



Regional Acquisition and Assistance Office

Issuance Date: **July 1, 2010**
Closing Date: **August 2, 2010**
Closing Time: 1600hrs [Pretoria time]
Questions Due: July 16, 2010; 1600hrs [Pretoria time]

**Subject: Request for Applications (RFA) No. 674-10-00047
Human Resources Alliance for Africa (HRAA)**

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Southern Africa, is seeking applications from local and Southern African regional (indigenous) organizations interested to implement a five-year new human capacity development program entitled “**Human Resources Alliance for Africa (HRAA)**” which is fully described in this Request for Applications (RFA).

The purpose of this five-year award is to provide a mechanism for a regional platform in assisting African countries in building the human resources (HR) necessary to deliver quality health and HIV/AIDS programs. The regional platform established under HRAA will assist with the implementation of country-specific programs and activities illustrated under the country PEPFAR frameworks and other Global Health Initiative documents. Please refer to Section I, the Funding Opportunity Description of this RFA for details on the program.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the award program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the Agreement.

This RFA is being issued and consists of this cover letter and the following:

1. Section I, Funding Opportunity Description;
2. Section II, Award Information;
3. Section III, Eligibility Information;
4. Section IV, Application and Submission Information;
5. Section V, Application Review Information;
6. Section VI, Award and Administration Information;
7. Section VII, Agency Contacts;
8. Section VIII, Other Information; and
9. Attachments.

Subject to the availability of funds, USAID intends to provide approximately \$50,000,000 to be allocated over the 5-year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter pursuant to the instructions contained in the RFA. Any questions concerning this RFA must be submitted in writing **via email** to Hossana Agedew at AgedewH@bw.cdc.gov and Yvonne Habulembe at yhabulembe@usaid.gov on or before the deadline for receipt of questions stated on the cover letter of this RFA.

If it is determined that the answers to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answers document, and/or if needed, an amendment to the RFA, will be issued.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes, and in separate electronic attachments. *Award will be made to the responsible applicant whose application offers the greatest value to the U.S. Government.*

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Sincerely,

Martin R. Fischer
Agreement Officer

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ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
AO	Agreement Officer
AOTR	Agreement Officer's Technical Representative
CA	Cooperating Agency
CPD	Continuous Professional Development
CFR	Combined Federal Regulations
COP	Country Operational Plan
COP	Chief of Party
EA	Environmental Assessment
ECS	Environmental Capability Statement
EMMP	Environmental Monitoring and Management Plan
ESR	Environmental Status Report
FBO	Faith Based Organizations
FP/RH	Family Planning/Reproductive Health
GFATM	Global Fund for AIDS TB and Malaria
GH	Global Health Bureau
GHAI	Global HIV/AIDS Initiative (funds)
GHWA	Global Health Workforce Alliance
HCD	Human Capacity Development
HIV	Human Immunodeficiency Virus
HR	Human Resources
HRH	Human Resources for Health
HRM	Human Resources Management
HRIS	Human Resource Information System
HSS	Health Systems Strengthening
IBP	Implementing Best Practices
IEE	Initial Environmental Examination
IST	In-service Training
M&E	Monitoring and Evaluation
M&M	Monitoring and Mitigation
MCH	Maternal and Child Health
MDGs	Millennium Development Goals
MOE	Ministry of Education
MOH	Ministry of Health
MOHSW	Ministry of Health and Social Work
MOPS	Ministry of Public Service
MOU	Memorandum of Understanding
NGO	Non-government Organization
NICRA	Negotiated Indirect Cost Rate Agreement
OMB	Office of Management and Budget
PEPFAR	President's Emergency Plan for AIDS Relief (US)
PHN	Population, Health and Nutrition
PMI	President's Malaria Initiative
PMP	Performance Monitoring Plan
PRH	Population and Reproductive Health
RFA	Request for Applications
RHAP	Regional HIVAIDs Program for Southern Africa
SADC	Southern Africa Development Community
TB	Tuberculosis
UN	United Nations
USAID	United States Agency for International Development
USG	United States Government
WHO	World Health Organization

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

Pursuant to Automated Directive System (“ADS”) 303.3.5.2.a, this section includes (1) a general description of the proposed program, (2) a statement identifying the authorizing legislation, (3) program eligibility requirements and (4) a discussion of how the award will be administered.

1) GENERAL DESCRIPTION OF FUNDING OPPORUNITY

The description of the proposed program is set forth below, covering A. Background; B. Objective; and C. Program Description.

A. Background

Many countries face health worker shortages, an inability to recruit, train and deploy staff to areas with the greatest need, and a workforce that does not have the skills necessary to respond to the HIV/AIDS crisis. The urgent need for greater human capacity demands that health planners and managers adopt a new paradigm of advanced teamwork, ownership and collaboration, strengthened systems, stronger problem-solving skills, and the thoughtful sharing across borders. Regional and national institutions and individuals are fully capable to lead and implement the effort to build human capacity to provide HIV/AIDS prevention and care in the region.

The new program under this award will build upon and expand USAID/RHAP’s previous successful efforts to address the critical global shortage of health and social welfare workers in Africa, through local, African-based responses. This activity was designed with inputs from informal evaluations of the current award, Southern Africa Human Capacity Development Coalition (SAHCD), the United States President’s Emergency Plan for AIDS Relief (PEPFAR) team inputs, PEPFAR frameworks from interested countries and technical documentation from relevant partners delivering HRH and other Health Systems Strengthening programs in Southern Africa.

This five-year award will provide a program for a regional platform in assisting African countries in building the human resources (HR) necessary to deliver quality health and HIV/AIDS programs. The regional platform established under HRAA will assist with the implementation of country-specific programs and activities illustrated under the country PEPFAR frameworks and other Global Health Initiative documents. Activities funded under this award are expected to improve the delivery of health and HIV/AIDS services in both the public and private sectors by strengthening the capacity of health workers, policy makers and planners, program managers, educational faculties and institutions and communities and families to deliver those services. It will do this through an alliance of qualified, specialized, Africa-based, regional and country-based people, organizations and institutions. The work of the Alliance on regional human resources for health and social welfare will contribute to the achievement of USAID/Regional HIV/AIDS Program’s objectives, the USAID/Southern Africa’s 5-year strategy (2005-2010) and the United States President’s Emergency Plan for AIDS Relief (PEPFAR) Frameworks in at least 6 countries in Southern Africa.

The key focus of HRAA is to respond to the human resource crisis in the health and social welfare sector, linked to the HIV/AIDS epidemic by leveraging the institutional and technical capacity of local and regional partners, including Non-governmental organizations (NGOs), government institutions, multilateral organizations, and private partners. These organizations will be accessed and used to implement, coordinate, advocate and provide technical assistance to strengthen to the regional planning, development and support of the health and social welfare workforce, including monitoring and evaluation and alliance building. By the end of this award in 5 years, a local partner-led Alliance will bolster a consolidated approach to addressing the HR crisis faced by the countries in the region and augment human resource for health and social welfare programs in Africa. HRAA has been developed at a regional level to address the regionality of the HR crisis in Africa including the movement of critical health and social welfare cadres in, out and around the SADC countries. The award will provide a mechanism for providing assistance, through an alliance of Africa-based people

and institutions, including current SAHCD partners and related Southern African organizations, by providing core activities focused on increasing the numbers of workforce needed and the quality and performance of this workforce. The Alliance will bring together a diversity of partners, skills and activities around the strategic vision of RHAP's strategic program in human resources for health (HRH)/ health systems strengthening (HSS) to increase and build the human resources for health and social welfare in Southern Africa.

Region Defined

The RHAP region is comprised of the 10 southernmost countries in Africa and approximates the Southern African Development Community (SADC) region (with the exceptions of Madagascar, Mauritius, D.R. Congo and Tanzania). The SADC region is the most HIV and AIDS affected in the world. The combined population of the SADC Member States is about 3.5 percent of the world population, yet globally the region accounts for more than 37 percent of the people living with HIV and AIDS. It is estimated that between 11.7 and 18.8 million people of the region are currently living with HIV. The USAID/RHAP region currently consists of ten countries, all of which are large-budget PEPFAR countries (Botswana, Mozambique, Namibia, South Africa, and Zambia), and four countries now considered as PEPFAR scale-up countries (Malawi, Lesotho, Swaziland and Zimbabwe), and Angola with additional PEPFAR country support. Three of the countries are considered non-presence countries under USAID, which is defined as those countries without bilateral USAID missions (Lesotho, Swaziland and Botswana).



Current Status of the HR Crisis and PEPFAR in Southern Africa

The USAID/RHAP region is currently at the epicenter of the HIV/AIDS epidemic, and remains by far the region worst-affected by the human resource problem in the health sector, reaching crisis proportions in many countries. High population growth combined with high HIV/AIDS prevalence rates has led to stretched national health systems, overburdened and stressed health care workers in drastically inadequate numbers throughout the region. With so many young adults of productive age infected with HIV, the epidemic is not only a severe health crisis, but also a threat to the future development and economic viability of Southern Africa.

Human resources are crucial for a functioning health system. Effective health systems depend on a trained and motivated workforce that can carry out the tasks and build the systems needed to achieve

PEPFAR goals. It is widely recognized that the lack of a trained workforce is a major barrier to scaling up HIV services. In Africa, Cote d'Ivoire, Ethiopia, Mozambique, Tanzania, Uganda and Zambia-do not meet the WHO "Health for All" standard of one medical doctor per 5,000 population; four others-Botswana, Namibia, Nigeria, and South Africa just meet the standard. In Mozambique 600 doctors serve a country of 18 million people. The lack of a sufficient health care workforce in these countries and in other countries where PEPFAR is working presents a serious challenge not only to HIV/AIDS programs, but to every area of health. Thirty six of the 57 countries designated by the WHO as having critical shortages of health care workers (doctors, nurses and midwives) are in sub-Saharan Africa.

Recognizing the importance of an adequate and well trained health care workforce to achieving the treatment, prevention and care goals of: treatment for at least 3 million people, prevention of 12 million new HIV infections, and care for 12 million people including 5 million orphans and vulnerable children, the PEPFAR reauthorization of 2008 has as a policy objective to-

“(A) Assist partner countries to-

*“(iv) **Train and support retention of health care professionals and paraprofessionals** and community health workers in HIV/AIDS prevention, treatment and care, with the target of providing such training to at least 140,000 new health care professional and paraprofessionals with an emphasis on training and in country deployment of critically needed doctors and nurses;*

“(B) Strengthen the capacity to deliver primary health care in developing countries, especially in sub-Saharan Africa;”

*“(C) support and help countries in their efforts to **achieve staffing levels** of at least 2.3 doctors, nurses and midwives per 1,000 population as called for by the world health organization; and*

*“(D) help partner countries to develop **independent, sustainable HIV/AIDS** programs*

PEPFAR II offers an unprecedented opportunity and mandate for programs to make a significant impact on human resources for health over the next five years. Learning from the emergency-focus of PEPFAR I, PEPFAR programs recognize that first and foremost, our priority for PEPFAR II is to work to ensure sustainability of HRH efforts in each PEPFAR country. This includes promoting and prioritizing local, indigenous organizations to conduct work wherever possible, and making sure to strengthen existing, country-owned systems, in contrast to establishing parallel or donor-driven ones. Recognizing that to solve the HRH crisis in each country requires a comprehensive HRH approach, PEPFAR will need to reach out to other donors and global health initiatives to join USG as equal partners in supporting other components of countries' comprehensive HRH plans.

Priorities for Global PEPFAR HRH Investment, 2009-2014

Headquarters and field-based PEPFAR HRH Technical Working Group members are in agreement on priority areas of intervention for PEPFAR HRH investment over the next five years. These areas of intervention were determined to have the most significant impact on the production and retention of 140,000 new health care workers, and on establishing sustainable, country-owned HRH systems. The definition of health care workers for this target includes not just clinical providers, but managers and administrators, laboratory technicians, public health advisors, epidemiologists, community health workers, social workers, and many other formal and informal cadres in and outside the health sector.

Priorities for PEPFAR HRH Investment, 2009-2014

- Implementing the national HRH plan
- Developing national HRIS and promoting the use of data for decision-making
- Developing pre-service education for health-related professionals, paraprofessionals and community health workers
- Strengthening HRH planning and management in the MOH, including the oversight of HRH plan implementation
- Addressing workforce shortages through improving worker recruitment, retention, and productivity, and by engaging and formalizing the community workforce
- Strengthening health professional regulatory bodies and associations (e.g., nursing councils) which may register and credential health care workers, oversee continuing education, and/or accredit academic institutions
- Addressing HRH political, legal, and regulatory barriers

**Note these priorities will be reviewed each year by the PEPFAR HRH TWG and revised or changed as needed.*

USAID-RHAP Engagement in PEPFAR and the HR Crisis

In 2000, USAID launched the Regional HIV/AIDS Program (RHAP) as a set of regional activities intended to complement national and bilateral prevention programs. The program was initiated at the request of USAID health officers in the region who recognized: 1) the significant contribution migrant and mobile populations were making to the spread of the epidemic and 2) their lack of resources to address this population in a consistent and holistic way. The primary aim of the RHAP was to target high transmission populations at cross border sites primarily with prevention interventions such as behavior change education, condom social marketing, peer education, and sexually transmitted infection (STI) referral. Secondary goals of RHAP included supporting the three USAID non-presence countries in the region (Botswana, Lesotho, and Swaziland) and improving the capacity of all the countries in the region to respond to HIV/AIDS. Following the launch of the President's Emergency Fund for AIDS Relief (PEPFAR) in April 2002, the USAID Administrator approved the Agency's HIV/AIDS Operational Plan, "Stepping Up the War Against AIDS". Among other directives, the plan delineated: 1) rapid scale-up countries that were to achieve measurable progress in 1-2 years; 2) intensive focus countries that were to achieve measurable progress in 3-5 years; and 3) basic countries that were to prevent a deterioration in the HIV/AIDS situation. In addition the Operational Plan articulated a strengthened role for regional programs, with primary mandates to include cross-border programs, support to non-presence countries, overall coordination and technical assistance and support to Missions.

In each of the countries in the region, the RHAP collaborates with the PEPFAR teams that include representatives from the Department of State, Centers for Disease Control and Prevention, Department of Defense, Department of Labor, Peace Corps, and Health Resources and Services Administration. Through provision of technical assistance, strengthening regional institutions, leveraging their expertise, and sharing of best practices, RHAP helps to increase the quality and impact of HIV/AIDS programs throughout the region. RHAP provides a platform for countries in the region to make specific bilateral investments in program areas in their individual countries.

USAID/RHAP Strategy

The RHAP Assistance Objective (AO) is "**Strengthened Response to HIV/AIDS in Southern Africa.**" In order to achieve this AO, activities financed under this Agreement will be designed to further the Intermediate Results (IRs) below.

IR1: Improved quality of programs to combat the HIV/AIDS epidemic in the region

IR2: Increased capacity of regional networks and institutions in combating the HIV/AIDS epidemic

RHAP Technical Area Priority - Human Capacity Development-

The RHAP supports African partners with Human Capacity Development (HCD) expertise to address the human resource crisis resulting from the HIV/AIDS epidemic. HCD activities strengthen the capacity of indigenous local and regional partners (including governmental and NGO, multilateral and private sector) to provide human resources for health and social welfare capacity technical assistance programs, largely to government ministries, to ensure the right numbers of service providers, in the right place, doing the right thing, at the right time. The strategic focus on the application of best practices in Southern African countries to identify and prioritize human resource (HR) plan implementation; development of HR information systems; assistance with country recruitment, retention and deployment interventions; and a focus on pre-service programs.

RHAP Technical Area Priority - Health Systems Strengthening

The RHAP also will strengthen health systems by addressing the financing, governance, operational, and capacity constraints to the use of life-saving priority health services. This assistance will largely benefit government ministries and enhance HSS work in countries. RHAP will work with stakeholders to test, develop, apply, and institutionalize tools and approaches to address the mobilization and allocation of financing. RHAP will work with counterparts on issues of access and equity to reduce financial barriers to the use of priority services, especially by the disadvantaged. The tools employed include financial risk-sharing mechanisms such as community-based and social health insurance and targeting of subsidies. This aspect of RHAP will also help develop approaches that address incentives for efficiency and quality and protect against misuse. These include provider payment mechanisms, performance-based contracting, conditional cash transfers, accreditation and management information systems.

Southern Africa Human Capacity Development Coalition- SAHCD

In 2004, CDC/Southern Africa Regional AIDS Program (SARAP) and USAID/RHAP held a regional technical meeting on HCD in Johannesburg to address the HCD Crisis in the Southern African region. One main action step was the need for HCD to be addressed as a regional issue, as well as bilaterally. The countries plead to get more African institutions involved in the solutions. To meet this challenge, the USAID/RHAP issued a regional award for the Southern Africa Human Capacity Development (SAHCD) Coalition. SAHCD is implemented through a regional partnership of four African and three US-based organizations, and serves as a mechanism for implementing a regional human capacity building program to improve the quality of HIV/AIDS service delivery and client care. The approach is a) to increase government and other institutions' access to African organizations for technical assistance in strengthening HRH efforts in planning, developing, and supporting the health workforce; and b) develop a regional knowledge management and networking mechanism to identify, share, and encourage the adoption of best practices for improving HRH systems in Southern Africa.

The success of the SAHCD has been seen through the regional platform it built of African organizations, providing technical assistance by Africans to African HRH stakeholders. It has successfully implemented the buy-in model of support which has seen a substantial increase in country interest evidenced by an increase in yearly buy-in from a total of 6 countries, South Africa, Swaziland, Lesotho, Botswana, Namibia and Malawi. SAHCD Coalition has offered technical assistance to ministries, professional bodies, implementing partners, GFATM country coordination mechanisms, NAC and civil society organizations primarily in the areas of planning, developing and supporting the health and social welfare workforce. The program is built along a coalition model with

a consortium of African and international organizations providing a menu of services. SAHCD is implemented through a partnership among IntraHealth International, Management Sciences for Health (MSH), Training Resources Group (TRG), Foundation for Professional Development (FPD), Council of Health Service Accreditation of Southern Africa (COHSASA), and the Eastern, Central and Southern African (ECSA) Health Community. Also sub-partnered under these groups are the Institute for Development Management and African Health Placements as additional African organizations. SAHCD has improved the delivery of HIV/AIDS services in both the public and private sector by strengthening the capacity of health workers to deliver those services through:

- Establishing a favorable advocacy environment for workforce planning policy implementation
- Optimal number of health workers recruited with placement and deployment of health workers rationalized
- Strengthen the human resources information system
- Increased number of service providers and health workers trained (in-service and pre-service) in service provision
- New learning approaches developed and shared
- Improved supervision systems and information feedback mechanisms implemented
- Workforce Environment improved

Regional capacity to successfully implement Global Fund programs in HRH and HSS

Since its creation in 2002 and with strong financial support from the USG, the Global Fund has become the main mechanism for external financing for programs to fight AIDS, tuberculosis and malaria, with approved funding of \$15.6 billion for more than 572 grant programs in 140 countries. Approximately one quarter of all international financing for AIDS globally, two-thirds for tuberculosis, and three quarters for malaria is provided through the Fund. PEPFAR strongly supports the Fund. The United States made the founding contribution to the Fund, and remains its largest donor. The USG has contributed \$4.6 billion, and it has pledged an additional \$1 billion in both FY 2010 and 2011. In addition to these direct contributions, PEPFAR provides significant additional funding from country program budgets, and specific technical assistance funding for grant implementation and oversight. By working through the Global Fund, the USG can catalyze contributions from other donors, expand the geographic reach of USG bilateral programs, promote country ownership, and increase the sustainability of national health programs.

All of the 10 USAID/RHAP Southern African countries have received Global Fund grants, including one multiple-country malaria award. By improving human capacity in health care, USAID/RHAP along with the coalition under this award, plans to assist countries in the region response to Global Fund challenges by providing appropriate technical assistance to strengthen Global Fund HSS and HRH-related awards. The partners under HRAA will build sustainable solutions to poor program management, poor governance of country coordination mechanisms, inadequate financial management systems and lack of multi-sectoral implementation as well as strengthen the capacity of countries to deliver on the GFATM processes and procedures in order for countries to be eligible to access approved funds.

B. Objective

The objective of the five-year program is to improve and increase the number of human resources for health and social welfare in Southern Africa. In summary, this will be achieved by addressing HR results in the 5 areas listed below:

1. National HRH/HSS plans, policies and systems implemented and managed
2. National HRIS developed and the use of data for decision-making across the region promoted.

3. Pre-service education systems for health and social welfare-related professionals, paraprofessionals and community health workers strengthened
4. Workforce shortages addressed through improved worker recruitment, retention, and productivity, including the community/informal workforce.
5. Health professional regulatory bodies and associations strengthened (e.g., nursing councils) which may register and credential health care workers, oversee continuing education, and/or accredit academic institutions

C. Program Description

The HRAA program is expected to work as an alliance of related HR and HSS organizations in Africa to address the human resource crisis in Southern Africa which is directly contributing to the achievement of US PEPFAR Country Frameworks in the region, USAID/RHAP's 5-year strategy, the Global Fund for TB and Malaria (GFTAM) and the US President's Emergency Plan for AIDS Relief (Emergency Plan) goals. By providing rapid funding to regional, national and/or local organizations the program will contribute to PEPFAR country framework implementation plans, USAID/RHAP's Objectives) and the Emergency Plan goals.

The main goal of the five year program is to improve and increase the number of human resources for health and social welfare in Southern Africa. This will be achieved by addressing HR results in the 5 (five) areas listed below:

Result 1: National HRH/HSS plans, policies and systems implemented and managed

This result will help countries implement their HRH, Health Sector Service plans and retention plans, if they have been finalized, costed and approved at across relevant stakeholders. Programming in HRH and HSS faces substantial bottlenecks in implementation. Ministries of health and USG country teams need accurate cost information about proposed HRH/HSS strategies and interventions. In many countries, consultants provide assistance to write strategies that, when costed, far exceed the available budget for HRH/HSS activities. Consequently, the strategies are not used, become outdated, donors fund another strategy-assistance mission, and the cycle repeats. One result of this activity would be a national pre-service HRH plan, fully costed. Planning for the long-term fiscal sustainability of all HRH-HSS plans and the harmonization of these plans with the global public sector wage bill are needed across the region, and they should be considered key activities to achieve this result.

Additional assistance could include health systems assessments in countries per request. The health system assessment is intended to assist countries to identify health systems' strengths and weaknesses and to develop practical strategies and recommendations based on country priorities and programming gaps. Information on key health systems functions including governance, health financing, health service delivery, human resources, and pharmaceutical management. Health information system has expanded in PEPFAR countries due to the increasing focus on HSS under PEPFAR Frameworks. Current programs in the relevant countries in this area include support to HR policies that promote regularized salaries, performance-based appraisals, career advancement, posting policies and recruitment, deployment, retention strategies. Ministries have requested assistance in improving supervision policies and methods to increase workforce motivation and morale.

Countries are also looking for support to strengthen their district health management teams by redefining their roles and functions. Under decentralization some of the management systems need to transform and governments are requesting PEPFAR support to do quality assurance, redefine functions and roles, cost those changes and assist management teams down to the site level to implement those changes. Currently four countries in Southern Africa have been receiving support to Ministries of Health and/or relevant Ministry for social welfare-related workforce to develop and cost organizational function and structures including accreditation and priority job descriptions to guide

the minimum staffing norms at each level of service delivery. This work will need to expand to implement effective systems of career laddering and performance-based supervision.

Many countries are helping to improve the management of human resources for health and social welfare by providing the skills and systems needed to support the workers in these district management teams and HR management units. These requests for PEPFAR assistance go beyond leadership and management training, and HRAA will be expected to develop new and innovative interventions to boost the capacity of senior and mid-level government and facility managers above and beyond current programs. These programs should begin to shift and base themselves out of national government management training bodies, helping these bodies become stronger training centers for public service as a whole. Activities in leadership and management should provide innovative and creative solutions for molding the “art of management” into new and upgraded staff, focused on new and improved methodologies, linked to performance of the health sector.

National plans for the public sector for HRH-HSS do not merely involve the ministry or department of health (and social welfare). Engagement with other ministries, including finance, education, local government, planning and economic development, and public service commission is vital for capacity building of the health system infrastructure. Measures to foster coordination (participation in technical working groups, input on policy formulation) should be pursued in order to eliminate any institutional bottlenecks or disagreements on ministerial authority.

Result 2: National HRIS developed and the use of data for decision-making across the region promoted.

National human resources information systems (HRIS) are a critical component of a comprehensive workforce development strategy. An HRIS can help decision makers in the government identify gaps and needs for new service providers, vacancies in geographical areas and cadres of health workers, training needs, and provide the evidence base for a training strategy. A substantial obstacle to training, deploying and retaining the health workforce needed to respond to the AIDS pandemic is the lack of current, accurate data about health professionals nationally and at various levels. Without computerized data, it is difficult to aggregate across a country and assess the total picture. Strengthening skills, tools, and systems to understand the answers to these and other key questions will help decision-makers effectively plan to ensure a steady supply of trained health professionals, deploy human resources in the correct positions and locations to meet their health care needs, and retain skills and experience in the country. SAHCD had worked with HRIS system development in Botswana, Swaziland, Lesotho and South Africa to strengthen HRIS at the national level and decentralize to district-level HR managers. HRAA will need to build upon the developed and tested set of computerized tools to improve workforce planning and management that other countries may want to use.

HRAA will need to begin to localize a pool of software and hardware talent in the region to assist with the roll-out of HRIS and decentralization of the programs to disseminate the data to stakeholders. Strategies should be articulated for using this HR information more systematically across state-run sectors for broader implementation of system reforms. HRAA should develop effective monitoring tools and approaches for managers at all levels of the health and social welfare system to gather, analyze, report, solve problems and provide feedback back down to the reporting chain related to human resources. Interventions may need to include electronic communication facilities and hardware upgrades for facilities (especially in provincial, regional or district-level offices) to enhance internal HRH information flow and exchange. Support will also include the establishments of HRH data management centers at MOH, MOPS and/or professional licensing offices for the receipt, storage, documentation and dissemination of HRH information and data.

Result 3: Pre-service education systems for health and social welfare-related professionals, paraprofessionals and community health workers strengthened

Due to the severe shortages of healthcare workers in this region, the PEPFAR 140,000 new health care workers and the desire of countries to produce their own national workforce, increasing pre-service intakes and graduates is at the forefront of country program requests. Investment is needed in pre-service education of all kinds- from clinical, to public administration, monitoring and evaluation, social work/child welfare, epidemiology, laboratory science, and to programs that train paraprofessionals and community health workers. Investments should not be limited to curricula reform, but should consider infrastructure development, equipment and supplies, supporting faculty and tutors, reductions in degree time, teaching 'soft skills' such as motivation and patient satisfaction, and practical experiences.

Activities achieving this result will help countries in Africa to expand the staff, infrastructure and equipment necessary to accommodate increased intake and improve the quality of pre-service education. The recruitment and retention of faculty in all pre-service education cadres are paramount to any sustainable increase in medium-to-long-term HRH production. Governments have requested PEPFAR program assistance in developing the policies and procedures to increase health and social welfare worker training outputs at local state-run health institutes and universities and guaranteeing those graduates are absorbed into the workforce. Programs will need to assist in updating and improving pre-service training methodologies and content in educational institutions (through partners that not only understand public health/clinical training content but also tertiary education institution systems). This pre-service work should also link to the continuing professional development programs at all levels in the health system.

Since health and social welfare cadres are trained across borders in the SADC region, it is critical that activities have a regional lens, build partnerships across borders and address the capacity development needs in both state-run and private sector education systems. Support under this result should place priority on attracting host-country students back home after completing external training in health-related professions and immediately retaining new graduates from host-country training schools, especially within the public sector.

Result 4: Workforce shortages addressed through improved worker recruitment, retention, and productivity, including the community/informal workforce.

Deploying optimal numbers of health workers is dependent on having reliable information and systems of recruitment, training, and retention. Most Southern African countries suffer from weak systems and poor funding for recruiting for various cadres; lack of information on available numbers and placement of personnel; attrition among deployed staff and in faculty and student cohorts at training institutions; and a lack of skills amongst personnel at all levels. Getting the right worker in the right place poses a lot of challenges in countries with vast differences in urban and rural infrastructure. Rural areas continue to face acute shortages of skilled human resources and efforts to address this situation through strategies for hardship allowance (salary top-ups) have largely failed. The lack of adequate housing in many rural areas through the region has been a major reason for low retention. .

Assistance to countries to help source and recruit health care workers to provide vital services is critical under many PEPFAR Country Frameworks and capacity building in government institutions that handle HRH hiring is a priority of this award. The average length of time to place a health worker and vacancy rates of health cadres are considered important indicators of recruitment. Of course this also is directly related to the retention strategies needed to keep the current workforce supported and working in their respective countries. Another activity that reflects this result would be the design and implementation of a comprehensive HRH retention strategy.

Another critical area is the need for productivity interventions, because as research has shown, sometimes additional workers are not needed but better task-sharing and productivity improvements in the current workforce. This includes methods to use performance-based incentives and financing. Innovative approaches to bringing trained health care workers back into the workforce are needed to address professional shortages. Using the new structures as per Result 1, activities under this result area will recruit the critical positions identified under the newly approved structured and work with the relevant ministries and commissions to implement in an emergency response. HRAA may be requested to fund additional staff for short-term scale up or as a precursor to absorption into permanent, established posts. Critical assistance has been requested for shortages in pre-service faculty cadres, linked to Result 3. Often these HR management systems for tertiary education institutions exist outside of the health or social-welfare-related ministry HR units.

Productivity increases would include developing and implementation of continuing education programs. One example of an activity would be an examination of the quality of management at the point of service delivery; an assessment tool potentially would foster efficiency gains in clinical management, an area too often neglected in health systems. In-service training is an important function in the rapid scaling up of knowledge and competencies of health professionals. If efficiently linked to pre-service training, it can help to build a sustainable career progression for health professionals and also assist institution building. Work under HRAA would *not* focus on delivering public health/clinical competency-based training and improving curriculums as a primary result. HRAA should assist national, district or regional training centers to strengthen their relationships with MOH and health professional bodies in-country to systematically gather data identifying in-service training needs and other skills building that would support the health and management workforce for training to stimulate career progression and skill development. In addition, HRAA will also seek to develop institutional capacity that ensures access to well-planned and quality continuing education training in-service and professional development opportunities for all categories of health professionals. The career progression and in-service training should link with professional licensing based on regulatory acts or national or regional health professional boards or associations in Result 5.

Workforce under these results extends into the non-formal, paraprofessional and community worker in the health and social welfare sector. HRAA's assistance could help to enhance the role, mandate and functions of auxiliary cadres and community-level workers through training, accreditation and standardization the work and remunerations of non-formal workers. Countries have requested assistance to profile, streamline career ladder community cadres and/or paraprofessionals for uniformity and incorporate into policy. Promotion of quality controls for service delivery and job outputs through supportive supervision systems are critical to the success of any of these activities. HRAA could provide assistance to state and civil society sector for developing incentives for community workers to perform their functions and develop standard remunerations schemes for all cadres of informal health workforce, abiding by National Labor Acts for terms of employment.

Result 5: Health professional regulatory bodies and associations strengthened (e.g., nursing councils) which may register and credential health care workers, oversee continuing education, and/or accredit academic institutions

National HRH planning processes need to be multi-sectoral and include professional associations and regulatory bodies. National HRH plans cut across many sectors including finance, labor and education in addition to ministries of health. Countries have also created regulatory bodies or relied on professional associations to certify credential or monitor the practices of professional health care workers. The involvement of these governmental and non-governmental bodies is essential to the development of and support for a comprehensive national HRH plan.

Strengthening the role and function of professional and regulatory bodies for health care professionals and paraprofessionals and for health workers who are not yet part of the formal workforce is a paramount request from PEPFAR as countries broaden their support to include HSS. This continues to be a priority in frameworks, as these bodies can champion human resource issues from inside or outside the government, and institutionalize improvements made to pre-service curricula (through

accreditation), quality standards (through registration and accreditation), and even human resources information reporting. This will also address key HR legal and regulatory barriers that may link to Result 1.

In particular, any pre-service initiative supported by PEPFAR should be approved by an accreditation body, which itself may need organizational and technical assistance. National curriculum certification and accreditation or certification processes should be a part of PEPFAR supported training. These processes would assure consistency in training, improve the quality of the training and serve as retention incentives for health care workers. Professional associations and regulatory bodies have an important role to play in reviewing and certifying curricula and in certifying the competency of health care workers.

Cross-cutting Approaches-

Implementation through Local Partners and Organizations

Central to the long-term sustainability of the African response to the human capacity crisis and results of USAID's assistance to support this region's actions will be the local and regional solutions to human resource problems. There are currently a wide variety of regional networks and institutions in Southern Africa focused on human capacity issues and the human resource in health crisis including regional donors, governmental organizations (SADC), private sector resources, health professional associations, non-governmental organizations (NGO), community-based organizations (CBO) and faith-based organizations (FBO) as well as training institutions that operate regionally.

All of these institutions currently have some capacity to contribute and collaborate in order to address the human capacity crisis and HIV/AIDS epidemic in the region. Several highly qualified regional institutions that deliver policy work, training, staffing, human resource information systems or service delivery capacity building are already in place and working regionally, but need additional resources expand their access and expertise into USG-supported programs. The HCD coalition is well-situated to meet this need through regional USG program buy-in for technical assistance and capacity building to HCD program throughout Southern Africa region across a range of interventions. It will do this by increasing the access to and use of Africa regional institutions to implement Human Resources for Health and Social Welfare activities in planning, developing and supporting the workforce.

These organizations will be accessed and used to implement, coordinate, advocate and provide technical assistance to strengthen to the regional planning, development and support of the health workforce, including monitoring and evaluation and partnership building. By the end of this award in 5 years, Southern Africa will bolster a consolidated approach to addressing the HR crisis faced by the countries in the region and augment human resource for health programs.

Communication will be strengthened by providing a mechanism through which to share "lessons learned" and "best practices" that emerge from scale up and replication of effective programs. In consultation with USAID, and the Knowledge for Health program under SafAIDS, the implementer of HRAA will identify and explore emerging themes and technical issues and promote exchange between those effective HIV/AIDS organizations, nursing associations, regional clinician societies, and other HR networks to promote south-to-south exchanges between those effective people in HIV/AIDS programs in the USAID/RHAP countries. HRAA should promote and establish regional leadership networks which can be sustained beyond the end of this award.

Social Welfare Workforce and Human Capacity with the Child Welfare Systems¹

The social welfare workforce refers to all levels and types of people that work in the public and non-governmental sectors on behalf of highly vulnerable children and orphans (OVC). Many countries in

¹ Opportunities and Constraints in Human Capacity within the Child Welfare Systems: Social Work Workforce Africa, Becky Davis, USAID Consultant, October 2009.

southern Africa face a crisis in their ability to provide needed services to OVC. Presently, Namibia has 30% of vacancies filled with trained social workers, and those social workers are not trained in child development or the particular needs of OVC. Exacerbating this situation is the fact that this limited number of social workers work at the district level on a broad array of programs (elderly, probation, etc.). Many are scheduled to retire in the next few years. The demand for people skilled in caring for the needs of OVC is particularly acute at the village level. Adequate and qualified human resources, along with short- and long-term emergency measures to supplement the available work force and provide for continuing professional education, are required to respond to the needs of OVC, and to support the effective rollout of the relevant country's National Costed Plan of Action for OVC.

There is an acknowledged crisis of confidence in the social work profession in Africa, and the need to indigenize the social work professional and the recently revived Association of Schools of Social Work in Africa provide opportunities for linking social work education and training with child welfare system strengthening efforts through a number of different mechanisms. Just as in the health sector, the use of data to quantify the capacity of child welfare workforce and provide information on the link between child welfare workforce and child outcomes is beginning to be made, bringing increased visibility and legitimacy to the child welfare system and the social work workforce. Results 1-5 of the HRAA work need to have a consistent thread of support to the social welfare workforce throughout, and in some countries, this technical area may continue to be the main area of request for HR technical assistance.

The pre-service training programs of social welfare-related cadres are significantly weaker to the health sector. Partnerships between universities of social work and child welfare programs to recruit, place and train faculty, curriculum development, paraprofessional certificate programs, recruitment of graduates into child welfare services through fellowship or other field placement options and distance learning for the continuing education needs of these workers would be encouraged under the HRAA. The design and implementation of pre-service and continuing education and mentoring programs geared to retention and professional development will need to be undertaken to help meet workforce shortages.

Strengthening the "voice" of the professional of social welfare and child welfare service providers is essential to influence programs, improve the quality of services delivered and hold governments accountable to their numerous OVC initiatives, especially the NPAs. Linking professional bodies and regulatory groups in country (i.e. Council of Social Workers) with regional and global entities can not only help advocacy for the profession as a whole in the respective countries, but also assist in developing code of ethics and establishing practice standards for HIV/AIDS related services for vulnerable groups.

Strengthening GFATM systems and partnerships

In Southern Africa, Global Fund resources are the dominant donor funding channel in over 80% of the countries. RHAP is looking to leverage regional expertise to resolve the problems and crisis some countries are experiencing as they seek to implement successful GFATM programs. This assistance will focus on sustainable, long-term, outcome-orientated solutions and will be in line with the US government (USG) priority to maximize indigenous expertise and response to solving these problems. This type of assistance could include organizational development work with National AIDS Commissions and their leaders, strengthen performance of the principal recipients, developing and coaching leaders in their role of multisectoral coordinators of large human and financial resources, knowledge sharing practices to ensure that country programs can learn from one another, and regional linkages to ensure the USG, GFATM and other donors are working together to develop country capacity to manage GFATM programs.

The Global Fund model represents an inherently "partner-country-owned approach," which fits well within PEPFAR's goal of supporting increased country ownership of national HIV/AIDS programs. This shift is critical to the long-term sustainability of AIDS responses and can be supported through a robust and coordinated multilateral response. PEPFAR countries will support reforms that create

conditions for eventual transition of some PEPFAR programs to Global Fund mechanisms. As PEPFAR and countries place increased emphasis on Global Fund financing of national programs, it is crucial to ensure countries and donors are getting the best possible value for money from these grants. PEPFAR will therefore continue working with the Global Fund Secretariat, its Inspector General, and through its Board to improve the impact, oversight, and cost-effectiveness of Global Fund grants. The long term goal is to see more and more of PEPFAR's bilateral programs picked up by the countries themselves, with financial support through the Global Fund. In order to promote this goal, PEPFAR will not only build country capacity but also find ways to improve grant performance, quality and consistency of services, and transparent and accountable financial management.

Health Financing

Transitioning management of programs to countries requires strong country financial capacity to oversee programs. As a partnership among governments, civil society, the private sector and affected communities, the Global Fund represents a new approach to international health financing and PEPFAR's donor funds have misaligned budget allocations for HRH. Managing cost will become a very important issue under PEPFAR II since much of the money to expand the program from 2 to 3 million patients is to come from "economies of scale"/cost savings as present program costs per patient decline. In addition to costing of HR plans and assessments, it is also essential to have technical assistance ready for country requests that will expand the ability of state-sector finance and economist workforce manage donor and national funding in a transparent way.

Approach

Development of the activities to be funded through the HRAA award should focus on the following principles and expectations:

- Activities should integrate currently funded SAHCD or related programs into the Host Country Government HRH plans or harmonize, and complement other regional health programs, other HIV/AIDS strategies and Emergency Plan Country Operational Plans.
- Use locally available expertise to the maximum extent practicable and address the need to get regional, indigenous participation in the response.
- Public-private alliances should be sought to bring together partners who will jointly define the problem, strategize a solution to capitalize on combined knowledge, skills, expertise, and resources
- Programs should be coordinated and strive to achieve maximum impact in the sector. To achieve this, Applicant should be informed by the findings of USG appraisals and evaluations², assessments of regional, national and community-based programs, and other available data.
- The implementer of HRAA should utilize various approaches to manage the membership and activities needed in the region, *establishing an equal work structure for all* implementation members.
- The implementer of HRAA should assess the quality of the alliance member's HR programs and the ability of organizations to effectively receive and manage USG funds. Where partner worthiness is weak, the HRAA should employ a range of strategies to provide assistance while protecting the interests of the USG and the integrity of the Emergency Plan program (which could include engagement of co-funding with global or other country-based programs under the PEPFAR COPs).
- Support provided by the HRAA is intended to complement, and not replace or duplicate, similar support provided by other development partners in civil society or the private sector within the region a healthy base for future regional activities.

² See USG appraisals and related information on http://sa.usaid.gov/southern_africa/node/99 and Emergency Plan implementation information on www.state.gov/s/gac

- HRAA shall have a marketing and communication strategy that includes knowledge management and information dissemination within the USAID/RHAP and appropriate audiences across USAID PEPFAR countries.
- Alliance partners may be needed under different technical program pieces and no partner should be assumed to be the expert in every area requested for technical assistance.

USG Missions in the region will have the opportunity to buy-into programs at a regional level (instead of global level) through Emergency Plan Country Operational Plans, PFIPs or annual budget cycles. If additional funding methods occur under the Global Health Initiative, HRAA can be bought-in under those programs as well. The comparative advantage of a regional award is for USAID/RHAP to find strong African organizations and people to deliver on human capacity development results ensuring higher quality and greater impact. It can also ensure lower costs to bilateral programs, quicker results and more access to African partners.. In collaboration with regional donors, multilaterals, SADC and other USG HIV/AIDS programs, this award promises more integration, reach and regional strategy will be infused in human resources for health and social welfare programs. Human resources for health and social welfare will demonstrate immediate follow-up and responsiveness, and can achieve quicker results. Since the partners are already on the ground, the quality of performance will be assessed through country partnerships with the state and private sector and overall should improve the country's access to African institutions and new, indigenous partners.

Partners should bring in the wealth of their experiences, expertise and skills that if well harnessed could result in the development of new and innovative ways of doing business. Being bold in an alliance should reduce the risk and fear of not succeeding alone. A partnership should result in increased capacity of partners to accelerate the response to the HR crisis. This would necessitate a call for strong management and leadership within the HRAA in Southern Africa. Varying new and bold ideas of management and funding organizations or groups of organizations is highly encouraged and should be considered to achieve the objectives of the program and to facilitate the sharing of information and lessons learned from country programs across the relevant sectors, across countries in the Southern Africa region and across USG's regional programs.

USAID and the Private Sector- Global Development Alliance (GDA)

Official U.S. Government assistance now accounts for only a minority share of the flow of resources from the United States to developing countries. Foundations, private companies, non-governmental organizations and other entities have become increasingly active in financial development efforts in Southern Africa and elsewhere, and they are often looking for synergies with other similar programs. USG encourages that applicants propose possible partnerships that could leverage private resources in their proposed technical sector and targeted geographic area.

GDA is a public-private partnership model that allows USAID to leverage resources from private sector partners and to use those assets in a way that benefits the business interests of the resource partner while furthering the goals of the USAID Mission. Leveraged resources obtained through partnerships may free up funding for other purposes within this program description or allow for expanded program implementation. A GDA meets the following criteria:

- At least 1:1 leverage (in cash and in-kind) of USAID resources;
- Common goal defined for all partners;
- Jointly-defined solution to a social or economic development problem;
- Non-traditional resource partners (companies, foundations, etc.);
- Shared resources, risks and results, with a preference for an increase in impact; and
- Innovative, sustainable approaches to development.

USAID/Southern African, Regional HIV/AIDS Program seeks to leverage additional resources from the private sector in the HRAA project through the establishment of GDAs. Applicants should include

in their applications a comprehensive approach to private sector engagement that includes the following:

- Understanding of the need for GDA and potential private sector partnership opportunities in this program and how potential partnerships will contribute to program objectives/results and to the business interests of potential partners;
- Approach for private sector partner engagement, with a focus on innovative approaches and sustainable development outcomes and a detailed explanation of how partnerships, including leveraged funds, will be solicited, established, and managed;
- Measurable indicators and targets that will determine success;
- Experience building and managing GDAs or other public-private alliances, and achievement of concrete results from previous partnerships.
- Demonstration of how the proposed partnership contributes to sustainable increases in: jobs and skilled health care workers among target beneficiaries.
- Demonstration of how the proposed partnership contributes to a sustainable increase in the numbers of health care workers trained and retained in the health system among target beneficiaries.
- Demonstration of why the proposed partnership presents a compelling business interest for prospective resource partners.

Any partnership commitments undertaken by the implementer(s) during the course of the project will be subject to USAID review and approval. Any post-award changes to the cost or program budget will also be subject to USAID approval.

Applicants should not approach Resource Partners or request any letters of commitment until the project has been awarded. Resource partners unfamiliar with the USAID acquisition and assistance process may be confused and frustrated by multiple applicant requests. This may damage the relationship between USAID, the Applicant and the partners after the award has been made. A sound GDA strategy and approach is all that is required for the application.

2) AUTHORIZING LEGISLATION/APPLICABILITY OF 22 CFR 226

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended. 22 CFR 226 would be applicable to an award to a U.S. organization made under this RFA. The following provision will be included in any sub-award to a U.S. entity resulting from this RFA:

APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

3) PROGRAM ELIGIBILITY REQUIREMENTS

Only local or Southern African regional (indigenous) organizations or entities are eligible for award. This can include non-governmental organizations (NGOs), private voluntary organizations (PVOs)

and for-profit companies willing to forego profit. Faith-based and community organizations that fit the criteria above are also eligible to apply. Competition has been limited to local and regional organizations in support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners.

4) **AWARD ADMINISTRATION**

For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. For Public International Organizations (PIOs), the Standard Provisions for Grants to Public International Organizations, along with selected provisions from the Standard Provisions for Non-U.S., Nongovernmental Recipients and other negotiated provisions, will be used.

These documents may be accessed through the internet as follows:

- 22CFR226:
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html
- OMB Circulars
<http://www.whitehouse.gov/omb/circulars/index.html>
- Standard Provisions for Non-U.S., Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Standard Provisions Public International Organizations:
<http://www.usaid.gov/policy/ads/300/308mab.pdf>

For copies of these regulations, interested applicants may contact Hossana Agedew at AgedewH@bw.cdc.gov.

SECTION II – AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, USAID intends to provide approximately \$50,000,000 in total USAID funding for the life of the program. USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund any one or none of the applications submitted.

2. START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years. The estimated start date is on or **about October 1, 2010**.

3. TYPE OF AWARD

USAID plans to negotiate and award an assistance instrument known as a Cooperative Agreement with the successful Applicant for this program. A Cooperative Agreement implies a level of “substantial involvement” by USAID. This substantial involvement will be through the Agreement Officer, except to the extent that the Agreement Officer delegates authority to the Agreement Officer’s Technical Representative (AOTR) in writing. The intended purpose of the substantial involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The substantial involvement elements for this award are listed below (this list does not include approvals required by 22 CFR 226 or other applicable law, regulation or provision):

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;
- Concurrence on the substantive provisions of subawards. Review and approval of proposed subawards in excess of \$100,000; and
- Review and approval of all subcontractors and sub-recipients where the subcontract or subaward exceeds \$100,000.

SECTION III – ELIGIBILITY INFORMATION

1. APPLICANTS

Only local or Southern African regional (indigenous) organizations or entities are eligible for award. This can include non-governmental organizations (NGOs), private voluntary organizations (PVOs) and for-profit companies willing to forego profit. Faith-based and community organizations that fit the criteria above are also eligible to apply. Competition has been limited to local and regional organizations in support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners.

2. COST SHARE/RESOURCE LEVERAGING

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Cost sharing is defined at 22 CFR 226.23. **Cost share is encouraged under the proposed award.** Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

This RFA further seeks to leverage additional resources from the private sector in this program. Applicants shall include in their applications a comprehensive approach to private sector engagement and indicate the amount of resources that are expected to be leveraged. As discussed in Section I, Part C, the recommended ratio is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a program. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

Leona Sasinkova
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 USAID/Southern Africa
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 Gaborone, Botswana
 E-mail: AgedewH@bw.cdc.gov
AgedewH@state.gov

2. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information – Non-construction Programs,**
- **SF-424B, Assurances – Non-construction Programs,**

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs for non-construction activities should be included on the SF-424A. Copies of these forms may be found as an attachment to this RFA.

3. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- a. A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs certification applies to Non-US organizations if any part of the program will be undertaken in the United States.
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- d. Survey on Ensuring Equal Opportunity for Applicants; and
- e. **All applicants must provide a Data Universal Numbering System (DUNS) Number.** If you have questions on how to obtain a DUNS number,

please visit the Duns and Bradstreet Numbers website at http://www.dnb.com/US/duns_update/.

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

The application shall be split into two separate parts:

- A. Technical Application; and
- B. Cost/Business Application.

All applications shall be in English. The format for each of these parts of the application is set forth below.

A. Technical Application Format

The Technical Application shall contain the following sections:

- 1. *Cover Page;*
- 2. *Program Abstract/Executive Summary;*
- 3. *Technical Application Body; and*
- 4. *The Annex.*

The overall page limitation for the technical application is 30 pages. Applications shall be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper) or A4 paper, single spaced, 12 characters per inch with each page numbered consecutively³. The Annex and items such as the cover page, dividers and the table of contents are not included in the 30-page limitation.

1. Cover Page

The Cover Page shall include the applicant's name, identification of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address). Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should mark the cover page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, an agreement is awarded to this applicant as a result of this RFA, a final determination will be made regarding the extent to which data included in the cooperative agreement can be disclosed."

The Applicant can include any other information or graphics on the cover page that it determines are beneficial.

2. Program Abstract/Executive Summary

The Program Abstract shall be a two-page summary of the application. The Program Abstract shall summarize the key elements of the applicant's technical strategy, management approach, implementation plan, expected results and M&E plan.

³ Footnotes, charts, tables and other similar types of graphic displays can use font that differs from that specified herein. However, USAID reserves the right to not review pages in the application if this practice is abused.

3. *Technical Application Body*

The Technical Application Body will contain the main parts of the technical application and shall include the following sections:

- a. Technical Approach;
- b. Management & Staffing;
- c. Monitoring & Evaluation;
- d. Institutional Capacity/Experience;
- e. Past Performance.

The maximum number of pages in this section will be thirty (30). The basic purpose of this section is to provide the information necessary to allow USAID to fairly and completely evaluate the Applicant under each of the evaluation criteria specified in Section V.1.A of this RFA. Additional specified guidance for each section of the Technical Application Body is set forth below.

a. Technical Approach:

In this subsection, the Applicant should address the considerations related to and provide all of the information necessary for USAID to effectively and fairly evaluate the criterion specified in Section V.1.A.a. This Section should include sub-sections addressing the following: 1. Technical Soundness; 2. Implementation Effectiveness; and 3. Gender Appropriateness.

1. Technical Soundness

This subsection should describe in detail the proposed technical strategy and approach and comprehensively address how the applicant will achieve the objectives/results outlined in the Program Description over the 5-year life of program. This Section must also set forth in sufficient detail the conceptual approach, methodology, and techniques for the implementation and evaluation of program activities. The technical application should demonstrate responsiveness to the country-specific and SADC regional context including the approach to working with the country-specific governments. The Applicant should also reflect its understanding of the required collaboration with existing efforts and coordination with HIV/AIDS and/or health initiatives already being conducted in respective countries by PEPFAR, other implementing partners, other donors, and the host country government.

In addition, the applicant should identify those OGAC's "Next Generation" indicators included that its program activities will address. This should be done by discussing these indicators in this subsection of the Technical Application Body.

Also in this section, the applicant shall include a comprehensive approach/strategy to private sector engagement (as discussed in Section I.1.C of this RFA) that includes some or all of the following:

- Understanding of the need for GDA and potential private sector partnership opportunities in this project and how potential partnerships will contribute to project objectives/results and to the business interests of potential partners;
- Approach for private sector partner engagement, with a focus on innovative approaches and sustainable development outcomes and a detailed explanation of how partnerships, including leveraged funds, will be solicited, established, and managed;
- Measurable indicators and targets that will determine success;
- Experience building and managing GDAs or other public-private alliances, and achievement of concrete results from previous partnerships.
- Demonstration of how the proposed partnership contributes to sustainable increases in: jobs and skilled health care workers among target beneficiaries.

- Demonstration of how the proposed partnership contributes to a sustainable increase in the numbers of health care workers trained and retained in the health system among target beneficiaries.
- Demonstration of why the proposed partnership presents a compelling business interest for prospective resource partners.

2. Implementation Effectiveness

An implementation plan for achieving the expected program results should be discussed in this subsection. The implementation plan should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the program results.

Applicants will be expected to reflect their understanding of the health and HIV/AIDS initiatives already being conducted in-country by the USG [in all 10 Southern African countries], SADC, other implementing partners, other donors, and the host country government in this Section. This section must include a plan for promoting sustainability through capacity building. Applicants will be expected to describe how they will work with Technical Officers at the ministries of health in the 10 countries.

Applications should describe in detail implementation plans by country related to the methodologies included in the program description, showing the phasing or dates by which planned activities would be carried out as well as proposed indicators to assess the progress of the program. The implementation plan should include a description of all planned activities with sufficient detail including:

- Sequence of activities;
- Timeframes for implementing each activity;
- Outcome of each activity;
- Impact on gender;
- Impact on disadvantaged communities;
- Involvement of alliances/partners/twinning;
- Sustainability plan

If the Applicant determines that a lengthy chart or other supporting documentation is helpful, this supporting documentation may be included in the Annex.

3. Gender Appropriateness

In this subsection, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.A.a.3. The Applicant should specifically discuss how gender concerns will be incorporated into the overall approach to the program and propose ways to create equal opportunities for men and women in the implementation of this project.

b. Management & Staffing

In this section, the Applicant should discuss its proposed management and staffing plan that is capable of operating independently, particularly in cases where time does not permit consultation with headquarters to respond to time-sensitive requests from the country-based PEPFAR teams and USAID/RHAP team, or when long turnaround times from headquarters' reviews of reports and other documents delay the submission of those documents. The team in each respective country should have the authority to make decisions and set priorities for program-related activities. Consideration should be made as to whether the positions should be placed within the MOHSW or other units, as opposed to sitting off-site in an "HRAA" office. Also, consideration should be made to how the staff of local partners will engage with this project, sites and government counterparts and ensuring that local partner staff is part of the entire project's staffing plan. Applicants should provide summary descriptions of roles, responsibilities, and qualifications of all key personnel, local and expatriate,

consultants, sub-awardees/partners to be funded under the award, specifically illustrating the staff per country. The details of required information are as follows:

Management Structure

The applicant shall propose technical personnel and other personnel as deemed appropriate to implement the program. An organizational chart should be included in the appendix laying out essential positions for the organization itself, and the various subawardees/alliance partners and their key roles, technical expertise, and estimated amount of time each will devote to the program. The applicant should provide a clear description of how the award will be managed, including the approach to addressing potential problems. The applicant shall outline which organization/partner will carry out the various activities specified in the technical approach. The prime partner will be responsible for all technical activities regardless of the activities implemented by the sub-partner or other member of the team. Applicants shall specify the composition and organizational structure of the entire project team (including regional office support) and describe each organization and its staff's role, technical expertise, and estimated amount of time each will devote to the project. Applicants may propose a mix of regional, country-based and even international advisors and specialists to cover the full range of objectives and activities. The management plan should also demonstrate how the applicant will emphasize the use of in-country staff and resources and teaming arrangements.

Key Personnel

The positions that are deemed key and essential to the successful implementation of an award are:

- 1) Regional Director /Chief of Party
- 2) Regional Director of Finance and Administration
- 3) Country Director - Swaziland
- 4) Country Director - Lesotho
- 5) Country Coordinator - Botswana
- 6) Country Coordinator - Malawi
- 7) Country Coordinator - Namibia,
- 8) Country Coordinator - South Africa

The country coordinator positions need not necessarily be based in that country and would need to be negotiated with the country PEPFAR program. The overall number of the proposed key personnel positions should be limited to a reasonable number, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater. Applicants shall provide summary descriptions of roles, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach. Applicants shall also include, in an annex, resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience and should be provided in the Annex. Letters of commitment from all key personnel to the effect that they will be available for the period of the cooperative agreement, should the applicant receive an award, should also be included in the Annex. Finally, a list of 3 non-personal professional references should be included in the Annex for each proposed key personnel. The reference information provided in the Annex should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed. It is critical that other essential positions be identified and potential candidates described so as to provide a clear view of the approach to technical components of the work, coaching, and mentoring needs, etc. Illustrative qualifications and experience requirement of key personnel are as follows:

i. Regional Director /Chief of Party

The applicant should appoint a Regional Director (RD) who is accountable for orchestrating all program activities and achieving all program results. The RD should have:

- demonstrated capabilities and high-level expertise in HR management and systems within the health and social welfare sector, technical experience in HR management systems, human capacity development, and HRIS systems (or at least knowledge of systems development);
- Strong skills and a track record in strategic visioning and leadership, and possess effective skills for interaction with senior-level policy-makers;
- Proven ability to build networks with strong problem-solving skills;
- ability to influence with effective listening, strong communication, persuasion, negotiation, and other skills to ensure a positive approach;
- Familiarity with PEPFAR and other USG initiatives, as well as considerable experience working with the host governments in a developing country;
- Demonstrated exceptional written and oral communication skills in English;
- Familiarity with the political, social, economic and cultural context of working in SADC region is desirable;
- Strong diplomatic skills and ability to work in multi-cultural settings with several types and levels of professionals are necessary; and
- Effective personnel management, coordination, and decision making skills, with an ability to be accountable for all components of the program.

ii. Country Directors or Country Coordinators (in respective buy-in countries)

The applicant should appoint a country director (CD) in relevant buy-in countries that request this position. Other buy-in countries may request the appointment of a country coordinator who need not be based in the country. The CD will report to the Regional Director and must have:

- Demonstrated exceptional managerial and operational experience, and preferably experience in managing complex activities involving coordination with multiple government, donor and implementing partners.
- Demonstrated technical skills in HR systems, human capacity development, and HRIS system;
- Strong skills in the areas of expertise that are prioritized in the program description of this award and the country implementation plans;
- Strong familiarity with PEPFAR and other USG initiatives;
- Demonstrated exceptional written and oral communication skills in English; and
- Familiarity with the political, social, economic and cultural context of working in each respective buy-in country is desirable.

The country coordinator must be a technical and managerial point person for the PEPFAR HRH/HSS/HCD point of contact and for relevant government officials to negotiate programs, implementation plans, scopes of work, consultancies etc. The country coordinator should hold similar skills to country directors but need not be as highly technical and versatile in all technical skills and expertise. But a good background in PEPFAR programs and other USG initiatives along with the relevant in-country HRH/HSS issues would be highly desirable.

While the requirements of the RD are also desirable in the CD, it is most important that the candidates who are selected have at least complementary skills.

iii. Regional Director of Finance and Administration

The applicant should appoint a Regional Director of Finance and Administration (R DFA) who will coordinate with USAID/RHAP and country-based PEPFAR teams, multiple government,

donor and implementing partners on any financial and administration matters. The RDFA should have:

- Demonstrated exceptional managerial and operational experience, and preferably experience in managing complex activities, budgets across countries and reporting across multi-country programs.
- Proven technical skills in accounting, budgeting, administration, logistics, and information systems.
- Strong experience in business development and/or innovative partnering to leverage programs and resources for improved business outcomes is highly desirable.
- Demonstrated exceptional written and oral communication skills in English; and
- Familiarity with the political, social, economic and cultural context of working in SADC region is necessary.

Other Personnel

Applicants have the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet award requirements. This must be described in the technical application. USAID strongly encourages the recipient to consider locally (non-overseas)-hired and regional (Southern Africa) technical leads for some or all of the other personnel positions.

Such staff should have played important coordination and country-level support roles in past and current HIV/AIDS programs. In the event that SADC-based staff is hired, it is important that appropriate mentoring be done to ensure their ability to work effectively in their role and with USAID programs. A cost-effective measure of virtual office management is encouraged.

Consultants

Applicants may propose a mix of international and in-country professional expertise, advisors and specialists to conceptualize evidence-based approaches. There are several critical areas requiring expertise that will need to be laser-beamed on specific components of the work to be conducted. This would include consultants assisting with HR strategy development and restructuring policies/plans, pre-service programs, the HRIS, social welfare workforce components to address the needs of OVC, workforce retention plan development, etc. Because of the important role that this expertise plays in ensuring evidence-based approaches in key components of the program, brief resumes of proposed consultants whose expertise would strengthen the merit of the application should also be included. The approach for integrating these consultants/organizations into the overall operation of the program should be clear so that it does not appear that consultants do not support the overall attainment of program results.

Sub-awardee/Alliance Partner

If the applicant intends to develop institutional partnerships/teaming arrangements for implementation of HRAA (sub-recipients, sub-contractors, or alliances), the application must specify the nature of organizational linkages. This includes their relationships between each other, which organization/ sub-awardee will carry out the various tasks specified in the technical approach, lines of authority and accountability, and patterns for utilizing and sharing resources. Applicants that intend to utilize sub-awards should indicate the extent intended, the method of identifying sub-awardees, and the tasks/functions they will be performing. Applicants that plan to team up with other organizations, government agencies or indigenous organizations for the implementation of the agreement should outline the services to be provided by each such agency or organization and should discuss how the collaboration with these partners fits into the Applicant's proposed management plan. Applicants should state whether or not they have any existing relationships with these other organizations and the nature of the relationship, and should include letters of commitments (in anticipation of MOA/MOUs) from proposed collaborators in the Annex. If there's an existing relationship, the application should

include the Memoranda of Understanding (MOUs) in the Annex. Applicants should propose innovative ways to reduce managerial costs of sub-partners and sub-grantees.

US Volunteers

The use of highly skilled U.S. volunteers must be addressed in this section, including the level of effort, the specific roles that U.S. volunteers can play and any constraints affecting the use of U.S. volunteers. The staffing plan shall elaborate what and how long-term and short term technical and management assistance will be provided to the program to accomplish tasks and objectives.

c. Monitoring & Evaluation

In this sub-section, the Applicant should address the considerations related to the evaluation criteria specified in Section V.1.A.c. The Applicant should address monitoring and evaluation and should demonstrate its ability to reach stated program objectives within the required time of performance (including a plan for rapid launch of project activities) through the inclusion of illustrative timelines for the effective implementation of project component in this subsection. At a minimum, this discussion should address how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of project evaluations.

Applicants shall provide a preliminary monitoring and evaluation (M&E) plan in their responses per country and regionally. This plan shall identify preliminary indicators and targets which support and contribute to the MOH strategy in the focus countries, USAID/RHAP strategy and OGAC/ PEPFAR standard indicators. Applicants should familiarize themselves with OGAC indicators appropriate to the program areas discussed. The applicant shall elaborate in the preliminary plan the expected program results with illustrative indicators, mid-term milestones/benchmarks, and end-of-project results. For each indicator, the M&E plan shall provide interim and final targets, data sources, collection methods and baseline information or a timeline for collecting baseline information. The applicants shall show how each task relates to indicators and targets. Routine data quality assessments are also required. The M&E plan should provide for a mid-term, external program assessment and describe how the assessment's results will be used to make program improvements. The plan should address how the M&E plan will contribute to evidence-based decision making and programming

Upon award, the apparently successful applicant will work in consultation with the Agreement Officer's Technical Representative (AOTR) and other PEPFAR staff to develop and execute a final M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with USAID/RHAP and PEPFAR teams.

d. Institutional Capacity/Experience

In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in institutional capacity building, HIV/AIDS policy development, delivery of an integrated set of HIV/AIDS prevention, care and treatment services. Applicants shall also describe their organizational capability in collaborating with donors, host country governments, and NGOs to strengthen health and HIV/AIDS systems, and to improve the quality and use of data for decision making and to advance organizational capacity building.

The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors and/or grantees) in successfully managing similar programs.

e. Past Performance:

The Applicant should discuss in this section examples of its past performance as well as examples of the past performance of the proposed sub-contractors/sub-recipients and or other partners, if any. The Applicant should address any relevant performance issues related to past performance.

The Applicant shall identify (briefly, with details in the Annex) its three (3) most recent and fully completed contracts or agreements that involve some of the activities described in Section IV.4.A.3.d above and which value exceeded \$5 million. In addition, the Applicant may identify (briefly, with details in the Annex) up to five (5) additional contracts or agreements related to the activities described in Section IV.4.A.3.d for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

Also in the Annex, the Applicant shall include one information sheet for each such contract or agreement. The information sheets shall include all of the following information:

1. The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);
2. A description of the project's scope, magnitude and period of performance;
3. Location of the project;
4. Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
5. Discussions of accomplishments as well as engineering, management or other challenges associated with completion of the project and what the Applicant did to overcome the challenges
6. Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

Please note that it is applicant's responsibility to provide the above requested past performance reference contact information that is accurate and up to date.

4. The Annex

The technical application annex shall contain resumes, letters of commitments from personnel or partners, proposed teaming arrangements, past performance and personnel references, letters of recommendation, awards, testimonials and any other supporting documentation requested in the RFA.

B. Cost/Business Application Format

The Cost/Business Application is to be submitted separately from the technical application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The Cost Application must be completely separate from the applicant's Technical Application. The application must include completed SF-424 forms as set forth in Subsection IV.2 above.

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
3. Applicants shall submit a regional and a country-specific budget which addresses the context of each country under the RHAP portfolio that they are proposing to work in.

4. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Subsection IV.2 above. All budgets shall include a sheet relating to the entire 60-month period and separate sheets for each of the five program years by country. These budgets shall include a breakdown of the costs allocated to any sub-recipient or sub-contractor involved in the program (unless the agreement or contract is on a fixed-amount basis), as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate sub-agreement or subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in Microsoft Excel format.
5. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
6. The following Section provides guidance on line item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the organization's personnel policies.

Fringe Benefits - If the organization has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (*e.g.*, unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies; (applicants may however choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), office rent abroad, branding/marketing supplies, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Indirect Costs - Local/ regional or other organizations that do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government, these organizations should treat all indirect costs as direct costs and provide a fully-developed and supported rationale for allocating or estimating how much of the indirect costs should be allocated to the program.

Seminars and Conferences - The application should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to

International Conferences or as approved by the AOTR
[<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

Source and Origin Requirements - The authorized Geographic Code for this Agreement will be 935.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

7. In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
8. The required Certifications, including the SF 424s, should be included with the Cost Application.
9. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
10. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
11. Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
12. If requested by USAID after submission of applications, please provide information on the Applicant's financial and management status, or that of major subcontractors and sub-recipients, including:
 - (a) Audited financial statements for the past three years,
 - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - (c) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
 - (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

13. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:
- Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;
 - Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;
 - Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues re its record of performance that were not discussed in the technical application);
 - Has a satisfactory record of integrity and business ethics; and
 - Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

If requested by USAID after submission of applications, please provide any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

14. **Cost Sharing:** Cost sharing is encouraged, in addition to USAID funds. Applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this program. Applicants should submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23 and can be audited.
15. **Unnecessarily elaborate applications:** unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

5. SUBMISSION DEADLINES

Applications shall be due on the date and time specified on the cover letter of this RFA. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. FUNDING RESTRICTIONS

There are no funding restrictions applicable to this RFA at this time.

7. GENERAL INSTRUCTIONS

USAID will accept applications from the qualified entities as defined in Section III of this RFA. Applicants should follow the instructions set forth herein. If an applicant does not follow the instructions, its application may be down-graded and may not receive full credit under the applicable

evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via e-mail to: applications@usaid.gov with up to 10 attachments (5MB limit) per email compatible with Microsoft Office 2003 compatible (MS WORD or Excel) in a MS Windows environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed. The subject line for every such email must include the following: “**Human Resources Alliance for Africa.**” Applicants shall provide 2 (two) hard copies of the original technical application and 2(two) copies of the cost application to the following address, with the goal that these hard copies will be received within one week of the closing date for receipt of application if the application is submitted electronically:

USAID/Southern Africa
Office of Acquisition and Assistance
P.O.Box 43, Groenkloof, 0027
Pretoria, South Africa
Attn: Leona Sasinkova, Regional Agreement Officer
Yvonne Habulembe, Regional Acquisition & Assistance Specialist

Alternatively, applications can be delivered by hand/courier to the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
100 Totius Street , Groenkloof 0027
Pretoria, South Africa
Attn: Leona Sasinkova, Regional Agreement Officer
Yvonne Habulembe, Regional Acquisition & Assistance Specialist

Please note that lateness of the applications will be determined by the submission of the electronic submission, not the submission of hard copies.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted. Electronic submissions through the www.grants.gov website are acceptable. In order to use this method, an applicant must first register on line with www.grants.gov.

Consistent with ADS 303.3.6.7, applications that are submitted late may be eliminated from the competition. If a late application is evaluated and considered for award, all similarly-situated late applications (in terms of time of receipt) will also be evaluated and considered for award.

8. *BRANDING STRATEGY AND MARKING PLAN*

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. **Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.**

SECTION V – APPLICATION REVIEW INFORMATION

This Section includes information regarding: 1. the evaluation criteria that will be used; 2. branding and marking; 3. a discussion of cost share; and 4. a discussion of the review and evaluation process.

I. SCORED EVALUATION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The following evaluation criteria will be used to make an award decision.

A. TECHNICAL APPLICATION

a. TECHNICAL APPROACH (35 POINTS)

The Technical Approach factor will be scored based on the following sub-factors:

1. Technical Soundness (20 points)

Evaluation under this sub-factor will focus on the soundness of the overall technical approach. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the technical approach is clear, logical, comprehensive, well-conceived in addressing how the applicant will achieve the objectives outlined in the Program Description and technically appropriate for the Southern African region context;
- b. The extent to which the technical approach addresses local and regionally-based organizations and people to implement the technical assistance needed;
- c. The extent to which the technical approach addresses how the applicant will collaborate with existing efforts and promoting sustainability and capacity building;
- d. The extent to which the applicant's proposed M&E plan is clear, appropriate, and sound in terms of identification of expected interim and final results of the program and extent to which the plan for collecting baseline and follow-on data is cost effective, will reliably quantify program progress and impact, and will integrate with and support building local capacity to gather and analyze data for decision making;
- e. The extent to which the technical approach reflects the applicant's understanding/analysis/experience in developing potential opportunities for private sector engagement, including innovative ideas for partnerships that contribute to sustainable development
- f. The extent to which the technical approach demonstrates a realistic and detailed approach to partner engagement; extent to which partnership-building contributes to the overall technical approach and achievement of project goals
- g. Applicant's proposed target ratio for resource leverage.

2. *Implementation Effectiveness (10 points)*

Evaluation under this sub-factor will focus on the effectiveness of the proposed plan to implement the activities and the ability to achieve sustainable results. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the technical approach illustrates timelines for the effective implementation of project components;
- b. The extent to which the technical approach demonstrates the applicant's ability to reach stated program objectives within the required time period of performance;
- c. The extent to which the technical approach provides for sustained results beyond the life of the project.

3. *Gender Appropriateness (5 points)*

The extent to which the application demonstrates that all relevant gender and gender issues are identified and addressed will be evaluated. Evaluation under this sub-factor will also focus on the strength of the analysis of gender issues presented in the technical application and also the extent to which disadvantaged gender groups will be integrated into the activities proposed and supported.

b. MANAGEMENT & STAFFING (25 POINTS)

Evaluation under this factor will consider the experience and qualifications of project team with respect to the services and tasks required under the proposed Cooperative Agreement, as well as the effectiveness of the overall management plan. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the management and staffing plan proposes long-term and short-term personnel, presenting composition of the project team and identifying key personnel with appropriate technical and managerial expertise and experience to provide technical direction, management and oversight to meet program goals and results; demonstrates appropriateness and relevance of expertise and experience of key personnel in a general pandemic environment;
- b. The extent to which the management and staffing plan demonstrates the RD/COPs ability to manage a complex program in an integrated HIV/AIDS service delivery setting, coordinate with multiple ministry directorates, international donors and local and international NGO partners;
- c. The extent to which the proposed staff meets the required qualifications and country-specific needs, and their proposed role provides a clear description of how the project's objectives will be met, including demonstrated technical experience and expert qualifications (see specific requirements under Key Personnel description above) in all the programmatic areas outlined in this RFA;
- d. The extent to which the management and staffing plan demonstrates appropriateness and effectiveness of staffing pattern, (including limited home office support and use of international, regional and local professionals, sub-awardees and/or alliance members) and presents appropriate organizational structure for the entire program. Staffing plan should align personnel (short and long-term, home office support, sub-awardees and/or alliance members) with each program component, responsibilities and propose a plan for technical and other support from short-term, local, international and regional experts;

- e. The extent to which the management and staffing plan demonstrates the use of highly skilled U.S. volunteers including the level of effort, the specific roles that U.S. volunteers can play and any constraints affecting the use of U.S. volunteers [ADS 303; Executive Order 13317 - Volunteers for Prosperity].

c. MONITORING & EVALUATION (M&E) (10 POINTS)

The monitoring and evaluation plan factor relates to the applicant's plan to monitor and evaluate the results achieved. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The extent to which the application identifies preliminary indicators and targets which are in accordance with and support achievement of host countries objectives, USAID/RHAP assistance objectives and OGAC/PEPFAR program objectives and are specific, measurable, and achievable within the Southern African regional context. Shows flexibility and methodology for making changes in indicators and adjustments in data collection and analysis to meet anticipated changes in OGAC indicators;
- b. The extent to which the application demonstrates data reliability, validity and effectiveness in data collection and analytical approach for quantifying program progress and impact;
- c. The extent to which the application proposes a realistic and achievable timeline for reaching OGAC/PEPFAR indicators and targets;
- d. The extent to which the application explains how M&E activities will integrate with and support building local capacity for one M&E system for evidence-based decision making.

d. INSTITUTIONAL CAPACITY & EXPERIENCE (10 POINTS)

This factor focuses on the existing capabilities of the applicant and its actual experience in providing similar services to those required under the program description. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- a. The organizational knowledge, capability, experience of the lead applicant in managing similar country-wide programs. Specific attention should be paid to demonstrating past experience in implementing/managing complex programs, focusing on policy improvements, building beneficial relationships and coordination with broad range of government, donor and local and international NGO organizations at national, provincial, district and local levels;
- b. Proven ability to demonstrate relevant organizational knowledge, capability, and past experience of the other proposed team members (proposed sub-recipients and/or grantees, if any) in successfully implementing similar programs;
- c. Level of experience in supporting and sustaining new knowledge and skills of local staff beyond program end; and
- d. Level of experience in evidence-based decision making and programming, demonstrating how data for decision making was acquired and used to improve service delivery and policy making.

e. PAST PERFORMANCE (10 POINTS)

(a) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in Section IV.4.A.3.e. of this RFA and from other sources if and when the Agreements Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

(b) If the performance information contains negative information on which the applicant has not previously been given an opportunity to comment, USAID will provide the applicant an opportunity to comment on it prior to its consideration in the evaluation, and any applicant comment will be considered with the negative performance information.

(c) USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

(d) The Applicant's performance information determined to be relevant will be evaluated in accordance with the elements below:

- Quality of product or service, including consistency in meeting goals and targets;
- Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks;
- Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, including coordination among subcontractors and developing country partners, cooperative attitude in remedying problems, and timely completion of all administrative requirements;
- Customer satisfaction with performance, including end user or beneficiary wherever possible;
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified; and
- Cost control, including forecasting costs as well as accuracy in financial reporting, ensuring that unnecessarily expensive technical assistance is not used when lower cost advisors are adequate, and pacing the expenditure of level of effort such that contract deliverables and outputs can be produced within budget.

B. COST/BUSINESS APPLICATION**COST EFFECTIVENESS AND COST REALISM/REASONABLENESS (10 points)**

This criterion will evaluate the cost effectiveness and cost realism and reasonableness of the applications. Additional information on each of these considerations is set forth below.

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources (amounts included as cost share may be considered in this analysis). Cost effectiveness may include analyzing the cost per result proposed. Cost effectiveness will also include an analysis of the ratio of administrative costs compared to costs dedicated to program implementation (US Government costs). Applicants who do not provide clear information and notes regarding the purpose of each proposed cost and do not provide the breakdown required by Section IV.4.B.9 between management, administrative and support costs versus program activity costs run the risk that costs may be interpreted as relating to administrative costs instead of program implementation costs.
- Cost realism - That the Applicant's technical approach supports the costs proposed. In addition, the cost realism analysis will evaluate whether the costs estimated accurately reflect

the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. The cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost Application reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost Application accurately represents the work effort included in the technical application.

- Cost Analysis: All proposed costs will be evaluated for completeness, reasonableness, fairness, allowability and allocability. This analysis is intended to determine the degree to which the costs included in the cost/price application are fair and reasonable.
- Consistency of budget line items and amounts with the resource requirements of the different activities will be evaluated.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. **BRANDING STRATEGY AND MARKING PLAN**

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be required to submit a Branding Strategy and Marking Plan prepared in accordance with the guidelines contained in AAPD 05-11, CFR 226.91 and ADS 320.3.3. No award will be made without USAID approved Branding Strategy and Marking Plan.

3. **COST SHARING**

Cost share is encouraged under this RFA. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

4. **REVIEW AND EVALUATION PROCESS**

The technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees, other U.S. Government representatives and host country experts.

The cost applications will be evaluated by the Agreement Officer on Cost effectiveness, realism and analysis. Award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the **only** individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

The required format and content for the application are described in Section IV. A team of technical experts shall review and score applications received in response to this RFA. Applicants responsive to the requirements of this RFA, that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute the activities expected under this program using mutually agreed, international standards of accountability are eligible to apply.

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO APPLICANTS

The Notice of Award (ADS 303.3.7.1.a) signed by the Agreement Officer is the authorizing document that will be provided to the successful applicant to inform the applicant of its selection to be further considered to negotiate a cooperative agreement. USAID will provide this Notice electronically to the person designated to receive this information in the application.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b.

2. DEVIATIONS

No deviations are currently contemplated to the standard provisions for the cooperative agreement contemplated by this RFA.

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA: a) Monitoring and Evaluation Plan; b) Annual Implementation Plans; c. Quarterly Progress Reports; d) Final Agreement Completion Report; and e) Miscellaneous Documents.

A. Monitoring and Evaluation Plan

The recipient is required to have a monitoring and evaluation plan showing how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of project evaluations.
- Reports to provide activity managers with valid internal assessments of the recipient's activities and interventions.

The performance monitoring plan must address the issues set forth above and is due 60 days after award of the cooperative agreement contemplated by this RFA. It must be approved in writing by the Agreement Officer's Technical Representative. Any modifications to the performance monitoring plan must be submitted in writing to the Agreement Officer's Technical Representative and approved in writing by the Agreement Officer's Technical Representative.

In order to facilitate the documentation of actual future improvements, baseline values of existing conditions need to be established. The recipient will work closely with USAID to develop an M&E plan that will include baseline surveys for future impact evaluations.

B. Annual Implementation Plans

The recipient will submit annual implementation plans by country and region to the Agreement Officer's Technical Representative (AOTR). The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID/RHAP during the first 30 days following the awarding of the agreement. Subsequent 12-month implementation plans through the end of the agreement will be prepared on a

12-month fiscal year basis (October 1 – September 30) and submitted to the AOTR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOTR.

1. Contents

The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the implementation plan.

2. Distribution

Copies of the final implementation plans will be distributed as follows: one copy to the AOTR, and one copy to the Agreement Officer.

3. Revisions

In the event that revisions to the annual implementation plans are necessary, the recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOTR in writing.

C. Quarterly Progress Reports

The recipient shall submit quarterly performance reports to USAID/RHAP AOTR to reflect results and activities of each preceding quarter. Reports are to be submitted within 10 days of the end of each quarter that is, Dec 31, March 31, June 30, and September 30 as follows: one copy to the AOTR and one copy to the Agreement Officer. These reports will be used by USAID/RHAP to fulfill electronic reporting requirements to MOH, USAID/Washington and the Office of the Global AIDS Coordinator (OGAC); consequently, they need to conform to certain requirements.

The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual implementation plan for that quarter. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

D. Quarterly Financial Reports

The recipient shall submit to the USAID/RHAP AOTR a quarterly financial report within 30 days after the end of the recipient's first fiscal year quarter, and quarterly thereafter.

Quarterly financial reports should contain, at a minimum:

- Total funds awarded to date by USAID into the agreement;
- Total funds previously reported as expended by the line items specified in the Award Budget in the Agreement;
- Total funds expended in the current quarter by the recipient by the main line items;
- Total funds expended in the current quarter by country under the award;
- Total un-liquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Reporting of expended funds to the level identified and in the same format as the applicants' cost application; and
- Any other financial information necessary as specified by the AOTR necessary to carry out the responsibilities assigned to the AOTR.

E. Annual/Semi-Annual Performance Reports (APR & S/APR)

Twice yearly, the recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets for each country under the award. USAID/RHAP will provide electronic formats in order to access data needed. Due dates for these reports are on or about May 1st and October 31st.

F. Final Agreement Completion Report

The recipient shall prepare and submit three copies of a final/completion report to the AOTR which summarizes the accomplishments of this agreement by country, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The report shall be submitted no later than 90 days following the estimated completion date of the agreement.

G. Miscellaneous Documents

The Recipient shall prepare and disseminate, as directed in the annual implementation plan and by the Agreement Officer's Technical Representative [AOTR], other reports and deliverables needed to accomplish the purpose of this agreement.

4. ENVIRONMENTAL COMPLIANCE

A. General

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Request for Applications.
2. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
3. No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that

activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

B. Compliance with the IEE

An Initial Environmental Examination (IEE) has been approved for the Activity_funding the cooperative agreement expected as a result of this RFA. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that categorical exclusion applies to one or more of the proposed activities. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this cooperative agreement. Applicants can access the approved IEE for USAID/RHAP activities on grants.gov which is posted as part of the RFA package.

C. Implementation Plans

1. As part of its initial Implementation plan, and all Annual Implementation plans thereafter, the recipient in collaboration with the USAID AOTR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
2. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
3. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5. USAID DISABILITY POLICY

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

[END OF PROVISION]

SECTION VII – AGENCY CONTACTS**The Administrative Agreement Officer for this Award is:**

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The Acquisition and Assistance Specialists for this Award are:

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SECTION VIII – OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted.

The following additional information is provided in this Section:

1. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an apparently successful applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

(b) Submission. The Apparently Successful Applicant, upon request of the Agreement Officer, will submit and negotiate a Branding Strategy. The Branding Strategy will be included in and made a part of the resulting grant or cooperative agreement. The Branding Strategy will be negotiated within the time that the Agreement Officer specifies. Failure to submit and negotiate a Branding Strategy will make the applicant ineligible for award of a grant or cooperative agreement. The Apparently Successful Applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

Submission Requirements

At a minimum, the Apparently Successful Applicant's Branding Strategy will address the following:

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program,

project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

Presumptive Exception exempts the applicant from the general marking requirements for a *particular* USAID-funded public communication, commodity, program material or other deliverable, or a *category* of USAID-funded public communications, commodities, program materials or other deliverables that would otherwise be required to visibly bear the USAID Identity. The Presumptive Exceptions are:

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R. 226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(c) Submission Requirements. The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will be produced as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and

(iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

- (i) what program deliverables will not be marked with the USAID Identity, and
- (ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost-beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

3. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

Commodities mean any material, article, supply, goods or equipment, excluding recipient offices, vehicles, and non-deliverable items for recipient's internal use, in administration of the USAID funded grant, cooperative agreement, or other agreement or sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

Programs mean an organized set of activities and allocation of resources directed toward a common purpose, objective, or goal undertaken or proposed by an organization to carry out the responsibilities assigned to it.

Projects include all the marginal costs of inputs (including the proposed investment) technically required to produce a discrete marketable output or a desired result (for example, services from a fully functional water/sewage treatment facility).

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to subrecipients, in direct support of a development objective – as opposed to the internal management of the foreign assistance program.

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and

prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."
- (10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International

[insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

(11) The recipient will provide the Agreement Officer’s Technical Representative (AOTR) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

- (1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.
- (2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:
 - (i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
 - (ii) the type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,
 - (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,
- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
 - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of

the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer's Technical Representative. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
- (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.
- (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
- (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
- (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

4. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010) Assistance Provisions – Non-Governmental Organizations (NGOs) and Non-Exempt Public International Organizations (PIOs) [AAPD 05-04 Amendment 3 April 13, 2010]

(a) 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. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees

that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

(b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

(b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

(i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;

(ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or

(iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

(c) The following definitions apply for purposes of this provision:

“Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.

“Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

(e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

ATTACHMENTS

The following attachments and annexes are provided:

1. SF-424 Forms;
 2. Technical Documents
 3. Certifications, Assurances and Other Statements;
1. The SF-424 forms referenced in Section IV.2 above can be found at:
http://www.grants.gov/agencies/aapproved_standard_forms.jsp
 2. Technical Documents

To support the development of an application the applicant is encouraged to review the following:

Human Resources for Health (HRH) tools and guidelines (WHO) (Main page)

<http://www.who.int/hrh/tools/planning/en/>

Tools for planning and developing human resources for HIV/AIDS and other Health Services (WHO)

http://www.who.int/hrh/tools/tools_planning_hr_hiv-aids.pdf

Human Resources for Health: Models for projecting workforce supply and requirements (WHO)

<http://www.who.int/hrh/tools/models.pdf>

Toolkit on monitoring health systems strengthening, Human Resources for Health (WHO)

A Situation Assessment of Human Resources in the Public Health Sector in Nigeria
(USAID, Partners for Health Reform*plus*)

The health worker shortage in Africa: are enough physicians and nurses being trained?
(WHO article)

AIDS Strategy and Action Plan (ASAP), A Service of UNAIDS-USERS MANUAL, ASAP HIV/AIDS Costing Model, V1.2-October, 2008 (ASAP, UNAIDS)

<http://siteresources.worldbank.org/INTHIVAIDS/Resources/375798-1151090631807/ASAPHIVAIDSCostingModelUserManualv1.2.pdf>

USAID/RHAP Initial Environmental Examination (IEE) – posted on grants.gov with this RFA.

Alignment of Foreign Assistance, the Global HRHQs Framework and Regional HRAA Framework					
Foreign Assistance Objective: Investing in People					
Program Area: Health (3.1) To contribute to improvements in the health of people, especially women, children and other vulnerable populations in countries of the developing world, through expansion of basic health services, including family planning, strengthening national health systems, and addressing global issues and special concerns such as HIV/AIDS and other infectious diseases					
Program Elements:					
FP/RH Element (3.1.7)	Expand access to high-quality family planning services, information and reproductive health care in order to reduce unintended pregnancy and promote healthy reproductive behaviors				
HIV/AIDS Element (3.1.1)	Reduce the transmission and impact of HIV/AIDS through support for prevention, care and treatment programs				
MCH Element (3.1.6)	Increase the availability and use of proven life-saving interventions that address the major killers of mothers and children and improve their health and nutrition status				
Malaria Element (3.1.3)	Support the implementation of the President's Malaria Initiative (PMI), related malaria control programs, and malaria research activities to reduce malaria-related mortality. Develop effective malaria vaccines, new malaria treatment drugs, and targeted operations research				
Tuberculosis Element (3.1.2)	Reduce the number of deaths caused by TB by increasing detection of cases of TB and by successfully treating detected cases, as well as addressing issues of multi-drug resistant TB, TB and HIV, and investing in new tools for TB.				
HRHQs Objective (Global Award)	Strengthen the human resources needed to implement quality health programs.				
Results	Global leadership fosters action to address the HRH crisis	HRH policy and planning strengthened	HRH workforce development strengthened	HRH performance support systems strengthened	Knowledge generated and disseminated to promote use of evidence-based HRH approaches
HRAA Objective (Regional Award)	Improve and increase the number of human resources for health and social welfare in Southern Africa.				
Results	National HRH/HSS plans costed , policies and systems implemented and managed; fiscally sustainable	National HRIS developed and the use of data for decision-making across the region promoted.	Pre-service education systems strengthened	Workforce shortages addressed through improved worker recruitment, retention, and productivity	Health professional regulatory bodies and associations strengthened

**USAID/Southern Africa Request for Applications (RFA) No. 674-10-0047
Human Resources Alliance for Africa (HRAA)**

**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF
THE RECIPIENT**

NOTE: When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS
GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED
PROGRAMS**

Note: This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States.

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the Cooperative Agreement for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the

date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal Cooperative Agreement, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been

engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

By signing and submitting this application, the prospective recipient provides the certification set out below:

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.

d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means-

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub national groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

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

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

2. I am not and have not been an illicit trafficker in any such drug or controlled substance.

3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

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

PART III - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the attached Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART IV - OTHER STATEMENTS OF RECIPIENT**1. AUTHORIZED INDIVIDUALS**

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com.

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: _____

5. PROCUREMENT INFORMATION

(a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) **Amount of Procurement.** Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ _____

(c) **Nonexpendable Property.** If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) **Source, Origin, and Componentry of Goods.** If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION PROBABLE (Generic)	QUANTITY UNIT COST	ESTIMATED COMPONENTS	GOODS SOURCE	PROBABLE COMPONENTS	GOODS ORIGIN
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(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	INTENDED USE ORIGIN
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION RATIONALE (Generic)	QUANTITY	ESTIMATED UNIT COST (Non-US Only)	PROBABLE SLUPPIER for NON-US	NATIONALITY
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(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic) DISPOSITION	QUANTITY	ESTIMATED UNIT COST	PROPOSED
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6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide past performance information requested in the RFA.

7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as a corporation organized under the laws of _____ (country), an individual, a partnership, a nongovernmental nonprofit organization, a nongovernmental educational institution, a governmental organization, an international organization, or a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

[END OF RFA 674-10-00047]