any co-funding of the proposed research project from other grants, as well as any resources provided by the applying organization. Funding from other US Government sources may not be considered as cost share, but could constitute a contribution to the proposed project goals.

All costs charged to the grant will be evaluated applying US Government guidance as provided in FAR 31, A-21, and A-122 and must be reasonable, allocable, allowable, and accountable:

- *Reasonable*—necessary for the grant activities.
- *Allocable*—specifically for this grant.
- *Allowable*—conform to limitations of federal funding.
- *Accountable*—based on legal transactions and supported with documentation.

C. APPLICATION SUBMISSION CHECKLIST

- Title Page
- Technical Application
- Annex 1: CVs
- Annex 2: Project Timetable (use Attachment 2)
- EEO Survey (optional)
- Cost Application (use Attachment 3)

V. SELECTION CRITERIA

Applications will be reviewed in a two-step process.

Step 1: Applications will be divided topically among several Sector Evaluation Committees; each Sector Evaluation Committee will include sector and subject area experts from the DRG Center and from CPG. The Sector Evaluation Committees will review all applications against the selection criteria below and rank them from highest to lowest among all Committee members. The highest scoring applications deemed eligible for funding will be passed to Step 2.

Step 2: All applications selected to proceed to Step 2 will be reviewed again by an overall APS Evaluation Committee—including experts from the DRG Center and from CPG in the sectors and subject areas of

¹Domestic per diems are published at <http://www.gsa.gov/portal/category/21287>. Foreign per diems are published at http://aoprals.state.gov/content.asp?content_id=184&menu_id=81.

the proposed research projects. The APS Evaluation Committee will review the applications against the technical criteria below and make a funding decision based on the application(s) that provide the DRG Center and CPG with the most useful grant portfolio, based on the criterion of relevance. Applications which reached Step 2 but were not selected for funding during the first round of review may be selected for funding during the APS open period, if further funding becomes available.

A. TECHNICAL APPLICATION EVALUATION CRITERIA

The technical application will be worth a total of 95 points:

Technical Merit (30 points): The application will be evaluated on the soundness of its technical understanding of the research question and subject area to which it is responding and should demonstrate that the researchers have a fully up-to-date understanding of their research area. If gender is a relevant aspect of the question, the application will be evaluated on it.

Advancing Knowledge (25 points): The application will be evaluated on 1) the significance and feasibility of the proposed steps to advance research in the applicant's respective sectoral focus, 2) the clarity and relevance of the methodological approach proposed, and 3) whether the methods proposed are sufficient and appropriate for the research question.

Relevance (20 points): The primary goal of this APS is to help USAID access and apply academic ideas, learning, and data for the purpose of improving DRG assistance projects and strategic and programmatic planning decisions. The application will be evaluated on the extent to which the information generated could be used to inform or improve USAID's DRG assistance projects, frameworks, approaches, or strategic planning.

Research Team (20 points): The application will be evaluated based on the depth and relevance of the research team's previous research work and/or publications in the area.

B. COST APPLICATION EVALUATION CRITERIA

The cost application will be worth a total of five (5) points and will be evaluated for cost realism and cost effectiveness. Applicants must also demonstrate the reasonableness of the amount they request. There is a maximum of \$100,000 available for a single grant under this APS; however, IIE anticipates awarding grants from \$10,000 – \$100,000.

Cost applications will be evaluated on:

1. Each item's being necessary to complete the work proposed in the technical application.
2. All work in the technical application being represented in the budget.
3. The applicant's understanding of the requirements of this APS.

VI. APPARENTLY SUCCESSFUL APPLICANTS

After Step 2, the applicants recommended to receive a grant under this APS will be provided detailed guidelines and templates to finalize the grant agreement and will be supported by IIE during that

process. Funding will be contingent upon satisfactory completion of the necessary templates. It is anticipated that a completed grant package should be finalized one (1) month after the invitation has been delivered to a selected applicant. Except in exceptional circumstances, applicants will be held to the funding ceiling proposed in the original budget; however, IIE reserves the right to request applicants to adjust the technical and cost application to reflect available funding levels.

Apparently successful applicants also will be asked to submit:

- Current and past performance information, which will include a complete list of all grants, contracts, or cooperative agreements, **involving ONLY similar or related programs**, which their organization has managed for the past three (3) years. The lack of past performance information does not disqualify an applicant from receiving a grant.
- The [Certifications, Assurances, and Other Statements](#), duly dated and signed. All the highlighted sections must be completed.
- A Branding Strategy and Marking Plan that is consistent with USAID regulations and with IIE’s Branding Strategy and Marking Plan for the DFG program, using the template provided. The Branding Strategy and Marking Plan will be developed and approved prior to the final award, and will be attached to the Grant Agreement.

In addition, all apparently successful grantees will participate in a pre-award survey process to determine ability to manage a USAID-funded grant. During this process, IIE may suggest systems or personnel which may be needed to ensure compliance with USAID rules and regulations.

VII. TERMS AND CONDITIONS

A. MODIFICATIONS TO APS

This APS may be amended at any time; however, if amended within fewer than five (5) days of the deadline for the first round (November 22, 2013), the deadline for the first round of review will be extended. For any subsequent rounds, amendments may be issued at any time. Due notice of any revisions will be provided on the DFG website and applicants will be given a fair and equal opportunity to apply, or to reapply. Applicants are encouraged to check the website frequently as no notice of postings will be issued.

B. ROLES AND RESPONSIBILITIES

IIE will be the point of contact with grantees on all administrative and technical points. USAID will work closely with IIE to ensure that grant goals and deliverables meet USAID needs, and USAID input will be reflected in IIE’s technical feedback. The table below illustrates the roles and responsibilities of IIE and USAID. Applicants may not contact USAID directly but must address all communication to IIE.

IIE	USAID
<ul style="list-style-type: none"> ▪ Publish and manage APS. ▪ Negotiate grant award and prepare full grant packages. 	<ul style="list-style-type: none"> ▪ Establish priority research areas and funding levels. ▪ Oversee grant selections; manage final

<ul style="list-style-type: none"> ▪ Manage grant reporting, payment, and compliance. ▪ Serve as point of contact for grantees. ▪ Support grantees in grant management. ▪ Manage grant closeout. ▪ Approve deliverables. 	<p>award decisions.</p> <ul style="list-style-type: none"> ▪ Approve grant selection. ▪ Approve travel and other items requiring prior USAID approval. ▪ Provide technical review input on draft and final research deliverables.
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C. GRANT PAYMENT

IIE will pay US-based grantees in USD. Non-US grantees will be paid in their local currency, based on a not-to-exceed amount expressed in USD.

D. INTELLECTUAL PROPERTY

Unless otherwise stipulated in the grant award, DFG grantees should expect that grant products, selections from products, or data/findings from products also may be incorporated in USAID knowledge management system, strategy documents, policies, procurement, and/or programs, at USAID’s discretion. Any and all data resulting from awards must be made publicly available at the conclusion of the grant award period. Furthermore, in accordance with [22CFR226.36](#), the recipient may copyright any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. USAID reserves a royalty-free, nonexclusive, and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.

E. GENERAL PROVISIONS

IIE is required to respect the provisions of the US Foreign Assistance Act (FAA) and other US laws and regulations. The DFG grant program is administered according to USAID’s regulations and IIE’s policies and procedures. These include:

STANDARD PROVISIONS

Specific USAID-required standard provisions shall apply depending on the nationality of the applicant and the grant instrument. For more information, consult USAID’s [ADS 303](#), which provides the links to these provisions.

INDIRECT RATES

Indirect rates that have not been approved by a US Government agency in a NICRA (Negotiated Indirect Cost Rate Agreement) may not be charged to this award. All costs charged to the project should be directly related to the project’s implementation. For additional information, see http://transition.usaid.gov/business/business_opportunities/cib/pdf/cib92_17.pdf.

HUMAN SUBJECTS

Where a proposed research activity includes the use of human subjects, applicants must comply with the applicable [USAID Standard Provision](#): PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998).

ACTIVITIES THAT WILL NOT BE FUNDED

In keeping with the conditions above, programs that fall within the following categories, or indicate they might participate in any one of the following, will be automatically disqualified:

- a. Research related to the promotion of specific political parties
- b. Research related to the promotion of a particular faith
- c. Research that is part of an applicant's dissertation
- d. Unrelated operational expenses

PROHIBITED GOODS AND SERVICES

Under no circumstances will a DFG grantee procure any of the following with funds provided under an IIE grant award, as these items are excluded by the FAA and other legislation that governs USAID funding:

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

Programs which are found to transact in any of these will be disqualified.

RESTRICTED GOODS

The following costs are restricted by USAID and require prior approval from IIE and USAID:

- a. agricultural commodities
- b. motor vehicles
- c. pharmaceuticals
- d. pesticides
- e. fertilizer
- f. used equipment
- g. US Government-owned excess property

GEOGRAPHIC CODE 937

All goods and services must be procured from countries within the geographic code 937. Applicants must identify any individual item or service procured from a country not included in the geographic code 937. Should applicants fail to do so, the specific cost(s) will be disallowed. For more information on geographic code 937, review [ADS 310: Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID](#) and [22CFR228](#).