

## ***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, 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. This certification applies to Non-US organizations if any part of the program will be undertaken in the United States.
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- d. Survey on Ensuring Equal Opportunity for Applicants; and
- e. **All applicants must provide a Data Universal Numbering System (DUNS) Number.** If you have questions on what this means or how to obtain a DUNS number, please contact Marianne Pinto-Teixeira as specified above.

#### **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**

The Technical Application shall contain the following sections: 1. Cover Page; 2. Executive Summary; 3. Technical Application Body; and 4. Required Annexes. The overall page limitation for the Technical Application Body, including the Executive Summary should not exceed **30 pages**, and shall include the following sections: a. Technical Approach; b. Management & Staffing; c. Monitoring & Evaluation Plan; d. Corporate Institutional Capability; e. Past Performance. 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 consecutively<sup>1</sup>. The Annexes and items such as the cover page, dividers, and the table of contents are not included in the 25-page limitation.

Technical applications should be specific, complete and presented concisely. A lengthy application may not in and of itself constitute a well thought out application. The applications should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program.

The following describes what should be included in each of the Technical Application's sections:

##### *1. Cover Page (1 page)*

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

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

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

##### *2. Executive Summary (up to 2 pages)*

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

##### *3. Technical Application Body (up to 27 pages)*

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<sup>1</sup> 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.

The Technical Application Body will contain the main parts of the technical application, including the technical approach, management and staffing, monitoring and evaluation, institutional capacity and past performance. The basic purpose of this section is to provide the information necessary to allow USAID to fairly and completely evaluate the Applicant under each of the evaluation criteria specified in Section V.1 of this RFA. Additional specified guidance for each section of the Technical Application Body is set forth below.

#### **a. Technical Approach**

The technical approach will be evaluated on the overall merit (analysis and comprehension of the Angolan context, responsiveness of overall program objectives and approaches to this context, sound application of state-of-the-art technical knowledge, creativity, and clarity) and feasibility of the program approach and strategies proposed to achieve the Social Marketing for Health project's results.

The technical application must set forth the conceptual approach, methodology, and techniques — the “how” — for accomplishment of the stated objectives. It should: (1) reflect a thorough understanding of the current context and policy environment in Angola; (2) describe how the recipient will execute evidence-based, coordinated HIV prevention initiatives targeting protective behaviors among the general population to help achieve USAID, the U.S. President's Emergency Plan for AIDS Relief (PEPFAR), the Partnership Framework, and GRA HIV/AIDS objectives; and (3) describe how the recipient will strengthen long term capacity in Angola for coordinating and delivering HIV prevention initiatives.

Applications must detail how the Applicant will achieve the prospective cooperative agreement's expected results. Applicants are encouraged to propose innovative activities to achieve desired results. The application should outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the semi-annual, annual, and end of project results.

The Applicant should discuss how resources will be organized to achieve results. The Applicant should discuss fully the “what” and the “how” of its plan. The purpose of this approach is to allow the Applicant great creative freedom to develop a plan for resource organization and use.

#### **b. Management & Staffing**

Applicants should present a sound description for project management and staffing. The Applicant should propose an overall staffing pattern that demonstrates the breadth and depth of technical expertise and experience required to implement this complex program. The staffing plan should demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing. Key personnel should demonstrate state-of-the-art expertise in international standards. This section should include: (1) a detailed organizational chart; (2) a brief description of select key personnel; and, (3) a skills matrix for proposed project staff.

Résumés of proposed key personnel and other staff are to be included in an Annex. All key personnel résumés should include three references with contact information. Letters of commitment are required for all key personnel and should be included in the Annex. Noting that all staff may not be available or needed at inception, dates that key personnel are available to start work full-time with the Social Marketing for Health project are also required.

Key personnel are:

1. Chief of Party
2. Technical Advisor, HIV Prevention
3. Technical Advisor, Community Development

Please note that the terms “Chief of Party” and “Technical Advisor” are illustrative; the Applicant is encouraged to use the terminology applied within its own organization, but without diluting the intent

of the role of these key staff. Among these key personnel, the required skill set includes — but is not limited to — all of the following technical areas: the behavioral sciences, HIV prevention, gender, local organizational capacity building, monitoring and evaluation, and behavior change communications.

USAID reserves the right to adjust the level of key personnel during the performance of this Cooperative Agreement.

Applicants should clearly describe how the Cooperative Agreement will be managed. The management plan should:

- demonstrate ability to manage the activities to be carried out under the agreement, including lines of supervision, accountability, decision-making and responsibility among staff;
- describe how Applicant will provide technical support and oversight and work with USAID/Angola, the GRA, and other important partners;
- demonstrate that Applicant has an understanding of management barriers that could occur during program implementation on both a global and country level, and how the Applicant plans to overcome these barriers;
- explain how the Country Director will liaise with the AOTR, in-country staff, and reporting and management among other implementing partners and sub-partners;
- describe the proposed role of each technical staff/advisor in the program and specify where s/he will be based;
- as appropriate: describe the role of and contractual arrangement with each sub-partner, the approach for managing proposed sub-partners to maximize their input and utility and demonstrated past experience managing and building technical and organizational capacity of sub-partners;
- include an organizational chart with lines of supervision in an annex to the technical application; and
- outline a mobilization plan that demonstrates ability for rapid start-up by efficiently establishing in-country presence with necessary registration and documentation and ability to be operational within 60 days of award.

### **c. Monitoring & Evaluation Plan**

The Applicant should outline the Monitoring and Evaluation plan and methodology by including methods and measures (process, output and outcome) to evaluate program implementation feasibility, replicability, effectiveness and sustainability, and plans to implement the evaluation plan. Expected program objectives with illustrative indicators, mid-term milestones/ benchmarks, end-of-project results partially provided in this document should be further elaborated in the M&E plan. Data sources and collection methodologies should also be noted for each indicator.

### **d. Organizational Institutional Capability**

1. Applicants should furnish evidence that they, along with their proposed major sub-recipients, have the ability to plan, implement and monitor the program effectively. They should demonstrate their experience in the geographic and program areas identified in the Program Description. Applicants are expected to demonstrate organizational experience in managing relevant programs in terms of the activities specified in Section I of this solicitation and size.

2. Applicants should clearly describe their demonstrated ability to manage multiple complex activities involving collaborative efforts, and maintain clear and effective lines of communication between and among implementing partners and sub-partners.

### **e. Past Performance**

(1). The Applicant (including all partners of a consortium if appropriate) must provide performance information for itself and each major sub-recipient (one whose proposed cost exceeds 15% of the Applicant's total proposed cost) in accordance with the following:

a. In a matrix or bullet format, a list of current and recent (last five years) experience relevant to the technical description and proposed activities of this program in terms of matter, size, scope and complexity. The matrix must include the following information for each listed activity:

- 1) Contract or cooperative agreement number (as prime or sub) or project name
- 2) Procuring agency or organization
- 3) Funding sources and levels
- 4) Period of performance
- 5) Program objective
- 6) Brief description of the work performed
- 7) Objectives achieved
- 8) References

(USAID reserves the right to obtain past performance information from other sources including those not named in this application).

b. For each of the agreements, contracts, or projects listed above, the applicant should provide a list of contact names and job titles. Reference information should include recent email, fax, and phone numbers and address of contact persons. USAID recommends that you alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed contracts or agreements if and when USAID requests it.

(2) If extraordinary problems impacted any of the referenced contracts or agreements, provide a short explanation and the corrective action taken.

(3) The Applicant is expected to comply with the instructions regarding the type and amount of detail to be provided on past performance and the format to be used to submit it. If the Applicant does not follow the prescribed format, then care should be taken to ensure that the substance of the requested information is provided. Failure to do so may seriously impede both the technical evaluation of the Applicant's application and the agreement officer's ability to make a positive responsibility determination.

#### *4. Required Annexes*

1. Matrix or bulleted list of past performance (continuation of Section A.f.(1).a above; maximum of three pages)
2. Resumes for all key personnel (two pages per resume) and signed letters of commitment
3. Organizational chart showing lines of supervision
4. Year One detailed work plan
5. Three-year implementation plan with benchmarks
6. Case Study to Address HIV Prevention and the Mitigation of Harmful Male Norms at the Community Level (3–5 pages) detailing how the Applicant would approach the design, implementation, and assessment of a community-based intervention integrated into HIV prevention programming that address harmful male norms at the community level, in this case the community being a slum (*museqe*) in Luanda. The case study should include current issues and challenges, behavioral objectives, channels mix and tactics, referrals, measurement of outputs and outcome, and an indicative budget.
7. Sample Curricula (15 pages maximum): please include a sample curriculum for building capacity with local organizations in the application of up-to-date theories and models in some form of a behavioral intervention. The Applicant should also include a sample curriculum for building the capacity of local organizations in quality assurance for behavioral programming. These samples can be from the Applicant's work in other global projects. If desired, the Applicant can include a brief description of how the organization will adapt these samples to the project's needs. It is not

USAID's intention for the Applicant to develop curricula to include in the proposal submission. In addition, please describe the Applicant's role in developing and using the specific curricula (for example, did that organization develop the curriculum in-house, or was it developed by another organization through a sub-award. Have these curricula been evaluated and if so, what were the results).

*4.1. Optional Annexes (no page limits)*

1. Summary implementation timelines
2. Other supporting information

**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. The following documentation is required from the prime recipient and all consortium sub-recipients. Indirect costs shall not be included for local NGOs.

1. The cost application should be for a period of 36 months.
2. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Subsection IV.2 above. All budgets shall include a sheet relating to the entire 60 month period and separate sheets for each of the four 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.
3. 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.
4. Applicants must submit a detailed budget for each of the three program years, as well as for all three years; these budgets must be directly linked to activities and objectives. (no page limit)
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).

**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 CTO [<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.

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. Applicants should discuss their efforts to minimize administrative and support costs for managing the project in order 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 application. 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 not required for this award.

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 the time and date indicated in the cover letter to this RFA. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods

specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

## **6. FUNDING RESTRICTIONS**

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

## **7. GENERAL SUBMISSION INSTRUCTIONS**

USAID will accept applications from the qualified entities as defined in Section III of this RFA. Applicants should follow the instructions set forth herein. If an applicant does not follow the instructions, its application may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via email with up to 10 attachments (2MB limit) per email compatible with MS WORD, and Excel environment to: [applications@usaid.gov](mailto:applications@usaid.gov) . If the application is submitted electronically, the Applicant should also mail an original and two (2) copies of the technical application and an original and two (2) copies of cost application to the following address:

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

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

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

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

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

## **8. BRANDING STRATEGY AND MARKING PLAN**

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. **Please note that the Branding**

Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.

## ***SECTION V – APPLICATION REVIEW INFORMATION***

The selection criteria have been tailored to the requirements of this RFA to enable the selection of the highest-quality application. These criteria identify significant areas that applicants should address in their applications and serve as the standard against which all applications will be evaluated

One award is anticipated, although USAID reserves the right to make more than one award if needed. USAID may award a cooperative agreement without discussions with applicants. To the extent they are necessary, negotiations will be conducted with the top-ranked applicants. USAID/Angola will award this cooperative agreement(s) to the applicant(s) whose application best responds to the technical approach outlined in this solicitation and represents the best value, all factors considered. Applications will be evaluated and scored based on the criteria listed below. A maximum of 100 points can be awarded.

### **1. EVALUATION CRITERIA**

#### **A. TECHNICAL APPLICATION**

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all Applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all Applicants whose application, after discussion and negotiation, have a reasonable chance of being selected for award. Awards will be made to responsible Applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below. These criteria identify significant areas Applicants should address in their proposals and serve as the standard against which all proposals will be evaluated. Applicants will be assessed on the quality of the overall design and the extent of understanding of the Program Description, a technical approach that is comprehensive and feasible, and a proposed management plan that is able to implement the program. To make the selection process as objective as possible, each implementing partner should clearly demonstrate how the application meets these criteria.

##### **a. TECHNICAL APPROACH (25 POINTS)**

The Technical Approach factor will be scored based on the following sub-factors addressing the technical approach to the two program objectives:

##### *1. HIV prevention interventions targeting protective behaviors of at-risk adults, at-risk youth, and their sexual partners (10 points)*

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

- Extent to which the proposed program approach and strategies are well conceived and realistic to accomplish the RFA objectives. The Applicant's demonstrated understanding of HIV/AIDS and HIV prevention issues, including its understanding of the epidemiological context and transmission dynamics and appropriate programmatic responses to Angola's mixed epidemic, as well as gender issues, cultural context, and the socio-cultural environment in Angola.

- Extent to which the Applicant's approach demonstrates state-of-the-art knowledge and application of research, behavioral theories and models, lessons learned best technical practices, and quality assurance in HIV prevention intervention design and delivery.
- Extent to which the application proposes a performance-based and measurable approach toward designing, executing, and monitoring HIV prevention initiatives with the genuine and measurable engagement of multi-level, multi-sectoral stakeholders.
- The applicant's demonstrated ability to articulate HIV prevention responses with clear behavioral objectives and outcomes that address HIV epidemic drivers including underlying gender or social-cultural factors or barriers to services or product usage. Extent to which the application describes a feasible approach toward maintaining quality and achieving results for this sort of model.
- Ability to clearly articulate the integration of cross cutting themes, including gender, alcohol abuse, and the reduction of stigma and discrimination, into its technical approach, implementation, and own organization.
- The extent to which the application proposes innovative approaches towards measuring the quality, effectiveness, and outcomes of the project. The extent to which the application describes an innovative and pragmatic approach towards quality assurance in HIV prevention, including a comprehensive set of indicators that reflect these elements.

2. *Strengthened Angolan entities' capacity to coordinate and deliver comprehensive and sustainable community-based HIV prevention initiatives (15 points)*

Evaluation under this sub-factor will focus on the soundness of the approach to strengthening Angolan entities' capacity to coordinate and deliver comprehensive and sustainable community-based HIV prevention initiatives. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- Extent to which the application demonstrates a cogent and innovative approach to the capacity building of local organizations that is measurable, performance-based, and moves beyond "training only" approaches. Applicant's description of the project's capacity building approaches for long-term sustainability.
- To which extent the application clearly describes a feasible and measurable approach towards partnership and collaboration that engages multi-sectoral partners and communities in genuine participation in all stages of communications design and delivery.
- Whether the application describes an approach for working with the GRA and the civil society for establishing national and decentralized coordination mechanisms in Angola.

**b. MANAGEMENT & STAFFING (35 POINTS)**

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

- The proposed Chief of Party's relevant experience in managing similar projects, particularly in post-conflict countries.

- Relevant technical capacity and experience of other key personnel in managing similar projects, particularly within countries with mixed epidemics. Whether Angolans are proposed for key leadership positions.
- Extent to which the overall staffing plan demonstrates both an appropriate allocation of technical skills and an organizational management structure which maximizes program efficiency and effectiveness.

**c. MONITORING AND EVALUATION PLAN (10 POINTS)**

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

- Extent to which the Applicant proposes feasible methods and measures (process, output and outcome) to evaluate program implementation feasibility, effectiveness, and sustainability.
- Extent to which the application includes a convincing plan for how the Applicant, along with any proposed sub-recipient, would implement the evaluation plan.
- Applicant's ability to clearly describe expected program objectives with illustrative indicators, mid term milestones/ benchmarks, end-of-project results.
- Whether application includes technically feasible data sources and collection methodologies for each indicator.

**d. CORPORATE INSTITUTIONAL CAPABILITY (10 POINTS)**

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

- The organizational knowledge, capability, experience of the lead applicant to develop, manage, and implement similar HIV prevention and gender initiatives in low-resource countries in Africa;
- Ability to demonstrate relevant organizational knowledge, capability, and past experience of the other proposed team members (proposed sub-recipients and/or grantees, if any) in successfully implementing similar programs;
- Demonstrated capacity in supporting capacity building to design and deliver innovative and results-oriented HIV prevention initiatives; and
- Demonstrated ability to measure impact and outcomes of similar HIV prevention initiatives.

**e. PAST PERFORMANCE (10 POINTS)**

(a) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in Section IV.4.A.a. of this RFA and from

other sources if and when the Agreements Officer finds the existing databases to be insufficient for evaluating an applicants performance.

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

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

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

## **B. COST/BUSINESS APPLICATION**

### **COST EFFECTIVENESS AND COST REALISM/REASONABLENESS (10 points)**

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

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources (amounts included as cost share may be considered in this analysis). Cost effectiveness may include analyzing the cost per result proposed. Cost effectiveness will also include an analysis of the ratio of administrative costs compared to costs dedicated to program implementation (US Government costs).
- 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.

**Technical versus Cost Considerations:** The cost effectiveness and the cost realism will be evaluated separately. The total cost proposed for the principal tasks will be evaluated for realism, completeness, and reasonableness. Applicants are reminded that some costs of doing business in Angola are unusually high, and as such should be taken under consideration in cost applications. In addition,

## 2. **BRANDING STRATEGY AND MARKING PLAN**

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2. The apparently successful applicant will be required to submit a Branding Strategy and Marking Plan prepared in accordance with the guidelines contained in AAPD 5/11, CFR 226.91 and ADS 320.3.3. No award will be made without USAID approved Branding Strategy and Marking Plan.

## 3. **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 Angolan experts. The cost applications will be evaluated by the Agreement Officer on Cost Effectiveness and Realism. Award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

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

The required format and content for the application are described in Section IV. A team of technical experts shall review and score applications received in response to this RFA. Applicants responsive to the requirements of this RFA, that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute education and HIV and AIDS assistance programs 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) Annual Work Plans
- B) Quarterly performance monitoring and reporting
- C) Quarterly pipeline analysis and financial reports
- D) PEPFAR Semi-Annual and Annual Progress Reports (SAPR; APR)
- E) Performance Monitoring Plan (PMP)
- F) Final Report
- G) Close out Plan
- H) Other

#### A. Annual Work Plans

Within 30 days of the award and annually thereafter, the Recipient will submit an annual work plan, broken down by quarter, and a detailed budget, keyed to each USG fiscal year, to the AOTR for USAID approval. The annual work plan will outline activities and outputs to be achieved in the coming year, the associated levels of effort, timelines, and any changes in the detailed first year work plan submitted in the technical application. The annual work plan must include a core set of required PEPFAR indicators corresponding to each program area that will be tracked over the life of the program. Baseline data on these core indicators must be collected and presented in the first quarterly report. Annual targets must also be established for each indicator and presented to the USAID/Angola AOTR during the development of the annual USG Country Operational Plan (COP), the PEPFAR budget planning document. At the mid and end points of program implementation, the Recipient should budget for evaluations of progress on meeting annual targets.

In consultation with other USG partners and the GRA, the annual work plan will describe in detail how the Recipient will work with other USG prevention, clinical and care partners as appropriate to implement the combination prevention program described in this RFA. Subsequent 12-month work plans through the end of the four-year program should be prepared and submitted to the AOTR no later than 45 days before the close of each preceding operating year. Six months before the end of the four-year period, the Recipient is required to submit a close out and transition plan to the AOTR. The annual work plan should include, at a minimum:

- Expected progress toward achieving results and performance measures tied to the M&E plan
- Timeline for implementation of the year's proposed activities, including target completion dates
- Information on how activities will be implemented

- Log frame for outputs, activities and indicators
- Personnel requirements to achieve expected outcomes
- Major commodities to be procured, if applicable
- Detailed budget
- Targets and anticipated objectives and milestone indicators

#### B. Quarterly performance monitoring and reporting

The Recipient must prepare and submit to the USAID/Angola AOTR a quarterly report within 30 days after the end of the program's first full quarter, and quarterly thereafter. These reports will be used by USAID/Angola to fulfill electronic reporting requirements to Washington and to conform to certain requirements. The report should contain, at a minimum:

- Current and cumulative progress (activities completed, benchmarks achieved, performance standards completed) since the last report by program area;
- Problems encountered and whether they were resolved or are still outstanding;
- Proposed solutions to new or ongoing problems;
- Success stories (photos, caption, narrative);
- Documentation of best practices that can be taken to scale; and
- List of upcoming events with dates.

#### C. Quarterly pipeline analysis and financial reports

The Recipient should submit quarterly pipeline analysis and financial reports to USAID within 30 calendar days following the end of each quarter. They should be disaggregated by program area and contain, at a minimum:

- Total agreement budget
- Total funds awarded to date by USAID into the agreement (Total funds obligated to date);
- Total funds previously reported as expended by Recipient by main line items;
- Total funds expended in the current quarter by the Recipient by main line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period
- Total unliquidated obligations by main line items;
- Unobligated balance of USAID funds
- Estimated expenditures for remainder of year
- Estimated monthly burn rate

#### D. PEPFAR Semi-Annual and Annual Progress Reports (SAPR; APR)

In addition to the reports listed above, the Recipient must submit completed semi-annual and annual progress reports which USAID provides to OGAC. In past years, these reports have followed the same submission timeline as reports for fiscal year quarters 2 and 4.

#### E. Performance Monitoring Plan (PMP)

Within 30 days of the award, The Recipient will submit for USAID approval a **performance monitoring plan** (PMP) covering the life of the project. A PMP is a performance management tool to plan and manage the process of assessing and reporting progress toward achieving objectives, and will include specific, detailed plans to document, monitor and evaluate program performance. The PMP will establish specific, quantifiable performance indicators and targets for overall results included in the original proposal and activities in the annual work plans; describe the establishment of monitoring systems to measure program progress against overall objectives; and present a plan for data collection and measurement of program objectives and expected outputs, including collection of baseline data, and for the use of data collected by the program to improve program planning and performance. Efforts should be made, to the extent possible, to build on existing or recently used national or sub-national (provincial, district, administrative post) systems. Efforts should be harmonized with other USG data collection efforts, such as the bio-behavioral surveillance survey currently being carried out and engage local agencies where appropriate for all planned assessments and evaluations.

Within the PMP, the Recipient should develop and execute an evaluation plan, as described in the program description, which includes process, output, outcome and impact components. For each indicator, the Monitoring and Evaluation plan should provide interim and final targets, data sources, collection methods, and baseline information or a timeline for collecting it.. Additional indicators should be developed by the Recipient in collaboration with the AOTR, such as measures of reductions in risk behaviors or increases in service uptake among target populations. Data sources and collection methodologies should also be noted for each monitoring and evaluation component detailed in the M&E plan. In addition to the direct program output indicators, the Recipient should provide data on the coverage of interventions, as well as an evaluation plan for project outcomes and impact, such as significant reductions in risk behaviors and/or uptake of services. The Recipient should include qualitative data on program achievements and results

The PMP should demonstrate understanding of PEPFAR II indicators, other program indicators, and reporting requirements, including a log frame that explains how data will be collected, verified and reported to document project progress. Data quality is a critical component of PEPFAR, and the Recipient should develop systems to ensure data quality and be prepared for data quality audits. The PMP and evaluation plans will be revised as appropriate on an ongoing basis in collaboration with USG/Angola and routine data quality assessments will be required.

#### F. Final Report

No later than 60 days after the completion date of the agreement, the Recipient must prepare a completion report and oral end-of project presentation which highlight accomplishments against work plans, gives the final status of the benchmarks and objectives, addresses lessons learned during implementation and suggests ways to resolve identified constraints. The report should provide recommendations for follow-on work that might complement the completed work and details of close out and transition plans. The Recipient shall submit an electronic version, an original hard copy and five copies of the final report to the AOTR. One additional copy must be sent to the USAID Development Experience Clearinghouse.

#### G. Close-out Plan

Six months prior to the completion date of the agreement, the applicant will submit a close-out plan for AOTR approval. The close-out plan will include, at a minimum, an illustrative property disposition plan, a plan for the phase-out of in-country operations, a delivery schedule for all reports or other deliverables required under the task order and a timetable for completing all required actions in the close out plan, including the submission date of the final property disposition plan to the Agreement Officer. A final project report will be due 30 days after project closeout.

#### H. Other

Short-term consultants' reports should be submitted to USAID in a mutually agreed-upon format and time. Occasionally, the Recipient may prepare and submit special reports concerning specific activities and topics to USAID. The Recipient may be requested, from time to time, to report separately on specific issues or in greater detail on particular areas in regular reports. The Mission may also periodically request short case studies of good and promising activities

### **4. ENVIRONMENTAL COMPLIANCE**

USAID/Angola's Initial Environmental Examination (IEE), as amended, includes a section entitled **Categorical Exclusions** for PEPFAR activities. The conditions require that appropriate environmental management principles, screening and review take place before such activities are implemented. Applications should reflect this requirement. See Section F for full IEE.

- 1a) 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. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

- 1b) In addition, the Recipient must comply with host country environmental regulations. In case of conflict between host country and USAID regulations, the latter shall govern.
- 1c) No activity funded under the Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation").
  - 4a) As part of its initial Work Plan, and thereafter, all Annual Work Plans, the Recipient, in collaboration with the USAID AOTR, shall review all ongoing and planned activities under the Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
  - 4b) 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.
  - 4c) 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.
- 7a) A fund for sub-grants is included under this award; therefore, the Recipient will be required to use an Environmental Review Form (ERF) to screen grant proposals to ensure the funded proposals will result in no adverse environmental impact, to develop mitigation measures, as necessary, and to specify monitoring and reporting. Use of the ERF is called for when the nature of the grant proposals to be funded is not well enough known to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF is completed and approved by USAID. Recipient is responsible for ensuring that mitigation measures specified by the ERF process are implemented.
- 7b) The Recipient will be responsible for periodic reporting to the USAID AOTR specified in the Program Description of this award.
- 8a) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Applicants to the RFA should therefore include as part of their application their approach to achieving **environmental compliance and management**, to include:
  - 8b) The Applicant's approach to developing and implementing an [IEE or EA or environmental review process for a grant fund and/or an EMMP].
  - 8c) The Applicant's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
  - 8d) The Applicants illustrative budget for implementing the environmental compliance activities.

## 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](http://pdf.dec.org/pdf_docs/PDABQ631.pdf)

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.

## 6. ***GEOGRAPHIC CODE***

The authorized Geographic Code that is expected to be used for any agreement awarded as a result of this RFA is "000."

## 7. ***STANDARD PROVISIONS***

As noted above, performance of a program under any agreement awarded as a result of this RFA will be subject to applicable USAID Standard Provisions, including, but not limited to, those relating to Family Planning and HIV/AIDs.

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

Leona Sasinkova  
Agreement Officer  
USAID /Southern Africa  
Box 43, Groenkloof, 0027  
Pretoria, South Africa  
+27 (012)452-2170  
E-mail: [lsasinkova@usaid.gov](mailto:lsasinkova@usaid.gov)

**The Acquisition and Assistance Specialist for this Award is:**

Jacob Duiker  
Acquisition and Assistance Specialist  
USAID /Southern Africa  
Box 43, Groenkloof, 0027  
Pretoria, South Africa  
+27 (012)452-2170  
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## ***SECTION VIII – OTHER INFORMATION***

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

The following additional information is provided in this Section:

### **1. BRANDING STRATEGY - ASSISTANCE (December 2005)**

#### (a) Definitions

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

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

*USAID Identity (Identity)* means the official marking for the Agency, comprised of the USAID logo and new 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 sub-awards.

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

#### Submission Requirements

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

##### (1) Positioning

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

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

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

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

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

## (2) Program Communications and Publicity

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

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

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

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

*What is the main program message(s)?*

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

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

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

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

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

## (3) Acknowledgements

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

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

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

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

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

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

## **2. MARKING PLAN – ASSISTANCE (December 2005)**

### (a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

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

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

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

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

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

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

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

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

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

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

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

(a) Definitions

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

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

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

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

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

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

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

*USAID Identity (Identity)* means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at [www.usaid.gov/branding](http://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 sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

*"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."*

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

(c) Implementation of marking requirements.

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

## (d) Waivers.

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

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

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

(a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

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

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

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

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

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

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

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

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

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

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

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

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

## ATTACHMENTS

The following attachments and annexes are provided:

1. SF-424 Forms;
2. Certifications, Assurances and Other Statements; and
3. List of Acronyms

The SF-424 forms referenced in Section IV.2 above can be found at:

[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

**ATTACHMENT 1****Certifications, Assurances and Other Statements of the Recipient**

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

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

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

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

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

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

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

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

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

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient

recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## 2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

### Statement for Loan Guarantees and Loan Insurance

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

### 3. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
  - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, 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, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) 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 IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED “CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING.”**

*Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:*

“[Recipient's name] certifies compliance as applicable with the standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking” included in the referenced agreement.”

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

**PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

**PART VI - 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](mailto:globalinfo@dbisma.com).

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

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

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

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

\$ \_\_\_\_\_

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

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

ineligible for USAID financing.

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

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

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

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST PROPOSED  
DISPOSITION

## 6. PAST PERFORMANCE REFERENCES

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

## 7. TYPE OF ORGANIZATION

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

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

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

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

**ACRONYM LIST**

ADRA	Action for Rural Development and Environment (acronym in Portuguese)
AIDS	Acquired Immune Deficiency Syndrome
AIS	AIDS Indicator Survey
ANC	Antenatal Care
AOTR	Agreement Officer's Technical Representative
ARV	Anti-Retroviral
BCC	Behavior Change Communication
BSS	Behavioral Surveillance Survey
CDC	U.S. Centers for Disease Control and Prevention
CEC	Business Alliance against HIV/AIDS (acronym in Portuguese)
CSW	Commercial Sex Worker
DOD	Department of Defense
FP	Family Planning
G&A	General and Administrative
GBV	Gender-Based Violence
GRA	Government of the Republic of Angola
HIV	Human Immunodeficiency Virus
IEC	Information, Education, and Communications
IEE	Initial Environmental Examination
INLS	National AIDS Institute (acronym in Portuguese)
IPC	Interpersonal Communications
M&E	Monitoring and Evaluation
MCH	Maternal-Child Health
MOH	Ministry of Health
MARPs	Most-at-Risk Populations
MOU	Memorandum of Understanding
MSM	Men Who Have Sex with Men
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost-Recovery Agreement
OMA	Organization for Angolan Women (acronym in Portuguese)
PEPFAR	U.S. President's Emergency Plan for AIDS Relief
PLWHA	People Living with HIV/AIDS
PMTCT	Prevention of Mother-to-Child Transmission
RH	Reproductive Health
RFA	Request for Application
RNP+	The National Network for People Living with HIV/AIDS (acronym in Portuguese)
TB	Tuberculosis
USAID	United States Agency for International Development
USG	United States Government