



USAID | SOUTHERN AFRICA

Regional Acquisition and Assistance Office

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Questions Due: November 26, 2010; 1600hrs [Pretoria time]

**Subject: Request for Applications (RFA) No. 674-11-0002
Orphans and Vulnerable Children [OVC] & Gender Project in Botswana**

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Southern Africa, is seeking applications from organizations to implement a five-year program that aims to improve the quality of life of orphans, vulnerable children, women and their families/households in Botswana as fully described in the following Request for Applications (RFA).

The main objectives of this five-year award are to: 1) improve the livelihoods of households for vulnerable adolescents, especially girls and vulnerable women; 2) improve developmental interventions for vulnerable children and adolescents; 3) reduce the risk of neglect, exploitation and abuse of vulnerable children, adolescents and women; and 4) improve development, implementation and coordination of national frameworks and policies that address the needs of children and women. Please refer to Section I, the Funding Opportunity Description, of this RFA for details on the program.

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

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

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

Subject to the availability of funds, USAID intends to provide approximately \$16.8 million to be allocated over the 5-year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

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

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

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

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

Sincerely,

Leona Sasinkova
Agreement Officer

TABLE OF CONTENTS

	<u>Page</u>
Table of Contents	
<i>ACRONYMS</i>	4
<i>SECTION I - FUNDING OPPORTUNITY DESCRIPTION</i>	5
<i>SECTION II – AWARD INFORMATION</i>	26
<i>SECTION III – ELIGIBILITY INFORMATION</i>	27
<i>SECTION IV – APPLICATION AND SUBMISSION INFORMATION</i>	28
<i>SECTION V – APPLICATION REVIEW INFORMATION</i>	43
<i>SECTION VI - AWARD AND ADMINISTRATION INFORMATION</i>	49
<i>SECTION VII – AGENCY CONTACTS</i>	54
<i>SECTION VIII – OTHER INFORMATION</i>	55
<i>ATTACHMENTS</i>	67
<i>CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT</i>	68

ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BAIS	Botswana AIDS Impact Survey
BPS	Botswana Police Service
CBO	Community Based Organization
CDC	Centers for Disease Control and Prevention
COP	Chief of Party
CPS	Child Protection Services
CRC	Convention on the Rights of the Child
CSO	Central Statistics Office
DSS	Department of Social Services
ECD	Early Childhood Development
FBO	Faith Based Organization
GBV	Gender Based Violence
GDA	Global Development Alliance
GDP	Gross Domestic Product
GHI	Global Health Initiative
GOB	Government of Botswana
HIV	Human Immunodeficiency Virus
IGA	Income Generating Activities
M&E	Monitoring and Evaluation
MLG	Ministry of Local Government
MLHA	Ministry of Labor and Home Affairs
MOH	Ministry of Health
MYSC	Ministry of Youth, Sports and Culture
NACA	National AIDS Coordinating Agency
NDP	National Development Plan
NGO	Non-government Organization
NOP	National Operational Plan
NSF	National Strategic Framework on HIV and AIDS
OMB	Office of Management Budget
OVC	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief (US)
PF	Partnership Framework
PLWHA	People Living with HIV/AIDS
PPP	Public-Private Partnership
PSS	Psycho-Social Support
PTA	Parents and Teachers Association
RFA	Request for Applications
SADC	Southern African Development Community
SLA	Savings and Loan Associations
STPA	Short Term Plan of Action
UNAIDS	Joint United Nations Program on HIV/AIDS
UNDP	United Nations Development Program
USAID	United States Agency for International Development
USG	United States Government
VDC	Village Development Committee
VHC	Village Health Committee
WAD	Women's Affairs Department

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

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

1. GENERAL DESCRIPTION OF FUNDING OPPORTUNITY

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

A. Background

i. Introduction

The United States Agency for International Development (USAID) under the President’s Emergency Plan for AIDS Relief (PEPFAR) intends to fund a five year project to improve the quality of life of orphans, vulnerable children, women and their families/households in Botswana. This project will contribute directly to the PEPFAR’s legislative goal of caring for twelve million people, including five million orphans and vulnerable children affected by Human Immunodeficiency Virus (HIV). The project will engage the participation of government, development partners and non-governmental organizations (civil society) in the development, planning, implementation and monitoring of critical orphans and vulnerable children (OVC) and gender interventions. In an effort to develop a strategic, focused and performance based program for Botswana, USAID intends to enter into a cooperative agreement with a qualified implementer to achieve the following objectives:

- Improve the livelihoods of households for vulnerable adolescents, especially girls and vulnerable women.
- Improve developmental interventions for vulnerable children and adolescents.
- Reduce the risk of neglect, exploitation and abuse of vulnerable children, adolescents and women.
- Improve development, implementation and coordination of national frameworks and policies that address the needs of children and women.

With this cooperative agreement, USAID intends to contribute to the national agenda of addressing the number of factors that increase the vulnerability of OVC and adolescent girls to social ills such as HIV/AIDS, chronic poverty, neglect, exploitation and abuse.

ii. Country Setting

Botswana is a middle-income country (nominal GDP per capita \$6,742 in 2007) in Southern Africa with a stable, democratic government, which has been implementing effective development policies since independence in 1966. Given this context and the wise use of the country’s mineral wealth and the Government of Botswana’s (GOB) commitment, Botswana has seen significant growth and major reductions in the poverty levels of its citizens over the last 40 years. The country has one of the most developed public health systems in Africa,

which is built on a strong health infrastructure system. In addition, the country has made significant strides in the areas of education and quality of life in general that can move it towards achievement of the United Nations Millennium Development Goals for 2015. Key successes include:

- Antenatal care coverage of 97%
- 94% of deliveries are attended by a skilled health worker
- 97% of one-year-old children are fully immunized for DPT3
- 100% of facilities providing antenatal care also provide HIV counseling and testing
- 95% of children are enrolled in primary school

iii. **HIV/AIDS in Botswana**

HIV/AIDS however, has had a significant, negative social and public health impact in Botswana. The country is experiencing one of the most severe HIV/AIDS epidemics in the world, affecting both urban and rural areas with equal ferocity. The joint United Nations Program on HIV/AIDS (UNAIDS) estimated that in Botswana's population of about 1.8¹ million, close to one out of four adults aged 15-49 were HIV positive in 2007. In addition, national sentinel surveillance over the last five years found that one out of three pregnant women is HIV positive.

The HIV epidemic has severely impacted Botswana's labor force, significantly decreasing economic growth and investment and increasing financial outlays by the Government to sustain existing programs and services. A 2006 report funded by the United Nations Development Program (UNDP) on behalf of the National AIDS Coordinating Agency (NACA), *The Economic Impact of HIV/AIDS in Botswana*, estimated that in the next 20 years, economic growth will be decreased by 30% due to the impact of HIV/AIDS. Furthermore, the GOB projects that by 2021 Botswana's population will be reduced by 18% from what it would have been in the absence of the epidemic.

Since the beginning of the epidemic, the GOB has shown a high level of commitment to mitigating the impact of HIV/AIDS. The GOB investment of domestic resources to support AIDS prevention, care and treatment is estimated to be between 2-3% of GDP and the GOB contributes between 80-90% of the resources required for HIV/AIDS treatment and care, including support. The national response is guided by clear national priorities and strategies outlined in the National Strategic Framework II (NSFII: 2010-2016), the Tenth National Development Plan (NDP10: 2010-2016), and HIV/AIDS related goals as contained within the nation's development blueprint, *Vision 2016*. Botswana's vision is based on seven principles, one of which is "*Building a Compassionate and Caring Nation*." It is on the basis of this principle that Botswana has committed itself to eradicating absolute poverty and to making good quality health care accessible to all Botswana. This principle reflects a goal of drastically reducing the spread of HIV so that there will be very few new infections by the year 2016, including mitigating the impact of HIV/AIDS among children and adolescents.

iv. **Situation of OVC and Gender in Botswana**

According to the 2001 Population and Housing Census (Central Statistics Office), there were approximately 111,812 orphans in Botswana, representing approximately 15.2% of children below 18 years of age. The UNICEF publication, *Children on the Brink*, 2004, has a higher

¹ www.unaids.org

estimate of 20% of all children in Botswana being orphans. The Botswana AIDS Impact Survey (BAIS) III, estimated that the population for combined single and double orphan is 111,567. The National Situation Analysis on Orphans and Vulnerable Children in Botswana of 2008 on the other hand had two estimates for orphans. This is because the situation analysis used two different definitions for orphan (Botswana definition and International definition). Botswana defines an orphan as “a child below 18 years who has lost one (single) or both parents (married couples). These parents are either biological or adoptive”. Using this definition, the number of orphans among children below 18 years enumerated in the study was 51,806. Internationally, an orphan is defined as “a child below the age of 18 who has lost one or both parents”. Using this definition, the number of orphans among children below 18 years enumerated in the study was 137,805.

Updated data from the Ministry of Local Government/Department of Social Services (MLG/DSS) indicate that at the end of December 2009, the following were registered with their programs:

- 46,457 orphans only
- 35,102 needy students (children who have graduated from the OVC program but are still in school and needing assistance)
- 1,017 children in need of care (children aged under 18 years whose parents are still alive but living in homes that are severely disadvantaged).

The figures presented above show that there is need to: a) intensify ways of identifying the orphans and providing them with the necessary services and b) come up with strong livelihood programs that will equip them with economic strengthening skills before they turn 18 years of age. This will ensure that children who turn 18 do not graduate from the orphan program and get enrolled in the destitute program as is currently the practice with most of them.

Although the problems of OVC in Botswana are not due to HIV/AIDS alone, the onset of the HIV/AIDS epidemic has compounded and multiplied the burden of taking care of orphans and vulnerable children. There is a national concern about the growing numbers of vulnerable children and the need to protect them through a coordinated, guided response. The National Situation Analysis on Orphans and Vulnerable Children (2008) identified 30.6% of children as vulnerable due to living in poverty, while other children struggle to grow up in families prone to internal conflicts, alcoholism, violence, abuse and poor parenting skills. At the extreme, some children are growing up outside of family care; being in conflict with the law, on the streets, or in residential care, etc. Children are also heading households and living in households headed by their brothers and sisters. Other groups of vulnerable children are those who are displaced or refugees or who have parents in prison or detention. These children are unlikely to enjoy their rights and may even be driven onto the streets to support themselves. Children with unmet emotional needs are also particularly vulnerable to sexual exploitation and abuse.

Vulnerability is experienced differently by boys and girls. Girls are more likely to be sexually abused, engaged in transactional and intergenerational sex, work as domestic laborers and become infected with HIV. Adolescent females are twice as likely to be infected with HIV as males of the same age; the prevalence rate being 5.0% among girls 15 -19 years of age and 2.4% for males. HIV prevalence is higher among females than males, 20.4% and 14.2%, respectively (BAIS, III, 2009).

Poverty among women often forces them to be dependent on their intimate partners for survival, making them more likely to be vulnerable to HIV infection and Gender-Based Violence (GBV). According to the Botswana AIDS Impact Survey (BAIS III), the unemployment rate for women is 31.2% while that of men is 21.9%. Statistics provided by the Botswana Police Services (BPS) indicated that between 1995 and 2007 the number of rape cases increased by more than 50% with the majority of victims being women under 20 years of age. Reported cases of sexual abuse of children under 16 years of age have been increasing as seen in reports from the BPS, from 338 cases in 2004, to 408 in 2007. It is of note that there are case reports of boys who have been sexually abused. Such cases are believed to be significantly under-reported.

v. **Government of Botswana Response: OVC and Gender**

Since 1999, Botswana's efforts to meet the needs of OVC have been guided mainly by the Short Term Plan of Action (STPA) for the Care of Orphans in Botswana. The overall goal of the STPA was to provide quality care to OVC through provision of quality services and freedom from physical and sexual abuse. The STPA called for the establishment of a Child Care Unit, now Child Protection Services (CPS), within the Department of Social Services (DSS) in the Ministry of Local Government (MLG) to coordinate the implementation of the orphan care program. Additionally, the STPA recognized the need for partnership building and active participation of stakeholders such as Non Governmental Organizations (NGOs), Community Based Organizations (CBOs) and Faith Based Organizations (FBOs) and the private sector. This is in recognition of the fact that all stakeholders have a role to play in mitigating the impact of HIV/AIDS on children to ensure sustained care and support.

To enhance coordination and standardization of multi-sectoral responses to the needs of OVC, in 2008 the Ministry of Local Government adopted National Guidelines on the Care of Orphans and Vulnerable Children. The guidelines promote effective responses and discourage harmful practices and are directed toward organizations and individuals working or intending to work with orphans and vulnerable children.

In 2009, the National Assembly adopted the Children's Act, which clearly outlines the rights and responsibilities of children and their caregivers under the law. The Act also increases legal protection for children and defines offences and penalties for abuse, neglect, exploitation, or other mistreatment of children.

The current National Strategic Framework on HIV/AIDS (NSF II) puts OVC programming under Priority Four, a priority which focuses on scaling-up HIV treatment, care and support. The services provided under this area are an important part of the national response and are a priority in the sense that they need not only to be maintained over the next seven years, but fine-tuned and scaled up as well. A National Operation Plan (NOP) for the NSF II is currently under development.

Even though much has been done in the area of OVC, the NSF II maintains that the OVC program's fundamental focus on the provision of material and medical assistance to OVC during the preceding years has taken precedence over other key issues, such as behavioral interventions, child welfare monitoring and, importantly, psychosocial support. There is consensus around the need to further articulate the program and expand the scope of services to include social welfare and social protection systems within a family-centered, social development framework.

At the forefront of addressing gender issues and ensuring mainstreaming is the Women's Affairs Department (WAD) under the Ministry of Labor and Home Affairs (MLHA). The Department's mandate includes facilitating the process of creating a positive attitudinal change through sensitization of development agents on gender and development issues. In line with this, the Department provides guidance and leadership on gender and development to partners including government ministries and departments, parastatal organizations, the private sector and non-governmental organizations.

Many documents guide the Department's work, including the Beijing Platform for Action, the UN's Millennium Development Goals, the Southern African Development Community (SADC) Declaration on Gender and Development, SADC Gender Protocols, Botswana Vision 2016, and the National Gender Program Framework.

In 2008, a National Policy on Gender and Development was created that mandates the GOB to recognize men and women as vital resources for developing the country and to identify and eliminate all obstacles impeding their economic, political and social participation. Additionally, there is a Domestic Violence Act of 2008, which has been packaged in a user-friendly manner. It has been translated into Setswana to ensure that the message reaches the majority of the population. Dissemination has also been focused on the different partners who work to implement this Act. These include the Police, Magistrates and the Men's Sector. However, dissemination has been met with challenges of limited resources. The other limitation is that the document has not been turned into child-friendly versions, therefore it may not be well utilized by children, yet they are often targets for GBV.

vi. GOB-USG Collaboration

The United States Government (USG) has developed a five-year Partnership Framework (PF) with the Government of Botswana (GOB), which outlines the goals and objectives for USG support to Botswana's HIV/AIDS response. The PF is aligned with the NSF II and the NDP 10, and summarizes how PEPFAR resources are expected to be used to support the GOB's national priorities for HIV and AIDS. The Partnership Framework is also based on the priorities of the second phase of PEPFAR (PEPFAR II), which encourages USG support in all countries to shift from providing emergency support toward supporting increased sustainability of each country's HIV/AIDS response. Beginning in 2010, all PEPFAR countries are also included in the USG Global Health Initiative (GHI), an initiative that seeks to maximize sustainable health programs. The key aspects of this initiative include: focusing on women and children; increasing impact and efficiency through strategic coordination and integration; strengthening and leveraging key partnerships, multilateral organizations, and private contributions; encouraging country ownership and investing in country-led plans; improving metrics, monitoring and evaluation; and promoting research and innovation.

vii. Current PEPFAR Supported OVC and Gender Activities and Challenges

(a) OVC Projects

The Botswana OVC program, which provides basic services to OVC aged 0-18 years, is implemented through the Ministry of Local Government (MLG) and coordination is provided through the same Ministry, specifically by the Department of Social Services (DSS). Over the past five years, PEPFAR resources have supported the National OVC program through working with both the GOB and NGOs. USAID/PEPFAR is currently supporting OVC

programs in seven districts with the majority concentrated along the eastern side (along the railway line) of the country. These activities support the national OVC plan and provide the following services:

1. Identifying and assessing needs of Orphans and Vulnerable Children (OVC): Once OVC are identified, a thorough assessment is made in consultation with the local government officials to identify the need of the OVC. This process ends when the OVC are able to access the services that they need or when the identified child does not meet the criteria in place for providing services to OVC. BIAS III estimated that there were 111, 567 combined single and double orphans in the country. At the end of December 2009, DSS had registered 46, 457 orphans, evidence that many orphans have not been identified and registered with the system hence the need to intensify the identification, assessment and registration process.
2. Initiating referrals: Referrals are initiated where the identified child may need services that are not within what the individual activity can provide. For example referrals are made to the:
 - i. Social and Community Development Department for children who may need school uniforms
 - ii. Clinics for those that may need health interventions
 - iii. Ministry of Education “Circles of Support Program” for children who may have dropped out of school.
3. Conducting Kids Clubs and providing psycho-social Support (PSS): This activity engages fieldworkers to facilitate Kids Clubs that are usually held in school premises after classes. Psycho-social support is provided through these clubs, as well as through interacting with individual children to address their needs. While the activity is meant to address issues that affect OVC, it also integrates the topic of HIV prevention in the discussions to ensure OVC are knowledgeable on HIV issues.

Despite all the efforts in place, PSS services remain inadequate due to limited capacity to provide some parts of the service such as counseling. Most of the projects do not have personnel that are qualified to provide such a service, which affects the quality of the service provided.
4. Training for care-givers: These trainings are organized and facilitated for parents and care-givers taking care of children who are orphaned and vulnerable. The training sensitizes parents/care-givers on how to better address the special needs and challenges of OVC and to successfully access available services/resources for the OVC.
5. Early childhood development (ECD) services: These services are provided through pre-schools to help children build a strong foundation for healthy and productive lives. ECD is important as it promotes the health, social, emotional and psychosocial development of young children and prepares them for formal school. In addition, providing opportunities for OVC to attend pre-school ensures that they get nutritional food during the day and are cared for in a safe environment.

The number of OVC reached with ECD services in the past five years has been very minimal. The programs that are currently available in the country are provided either through NGOs or privately owned schools, thus very limited ECD services reach

vulnerable children from poor households; these households cannot afford to pay school fees in private schools. Most NGOs currently pay school fees for young children in private day care schools rather than provide services through community based settings to maximize access to young children from poor families. Again, this affects the numbers that end up accessing such services due to cost. Some of the sites providing ECD do not have qualified pre-school teachers, thus the schools provide basic child tending and do not necessarily provide quality services that motivate, stimulate and prepare the child for formal school.

6. Income Generating Activities (IGA): This has operated on a small scale benefitting the parents/care-givers and older OVC with the aim of improving household livelihoods and individual OVC as well. Implementation has focused on providing training on how to start up an IGA as well as sharing ideas on the type of IGA that OVC and parents/care-givers can engage in.

Generally, there are limited economic strengthening and/or income generating activities for OVC and their parents/care-givers and what exists is not market-linked or driven. This applies to programs offered through the GOB and the NGOs and very few OVC and their care-givers have accessed the existing assistance. Those that have graduated from the existing assistance have experienced challenges of accessing start-up funds.

7. Child protection: The child protection aspect of the activities has concentrated on helping the OVC obtain their birth certificates and ultimately, their national identity cards. The interventions have focused very little on gender issues to address male norms and behaviors, violence and coercion and to sensitize beneficiaries about abuse, neglect and exploitation.
8. Coordination of the National OVC Program: The DSS has the mandate to coordinate the National OVC Program. However, challenges still exist, resulting in the Department not being able to deliver on the mandate effectively. These include; 1) OVC services are not adequately harmonized, with some appearing under the OVC support structure, while others under the Destitution Program; 2) staffing capacity is inadequate to deal with multiple OVC programs and initiatives; 3) there is a lack of mapping of service providers and an inadequate M&E system; 4) coordination mechanisms that are stated in the Children's Act of 2009 have not yet been fully implemented.

(b) Gender Projects

Over the past five years, PEPFAR resources have supported various gender projects under the prevention portfolio through working with both the GOB and NGOs. These projects include:

1. Kgetsi Ya Tsie:

Kgetsi Ya Tsie (KYT) is a Non-Governmental Organization whose areas of focus include microfinance/ lending, commodity production, marketing and sales of the products. The products that KYT produces are made up of morula fruit and they include cooking oil, soap, lip balm, hand and body lotion. The project's main areas of activity include:

- Integration of gender and HIV/AIDS into microfinance through supporting trainings that integrates gender and HIV/AIDS topics (including abstinence, voluntary counseling and testing (VCT), Prevention of Mother to Child Transmission of HIV and stigma and discrimination reduction).
- Microfinance for economic strengthening and empowerment through providing those who received training with seed money (grants) to undertake economic activities that are locally-based and environmentally-friendly to increase interest and participation of the members.
- Community mobilization and participation through providing opportunities for members to identify champions who can organize community events that foster dialogue on gender, economic vulnerability, and HIV/AIDS issues, including basic policy concerns such as accessing and utilizing HIV/AIDS prevention services, OVC care and support, countering stigma and discrimination.

The project has had many successes over the years but some of the most notable include attracting men to attend the educational forums on HIV/AIDS whereas before, the activities included mainly women. Several members of the young adults group, mostly out-of-school young men ages 18 – 25 are now actively involved in KYT activities. One of the biggest challenges that the project identified is the continued increase in cases of marital rape, incest and gender-based violence.

2. Vulnerable Go Girls! Initiative (VGGI):

The VGGI project aims to prevent HIV infection in the vulnerable adolescent girls through designing, developing, and testing interventions so as to produce evidence-based guidelines and recommendations regarding the factors that are both necessary and sufficient to reduce girls' susceptibility to HIV. VGGI is mainly targeting girls aged 10-17 but includes community members, influential leaders and other stakeholders. The most vulnerable girls to HIV include orphans and vulnerable children, early school leavers, socially marginalized, illegal migrants and/or who live in impoverished conditions. Activities for the project include: community mobilization, community-based life skills education, radio programming, adult-child communication, school-based life skills, school personnel training, and economic strengthening.

While the project did well in community mobilization, developing strong partnerships with relevant GOB ministries, getting input from stakeholders, and ongoing capacity building of local partners in life skills, community mobilization, adult-child communication, and reality radio, one of the major challenges encountered was the difficulty in coming up with concrete collective community action to fight girls' vulnerability.

3. Male involvement in PMTCT in Botswana:

The project provides financial support, technical assistance, and organizational capacity building to expand psychosocial support services and peer - counseling services to Prevention of Mother to Child Transmission (PMTCT) mothers and adult men. The project is structured around four main activities as follows; 1) establishment of a peer-counseling program for ante-natal women; 2) establishment of a peer-counseling program at ARV sites; 3) male involvement activity; targeting and involving men in HIV prevention and; 4) the Peer Mother activity. The male involvement aspect aims to increase men's positive and gender-equitable attitudes and behaviors and reduce the risk and vulnerabilities to sexually transmitted

infections. It also aims to get males more involved in PMCT through providing support to their partners who are on the program.

4. Women's Affairs Department:

PEPFAR support has also reached the Women's Affairs Department through funding different types of trainings and workshops that focused on the link between gender and HIV/AIDS and the inter-section between gender-based violence and HIV/AIDS. The beneficiaries of these trainings and workshops include community leaders, community based organizations and peer counselors/educators. PEPFAR funds have also been used to support a project officer to assist the Women Sector Coordinator in the National AIDS Council. Additionally some funds were directed towards the development of a communication strategy.

viii. PEPFAR II OVC and Gender Programming

Support for orphans and vulnerable children are integral to PEPFAR's efforts to mitigate the broad socio-economic impact of HIV/AIDS. As defined by the Joint United Nations Program on HIV/AIDS (UNAIDS), and reiterated by the Hyde-Lantos Act that reauthorized PEPFAR II, OVC are "children who have lost a parent to HIV/AIDS, who are otherwise directly affected by the disease, or who live in areas of high HIV prevalence and may be vulnerable to the disease or its socioeconomic effects."² The international community defines children as individuals from birth up to 18 years of age and PEPFAR II continues to place a priority on care and support of OVC in the HIV/AIDS response. Among the goals of PEPFAR II is care for 12 million individuals infected with or affected by HIV/AIDS, including five million OVC, with an emphasis on comprehensive, coordinated systems of services integrated throughout the continuum of care.

a) *OVC*

The PEPFAR OVC programming goal is to improve child well-being by mitigating the impacts of AIDS, reducing their risk to the disease, and increasing their resilience. Because AIDS predominantly affects adults of childbearing age, it ultimately jeopardizes the stability of families and their capacity to attend to children's basic developmental needs. As family structures weaken or fail altogether, the likelihood of children surviving childhood and becoming contributing members of society decreases. Children are also less likely to be schooled, fed, provided health care, sheltered, loved and protected. When families cannot provide these basics, their children may also become more vulnerable to HIV infection as well as other diseases. PEPFAR, therefore, emphasizes holistic programming to address six primary domains of child well-being: 1) education and skills training; 2) food and nutrition; 3) health care; 4) shelter and care; 5) psychosocial support; and 6) protection.

b) *Gender*

Integration of gender into HIV and AIDS programs is also integral to the efforts of PEPFAR in mitigating the broad socio-economic impact of HIV/AIDS. PEPFAR recognizes the role that gender variables such as unequal power balance between males and females, gender-

² The Tom Lantos and Henry J. Hyde Global Leadership Against HIV/AIDS, Tuberculosis, and Malaria Reauthorization Act of 2008, PL 110-293, 122 STAT. 2918, (2008), cited on <http://www.pepfar.gov/about/index.htm>

based violence and cultural norms and behaviors have on the spread of HIV. All these variables place women in a disadvantaged position, leading to HIV prevalence rates among females being higher than those among males. Responding to HIV/AIDS in a way that takes gender into account is more likely to result in a positive impact that will last for a long time.

In response to this challenge, PEPFAR has developed a gender strategy that focuses on the following five elements: 1) increasing gender equity in HIV/AIDS programs and services; 2) reducing violence and coercion; 3) addressing male norms and behaviors; 4) increasing women's legal protection; and 5) increasing women's access to income and productive resources.

Comprehensive programs that build upon PEPFAR's strategic priorities on the issues of OVC and gender are required to reduce the impact of AIDS and to strengthen both children and families now and in the future. PEPFAR programs, therefore, span a broad and complex range of multi-sectoral interventions intended to build capacity within families, communities, and governments to support the development of OVC and gender.

B. Objectives

The goal of this project is to improve the quality of life of orphans, vulnerable children, and their caregivers and improve gender-based responses and programming in all HIV/AIDS activities in Botswana. With a family/household perspective, the project intends to achieve this goal through implementing activities that address the following four objectives:

1. Improve the livelihoods of households for vulnerable adolescents, especially girls and vulnerable women.

The expected results for this objective are:

- Strengthened community structures to identify and support vulnerable households and link them to other relevant services (e.g PMTCT and Nutrition).
- Increased enrollment of vulnerable adolescent girls and boys in market-linked/driven vocational training.
- Increased participation of vulnerable households, including men, in economic strengthening activities (IGAs, Savings and Loan Associations, Gardening).
- Increased number of youth submitting successful business proposals to possible funding agencies.

2. Improve developmental interventions for vulnerable children and adolescents.

The expected results for this objective are:

- Increased access of most vulnerable children to quality early childhood development.
- Establish/strengthen linkages with families/care-givers, including men.
- Increased access of adolescents to mentoring, life skills and HIV prevention programs.

3. Reduce the risk of neglect, exploitation and abuse of vulnerable children, adolescents and women.

The expected results for this objective are:

- Increased services to cater for and protect abused children and women.³
 - Increased involvement of men as peer educators, mentors, care-givers and role models.
 - Improved skill of child welfare workforce to recognize signs of and reduce potential abuse and exploitation.
 - Strengthened systems (referrals networks and community structures) to meet the needs of those neglected, exploited and abused.
 - Increased awareness of rights and ability to seek help by vulnerable children, adolescents and women.
4. Improve development, implementation and coordination of national frameworks and policies that address the needs of children and women.

The expected results for this objective are:

- Government of Botswana supported to implement OVC and gender related policies and Acts.
- A system for routine mapping and reporting of OVC services established.
- Functioning and up to date OVC and gender data-bases available.
- Increased participation of children and women in policy planning and implementation.
- Curriculum on gender training developed and implemented.
- Baseline and evaluation surveys conducted.

C. Program Description

1. PEPFAR II Strategic Priorities

PEPFAR II guidance makes clear that USG resources need to reflect and balance certain priorities within the Botswana context: 1) support the host country national plan; 2) support human capacity building for government and implementing partners; 3) support direct services to achieve the announced global targets of reaching five million orphans and vulnerable children and contribute to the global training targets of 140,000 health workers in prevention, treatment, care and support; and 4) leverage USG resources to maximize impact.

This project will incorporate these PEPFAR II priorities, while building on the successes of the previous five years and addressing the gaps that have been identified. OVC programs will reflect PEPFAR's six focus areas while gender-related programs will reflect the five elements of the PEPFAR gender strategy.

Services will be intended to reach more of Botswana's marginal and vulnerable children, and adolescents, especially girls and women. These may include children: living outside of family care (e.g., residential care, in conflict with the law), those who are disabled and those exposed to child labor and trafficking. Services will also be intended to reach adolescent girls and women who are being culturally and/or geographically marginalized and those exposed directly to gender-based violence.

³ Support to law enforcement agencies under the resultant cooperative agreement is subject to USAID approval.

2. Guiding Principles

The following are programmatic principles which should guide the interventions and approaches under this project:

Most Vulnerable Populations – Direct services for at-risk children and their caregivers must be inclusive, addressing the needs of most vulnerable populations, including those who may be overlooked or marginalized. Such activities tend to be challenging, of modest scale and reach, and relatively expensive. These groups may include children living outside of family care, disabled children, HIV positive children, children in conflict with the law, and/or geographically isolated from existing services.

Continuity of Care – The continuity of services and care for highly vulnerable children is essential. Beyond preserving key relationships with primary caregivers and preserving sibling integrity, efforts should be made to keep children in their own communities, allowing them to benefit from familiar local structures that can protect them (schools, churches, neighborhoods and clinics). Civil society organizations should work with government and local leaders and authorities to ensure on-going support for highly vulnerable children and their households.

Innovative Approaches to Engaging Men – All too often, support for vulnerable children comes from the perspective of female primary caregivers. The important space that men can occupy to contribute to child development as role models and caregivers is seldom fully appreciated or realized. Beyond traditional roles as breadwinners, men can be engaged in care giving roles, e.g., vocational training, sports activities, income generating efforts, direct care giving such as within ECD structures and support to Kids Clubs.

Working with Community Structures – Beyond the protection from their primary caregivers, children's development must necessarily be supported through community structures, including: schools, churches, health clinics, sports centers, and organizations such as Girl Guides and Boy Scouts. Being part of a neighborhood or village includes belonging to a "place" that is known and understood. Thus, the physical movement of vulnerable children from their original communities may prove detrimental to their overall development. Staying within their communities can preserve sibling integrity, as well as the child's culture and language, highlighted as rights within the Convention on the Rights of the Child (CRC).

Family/Household-Centered Approach – Households are comprised of people who are in some way affiliated, i.e., individuals who share common space for living, cooking, and caring for children. Supporting vulnerable households and by definition, caregivers, can assure continuity of care and support for vulnerable children. Household support might range from: basic food security (e.g. intensive household gardening), to more focused economic strengthening, to training and support for primary caregivers in basic child developmental norms and parenting skills. The needs of elderly caregivers and child-headed households should receive special attention.

Child Developmental Approach – Project supported activities should cover the full life cycle, from birth to 18 years. The focus of program resources on school-aged children is important but insufficient. The periods of early childhood and older adolescence are especially important transition phases that tend to require direct services which are often outside of the formal school setting.

Sustainability– This is an ongoing principle that seeks to ensure that programs develop by drawing upon multiple sources of support, both within and beyond the community, with the inclusion of immediate stakeholder input. Sustainability requires a long-term perspective that values increasing autonomy and self-sufficiency and aims to result in continuity of care.

Child/Youth Participation – The Convention on the Rights of the Child highlights genuine child participation as a pillar of child protection. Though linked to her/his developmental stage and capacity, it values the child’s voice and opinions about activities that affect him/her, with emphasis on increasing levels of autonomy and competence.

Gender Situation Analysis – Policy agendas and direct services for vulnerable children must respond to the strengths, capacities and risks that may be particular to both girls and boys. Sensitivity to gender issues and contextual factors must be articulated and addressed through a situation analysis. These needs and capacities are dynamic and evolving so require ongoing attention and evaluation.

3. Project Activities

Interested applicants should consider the activities that are proposed below (Objectives 1- 4) which are intended to address the following PEPFAR critical guidelines in the areas of OVC and Gender:

- PEPFAR II strategic priorities as stated under Section I.C.1 above with the exception of priority 4
- The six primary domains of child well-being as stated in Section I.A.8.i above and
- The five elements as stated in the PEPFAR gender strategy as stated in Section I.A.8.ii above

Objective 1: Improve the Livelihoods of Households for Vulnerable Adolescents, Especially Girls and Vulnerable Women

PEPFAR I interventions for orphans and vulnerable children tended to focus on activities that addressed the needs of school-aged children, generally aged seven through fourteen. The resources and programming for children under six or for the older adolescent child, especially the girl child, have been limited. Similarly, interventions have provided limited support for poor, female headed households where so many OVC reside. Households are the frontline for the care and support of vulnerable children; therefore, poor households require support that enables them to become increasingly autonomous and self-supporting, assisting them to meet the developmental needs of their children and adolescents in a sustained way. Illustrative project activities addressing this objective include:

- a. **Identification of and referrals for vulnerable households and individual children:** Efforts aimed at supporting the local community structures including local leadership/authorities, District AIDS Committees, District Gender Committees, civil society organizations, Village Development Committees, clinics, schools and churches to strengthen networking to increase identification and referrals for services for the members of vulnerable households and individual children must be strengthened.
 - i) Emphasis should be placed upon building systems to identify vulnerable households and individual children and make referrals between related services (including follow-up), ensuring a coordinated way of delivering

services and minimizing the number of cases lost to follow up such as in Prevention of Mother to Child Transmission (PMTCT). This might also include health, immunizations, nutrition and food security support, and psychosocial support for women and other caregivers, especially those who are ill or elderly.

- ii) Direct efforts are required to make sure that qualified households and individual children and adolescents receive the GOB entitlements for which they are eligible. This support may range from identification of vulnerable children and households, to documentation and legal services (e.g., for birth registration, national identity cards, etc.) to receiving food rations, to direct guidance, in consultation with relevant GOB offices.

b. *Development of job skills and linkages with opportunities for generating income:* Efforts to promote household autonomy and self-sufficiency should be supported through developing job skills and linkages with opportunities for generating incomes and making a living for vulnerable households.

- i) Vulnerable households require economic strengthening activities that are directly linked to existing market forces. Such services must be based on sound, demonstrated technical knowledge in this field. Some of the successful economic strengthening activities have included beekeeping, poultry and small animal husbandry, brick-making, internal savings, lending schemes and baking schemes. However, ALL of the activities implemented under economic strengthening should be pursued following sound, local market analysis, and should not be scaled-up until their effectiveness has been demonstrated.
- ii) Economic strengthening activities that include sound vocational training (also built upon market linkages) are required for women and poor, vulnerable adolescents, especially those who are out-of-school. Men from vulnerable households should be targeted for these activities. The inclusion of basic business skills and record keeping are often effective. Strong relationships with the private sector and academic institutions such as the University of Botswana, Faculty of Business, Limkokwing University and Botswana Accountancy College to support this program should be evident.
- iii) Efforts should be made to link graduates with available funding opportunities including those in the Ministry of Youth, Sports and Culture (MYSC). Ongoing support in the form of mentoring for recent graduates and in putting together applications for funding should be evident. This will assist the beneficiaries to establish themselves in the business market while increasing their levels of autonomy and self-sufficiency.

Objective 2: Improve Developmental Interventions for Vulnerable Children and Adolescents

While PEPFAR support has provided services to many OVC, the program has not fully contributed to improving services that address developmental needs of all vulnerable children and adolescents. A significant commitment of resources is therefore required to address other key stages and transition periods over the course of a child's development, especially for vulnerable children. Illustrative project activities addressing this objective include:

- a. *Early Childhood Development:* Priority should be given to reach children under six years old from poor households to ensure that they can receive low-cost, local, community-based early childhood development (ECD) services to enhance a

successful transition to formal school. Efforts should shift from providing general child-minding services to providing quality ECD that includes the mastery of essential skills that enable children to succeed in the transition to school. Pre-school provides children with a “head start” in the development of social and educational skills, provides a safe environment for young children, and respite for elderly caregivers. Often through effective referrals, these efforts can help address the basic nutritional needs of young children and increase access to basic health monitoring, including coverage of childhood immunizations. Such programs should demonstrate that providing good ECD services increases the flexibility of primary caregivers in the household and also increases the opportunity for vulnerable girls to remain enrolled in school.

- b. *Life-skills, Health including Sexual Reproductive Health and HIV prevention for adolescents*: Adolescence is a critical stage of development where a lot of assistance is needed to ensure one develops into a competent individual. Vulnerable children who are in the adolescent stage need to be supported through the provision of focused life skills, including health, sexual and reproductive health (SRH) and HIV prevention. With adolescent girls, skill training in social negotiation has proven effective in multiple settings across the region. Methodologies should emphasize good mentoring over peer education in the provision of essential life skills that will, among other things, empower young girls to remain in school. Additionally, efforts should be focused on establishing linkages with and developing referral systems to existing GOB and PEPFAR-supported HIV prevention programs to ensure maximum utilization of available services by adolescents.

- c. *Linkages with parents/care-givers*: Too many times if efforts are not made to involve parents in the planning and implementation of programs that benefit their children, they tend to neglect their responsibilities as parents/care-givers and pay very little attention to what happens to their children outside their home; leaving all responsibility to the teachers and health-care providers. Efforts should be made to ensure that parents/care-givers are involved in the planning and implementation of services that are meant to address the developmental needs of vulnerable children and adolescents. For example; setting up a care-giver/parents/service provider association to serve the purpose of bringing the two parties together on a quarterly basis to discuss progress not only from the perspective of the provider but also from the parents/care-givers perspective. The association can play other roles such as helping the service provider fund raise, serving in the board of directors, and reviewing and contributing to the improvement of the program that the children are benefiting from. Additionally, early childhood education service providers should be able to do home-visits; to homes where the children they work with come from, where they will be able to observe the children in their home environment. Parents/care-givers can also play an important role in mentoring and empowering their children to remain in school, access sexual reproductive health and HIV prevention services. The involvement of parents in the children’s programs should not be limited to women only. Efforts should be directed towards involving fathers/men to play a role in all the activities that involve parents, care-givers or families.

Objective 3: Reduce the Risk of Neglect, Exploitation and Abuse of Vulnerable Children, Adolescents and Women

Neglect, exploitation, abuse and gender-based violence are issues that continue to affect adolescent girls and women in Botswana. These occur both within the family and the general community. Violence in the family encompasses partner battering, killings, threats to kill and sexual abuse of children. According to the Botswana Police Services, the current national statistics show an increasing number of females who die at the hands of their partners/spouses or even parents. Some of the cases that are reported to the police are completed in courts whereas others are withdrawn for various reasons, and in some instances, accused persons are acquitted. Risk reduction for neglect, exploitation and abuse of children, adolescents and female caregivers requires efforts at multiple levels at the same time. Illustrative project activities addressing this objective include:

- a. ***Expansion of Child and Women-centered Services:*** These services must be increased at the community and district level, including known, reliable safe havens where children and women who are abused can be cared for and protected while evaluation and treatment needs are addressed. It is essential that continuity of care is provided to affected children, adolescents, women and their immediate caregivers. Examples of care services to be provided include occupational therapy; individual, couple and family counseling; and health care referral and follow up including sexual reproductive health. Support groups that are run by qualified facilitators should be supported to address different topics related to gender-based violence with the intention of helping the victims cope with the situations they are facing or have faced. Additionally, the safe havens should equip victims with life-skills such as assertiveness training to ensure that by the time they go back into the community, they still have high self-esteem and are confident about who they are. In addition, to address the issue of heavy reliance on men by women for economic support, the safe havens should provide income generating skills such as knitting, weaving, baking and sales and marketing to the women and older children in their care. The economic support should include mentoring the beneficiaries on how to manage their income once they start an income generating activity. These services should be available to children, adolescents and women who 1) currently are staying in the safe haven 2) have been discharged and 3) live in abusive situations. The safe havens supported should be comfortable places that take into consideration issues of safety and security to ensure victims are always protected from further abuse. For example, the premises should be guarded, there should be an exclusion criteria for volunteers to eliminate possible abusers and volunteers and staff should receive regular in-service training on ethical conduct to ensure clients are treated sensitively and with respect. Safe havens should remain temporary and with established timelines until more permanent care can be secured for the child, adolescent and women survivors.
- b. ***Involvement of Men:*** Men are usually the perpetrators of abuse, gender-based violence, neglect and exploitation among children and women. Efforts must be directed at helping men realize that they have an important role to play in society in responding to issues of OVC and Gender. This may include involving men as peer educators and mentors to work with other men to create awareness on general issues of abuse, including the legal aspects related to these issues. Stronger efforts should be made to provide men with the skills needed to deal with emotional issues in a constructive way as well as to engage and support men as caregivers and role models in their communities.

- c. *Enhanced Skills of the Child Welfare Workforce*: At a systems level, efforts to increase and enhance the skills of the child welfare workforce are critical. Activities that provide capacity building with the stakeholders who have direct contact with children, adolescents and women are required. This often includes teachers and counselors in schools but also, and very importantly, social workers, volunteers, health staff, police⁴, court officials and immigration officers. Training that features pre- and post-testing of knowledge and provides a certification of successful completion have enhanced skill levels in numerous settings. The skills in working with children, adolescent girls and women who have been abused, especially through sexual abuse, must include; 1) ability to recognize signs of potential abuse and exploitation; 2) knowledge of confidentiality; 3) ability to provide services including initiating referrals in a child/survivor-friendly manner; 4) ability to provide ongoing protection of victims and 5) ability to conduct assessments and provide treatment services for perpetrators. Activities implemented under this area, should show linkages with the BPS and WAD.
- d. *Strengthened Referrals Systems*: Due to the sensitivity attached to issues of neglect, exploitation, abuse and gender-based violence, sometimes survivors do not receive/access all the available services. The lack of an effective referral system among the service providers has been identified as a contributing factor to the low uptake of services. There is need, therefore, to provide support to the responsible GOB department/ministry to develop and roll-out an effective referral system that will ensure that survivors know where to go, when and the type of services they will get at a particular setting. Service providers should be trained on how to effectively utilize the referral system.
- e. *Creation of Awareness*: While campaigns addressing issues of neglect, exploitation and abuse, including gender-based violence, have been taking place for some time, children, adolescent girls and women continue to be victims of such acts at increasing rates. Efforts should be directed at strengthening current education and awareness programs through keeping these issues on the agenda of community and district level committees that deal with the welfare of children, adolescents, women and vulnerable households. A national media campaign that is packaged effectively to address these issues will be one of the efforts that this project will support. Collaboration with existing successful media projects like “O icheke campaign” and “Makgabaneng Radio Drama” to carry this project should be supported. The results of these efforts should be increased ability by vulnerable children, adolescents and women to seek help. Too often these vulnerable groups do not access available help due to fear of victimization or fear of losing the family’s source of income. These efforts must be packaged effectively, with clear actions and appropriate contacts.

⁴ Support to law enforcement agencies under the resultant cooperative agreement is subject to special USAID approval.

Objective 4: Improve Development, Implementation and Coordination of National Frameworks and Policies that Address the Needs of Children and Women

Coordination is an essential feature of the sound implementation of national policies for vulnerable children, adolescents and women. This includes ongoing efforts to monitor and evaluate impact at all levels. Illustrative project activities addressing this objective include:

- a. ***Implementation of the Relevant Acts:*** The development of the implementation plans for both the Children's Act and the Domestic Violence Act are currently underway, led by the relevant GOB departments. Efforts should be channeled to support these national activities, especially implementation of both Acts including translation of the Children's Act into Setswana and turning the Domestic Violence Act into child-friendly versions. The Children's Act refers to the development of new structures aiming to improve coordination of OVC services. These include the National Children's Forum and the National Village Protection Committees. Efforts should be made to support the development of such structures in collaboration with the relevant GOB ministry and department.
- b. ***Development and Implementation of OVC Policy and draft National Policy on Gender and Development:*** There is a draft OVC policy which is at advanced levels of approval nationally. The policy's goal is to promote an enabling environment to ensure that every vulnerable child, (boy and girl) is protected, cared for and supported to achieve his/her full potential and realize his/her rights and responsibilities. Support for implementing the OVC policy is essential. A draft national policy on gender and development exists. Efforts should be directed at supporting WAD to complete the policy and the communication strategy that is aligned to the policy to enhance the department's ability to lobby for gender equality across all development sectors as well as at family level.
- c. ***Mapping of Services and Service Providers:*** While there are a number of service providers doing OVC and Gender work, the absence of detailed mappings of their efforts makes it a challenge to coordinate their services. National mapping efforts that yield descriptive pictures of where services are provided and by whom are essential tools for management oversight as well as measuring impact and identifying gaps. Government departments with the mandate and authority to oversee gender and OVC programs will be much more effective if they can guide and reshape the nature and geographic place of such services. It will be necessary for the apparently successful applicant to establish partnership with the National AIDS Coordinating Agency (NACA) while doing this work to ensure that the results of this work are feeding into the national monitoring system.
- d. ***National Databases:*** The absence of well developed databases that capture information necessary to give broader pictures of OVC programs continues to be a challenge. Efforts should be directed towards revamping the national OVC database to ensure that it meets the needs of the relevant ministries and enhances effective coordination of the programs. Similar efforts should be directed towards strengthening the capacity of the WAD to build a reliable database, an essential tool for coordinating gender-based activities. For both OVC & gender areas, reinforcement for having all service providers reporting in to one national database system is essential as it ensures a coordinated way of collecting and analyzing data. The OVC and gender systems should be revamped/ designed based on consultations with the

NACA database managers to ensure that they can be linked with the national HIV/AIDS database system that NACA coordinates.

- e. *Involvement of Beneficiaries*: Ideally, programs are developed based upon community requests, with local identification of needs and priorities. The development of project applications should demonstrate clear linkages with local stakeholders including local officials, local community structures such as the Village Development Committee (VDC), Parents and Teachers' Association (PTA) and Village Health Committees (VHC) and direct input from the beneficiaries themselves (e.g., vulnerable children, adolescents and their caregivers and battered women). Ongoing exchange and sharing information with beneficiaries is a feature of sensitive, empowering programs.

- f. *Support WAD to Implement Gender Training*:

Building on PEPFAR's past support to the Women's Affairs Department, efforts through this project should aim to increase gender equity in HIV/AIDS activities and services by:

- i. Supporting curriculum development and establishing a team of master trainers and mentors, recruited from WAD officers in eight districts, who will carry out a national, comprehensive gender analysis training program tailored to the needs of GOB officials working at the District level and PEPFAR-funded implementing partners; and,
- ii. Providing technical assistance and support to managers of national health information systems to improve the data that are available for gender analysis.

This activity directly supports WAD's priority of mainstreaming gender analysis knowledge and skills for officials in GOB ministries throughout the country and will not only benefit HIV/AIDS programs but also broader health and community development programs.

- g. *Conduct baseline and end of project evaluation*: Before the project starts, efforts should be directed towards collecting baseline data. This information will describe the situation before the intervention starts and will also be used during the life of the project to indicate progress towards the goal and objectives of the project. Additionally an end of project evaluation should be conducted to measure the impact that the project has had in the lives of vulnerable households, individual children, adolescents and women.
- h. *Logistics support*: The apparently successful applicant will work closely with the Departments of Social Services and Women's Affairs to provide logistics support. This includes organizing and supporting annual OVC and Gender stakeholder meetings. The meetings will bring together the different implementers (government and non-governmental) to share experiences as well as receive the latest updates from the GOB coordinating departments. The tasks will include identification of the venue, preparation of the workshop materials, development of the agenda, identifying and contacting the speakers, inviting participants and meeting the costs of the workshops and other related costs.

4. Geographic Coverage

Priority will be given to continue coverage of services in the areas that PEPFAR partners are currently working in. However, it is important to note that direct services provided through this project should enhance support to underserved areas such as Ghanzi, Ngamiland and Kgalagadi.

5. Resource Leverage - GDA/PPP Strategy:

Official U.S. Government assistance now accounts for only a minority share of the flow of resources from the United States to developing countries. Another PEPFAR priority is to identify new sources of funding and leverage participation of the private sector and non-traditional partners to create more sustainable programs. In Botswana, all USAID projects will include a **20% cost share requirement** and encourage development of public private partnerships (PPP) to augment funds available from the USG.

USAID anticipates that project funds/technical assistance/grants under this award will be used as leverage for private sector funding or resources. Applicants are encouraged to define innovative, practical approaches to using these resources to promote program objectives. USAID has established a target ratio for leverage of 1:1. Leveraged resources obtained through partnerships may free up funding for other purposes within this program description or allow for expanded program implementation. Applicants should visit the USAID web site (http://www.usaid.gov/our_work/global_partnerships/gda/index.html) for more information on the criteria for "Global Development Alliance" (GDA) activities and refer to ADS 303.3.10.2 Cost Sharing and Leveraging that defines "cost sharing" and "leveraging" and the distinction between the two.

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

A sound GDA/PPP strategy and approach is required for the application.

2. AUTHORIZING LEGISLATION/APPLICABILITY OF 22 CFR 226

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

Applicability of 22 CFR part 226 (May 2005)

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

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are

required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

3. PROGRAM ELIGIBILITY REQUIREMENTS

Any non-governmental organization (including, but not limited to, Private Voluntary Organizations (PVOs) and for-profit entities) or Public International Organization is eligible to apply under this RFA. Organizations or institutions with on-going or planned activities with potential to support USAID/Southern Africa's health objectives may submit an application for funding.

4. AWARD ADMINISTRATION

For U.S. organizations, 22 CFR 226 and the *Standard Provisions for U.S., Nongovernmental Recipients* will apply.

For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award.

For Public International Organizations (PIOs), the *Standard Provisions for Grants to Public International Organizations*, along with selected provisions from the *Standard Provisions for Non-U.S., Nongovernmental Recipients* and other negotiated provisions, will be used.

These documents may be accessed through the internet as follows:

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

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

SECTION II – AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, USAID intends to provide approximately \$16.8 million in total USAID funding for the life of the project. USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund one or none of the applications submitted.

2. START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years. The estimated start date is on or **about March 1, 2011.**

3. TYPE OF AWARD

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

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

SECTION III – ELIGIBILITY INFORMATION

1. *APPLICANTS*

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

2. *COST SHARE/RESOURCE LEVERAGING*

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are required to contribute resources from own, private or local sources for the implementation of this project. Cost sharing is defined at 22 CFR 226.23. **Cost share under the proposed award** is required to be **at least 20%** of the total estimated amount. If the applicant proposes a cost share of less than **20%**, it will be deemed as not responsive, and will be removed from further consideration. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

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

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

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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 – Non-construction Programs,**
- **SF-424B, Assurances – Non-construction Programs,**

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

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

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

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

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

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

The application shall be split into two separate parts:

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

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

A. Technical Application Format

The Technical Application shall contain the following sections:

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

The overall page limitation for the technical application is 32 pages. Applications shall be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper) or A4 paper, single spaced, 12 point font with each page numbered consecutively⁵. The Annex and items such as the cover page, dividers and the table of contents are not included in the 30-page limitation.

1. Cover Page

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

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

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

⁵ 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.

2. *Project Abstract/Executive Summary*

The Project Abstract shall be a two-page summary of the application. The Project Abstract 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*

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

- a. Technical Approach;
- b. Partnerships and Sustainability;
- c. Management & Staffing;
- d. Organizational Capability/Experience; and
- e. Past Performance

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

a. Technical Approach

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

1. Technical Soundness

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

Also in this section, the applicant should demonstrate the following:

- The problem to be addressed including the different needs of vulnerable girls, boys and women and relevant cultural or gender context.
- Outcomes that are aligned with national guidelines and policies, and PEPFAR Botswana team goals and strategies.
- Best practices to achieve the objectives of the Program Description.

- Clear plan of how the project activities will compliment Government of Botswana initiatives on OVC and Gender.
- Ability to target the most vulnerable and underserved populations with appropriate strategies.
- Innovative, comprehensive approaches to male and youth involvement, economic strengthening and community participation.
- Knowledge of the PEPFAR “Next Generation” indicators that the project activities will address. This should be done by discussing these indicators in this sub-section of the Technical Application Body. Applicants should provide a preliminary monitoring and evaluation (M&E) plan in their responses. This plan shall identify preliminary indicators and targets which support and contribute to the PEPFAR Next Generation Indicators.

2. Implementation Effectiveness

An implementation plan for achieving the expected project results should be discussed in this sub-section. The implementation plan should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the project results. At a minimum, this discussion should address how:

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

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

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

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

b. Partnerships and Sustainability

In this section, the applicant shall include a comprehensive approach/strategy to leveraging including the cost sharing and/or private sector engagement (as discussed in Section I.1.C.5 and III.2 of this RFA). The Applicant should describe its understanding of the need for Global Development Alliance and potential private sector partnership opportunities in this project and how potential partnerships will contribute to project objectives/results and to the business interests of potential partners. The Applicant shall further describe their plan to partner with local network, organizations and government and how these partnerships contribute to the sustainability of the project. The description will address the approach the

organization will use for private sector partner engagement, with a focus on innovative approaches and sustainable development outcomes and a detailed explanation of how partnerships, including leveraged funds, will be solicited, established, and managed. Additionally the Applicant will demonstrate why the proposed partnership presents a compelling business interest for prospective resource partners. The Applicant shall also elaborate on the sustainability plan for transferring practices to key local stakeholders as well as elaborate on clear plans for continuity of services after the life of the project.

c. Management & Staffing

In this section, the Applicant should discuss its proposed management and staffing plan that is capable of operating independently, particularly in cases where time does not permit consultation with headquarters to respond to time-sensitive requests from the Botswana PEPFAR team and USAID/Southern Africa Regional HIV/AIDS Program Office team, or when long turnaround times from headquarters' reviews of reports and other documents delay the submission of those documents. The team in the country should have the authority to make decisions and set priorities for program-related activities. Applicants should provide summary descriptions of roles, responsibilities, and qualifications of all key personnel, local and expatriate, consultants, sub-awardees/partners to be funded under the award. The details of required information are as follows:

Management

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

Staffing

Applicants should propose a comprehensive staffing plan (including short-term and long-term personnel) for the achievement of the project objectives. The staffing plan should reflect a combination of strong management and specific technical expertise. The Applicant will propose technical and other personnel as deemed appropriate to implement and manage this complex project. The staffing level and pattern may be increased or modified over time if needed to provide effective support and respond to unforeseen circumstances.

Applicants must specify the positions that they deem as Key Personnel and provide resumes for the candidates proposed for such positions. Applicants shall specify the qualifications and abilities of proposed Key Personnel relevant to successful implementation of the proposed technical approach. The Applicant shall also include, in an annex, bio data sheets (Form AID 1420-17)⁶ for all key personnel candidates. Resumes may not exceed three pages in length and must be in chronological order starting with most recent experience. Each resume will be accompanied by a signed letter of commitment from each candidate indicating his/her: (a) availability to serve in the stated position; (b) intention to serve for a stated term of the service; (b) contact details for at least three references; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

Applicants should consider local and regional personnel for all staff positions in this project. USAID, however, will consider appropriate international staff for positions that are more difficult to recruit locally or regionally. Understanding the expectations of this project to deliver innovative and comprehensive approaches to male and youth involvement, economic strengthening and community participation, the Applicants must ensure that the staff are capable of providing the necessary leadership, management and technical duties necessary for the successful execution of this project. For all staff, it is expected that the Applicant will describe how its HQ office will provide the supervision, management and continued technical training necessary to ensure that staff are prepared to assume and operate successfully in their roles.

In proposing the overall staffing plan, the Applicant shall ensure that expertise in implementing similar programs of focus and scale in the African and Botswana context is represented. In particular, the Applicant should consider the following ***key personnel***: **Chief of Party; Finance Director; OVC Programs Manager; Gender Program Manager and Monitoring and Evaluation Manager**. All proposed key personnel should have the demonstrated ability to implement the conceptual framework. Illustrative qualifications and experience for the Key Personnel are listed below:

Qualifications for the Chief of Party

The Chief of Party will have overall responsibility for coordination of all project activities and staff. S/he will have primary responsibility for representation of the project to USG. S/he will have the leadership qualities, technical expertise and experience, management experience, interpersonal skills and relationships to fulfill the requirements of the program description. The Chief of Party should have:

- At least 12-15 years of experience implementing and managing a complex program in/for a developing country
- Technical expertise in OVC policy and programs
- Familiarity with Government National OVC and Gender policies and plans
- Demonstrated ability to engage government and to represent OVC priorities and issues
- Demonstrated experience in financial and technical management
- Knowledge of gender issue and links with OVC and HIV/AIDS
- Master's Degree in public health, public administration, social work, psychology or related field.
- Strong leadership, management and interpersonal skills

⁶ Although not required in assistance awards, Form AID 1420-17 Contractor Employee Biographical Data Sheet is useful for purposes of cost analysis

- Strong writing and oral presentation skills

Qualifications for the Finance Director

The Finance Director will be responsible for the overall financial management of the organization. S/he will oversee the effective and appropriate use of financial resources of the project, develop effective mechanisms to monitor the expenditures and liquidations of the project and provide leadership in establishing alliances with the public and private sector and other donors to source other funds in order to maintain sustainability of the project. The Finance Director should have:

- 10-12 years of experience working as a financial manager.
- Familiarity with managing programs that are donor funded especially with those that are USG funded.
- Extensive experience working with Non Governmental Organizations.
- Demonstrated ability to establish alliances with the public and private sector.
- A master's degree or higher in accounting, finance, commerce or related field.
- Strong management and interpersonal skills.
- Strong written and oral communication skills.

Qualifications for the OVC Program Manager

The OVC Program Manager will be responsible for management of the element related to vulnerable children and adolescents of the project, including financial oversight, staffing, work planning and reporting. The OVC Program Manager should have:

- At least 10 years of experience designing, implementing and managing OVC projects
- Extensive experience implementing programs that address early childhood development, parent-child communication, livelihood programs, community mobilization, economic strengthening, child sexual abuse, OVC policy and advocacy
- Familiarity with Government National OVC policies and plans
- A master's degree or higher in public health, social work, child development or related field
- Strong management and interpersonal skills
- Strong written and oral communication skills

Qualifications for the Gender Program Manager

The Gender Program Manager will be responsible for management of project activities related to gender and gender-based violence, including financial oversight, staffing, work planning and reporting. The Gender Program Manager should have:

- At least 7 years of experience designing, implementing and managing gender-related programs
- Extensive experience implementing programs that address gender-based violence, male involvement, community mobilization, economic strengthening, gender policy and advocacy
- Familiarity with Government National Gender policies and plans
- A master's degree or higher in public health, social work, gender and development, or related field
- Strong management and interpersonal skills
- Strong written and oral communication skills

Qualifications of the Monitoring and Evaluation Manager

The Monitoring and Evaluation Manager will be responsible for designing and implementing systems to ensure appropriate tracking and assessment of all project activities. S/he will have primary responsibility of reporting on project outputs and outcomes and for ensuring quality of interventions. The Monitoring and Evaluation Manager should have:

- At least 10 years experience in monitoring and evaluation of OVC or similar programs
- Demonstrated experience in monitoring and evaluation of gender-related activities and outcomes
- Demonstrated experience in developing and managing data collection systems
- Ability to develop and implement quality assurance systems
- A master's degree or higher in public health evaluation, or related advanced degree
- Familiarity with Government National OVC and Gender policies and plans
- Strong management and organizational skills

Other Personnel

Applicants have the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet award requirements. This must be described in the technical application.

Consultants

Applicants may propose a mix of international and in-country professional expertise, advisors and specialists to conceptualize evidence-based approaches. There may be several critical areas requiring expertise that may not be available within the implementing partner's staffing plan where the services of consultants may be needed. Because of the important role that this expertise plays in ensuring evidence-based approaches in key components of the program, brief resumes of proposed consultants whose expertise would strengthen the merit of the application should also be included. The approach for integrating these consultants/organizations into the overall operation of the program should be clear so that it does not appear that consultants do not support the overall attainment of program results.

Sub-awardee/Alliance Partner

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

Applicants should propose innovative ways to reduce managerial costs of sub-partners and sub-grantees.

US Volunteers

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

d. Organizational Capability/Experience

In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar projects. This includes activities in HIV/AIDS policy development and delivery of OVC and Gender programs. Applicants shall also describe their organizational capability in leveraging resources from governments and the private sector as well as their experience in collaborating with others donors host country governments and NGOs. Additionally, the applicant shall describe the organizational financial and management systems and how that positions the organization to effectively manage this project.

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

e. Past Performance

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

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

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

1. The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);
2. A description of the project's scope, magnitude and period of performance;
3. Location of the project;
4. Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;

5. Discussions of accomplishments as well as engineering, management or other challenges associated with completion of the project and what the Applicant did to overcome the challenges
6. Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

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

4. *The Annex*

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

B. Cost/Business Application Format

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

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
3. 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 Section IV.2 above. All budgets shall include a sheet relating to the entire 60-month period and separate sheets for each of the five program years. These budgets shall 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 all budgets, including those of subawardees should be provided in unprotected Microsoft Excel format.
4. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
5. The following Section provides guidance on line item costs.

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

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

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

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

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

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

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOTR [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>].

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

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

6. In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full

discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

7. The required Certifications, including the SF 424s, should be included with the Cost Application.
8. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
9. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
10. Indicate if financial commitments were made among partners during the preparation of the 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 and management status, or that of major subcontractors and sub-recipients, including:
 - (a) Audited financial statements for the past three years,
 - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - (c) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
 - (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.
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 regarding its record of performance that were not discussed in the technical application);
- d. Has a satisfactory record of integrity and business ethics; and
- e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

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

13. Cost Sharing: Cost sharing is required, in addition to USAID funds. Applicants are required to contribute resources from their own, private or local sources for the implementation of this program. Applicants are therefore required to submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23 and can be audited.
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 on the date and time specified on the cover letter of this RFA. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. FUNDING RESTRICTIONS

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

7. GENERAL INSTRUCTIONS

USAID will accept applications from the qualified entities as defined in Section III of this RFA. Applicants should follow the instructions set forth herein. If an applicant does not

follow the instructions, its application may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via e-mail to: applications4@usaid.gov with up to 10 attachments (5MB limit) per email compatible with Microsoft Office 2003 (MS WORD or Excel) environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed and all budgets, including those of proposed sub-recipients/sub-contractors, must be in an unprotected MS Excel format. The subject line for every such email must include the following: **“Botswana OVC & Gender Project.”** Applicants shall provide 2 (two) hard copies of the original technical application and 2(two) copies of the cost application to the following address, with the goal that these hard copies will be received within one week of the closing date for receipt of application if the application is submitted electronically:

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

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

<u>Cost Applications</u>	<u>Technical Applications</u>
Leona Sasinkova	Hossana Agedew
Agreement Officer	Regional Acquisition & Assistance Specialist
USAID/Southern Africa	USAID/Southern Africa
100 Totius Street	P. O. Box 90
P.O. Box 43 Groenkloof	Gaborone, Botswana
Pretoria, South Africa	E-mail: hagedew@usaid.gov
E-mail: lsasinkova@usaid.gov	AgedewH@bw.cdc.gov
	AgedewH@state.gov

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

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

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

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

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

SECTION V – APPLICATION REVIEW INFORMATION

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

1. SCORED EVALUATION CRITERIA

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

A. Technical Application

TECHNICAL EVALUATION CRITERIA

a Technical Approach (45 points):

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

1. Technical Soundness (35 points)

Evaluation under this sub-factor will focus on the soundness of the proposed technical strategy and approach and the demonstration of how the applicant will achieve the objectives outlined in the Program Description over the 5-year life of the project. 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:

- The extent to which the applicant has clearly articulated the problem to be addressed, including the different needs of vulnerable girls, boys and women and relevant cultural or gender context.
- The extent to which technical approach demonstrates the ability to target the most vulnerable and underserved populations with appropriate strategies.
- The extent to which the outcomes are aligned with national guidelines and policies, and PEPFAR Botswana team goals and strategies.
- The extent to which the applicant has demonstrated how the activities of the project will compliment government of Botswana initiatives on OVC and Gender.
- The extent to which the technical approach demonstrated innovative and comprehensive approaches to male and youth involvement, economic strengthening, community participation, and affecting the household environment
- The extent to which the technical approach reflects best practices to achieve the objectives of the program description.
- Demonstrated knowledge of the PEPFAR “Next Generation” indicators and the extent to which the applicant’s proposed M&E plan is clear, appropriate, and sound in terms of identification of expected interim and final results of the project; the extent to which proposed preliminary indicators and targets are specific, measurable, and achievable within the Botswana context.

2. Implementation Effectiveness (10 points)

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

- The extent to which the technical approach illustrates timelines for the effective implementation of project components.
- The extent to which the technical approach demonstrates the applicant's ability to reach stated project objectives with the available budget.
- The proposed methodology to conduct baseline and mid-term evaluations and how the findings will be used to inform the project.
- The extent to which outcomes will be measured and how these will contribute to results.

b. Partnerships and Sustainability (15 points)

Evaluation under this factor will focus on soundness of the applicant's sustainability plan including how the applicant will form partnerships with the private sector and local networks. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points are associated with these considerations and their relative importance will vary given the circumstances:

- A quality and comprehensiveness of the proposed approach/strategy to government and private sector engagement and the level of understanding of potential private sector engagement partnership opportunities under this project.
- The extent to which the application demonstrates how potential partnerships will contribute to achieving project objectives/results and to the business interest of potential partners.
- The extent to which the applicant plans to collaborate with local networks and organizations as a strategy for developing partnerships and how these partnerships contribute to the sustainability of the project.
- The extent to which the sustainability plan includes transferring practices to key local stakeholders.
- A comprehensive approach that lays out clear plans for continuity of services after the life of the project.

c. Management and Staffing (10 points)

Evaluation under this factor will focus on the quality of the proposed management and staffing plan and its ability to operate independently and timely to deliver the results of the project. 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:

- The appropriateness and qualifications of the proposed Key Personnel; extent to which they meet country-specific needs; their proposed role in meeting project's objectives, including demonstrated technical experience in critical

programmatic areas outlined in this RFA;

- The extent to which the management and staffing plan demonstrates appropriateness and effectiveness of staffing pattern, (including limited home office support and use of international, regional and local professionals, sub-awardees); presents an appropriate organizational structure for the entire program including long term and short team personnel; aligns the staffing plan and responsibilities of personnel (short and long-term, home office support, sub-awardees and/or alliance members) with each program component.
- The extent to which the management and staffing plan demonstrates the applicant's ability to manage a complex program; coordinate with multiple ministry directorates, international donors and local and international NGO partners;
- The extent to which the management and staffing plan demonstrates the use of highly skilled U.S. volunteers including the level of effort, the specific roles that U.S. volunteers can play and any constraints affecting the use of U.S. volunteers [ADS 303; Executive Order 13317 - Volunteers for Prosperity].

d. Organizational Capability/Experience (10 points)

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

- The organizational knowledge, capability and experience of the Applicant in implementing and managing similar projects. Specific attention should be paid to demonstrating past experience in implementing/managing complex projects, focusing on policy improvements, building beneficial relationships and coordination with a broad range of government, donor and local and international NGO organizations at national, district and local levels.
- Proven ability to demonstrate relevant organizational knowledge, capability, and past experience of the other proposed sub-contractors and/or sub-recipients in successfully implementing similar projects.
- Proven organizational capability in leveraging resources from governments and the private sector.
- A description of the organizational financial and management systems and how that positions the organization to effectively manage this project.

e Past Performance (10 points)

- Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in Section IV.4.A.3.e. of this RFA and from other sources if and when the Agreements Officer finds the existing databases to be insufficient for evaluating an applicant's performance.
- If the performance information contains negative information on which the applicant has not previously been given an opportunity to comment, USAID will provide the applicant an opportunity to comment on it prior to its consideration in the evaluation, and any applicant comment will be considered with the negative performance information.
- 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.
- The Applicant's performance information determined to be relevant will be evaluated in accordance with the elements below:
 - Quality of product or service, including consistency in meeting goals and targets;
 - Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks;
 - Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, including coordination among subcontractors and developing country partners, cooperative attitude in remedying problems, and timely completion of all administrative requirements;
 - Customer satisfaction with performance, including end user or beneficiary wherever possible;
 - Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified; and
 - Cost control, including forecasting costs as well as accuracy in financial reporting, ensuring that unnecessarily expensive technical assistance is not used when lower cost advisors are adequate, and pacing the expenditure of level of effort such that contract deliverables and outputs can be produced within budget.

B. COST/BUSINESS APPLICATION

COST EFFECTIVENESS AND COST REALISM/REASONABLENESS (10 points)

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

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources (amounts included as cost share may be considered in this analysis). Cost effectiveness may include analyzing the cost per result proposed. Cost effectiveness will also include an analysis of the ratio of administrative costs compared to costs dedicated to program implementation (US Government costs). Applicants who do not provide clear information and notes regarding the purpose of each proposed cost and do not provide the breakdown required by Section IV.4.B.8 between management, administrative and support costs versus program activity costs run the risk that costs may be interpreted as relating to administrative costs instead of program implementation costs.
- Cost realism - That the Applicant's technical approach supports the costs proposed. In addition, the cost realism analysis will evaluate whether the costs estimated accurately reflect the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. The cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost Application reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost Application accurately represents the work effort included in the technical application.
- Cost Analysis: All proposed costs will be evaluated for completeness, reasonableness, fairness, allowability and allocability. This analysis is intended to determine the degree to which the costs included in the cost/price application are fair and reasonable.
- Consistency of budget line items and amounts with the resource requirements of the different activities will be evaluated.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. *BRANDING STRATEGY AND MARKING PLAN*

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

3. COST SHARING

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

4. REVIEW AND EVALUATION PROCESS

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

The cost applications will be evaluated by the Agreement Officer on Cost Effectiveness 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 the activities expected under this program using mutually agreed, international standards of accountability are eligible to apply.

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO APPLICANTS

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

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

2. DEVIATIONS

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

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA: A) Monitoring and Evaluation Plan; B) Annual Implementation Plans; C) Quarterly Progress Reports; D) Final Agreement Completion Report; E) Annual/Semi-Annual Performance Reports; F) Final Agreement Completion Report; and G) Miscellaneous Documents.

A. Monitoring and Evaluation Plan

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

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

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

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

B. Annual Implementation Plans

The recipient will submit annual implementation plans by country and region to the Agreement Officer's Technical Representative (AOTR). The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID during the first 30 days following the awarding of the agreement. Subsequent 12-month implementation plans through the end of the agreement will be prepared on a 12-month fiscal year basis (October 1 – September 30) and submitted to the AOTR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOTR.

1. Contents

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

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

2. Distribution

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

3. Revisions

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

C. Quarterly Progress Reports

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

The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual

implementation plan for that quarter. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter. The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

D. Quarterly Financial Reports

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

Quarterly financial reports should contain, at a minimum:

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

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

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

F. Final Agreement Completion Report

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

G. Miscellaneous Documents

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

4. ENVIRONMENTAL COMPLIANCE

A. General

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

B. Compliance with the IEE

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

C. Implementation Plans

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

5. **USAID DISABILITY POLICY**

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

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

http://pdf.dec.org/pdf_docs/PDABQ631.pdf

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

[END OF PROVISION]

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

Leona Sasinkova
Regional Agreement Officer
USAID /Southern Africa
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+27 (012)452-2170
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The Acquisition and Assistance Specialist for this Award are:

Hossana Agedew
Regional Acquisition and Assistance Specialist
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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 subawards.

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

Submission Requirements

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

(1) Positioning

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-

brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

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

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

(d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful

Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID

provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or subawards.

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

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

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

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

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

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

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

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

b) Submission. The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events,

promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

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

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant

or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

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

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's , other donor's or third party's is required. In the event the recipient chooses not to require

marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

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

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

(c) Implementation of marking requirements.

(1) When the grant or cooperative agreement contains an approved Marking Plan, the recipient will implement the requirements of this provision following the approved Marking Plan.

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

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

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

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

- (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer’s Technical Representative. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.
 - (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
 - (4) Approved waivers “flow down” to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer’s cognizant Assistant Administrator. The recipient may appeal by submitting

a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

ATTACHMENTS

The following attachments and annexes are provided:

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

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

**USAID/Southern Africa Request for Applications (RFA) No. 674-11-0002
Botswana OVC & Gender Project**

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the

institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of

Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC

Resolution 1267 (1999) (the “1267 Committee”) [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee’s website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

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

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

3. For purposes of this Certification-

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

b. “Terrorist act” means-

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

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

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

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

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

e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office

supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PART IV - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major

assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

[END OF RFA 674-11-0002]