



Regional Acquisition and Assistance Office

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**Subject: Request for Applications (RFA) USAID/Southern Africa No. 674-10-0027
Strengthening HIV Prevention for Most at Risk Populations in Namibia.**

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Namibia, is seeking applications from qualified organizations to implement a three-year program to provide technical leadership and service delivery to most at risk populations (MARP) in Namibia. This program is funded through the President's Emergency Plan for AIDS Relief. Activities funded under this program fall under the U.S. Foreign Assistance Framework objective of Investing in People.

The objective of this award is to strengthen the capacity of indigenous organizations to reduce HIV transmission among MARP through comprehensive HIV prevention services and linkages to care and treatment for the following MARP: Men who have Sex with Men (MSM), Sex Workers (SW) and clients of Sex Workers including truckers, seafarers and miners.. The Recipient will be responsible for ensuring achievement of the program objective. Please refer to Section I, the Funding Opportunity Description for a complete statement of goals and expected results.

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 grant 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 \$5,400,000.00 to be allocated over the 3 year period. USAID anticipates awarding one or more cooperative agreements 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 to me **via email** at cfrost@usaid.gov and to mzhou@usaid.gov and sseema@usaid.gov

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA, will be issued. Therefore, questions should be submitted no later than close of business (COB) March 24, 2010.

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,

Christopher B. Frost
Agreement Officer

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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.

Acronym List

ARV	Antiretroviral
CDC	U.S. Centers for Disease Control and Prevention
COH	Corridors of Hope
CSO	Civil society organization
FOSY	Female out of school youth
FSW	Female sex worker
GFATM	Global Fund for AIDS, Tuberculosis and Malaria
GRN	Government of the Republic of Namibia
LGBTI	Lesbian/Gay/Bisexual/Transgender/Intersex
MARP	Most At Risk Populations
MCP	Multiple concurrent partnerships
MOHSS	Ministry of Health and Social Services
MOSY	Male out of school youth
MSM	Men who have sex with men
NASOMA	National Social Marketing Programme
NSF	National Strategic Framework
PEPFAR	President’s Emergency Plan for AIDS Relief
PMP	Performance monitoring plan
PMTCT	Prevention of Mother to Child Transmission
RCC	Rolling Continuation Channel
SMA	Social Marketing Association
STI	Sexually transmitted infections
SW	Sex worker
TRP	The Rainbow Project
USAID U.S.	Agency for International Development
VCT	HIV Voluntary Counseling and Testing

1. GENERAL DESCRIPTION OF FUNDING OPPORUNITY

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

A. Background

The generalized HIV epidemic remains a daunting challenge to Namibia with an estimated national HIV prevalence of 15.4 percent among adults aged 15 to 49 (MOHSS, 2008). Approximately 195,270 Namibians are living with HIV (Namibia Spectrum Model Projections and Estimates, 2009). Although the HIV epidemic appears to be stabilizing at the national level, ANC sentinel surveillance indicates significant increases in HIV prevalence in recent years in specific locations including Engela, Rehoboth, Keetmanshoop and Andara (MOHSS, 2006). HIV prevalence is highest in northern regions of the country bordering Angola, specifically Caprivi, Kavango, Ohangwena and Omusati.

The Government of the Republic of Namibia (GRN) recently drafted a National HIV/AIDS Strategic Framework (NSF) which is pending endorsement by Parliament. The NSF document provides strategic direction and suggests specific priority actions to address MARP on a national basis.

The Medium Term Plan III (2005 – 2010) Mid-term Review indicated the urgent need to address sex workers and MSM with appropriate interventions. Despite the Mid-term Review findings no GRN domestic expenditures or Global Fund for AIDS, Tuberculosis and Malaria (GFATM) resources were dedicated to specific activities focused on HIV prevention among SW or MSM or their clients. At present GFATM resources support the procurement of 18,000,000 condoms. In designing HIV prevention activities, the GRN focuses mainly on key drivers of the epidemic (e.g. multiple concurrent partners, inconsistent condom use, inter-generational sex, adult male circumcision, alcohol use, mobility/migration and transactional sex) which are oriented toward broader awareness creation among the general population and a focus on scaling-up male circumcision, voluntary HIV counseling and testing (VCT) and prevention of mother to child transmission (PMTCT) programs. A pending GFATM Rolling Continuation Channel (RCC) proposal, if approved, would support GRN and local civil society groups work with identified populations to address data gaps to assess the size and behaviors of MARPS and to develop outreach services to address their needs.

In 2008 the Government of the Republic of Namibia (GRN) and the U.S. government (USG) supported a review of Namibia's HIV epidemic to identify key drivers in Namibia. The review identified biological, behavioral, and structural factors driving the epidemic including low rates of male circumcision, multiple concurrent partnerships, inconsistent condom use, alcohol use, inter-generational sex, transactional sex, mobility/migration and changing marital patterns.

Populations at highest risk of HIV infection are those practicing high-risk sexual behaviors for HIV transmission, including unprotected sex with numerous partners, male-to-male sex and injecting drug use. In Namibia, three main groups of people engage in these highest-risk behaviors and subsequently are most affected by HIV/AIDS: sex workers (male and female), clients of sex workers and men who have sex with men. Because these populations engage in stigmatized behaviors they frequently suffer human rights abuses, have limited access or utilization to health services, face widespread discrimination and are marginalized from conventional public health programs.

The GRN's national HIV/AIDS response to date focused on expanding HIV prevention, care and treatment services for the general population. Gaps remain in understanding MARP estimated sizes, MARP health needs, the HIV epidemic among MARP and contributions to the national epidemic despite several small studies conducted by researchers.

Most at Risk Populations in Namibia

Existing data on HIV in Namibia and anecdotal evidence from organizations serving MARP indicate that SW, MSM, and clients of sex workers are at significantly increased risk for HIV infection. Unfortunately, due to limited data, there are no reliable estimates of the size of MARP populations or mapping of their locations. Although there is a clear need for more systematic data on these populations, the limited data available point to various geographic hotspots and most at-risk populations within the more generalized epidemic.

Men who Have Sex with Men (MSM)

Studies conducted with MSM throughout sub-Saharan Africa have consistently showed that MSM have higher rates of HIV prevalence than the general population in the same locations (Smith et al, 2009). In Namibia, one, limited study with a small sample size has estimated the prevalence of HIV among men who have sex with men. This study, conducted in Windhoek in 2008, found that HIV prevalence among MSM was 12.4% (Baral, 2009). Evidence also demonstrates that MSM in Namibia engage in significant risk behaviors. In a 2009 study conducted in Namibia, Malawi, and Botswana, only 3.3% of the study sample was found to practice safe sex as defined by the use of condoms combined with water-based lubricant (Baral). When engaging in anal sex using condoms, 41% of survey respondents reported using petroleum jelly, Vaseline, or body creams/fatty creams as lubricants (Ipinge, 2008). As is often the case, reported condom use among MSM in Windhoek is lower with regular partners than with casual partners.

Data suggest that MSM have frequent concurrent partnerships with both male and female partners. During the six months before the survey, 51% of MSM in Windhoek had both male and female partners (Ipinge, 2008). 10.3% of MSM surveyed in Windhoek had regular concurrent male and female partners. Similarly, Baral and colleagues found that 17% of MSM in Botswana, Malawi and Namibia were in concurrent stable relationships with men and women (2009). Because MSM and other populations practice lower rates of condom usage within stable relationships, concurrent sexual relationships with both men and women may be an under-appreciated component driving the HIV epidemic in Sub-Saharan Africa.

Stigma and discrimination limits the access of MSM, including transgenders, to quality and 'friendly' healthcare services. 18% of MSM in Windhoek reported that they are 'afraid to seek health services'. In addition, 41.5% of MSM have suffered some form of human rights abuse, while 21.7% have been beaten by a government or police official (Baral, 2009). 35% of MSM have been in prison, but there is little or no reported access to condoms in prison.

Sex Workers (male and female)

Male and female sex workers are at increased risk of HIV/AIDS due to the substantial number of sexual partners they have. Studies of HIV prevalence among SW in Namibia are much needed - most of the estimates available to date are based upon small surveys conducted by organizations working with SW. In the township of Katatura, Stand Together, a charity organization, estimates that 75% of the SW in the townships surrounding Windhoek are HIV-positive. This figure correlates with the estimates of another researcher, who found that 73% of the SW interviewed had previously tested positive for HIV (Hjorth, 2005). Fifty percent of SW in a study conducted by the Legal Assistance Centre reported that they had been forced to have sex without a condom or that a client had refused to wear a condom. Various organizations working with SW estimate that there are 10,000-12,000 SW in Namibia, concentrated in the geographic areas of Luderitz, Swakopmund, Walvis Bay, Katima Mulilo, Oshakati, Ondangwa, Oshikango and Rundu.

Food insecurity, poverty and unemployment appear to be the main drivers for women to join the formal sex trade. While many SW engage in both commercial and transactional sex, their participation in the formal sex trade sets them apart as individuals at particularly high-risk of HIV/AIDS who also experience significant stigma and discrimination. In a 2008 survey of SW conducted by the Legal Assistance Centre, 44 %of female sex workers (FSW) had encountered some sort of trouble with the police and 30% had been arrested. In part due to the social stigma surrounding sex work, FSW are a highly mobile group who frequently migrate to new parts of the

country or across international borders. The high numbers of partners with whom SW have sexual contact, sometimes up to 10 a day, puts both themselves and the clients with whom they have sex at extremely high risk for HIV transmission.

Clients of Sex Workers

Clients of sex workers in Namibia are frequently individuals that have migrated for work or that spend long periods of time away from home. Seafarers, truckers and miners, in particular, are thought to be occupational groups that frequently purchase sex from SW. Rough estimates indicate that there may be 2,600 truckers in Namibia at any one point in time and 2,000 seafarers. The risk factors for HIV among these migrant populations include unprotected sex with paid and casual partners, multiple concurrent partnerships and low risk perception. Because many clients of sex workers have regular partners in addition to commercial partners, they act as a 'bridging' population to continually spur new HIV infections in the general population.

Vulnerabilities relating to HIV are often specific to each industry and sector.

- **Truckers:** Transport routes run through Namibia from its major port, Walvis Bay, and along a north-south route across the borders with Angola and South Africa. Border-crossings and truck-stops have become HIV "hotspots," as truckers wait for extended periods of time, attracting SW and informal traders. Truckers often purchase sex from SW while traveling and they may also have regular partners along their routes and/or wives at home. The transport sector binds together truck-drivers' rural communities, transit towns along major routes and border communities.
- **Seafarers:** The fishing industry in Namibia employs significant numbers of migrant workers from other parts of Namibia and other countries including Russia, Spain and China. Seafarers stay at sea between three to six months at a time. Organizations working with seafarers have found that these workers lack access to information about HIV and have high levels of risky sexual behavior.
- **Miners:** In general, the prevalence of sex work in mining communities renders both migrant workers in the industry and the local population in surrounding communities vulnerable to infection. Most miners live far from their homes and families, increasing their vulnerability to high-risk sexual behavior.

USG/PEPFAR Response

PEPFAR Namibia funds HIV prevention activities focused on MARPS, although supported activities have not been fully informed by adequate data. For example, the population size of SWs has been estimated to be just over 11,000 in Namibia based on a study in Windhoek (Legal Assistance Centre study, 2007); however, population sizes in other towns have not been estimated. Similarly, the numbers of MSM have not been estimated. CDC plans to conduct second generation behavioral surveillance surveys (BSS) and size estimations of MSM and SW in several locations throughout the country in 2010. These activities will provide data on HIV prevalence, behavior and population size for SW and MSM populations and will be used to inform USG-funded programs.

PEPFAR Namibia contributes 4.5 million condoms annually which accounts for approximately 10% of the overall national total.

The majority of PEPFAR funded activities provided to MARP have been provided by the Society for Family Health (SFH), formally the Social Marketing Association (SMA). SFH, through the Corridors of Hope (COH) project, which began in 2002, delivered HIV prevention activities targeting truck drivers and seafarers, female sex workers (FSWs), male and female out of school youth (MOSY/FOSY), young women engaging in transactional sex who do not self-identify as FSW and fishermen. COH also targeted mobile and migrant populations around mines, cities and large farms. The COH program is concentrated along transit corridors, the northern border regions, and the ports of Walvis Bay and Swakopmund. The behavioural objectives of the COH program included an emphasis on abstinence, mutual fidelity, correct and consistent use of condoms, partner reduction including avoidance of MCP, stigma reduction, access to and use of HIV counselling and testing

services and early diagnosis and treatment of sexually transmitted infections (STI) and tuberculosis (TB) through referrals.

By the end of 2008, SFH activities targeting truckers, FSW and seafarers represented only 8% of those reached through the project highlighting the difficult context to reach MARP. SFH also initiated an MSM program in collaboration with the Rainbow Project (trp), a local Gay/Lesbian/Bisexual/Transgender/Intersex (LGBTI) organization. However, trp has recently closed.

Other Donor Response

Other donor funding for activities for HIV prevention with MSM, SW and their clients has also been limited. Open Society Institute South Africa (OSISA) and the Sexual Health and Rights Program (SHARP) funded research on risks for HIV infection among men who have sex with men (MSM) in Malawi, Namibia and Botswana. The research was a collaborative effort between community-based LGBTI rights groups, the Center for Public Health and Human Relations of the Johns Hopkins School of Public Health and the Open Society Institute.

The Federal Republic of Germany through KfW and the UK Department for International Development (DfID) support the National Social Marketing Programme (NaSoMa) to provide access to male and female condoms. NASOMA conducts condom social marketing in transport corridors with MARP.

The German Development Cooperation (GTZ) supports workplace programs (WPP) in specific sectors such as transport, agriculture and tourism, both through the ministries and the Government-owned parastatals.

USG/PEPFAR Priorities

Collaboration

Collaboration and coordination among both USG partner agencies and with GRN and other donors is a PEPFAR priority. The success of the project is fundamentally dependent on coordination and collaboration with other stakeholders in the Namibian response, including the MOHSS, regional and district-level AIDS commissions, the Namibian Police, UN agencies and other donor-supported programs doing similar and/or complementary work. Broad coordination and collaboration with the full range of stakeholders is critical for extending the impact of USG support beyond the limited number of direct USG partners in Namibia.

In order to address this priority, the applicant should demonstrate how proposed activities will be coordinated to insure that a concerted effort is made to avoid duplication and provide synergies for the scale up of HIV prevention, care and treatment services for MSM, SW and their clients.

The recipient of the award must also be prepared to collaborate with the PEPFAR interagency team on the ground. In addition, if called upon, the recipient shall participate in or provide input to the USG interagency technical working group meetings. It is important for the recipient to coordinate and collaborate with other PEPFAR activities that will be launched in the same time frame as this project.

Given the nature of the results to be achieved by the project and the possibility that a single partner organization may not have the expertise and/or experience in all programmatic areas, applicants are encouraged to partner with local organizations which have specialized local capacity.

Sustainability

Sustainability of HIV prevention, care and treatment services is a PEPFAR priority. There is a need to insure that the GRN and local civil society have the capacity to make decisions necessary to sustain effective programs. At present, civil society organizations (CSO) in Namibia remain largely

dependent upon international financial support, particularly at regional and constituency levels where CSO are called upon to play a much stronger and expanded role in supporting access to prevention and treatment, as well as linking health facilities with the community. By building the capacity of local organizations to plan, implement and manage activities, transferring the technical knowledge and skills required to establish, operate and sustain these interventions to qualified partners and working with host country and stakeholders to create an enabling environment, the USG will secure the possibility of on-going HIV prevention interventions with the target populations.

USAID welcomes qualified Namibian organizations to apply as prime partners, in accordance with PEPFAR's commitment to encouraging local ownership and sustainability. To the extent local applicants identify gaps in their technical and management expertise, they are encouraged to include other Namibian, regional, international and/or third country sub-partners on their applications to help develop their own organizational capacity.

In order to maximize potential for sustainability, USG/Namibia has included substantial provision for sub-agreements to local partners in this solicitation. USG strongly encourages applicants to incorporate significant participation of local organizations in their plan to achieve results, especially organizations that represent populations targeted by this program.

B. Objective

The goal of this project is to strengthen the capacity of indigenous organizations to reduce HIV transmission among MARP through comprehensive HIV prevention services and linkages to care and treatment for the following MARP: Men who have Sex with Men (MSM), Sex Workers (SW) and clients of Sex Workers including truckers, seafarers and miners. This will be accomplished by providing:

- direct support and technical assistance for the delivery of a comprehensive package of HIV prevention services for MARP;
- organizational capacity building for local MARP-led organizations serving the target populations; and
- capacity development for civil society to advocate for increased commitment by government and other stakeholders for improved HIV prevention, care and treatment services for the target populations.

To achieve the above-stated goal, this program will achieve the following results:

Creation of an enabling environment for the provision of HIV and AIDS services to MARP.

This will be accomplished by developing, strengthening and supporting MSM and SW advocates and networks to assume leadership in the policy process; working with stakeholders, including uniformed services and the government; and collecting data for evidence-based decision-making and advocacy.

Increased access to and demand for a core set of HIV prevention interventions leading to reduced risk of HIV transmission among MARP. The program will contribute to the delivery of essential elements of HIV prevention for the target populations — behavior change communications, product access (including lubricants) and linkages to client-friendly services— that are required to prevent HIV transmission.

Increased organizational capacity of local stakeholders to develop, implement and evaluate effective HIV prevention interventions. The transfer of knowledge and skills required to operate efficient, cost-effective, accountable and transparent organizations managing the implementation of the integrated interventions for MSM, SW and their clients is a core component of the program.

C. Program Description

The program description describes the beneficiaries of the program, geographic scope, expected results, monitoring and evaluation and management and personnel.

1. Beneficiaries

In developing interventions, the applicant should prioritize the following populations:

- *Men who have sex with men*, including all relevant sub-categories of MSM such as gay-identified MSM, non-gay identified MSM, ‘hidden’ MSM populations and transgenders.
- *Female and male sex workers* defined as those individuals that engage in commercial sex work involving explicitly defined terms of exchanging sex for money.
- *Clients of sex workers* including relevant occupational and risk groups that purchase sex for money from commercial sex workers. Although potential occupational groups are mentioned above, the applicant may also prioritize other risk groups for which there is evidence that they frequently purchase sex.

USAID requests the applicant to continue support to the Namibian Police skills training and workplace HIV prevention program.

Prison populations, military, uniformed services, vulnerable girls, out-of-school youth, and other ‘bridge’ and vulnerable populations will not be a priority under this agreement as USG is addressing these populations through other mechanisms. Women/girls and men engaging in broader forms of transactional sex are also not a priority under this mechanism as those activities will be carried out within USG prevention programs focusing on the general population.

2. Geographic Scope

Program implementation under this agreement will not be national in scope nor will it cover the totality of the relevant most at-risk populations. Rather, the applicant should focus their efforts on selected high-risk areas, specifically communities with high density of MARP and high prevalence rates. In selected geographic areas, the applicant should address how to develop comprehensive programming for MARP in these locations that will serve as model program sites for future government and donor efforts to prevent HIV among MARP.

3. Expected Result 1: Reaching MARP with a Core Set of Interventions to Reduce HIV Transmission

There is substantial evidence for the effectiveness of a core set of interventions for MARP which address the needs of various subgroups of MARP and are evidence-based. A core set of interventions for MARP shall include: targeted condom and lubricant promotion and distribution; STI screening and treatment services; peer education and outreach; HIV counseling and testing; risk reduction counseling including aspects of substance abuse; and using data for evidence-based programming. Interventions should incorporate active linkages to ‘MARP-friendly’ healthcare services including referrals for post-exposure prophylaxis, male circumcision, substance abuse treatment, family planning/reproductive health including PMTCT, HIV care and antiretroviral services. The applicant should consider the use of referrals for vulnerable children and youth identified when working with MARP to available OVC programming from USG and GRN. The applicant shall establish dialogue with selected health care practitioners to destigmatize interactions with health care practitioners and sensitize them to MARP health needs.

Applicants shall articulate scientifically supported structural, community, interpersonal and individual level theories utilized in outlining expected outcomes, framing and implementing interventions and

designing monitoring and evaluation. Illustrative examples include: Gender and Power theory, Social Disorganization theory, Empowerment Education theory, Diffusion of Innovation theory, Social Cognitive theory, Social Networks theory, Health Belief model, Stages of Change and Reasoned Action theory.

The applicant, working closely with USG and GRN, will collaboratively implement a low cost lubricant marketing and distribution activity in parallel to currently available male and female condom distribution programs. USAID intends to initially procure approximately 1,000,000 five gram sachets of water-based lubricant for donation to either the GRN or recipient to implement free distribution. USAID will review the progress of the initial lubricant distribution and evaluate further procurement options at that time. Applicants should include consignment, storage, distribution and limited marketing costs associated with lubricant. USAID does not have “plug figure” costs for consignment, storage, distribution or limited marketing costs. USAID expects delivery of these items to occur in the fourth month of this award.

A possible listing of services that could be included in a comprehensive package of services tailored to each MARP group is included in table 1 below.

Table 1: Comprehensive Package of Services for MARP	MSM	CSW	Clients
Targeted condom and lubricant promotion and distribution	√	√	√
STI screening and treatment services	√	√	√
HIV counseling and testing	√	√	√
Peer education and outreach	√	√	√
Risk reduction activities and counseling	√	√	√
Linkages to psycho-social and legal support	√	√	
Strengthen usage of data for data-driven prevention programming	√	√	√
Drop-in centers	√	√	
Female condom promotion and distribution		√	
Referrals for male circumcision			√
Referrals for substance abuse treatment including alcohol treatment	√	√	√
Linkages to family planning, reproductive health, PMTCT		√	
Linkages to HIV care and support	√	√	√
Linkages to post-exposure prophylaxis		√	
Linkages to antiretroviral services	√	√	√
Linkages to vulnerable children services		√	

The applicant should demonstrate how the provision of technical assistance for the implementation of a comprehensive package of services for MARP, through collaboration with local, indigenous organizations, including MARP-led organizations, will contribute to increased coverage of MARP with evidence-based prevention interventions. The applicant should work with other donors to complement existing efforts either geographically or programmatically.

Based upon available evidence and prioritization of activities, the applicant should propose a comprehensive, core set of interventions adapted for different sub-groups especially vulnerable to HIV.

4. Expected Result 2: Local MARP-led Organizations Capable of Implementing Evidence-based Integrated HIV interventions for MSM, SW and their clients.

The transfer of knowledge and skills required to operate efficient, cost-effective, accountable and transparent organizations managing the implementation of the integrated interventions for MSM, SW and their clients is a core component of the program. It is only through the targeted assistance in organizational performance required to scale up effective, integrated HIV/AIDS interventions that substantial and measurable behavior change among the target populations will occur. Given the varying levels of sophistication and ability among MSM and SW organizations, the applicant should focus on organizational capacity building that meets the particular needs of the target populations, not on generic knowledge and skills transfer. Whenever possible, this activity should be competitively sourced from Namibian commercial and non-governmental organizations. International short term technical assistance to build capacity of Namibian partners should be minimized.

The applicant should address, as part of the package of organizational capacity development, the following issues:

- Accountability
- Administration
- Advocacy
- Finance
- Governance
- Leadership
- Management
- Monitoring & evaluation
- Networking
- Partnerships
- Policy development
- Resource mobilization (e.g., leverage funding from local government)
- Strategic planning
- Transparency

Given the importance of solid organizational performance to the short and long-term success of scaling-up interventions, monitoring and evaluation should be a routine activity to ensure that areas of underperformance are identified and quickly addressed. The overall process should be inclusive and transparent to ensure that all involved parties understand the findings and learn from the experience.

USAID encourages the applicant to utilize local MARP-led and technical organizations which are well placed to contribute to program implementation. USAID envisions that a substantial portion of total funds available will be disbursed through sub grants identified in the application at the time of the award and through competitive processes to gap fill in key technical and geographic areas.

As part of an overall strategic response to HIV/AIDS among MARP, the applicant should explain how the program will coordinate their activities closely with other USG HIV/AIDS activities occurring in Namibia. For example, CDC plans to conduct research regarding MARP behaviors and locations, which will provide the recipient of USAID funding with strategic information to inform program design, planning and implementation. USG programs also plan to sensitize existing providers to provide ‘MARP-friendly’ services in key geographic locations, providing an opportunity for enhanced linkages to healthcare services as part of the comprehensive package of services for MARP. In general, any USAID funded activities working with MARP should be coordinated closely with all USG MARP activities to avoid duplication of efforts and maximize a strategic response to HIV prevention programming with MARP.

The applicant should also address issues related to allocation of resources among the target MARP, geographic scope, coverage, formative research and assessments and any other concerns which will enhance the achievement of program results.

5. Expected Result 3: Improved Enabling Environment and Program Learning for MARP-led Advocacy, Networking and Collaboration with GRN and Stakeholders

In Namibia, social inequities exist in attitudes toward and treatment of most at risk populations. Sex between men remains illegal under Namibian law, making it difficult to reach this population with services. The same situation applies to sex workers; sex work remains illegal in Namibia and it is extremely difficult to reach this vulnerable group or their clients with prevention and treatment services for HIV and other STI. The legislative environment for the optimum development and expansion of services targeting specific groups is not as conducive as it could be; for example, sodomy is still illegal.

In order to effectively implement and maintain a comprehensive package of HIV prevention services for MSM, SW and their clients, it is necessary to create a political and social environment where such services can take place. Mobilization and ongoing involvement of key stakeholders at the local level, including government, civil society, uniformed services, private sector and members of the targeted risk population is critical for effective service delivery to the target populations. HIV/AIDS prevention programming for MSM and SW must entail the explicit cooperation of law enforcement, health authorities and the political and religious communities. This collaboration must be designed to reduce the fear of arrest and stigmatization that cause MSM, SW and their clients to avoid health seeking behaviors. Furthermore, policy change and advocacy efforts are more effective if spearheaded by local stakeholders including civil society and members of the target populations.

In order to address this result, the applicant should explain how the program will contribute to building capacity for advocacy and policy change through partnering with MSM, SW and human rights-based organizations and networks to assist them in advocating for policies that improve access to HIV/AIDS services and reduce barriers to both policy adoption and implementation for HIV/AIDS services. The program should ensure that a range of stakeholders (public sector and civil society) at the local, national and regional can assume leadership of meaningful and sustainable advocacy efforts so that policies reflect and address their needs in a sustainable way.

The applicant should also demonstrate feasible ways to integrate assistance in advocacy, resource allocation and data use, so that advocacy efforts are bolstered with knowledge about the effective allocation of resources and access to appropriate data. Given that good data provide the basis for effective policy and advocacy work, the applicant should demonstrate how the program will contribute to helping stakeholders provide data to policymakers in easily-understood ways; adapting, developing and applying user-friendly tools for data analysis and policy dialogue; and building the capacity of in-country partners to provide data for evidence-based decision-making on their own.

The applicant shall provide technical assistance to the Namibian Police to implement their workplace activities and build further advocacy with regional commanders to reduce harassment and potential abuses toward MARP.

6. MONITORING AND EVALUATION

Monitoring and evaluation of results is a key element of USAID programs. The applicant should select indicators and set targets for achievement as part of the overall Performance Management Plan (PMP) submitted as part of the application. The indicators selected for this program must demonstrate progress towards the goals set by PEPFAR. The applicant(s) will propose indicators, including process, output, outcome and impact components. For each indicator, the PMP must provide interim and final targets, data sources, collection methods and baseline information or a timeline for collecting it. All person-level indicators must be disaggregated by gender and most at-risk population, if feasible and relevant. USAID encourages applicants to utilize relevant Next Generation Indicators at www.pepfar.gov and MARP-related indicators at www.unaids.gov.

In addition to the direct program output indicators, the applicant should provide data on planned coverage of interventions, as well as an evaluation plan for the program's outcomes and impact, such as significant reductions in risk behaviors and/or uptake of services. These efforts should be harmonized with other USG data collection efforts relating to MARP, such as the bio-behavioral surveillance survey planned for 2010.

Accurate and timely monitoring will enable the program to adapt to changing conditions and make mid-course corrections as necessary. It is expected that during the life of the program the recipient(s) will use information derived from program monitoring and evaluation to propose additional innovative approaches to reaching MARP with HIV prevention services. The recipient(s) may carry out assessments, or process and outcome evaluations, that can be used to describe effective strategies for targeting and reaching most at-risk populations with comprehensive services in a sustainable manner.

Recognizing the limitation of existing indicators to effectively monitor key accomplishments of activities related to HIV/AIDS policy development/implementation, enabling policy environment and organizational capacity building, the recipient is encouraged to utilize additional indicators based upon accepted global standards.

Also, in line with the third of the internationally agreed "Three Ones" (i.e., one agreed country-level monitoring and evaluation system), it is important to indicate how M&E activities will be coordinated with other stakeholders, particularly the host country, GFATM and UNAIDS.

A comprehensive M&E report should be submitted to the Agreement Officer Technical Representative on an annual basis, based on the official start date for program implementation and PEPFAR reporting timeframes.

7. Management and Personnel

a) Management

USAID will host a startup and annual meeting for the recipient, USG PEPFAR partners, host country, and other stakeholders to ensure sustained collaboration and to support the UNAIDS "Three Ones" principle.

USAID anticipates that recipient will participate in efforts with international and local organizations to design and implement high-quality, evidence-based interventions for MARP. Wherever possible, the program activities should be implemented through MARP-led, local organizations that adopt an 'empowerment' model of HIV/AIDS prevention. In principle, the program will also build upon existing HIV/AIDS services available in the Namibian NGO and health sectors, supporting current NGOs and providers to reach more people with targeted, evidence-based prevention programming for MARP. Due to the diverse nature of services needed for comprehensive programming for MARP, various types of organizations (medical, legal, social, etc) will likely need to be involved in an effective response to the vulnerabilities to HIV/AIDS of these groups.

Effective management structures, coordination of the various stakeholders and contributing partners, and capacity building for local organizations, particularly those led by MARP themselves, will be crucial to the success of the program.

Recipient will work with USAID to comply with USAID/Namibia Disability Plan.

b) Personnel

The applicant must provide a management plan, as well as key technical and other personnel, as part of the technical proposal to implement the activities described above. USAID/Namibia encourages

maximum use of experienced locally engaged staff. However, such staff must have played important coordination and support roles in past and current HIV prevention and MARP programming.

USAID/Namibia designates the following positions key personnel and provides guidance on the desired qualifications and experience below.

Chief of Party – Brings strategic vision, leadership qualities, depth and breadth of technical and management expertise and experience in addition to a positive professional reputation. S/he brings applied skills in designing and implementing programs focused on providing direct HIV prevention interventions among MARP. S/he must have a firm command of the M&E, VCT, outreach and other issues with respect to targeted interventions for HIV prevention. The candidate should hold a Masters degree in Public Health or a related field of study, 10 years experience in public health of which at least four years of senior management level experience. Demonstrable experience in the implementation of HIV prevention activities for most at risk populations in a Namibian or Sub-Saharan Africa context.

Finance and Operations Director –. The candidate should hold a Masters degree in Business Administration or a field related to project management. S/he has a minimum of five years of management and operations experience supporting the implementation of public health or development programs. The candidate has extensive project management experience and supervisory experience. The candidate brings an established record of administrating successful commercial activities.

The applicant should highlight how the COP and DCOP complement each others education, skills and experience.

Advisor (Behavioral Change) – brings extensive knowledge of behavioral change theories and experience in implementing evidence-based HIV prevention interventions. S/he has a Masters degree in Anthropology, Sociology or Public Health or a related field. S/he has a minimum of three years experience in HIV/AIDS programming across the continuum of care. Knowledge and skills in outreach to vulnerable groups, monitoring and evaluation of HIV and capacity building for AIDS servicing NGOs is desirable.

Advisor (Monitoring and Evaluation) – Brings extensive knowledge of local Namibian M&E and technical experience in Monitoring, Evaluation and Reporting approaches. S/he must have a firm understanding of M&E of the continuum of care for HIV and AIDS, and understand approaches to working with hard to access MARP. The candidate should hold a Masters degree in Public Health or a related field of study, five years of experience in public health with substantial years of experience in the area of M&E. Knowledge and skills in outreach to vulnerable groups, monitoring and evaluation of HIV and capacity building for AIDS servicing NGOs is desirable.

Advisor (Organizational Capacity, Advocacy and Coordination) – Brings experience in designing and implementing programs focused on organizational capacity building with local non-governmental organizations. S/he must possess the capacity to work with MARP populations as well as other stakeholders including government bodies. Brings the capacity to build networks and alliances with stakeholders including MARP, uniformed services and the GRN. S/he must have a firm understanding of advocacy approaches and civil society. The candidate should have a Master's degree in public policy or a related field of study. Knowledge and skills in outreach to vulnerable groups, monitoring and evaluation of HIV and capacity building for AIDS servicing NGOs is desirable.

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 is applicable to an award to a U.S. organization made under this RFA.

The following provision will be included in any 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

Any non-governmental organization (including, but not limited to, Private Voluntary Organizations (PVOs) and for-profit entities) or public international organization is eligible to apply under this RFA.

4. AWARD ADMINISTRATION

For U.S. organizations, 22 CFR 226, OMB Circulars, and the *Standard Provisions for U.S. Nongovernmental Recipients* will be applicable. 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 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 U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303maa.pdf>
- 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>

You may contact Christopher Frost at cfrost@usaid.gov, Martha Zhou at mzhou@usaid.gov, or Simon Seema at sseema@usaid.gov for copies of these regulations.

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 \$5,400,000 in total USAID funding for the life of the activity. USAID intends to award one (1) or more Cooperative Agreements 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 three (3) years. The estimated start date is on or **about July 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 activity. 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 CRF 226 or other applicable law, regulation or provision):

- Review and approval of key personnel and changes in key personnel;
- Review and approval of annual implementation plan, performance monitoring plan and exit strategy.
- Collaborative involvement of AOTR in selection of any planned advisory committees and participation in any technical or programmatic reviews
- Approval of the Monitoring and Evaluation (M&E) Program;
- Review and approval of proposed subcontracts and subawards in excess of \$100,000; and
- Review and approval of all subcontractors and sub-recipients where the subcontract or subaward exceeds \$100,000.
- Approval of all programmatic communication materials developed under the program by the AOTR prior to their publication and use.

SECTION III – ELIGIBILITY INFORMATION

1. APPLICANTS

Qualified applicants may be U.S. or non-U.S. Non-governmental organizations (NGOs), private voluntary organizations (PVOs), for-profit companies willing to forego profit, and Public International Organizations. Faith-based and community organizations that fit the criteria above are also eligible to apply. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners.

2. COST SHARE

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 required to be **at least 15%** of the total estimated amount. If the applicant proposes a cost share of less than **15%**, it will be deemed as not responsive, and will be removed from further consideration. 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

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

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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 - Nonconstruction Programs,**
- **SF-424B, Assurances - Nonconstruction Programs,**

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to 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, both U.S. and 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. For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs.

- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries;
- d. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- e. A signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking”
- f. Survey on Ensuring Equal Opportunity for Applicants; and
- g. **All applicants must provide a Data Universal Numbering System (DUNS) Number.**

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 formats for each of these parts of the application are set forth below.

A. Technical Application Format

Application Contents

The technical application will be the most important item of consideration in selection for award of the proposed activity. It shall demonstrate the applicant’s capabilities and expertise with respect to achieving the goals of this program. It shall be specific, complete and presented concisely. The application shall take into account and be arranged in the order of the technical evaluation criteria found in Section V.1.

The Technical Application shall contain the following sections: 1. Cover Page; 2. Executive Summary; 3. Technical Application/Program Description; and 4. The Annex. The Technical Application Body shall include the following sections: A. Technical Approach/Intended Results; B. Program Management; C. Past Performance; E. Monitoring and Evaluation; and F. Gender Equity Plan. The overall page limitation for the technical application is 20 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 consecutively¹. The Annex and items such as the cover page, dividers and the table of contents are not included in the 20-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). Cover Page must also include proposed project title, **“Strengthening HIV Prevention for Most at Risk Populations, USAID/Namibia RFA # 674-A-10-0042”**,

¹ 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.

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 one-page summary of the application. The Program Abstract shall describe, in brief obviously, what the program will do and how. In addition, USAID suggests that addressing some combination of the following topics may be beneficial:

A brief description of the critical elements of the application, highlighting the most salient features of the applicants' technical vision and approach, the key personnel and management plan proposed, and the capabilities of the partners to accomplish the desired results, a summary of results that may be achieved; the bottom line funding request from USAID; and any aspects of the Applicant's approach that significantly increases its likelihood of success.

3. Technical Application

The Technical Application Body will contain the main parts of the technical application. The maximum number of pages in this section will be nineteen (19). The basic purpose of this section is to provide an explanation necessary to allow USAID to fairly and completely evaluate the Applicant under each of the evaluation criteria specified in Section V.1 of this RFA, and to meet the minimum results described in the performance indicators and targets section for the USAID program description. Additional specified guidance for each section of the Technical Application is set forth below.

a. Technical Approach/Intended Results:

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.

The technical application must provide an explanation of the proposed approach to continue to improve and meet the minimum results described in the Performance Indicators and Targets Section of the USAID Program Description and address the Evaluation Criteria.

Applications should describe in detail implementation plans related to the methodologies included in the project 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 or describe in detail the following:

- Description of all planned activities 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

b. Coordination with others' previous experiences

It is strongly requested that Applicants share best practices from each others' previous experiences and areas of expertise and look towards outside expertise for areas where value can be added through specialized services/skills. One component of the overall evaluation criteria will consider how Applicants demonstrate past impact in focus areas.

USAID/Namibia urges applicants to link with other USG funded initiatives in HIV/AIDS wherever possible and with other donor and private funds to maximize impact. Proposed interventions under this RFA initiative shall be compatible with any government sponsored programs and shall compliment them as such, being careful not to create market distortions when coordinating with government programs.

c. Personnel and Management Plan :

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. In addition, the Applicant should also specifically address the following in this subsection:

Applications must include a detailed management plan/implementation schedule in support of proposed activities. The applicant must present the relevant, specialized competence that itself and each member will contribute. This shall include demonstrated accomplishments and institutional capability to carry out activities of the type required under this project. The management plan must include descriptions of the following elements:

- Participating Organizations - Proposed prime organization, other organizations, if any, and their relationships shall be clearly described. This shall include a description of the comparative advantage that each organization brings to this project. Applications proposing a consortium or joint-venture-like mechanism rather than a prime/sub need to include a description of the management procedures to be followed regarding each member, and what operational arrangements for coordination with USAID/Namibia and other institutional partners will be made. Note that USAID will only commit to a bilateral relationship so consortium and joint-venture arrangements must designate (authorize) one legal entity/individual able to bind all partners in the offer to the Government;
- Organizational Structure - Proposed overall staffing plan and organizational chart indicating the organization planned for this project in Namibia (including any proposed local sub-recipients) and Namibia office. The plan shall specify the composition and organizational structure of the proposed implementation team and describe each staff member's role, technical expertise and the estimated amount of time each member of the team will devote to the Program. Identify by title and name each position to be supported under the project, as well as for any support staff based abroad. To comply with USAID/Namibia's commitment to use existing local capacity to the greatest extent possible, the implementer will, to a maximum extent possible, hire locally engaged staff for its activities in Namibia. Detailed description of the credentials, skills, prior successful experience and accomplishments of proposed key personnel must be provided.

The application shall propose a qualified technical team. Its composition will depend on the proposed technical approach and the result may be a combination of short and long-term technical expertise.

i. Key Positions-Personnel - Applications shall include an explanation on how the background and expertise needed for proposed key positions and personnel will complement each other and benefit to the project. Applicants must include as part of its application a statement signed by each person proposed as key personnel confirming their present intention to serve in the stated position, their present availability to serve for the term proposed, and the full contact information of all employers of each proposed key personnel since January 2006. Applicants should include three references for each key personnel candidate.

ii. Short-Term Technical Assistance - To the maximum extent possible, the Application shall describe short-term technical and advisory assistance that will be needed over the life of project to supplement or complement the work of the long-term advisors and depending on the technical approach. To comply with USAID/Namibia's commitment to use existing local capacity to the greatest extent possible, the recipient will utilize local civil society and local private contractors to the greatest extent possible.

- Policies and Procedures - Proposed policies and procedures for managing and directing the effort to ensure productivity, quality, cost control and early identification and resolution of difficulties. Standard corporate policies and practices documentation submitted for Agreement Officer responsibility determination may be referenced; however the intent here is to highlight (unique) policies that may be created specifically in responding to the RFA.

- Implementation Planning – This must illustrate how the applicant intends to implement a management plan that contributes to the achievement of the stated results. The application shall contain a detailed Mobilization Plan showing when project staff will be mobilized in Namibia. The second section shall be a less detailed initial Annual Work plan that includes how the recipient envisions assuming responsibilities of project activities.

A detailed work plan submission will be expected within 60 days of the award. USAID will request a series of lessons learned presentations be given twice a year to USAID, the host country and donor working group on achievements to date that can be replicated and expanded.

d. Past Performance:

The Applicant should briefly address examples of any relevant performance issues in this section. Examples of past performance by itself or its team and how this performance record demonstrates that the Applicant will be able to successfully implement the program specified in this RFA should be included here.

The Applicant shall also discuss how this experience is relevant to the success of the program specified in Section I above. This Section shall also include a discussion of the existing capabilities and capacities of the Applicant and its major subcontractors and sub-recipients to conduct the activities required in Section I above and to effectively manage this large effort.

In the Annex, the Applicant shall include one information sheet for each such program identified pursuant to the instructions above. The information sheets shall include all of the following information:

- a. The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);
- b. A description of the project's scope, magnitude and period of performance;

- c. Location of the project;
- d. Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
- e. 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.

The Applicant shall also provide, in the Annex, a list of all programs that it has undertaken in the last three years (detailed descriptions may be provided in the Annex). The same information as set forth immediately above shall be provided for each program listed.

e. Gender Considerations

USAID/Namibia considers the impact of gender equality, as a cross cutting issue, on the overall socioeconomic status of individuals, households and communities. In recognition of the impact of gender inequality on all the project interventions, applicants are encouraged to promote participation of all members of most at risk populations at the community and national level by providing them with equal access to and control over resources and mainstream the issue at different levels.

4. The Annex

The technical proposal annex shall contain resumes, letters of commitments from personnel or partners, teaming agreements, past performance 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 36 months.
2. Applicants should assume notification of an award approximately forty-five (45) days after the date established as a deadline for receipt of applications.
3. An overall summary budget should be included in the Cost/Business Application as well as detailed annual budgets 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 36 month period and separate spread sheets for each of the three program years. It is strongly preferred that these budgets include a breakdown of the costs allocated to any sub-recipient involved in the program, as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in Microsoft Excel format.
4. 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.

5. 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 choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity).

Supplies: Office supplies and other related supply items related to this activity.

Contractual: Any goods and services being procured through a contract/grant mechanism.

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, 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 applicant 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 and supported with detailed narrative.

6. 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.
7. The required Certifications, including the SF 424s, should be included with the Cost Application.
8. 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.
9. 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.
10. Indicate if financial commitments were made among partners during the preparation of the proposal. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
11. If requested by USAID after submission of applications, please provide information on the Applicant's financial status and management, 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.
12. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:
 - (a) Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;

- (b) 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;
- (c) 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);
- (d) Has a satisfactory record of integrity and business ethics; and
- (e) 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 organization shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

- 13. Cost Sharing: Cost sharing is required, in addition to USAID funds, applicants are required to contribute resources from their own, private or local sources for the implementation of this program.
- 14. 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 at 4:00 p.m. E.D.T. on April 20, 2010. USAID will determine that any proposals 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. The Applicant should follow the instructions set forth herein. If an applicant does not follow the instructions, the Applicant's proposal may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, may 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 email with up to 10 attachments (2MB limit) per email compatible with MS WORD, and Excel environment to applications4@usaid.gov

RFA No. 674-10-0042

If the application is submitted electronically, the Applicant should also mail an original and two (2) copies of both the technical application and cost application through the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Christopher Frost, Agreement Officer
Box 43, Groenkloof, 0027
Pretoria, South Africa

If the electronic submission is timely, the delivery of the courtesy hard copies are not required to arrive by the date and time specified for submission of applications in Subsection 5 above. However, it is requested that they arrive by April 23rd, 2010.

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

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Christopher Frost, Agreement Officer
100 Totius Street
Groenkloof 0027
Pretoria, South Africa

If an applicant does not submit an application electronically, an original and two (2) copies each of the separate technical and cost applications must be provided.

Telegraphic or faxed applications are not authorized for this RFA and will not be accepted.

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 320.3.1.2, 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.

A detailed description of how the progress and achievements of the program will be monitored, measured and assessed must be included.

1. 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 APPROACH/INTENDED RESULTS: 60 points

The Applicant’s technical approach to the program and the results proposed will be evaluated. The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

- The overall viability of the proposed technical approach including the likelihood of the proposed approaches to meet the expected results of the RFA using behavior change theories to achieve results in understanding the health needs of MARP, implementation of a core set of interventions to reduce HIV transmission and capacity building of MARP-led organizations for effective advocacy and program implementation.
- The degree to which the proposed strategies of the technical approach substantially incorporate local MARP-led organizations, other local civil society organizations and the local private sector to understand, manage, deliver, and monitor and evaluate evidence-based HIV prevention interventions.
- The degree to which the proposed strategies of the technical approach can reasonably be expected to lead to sustainability including the Applicants proposed “Exit and Sustainability Plan,” intended strategies and demonstrated linkages to on-going initiatives and linkages to the GRN, uniformed services and local private sector including private health practitioners.
- The extent to which the proposed technical approach demonstrates an understanding of the implementation context, gender and social norms, proposes building adequate linkages to past and existing activities within the USG and GRN and incorporates monitoring and evaluation principles.
- The extent to which the technical approaches are costed, scaleable and advocacy plans for replication and scale up of models developed under this program.

B. PERSONNEL AND MANAGEMENT PLAN – 30 POINTS

The Applicant’s plan to manage the program proposed will be evaluated. The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

- The extent to which the proposed management plan addresses management of the program, including meeting technical, organizational, M&E and finance and administrative staffing requirements, capacity to manage relationship with host country, capacity to manage sub-granting relationships with local and indigenous implementing partners including possible public private partnerships.
- A well articulated staffing pattern reflecting the maximum proportion of locally engaged staff management and technical officers to manage and implement the program. Expatriate residential staff, if proposed, possesses strengths and skills that cannot be found among available Namibian professionals.
- The extent to which the proposed monitoring and evaluation plan is responsive to the need to assess progress towards targets and indicators outlined in the program description.
- The degree to which the proposed staff have demonstrated success in delivering technical assistance, in working in collaboration with host country governments and partner organizations, and demonstrated expertise in managing the administrative and financial aspects of a complex program.
- Clarity of the roles and responsibilities of partners and demonstration of appropriate delegation of authority. This include the feasibility of proposed lines of communication, responsibilities and planned procedures to ensure the highest quality coordination and collaboration with the federal, regional, local governments and communities.
- Evidence of planning, mobilization and use of highly skilled United States volunteers

C. PAST PERFORMANCE 10 Points

Applicants shall be evaluated on how well they performed on relevant programs. Recent programs of similar size and scope and type will be of greater relevance in this evaluation. The information presented in the Applicant's submittal, together with any other sources available to USAID, will comprise the input for evaluation of this factor. The following considerations will be evaluated under this evaluation criterion:

- Success in meeting goals, targets and results;
- Adherence to 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;
- Customer satisfaction with performance, including end user or beneficiary wherever possible; and
- Effectiveness of key personnel

USAID will assign a neutral rating to an application which, through no fault of its own, has no past performance history (for example, a new business). The past performance of the Applicant's major sub-recipients and subcontractors will also be considered.

D. COST EFFECTIVENESS AND COST REALISM/REASONABLENESS:

While there are no assigned points for the cost evaluation criteria, the review of the cost application shall entail cost effectiveness and cost realism/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 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 proposal reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost proposal accurately represents the work effort included in the technical application.
- Reasonableness and fairness of proposed costs, including all costs. Consistency of budget line items and amounts with the resource requirements of the different activities.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward, must be marked appropriately overseas with the USAID Identity. See Section 641, Foreign Assistance Act of 1961, as amended; **22 CFR 226.91**.

Under the regulation, USAID requires the submission of a Branding Strategy and a Marking Plan, but only by the "apparent successful applicant," as defined in the regulation. The apparent successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements established in **22 CFR 226.91**. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," "Marking Plan," and "Marking of USAID-funded Assistance Awards" contained in **AAPD 05-11** and in **22 CFR 226.91**. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see **22 CFR 226.91(j)**.

3. COST SHARING

Cost share is required to be **at least 15%** of the total estimated amount. If the applicant proposes a cost share of less than 15%, it will be removed from further consideration. 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 U.S. Government representatives and South African experts.

The cost applications will be evaluated by the Agreement Officer based on the considerations specified under Criterion F “Cost Effectiveness and Realism”, above. To the extent that they are necessary (if award is not made based on initial applications), communications with those applicants that are determined to have the greatest chance for award will occur. 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 below. A team of 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 MARP program using mutually agreed, international standards of accountability are eligible to apply.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO OFFERORS

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 Program; b). Annual Implementation Plans; c). Quarterly Progress Reports; d). Annual Reports; e). Final Agreement Completion Report; f). Miscellaneous Documents and; g) Success Stories.

A. Monitoring and Evaluation Program

Monitoring and evaluation of results is a key element of USAID programs. The applicant should select indicators and set targets for achievement as part of the overall Performance Management Plan (PMP) submitted as part of the application. The indicators selected for this program must demonstrate progress towards the goals set by PEPFAR. The applicant(s) will propose indicators, including process, output, outcome and impact components. For each indicator, the PMP must provide interim and final targets, data sources, collection methods and baseline information or a timeline for collecting it. All person-level indicators must be disaggregated by gender and most at-risk population, if feasible and relevant. USAID encourages applicants to utilize relevant Next Generation Indicators at www.pepfar.gov and MARP-related indicators at www.unaids.gov.

In addition to the direct program output indicators, the applicant should provide data on planned coverage of interventions, as well as an evaluation plan for the program's outcomes and impact, such as significant reductions in risk behaviors and/or uptake of services. These efforts should be harmonized with other USG data collection efforts relating to MARP, such as the bio-behavioral surveillance survey planned for 2010.

Accurate and timely monitoring will enable the program to adapt to changing conditions and make mid-course corrections as necessary. It is expected that during the life of the program the recipient(s) will use information derived from program monitoring and evaluation to propose additional

innovative approaches to reaching MARP with HIV prevention services. The recipient(s) may carry out assessments, or process and outcome evaluations, that can be used to describe effective strategies for targeting and reaching most at-risk populations with comprehensive services in a sustainable manner.

Recognizing the limitation of existing indicators to effectively monitor key accomplishments of activities related to HIV/AIDS policy development/implementation, enabling policy environment and organizational capacity building, the recipient is encouraged to utilize additional indicators based upon accepted global standards.

Also, in line with the third of the internationally agreed “Three Ones” (i.e., one agreed country-level monitoring and evaluation system), it is important to indicate how M&E activities will be coordinated with other stakeholders, particularly the host country, GFATM and UNAIDS.

A comprehensive M&E report should be submitted to the Agreement Officer Technical Representative on an annual basis, based on the official start date for program implementation and PEPFAR reporting timeframes.

B. Annual Implementation Plans

The recipient will submit annual work plans to the Agreement Officer’s Technical Representative (AOTR). The initial work plan will be submitted within 60 days after the effective date of the agreement, with subsequent annual work plans being due 30 days before the anniversary date of the effective date of the agreement. 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 work 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.

The annual work plans will form the basis for joint annual management reviews by USAID and program staff to review program directions, achievement of the prior year work plan objectives, any major management and implementation issues and to make recommendations for any changes as appropriate. These management reviews as well as work plan meetings may be broadened to include dialogue across the different cooperating agencies, the host country and USG.

At any time during program implementation, USAID may conduct one or more external assessment/evaluation(s) to review overall progress, assess the continuing appropriateness of the program design and identify any factors impeding effective implementation. USAID will utilize the results of the assessment to recommend any changes in strategy if needed and to help determine appropriate future directions. Site visits may occur anytime after startup.

Work plans are expected to reflect extensive discussions and joint planning exercises at the local and provincial levels.

All work plan activities must be within the scope of the agreement. Work 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 work plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the work plan.

2. Distribution

Copies of the final work 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 work plans are necessary, the recipient shall submit a revised work plan or a modification to the work 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 an updated report to the AOTR within two weeks of the end of each USG fiscal quarter on progress toward agreed performance targets based on the PMP to be developed by the recipient in collaboration with USAID. Reports shall be submitted as follows: one copy to the AOTR and one copy to the Agreement Officer. This quarterly report will include information on activities implemented during the quarter. The reports must include the following: 1) explanation of qualitative and quantifiable output of the programs; 2) reasons why established goals were not met/exceeded, as appropriate; and, 3) analysis and explanation of cost overruns or high unit costs (recipient must immediately notify USAID of developments that have a significant impact on award-supported activities). Further, notification should be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award. These notifications are expected to include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

D. Annual Report

The recipient shall submit an end of year report to the AOTR on activities completed during the agreement year. The report shall not exceed thirty five pages.

E.. 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, 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 the estimated completion date of this agreement.

F.. Miscellaneous Documents

The Recipient shall prepare and disseminate, as directed in the annual work plan and by the AOTR, other reports and deliverables needed to accomplish the purpose of this agreement.

G. Success Stories

The recipient will submit a minimum of three success stories on a semi-annual basis per guidance outlined on www.usaid.gov.

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 [*contract/grant/CA*] 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 a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this

C. Implementation Plans

1. As part of its initial Work Plan, and all Annual Work Plans thereafter, the [*contractor/recipient*], in collaboration with the USAID Agreement Officer's Technical Representative 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.

D. Mitigation Measures and Monitoring

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the [*contractor/recipient*] shall:

1. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
2. Integrate a completed EMMP or M&M Plan into the initial work plan.
3. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

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 Agreement Officer for this Award is:

Christopher B. Frost
Agreement Officer
USAID /Southern Africa
Box 43, Groenkloof, 0027
Pretoria, South Africa
+27(012)452-2172
cfrost@usaid.gov

The Acquisition and Assistance Specialist for this Award is:

Martha N. Zhou
Acquisition and Assistance Specialist
USAID/Southern Africa
100 Totius Street
P.O. Box 43, Groenkloof
Pretoria, South Africa
+27(012) 452-2176
mzhou@usaid.gov

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 landmark, 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 landmark, 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,

(i) 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 proposal 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 [*Agreement Officer fill-in*] 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 Cognizant Technical Officer. 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.

ATTACHMENTS

The following attachments and annexes are provided:

1. SF-424 Forms;
2. Certifications, Assurances and Other Statements; and

RFA No. 674-10-0042

The SF-424 forms referenced in Section IV.2 above can be found at:
http://www.grants.gov/agencies/aapproved_standard_forms.jsp

RFA No. 674-10-0042

**Certifications, Assurances and
Other Statements of the Recipient**

**USAID/Namibia Request for Applications (RFA) No. 674-10-0042
Strengthening HIV Prevention for Most at Risk Populations in Namibia.**

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.

3. 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 one:

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 subnational 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.

4. 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 — 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. 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.

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

