



USAID | SOUTHERN AFRICA

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Regional Acquisition and Assistance Office

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Questions Due: February 11, 2011; 1600hrs [Pretoria time]

**Subject: Request for Applications (RFA) No. 674-11-0003
Botswana Civil Society Strengthening Program**

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 interested in implementing a five-year Civil Society Strengthening Program in Botswana to assist local civil society organizations acquire the skills and resources to implement high quality programs for the delivery of a wide range of HIV/AIDS treatment, prevention and care services. The Program is fully described in the attached Request for Applications (RFA).

The main objectives of this five-year award are to: 1) strengthen capacity of national level non-governmental organizations (NGOs) and networks to support field offices, affiliates and member organizations to expand and strengthen delivery of HIV/AIDS services; 2) develop and implement a model or models to strengthen district level systems [civil society organizations (CSOs) and local government] to provide and coordinate HIV/AIDS services in hard-to-reach areas in Botswana; and 3) strengthen institutions and individuals to provide sustainable capacity building to Civil Society in Botswana. 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 \$20 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 one 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 Leona Sasinkova at lsasinkova@usaid.gov and Hossana Agedew at Agedewh@bw.cdc.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,

[signed]

Leona Sasinkova
Agreement Officer

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ACRONYMS

ACHAP	African Comprehensive HIV/AIDS Partnership (Gates & Merck Foundations & GOB)
AIDS	Acquired Immune Deficiency Syndrome
ART	Antiretroviral Therapy
ARV	Antiretroviral (AIDS medicine)
BAIS	Botswana AIDS Impact Survey
CBO	Community Based Organization
CDC	Centers for Disease Control and Prevention
COP	Chief of Party
CSO	Civil Society Organization
CTBC	Community Tuberculosis Care
DSS	Department of Social Services
ECD	Early Childhood Development
FBO	Faith Based Organization
FP/SRH	Family Planning/Sexual and Reproductive Health
GBV	Gender Based Violence
GDA	Global Development Alliance
GDP	Gross Domestic Product
GHI	Global Health Initiative
GOB	Government of Botswana
HIV	Human Immunodeficiency Virus
HTC	HIV Testing and Counseling
IGA	Income Generating Activities
MC	Male Circumcision
MLG	Ministry of Local Government
MOH	Ministry of Health
M&E	Monitoring and Evaluation
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 (U.S.)
PF	Partnership Framework
PLHIV	People Living with HIV/AIDS
PMTCT	Prevention of Mother-to-Child Transmission
PPP	Public-Private Partnership
PSS	Psycho-Social Support
RFA	Request for Applications
RHAP	Regional HIV/AIDS Program (USAID/Southern Africa)
SADC	Southern African Development Community
TB	Tuberculosis
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 OPPORUNITY

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

A. Background

The following background is provided related to: 1. Country Setting; 2. HIV/AIDS in Botswana; 3. USAID/USG in Botswana; 4. Future Direction; and 5. Civil Society Response in Botswana.

1. 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, the wise use of the country’s mineral wealth and the commitment of the Government of Botswana (GOB), Botswana has seen significant economic growth and major reductions in poverty over the last 40 years. The country has one of the most developed public health systems in Africa, which is built on a relatively strong health infrastructure. Key successes include:

- 97% antenatal care coverage
- 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 testing and counseling¹

2. HIV/AIDS in Botswana

HIV/AIDS, however, has had significant social and public health impacts in Botswana that threaten the development gains of the last four decades. The country has one of the most severe HIV/AIDS epidemics in the world, affecting both urban and rural areas with equal ferocity. UNAIDS estimates that approximately one out of four adults aged 15-49 are HIV positive, and national sentinel surveillance over the last five years found that one out of three pregnant women is HIV positive. Currently about 300,000 adults and children are estimated to be HIV positive, of which 160,000 are in need of antiretroviral therapy, and more than 52,000 children have been orphaned from HIV/AIDS.

The HIV epidemic has also severely impacted Botswana’s labor force, decreasing economic growth and investment and increasing financial outlays by the Government to sustain existing programs and services. A 2006 report funded by 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, the economic growth will be 30% less than it would have been

¹ Botswana Partnership Framework on HIV and AIDS - 2010

without the impact of HIV/AIDS. Furthermore, the GOB projects that by 2021 Botswana's population will be 18% lower than it would have been in the absence of the epidemic.

The GOB has from the beginning shown a high-level of commitment in 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 and 3% of GDP, which is a significant percentage of the overall HIV/AIDS investment in Botswana.

The GOB has made tremendous progress in its fight against HIV/AIDS over the past few years. Some of the successes include:

- As of August 2009 the national ARV program covers about 83% of those in need of treatment;
 - PMTCT services reach over 95% of pregnant women, lowering HIV transmission to under 4% of infants born to HIV positive mothers;
 - More than 56% of the adults in Botswana have been tested for HIV.
3. Despite the strong health system foundation and HIV/AIDS successes, responding to this massive epidemic has severely stressed the existing health infrastructure and there are still deficiencies in Botswana's response to HIV/AIDS. For example, while prevalence in younger age groups continues to drop, overall incidence does not appear to be decreasing significantly. In addition, more remote areas continue to be underserved. **USAID/USG in Botswana**

USAID/Southern Africa's Regional HIV/AIDS Program's (RHAP) strategy responds to the HIV/AIDS epidemic in Southern Africa, the worst affected region in the world. RHAP's strategic objective is to develop a strengthened response to HIV/AIDS in Southern Africa by working to improve the quality of U.S. Government (USG) and USAID HIV/AIDS programs in the region and by increasing the capacity of regional networks and institutions. A critical priority of this regional program is to provide assistance to the USG Inter-agency Team implementing HIV/AIDS activities through the President's Emergency Plan for AIDS Relief (PEPFAR) in Botswana.

Botswana, being one of the original 15 focus countries under PEPFAR, has a strong USG presence in HIV/AIDS. The USG is one of the lead development partners helping Botswana to address its HIV/AIDS epidemic via collaboration with the GOB and numerous local partners. USAID is the USG partner taking the lead in supporting the GOB to strengthen the civil society sector, working with government partners at the National AIDS Coordinating Agency (NACA) and other relevant government ministries such as the Ministry of Health and the Ministry of Local Government. USAID in Botswana also works closely with the European Commission, the World Bank, UN agencies, including UNICEF and UNFPA, and the African Comprehensive HIV/AIDS Partnerships (ACHAP)—a country-led public-private partnership between the GOB, the Bill and Melinda Gates Foundation, the Merck Company Foundation.

Under PEPFAR I (2004-2008), the USG played a major role in assisting the GOB in mitigating the impact of HIV/AIDS. Through PEPFAR financial and technical assistance, a number of interventions were strengthened and new services established at all levels. For the past five years, GOB ministries and departments and civil society organizations have benefited from PEPFAR support. PEPFAR has had an impact on strengthening health systems, however, this has not been a systematic effort and significant gaps still exist. In the

next phase, PEPFAR will more systematically support the GOB to manage the epidemic by building capacity and strengthening health systems.

4. Future Direction

The GOB has recently developed several strategies that will guide Botswana's national HIV/AIDS and health response over the next several years. The second National Strategic Framework (NSF II 2010-2016), the National Development Plan 10 (2010-2016) and Vision 2016 lay out the GOB priorities in HIV/AIDS and health. The NSF II lists the four areas that constitute the current strategic priorities of the national response to HIV and AIDS:

1. Preventing New Infections
2. System Strengthening
3. Strategic Information Management
4. Scaling Up Treatment, Care and Support

The USG in Botswana has also just completed its five-year Partnership Framework (PF), which outlines the goals and objectives for the USG's support to Botswana's HIV/AIDS response. The full text of the Partnership Framework is available at <http://www.pepfar.gov/frameworks/botswana/index.htm>. 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 national priorities.

The Partnership Framework is also based on the priorities of the second phase of PEPFAR, which encourages USG support to shift from an emergency response to one that supports increased sustainability. In Botswana a shift toward capacity building and system strengthening aligns well with both the NSF II and the PF. Specifically, the success of the Partnership Framework is based on the intensive involvement of local actors and building capacity of these entities during the first few years of implementation. This includes ensuring that local implementing partners are empowered and entrusted with decisions to develop and implement programs tailored to meet local needs, while international organizations support their efforts by providing much needed technical capacity to transition to local ownership. This program is clearly in line with and will inform implementation of both the Partnership Framework and the NSF II.

5. Civil Society Response in Botswana

Botswana's civil society is relatively small with only a limited collective voice in the national agenda. Civil society organizations (CSO) are defined as non-governmental organizations, faith-based² and community based organizations³ (NGOs/FBOs/CBOs).

CSOs in Botswana play an important role in HIV and AIDS prevention, treatment, care and support at the national and community level. The GOB and international donors, including

² **Faith-Based Organizations (FBOs):** These are institutions that are affiliated with an organized faith or religious community. They mainly rely on volunteers. In the context of Botswana FBOs can be religion-oriented or church-based. They can operate as either a CBO or an NGO. [*Draft -Botswana CSO Capacity Building Strategic Framework*]

³ **Community-Based Organizations (CBOs):** These are organizations, institutions or a congregation of people which have local area/village-based presence, maturity and structural arrangement. They are formal legal entities or informal registered organizations with systems and ways of working. They have group identity membership. [*UNDP 2003: Partners in human development: UNDP and civil society organisations*. New York, UNDP]

the USG, have begun to strengthen CSOs to better develop and implement HIV/AIDS projects. But even though CSOs are often well-established within communities and well-placed to reach people who need HIV/AIDS services, their capacities generally are still weak. CSOs are deficient in programmatic technical expertise, management capacity, and resources and basic infrastructure that would make them stronger organizations more capable of operating on a larger scale in a more sustainable way.

Funding support for CSOs in the past has traditionally been fragmented, inconsistent and limited. Donor funding is often short-term (usually year-to-year or even shorter) and is frequently confined to specific line-items, technical and/or geographic areas. Since organizations are dependent on multiple but limited, funding sources, they may also have program gaps and must spend significant time seeking funding and managing multiple grants and donors. All of these challenges make it difficult for organizations to develop and adhere to a long-term vision, maintain programmatic activities over time attract and retain qualified staff, and consistently focus on improving the quality of services.

Capacity assessments of national level organizations and networks, NGOs, CBOs and FBOs that have been undertaken in Botswana have identified critical shortfalls in the following organizational development areas:

- General leadership (organizational management and governance structures)
- Program/project management
- Financial management
- Organizational systems, including; monitoring and evaluation skills, human resource process, policy and procedures, etc.
- Information systems and technology and infrastructure
- Service delivery
- Resource mobilization and solicitation of funding
- Infrastructure (including buildings, vehicles, office equipment, IT and communication equipment)
- Networking and coordination
- Program delivery technical skills

In order for Botswana to achieve its national goals for HIV and AIDS, CSOs will need to play a greater role and be capable of carrying out activities sustainably in the future.

B. Strategic Goals and Objectives

The goal of this program is to significantly and sustainably strengthen the capacity of the civil society sector in Botswana to support HIV/AIDS and related health service delivery.

The program will ensure that local NGOs have the skills and resources to implement high-quality programs for the delivery of a wide range of HIV/AIDS prevention, treatment, and care services for the long term. The main objectives of this program are to:

1. Strengthen technical competence and organizational capacity of national NGOs and networks to support field offices, affiliates and member organizations to expand and strengthen delivery of strategic and high quality HIV/AIDS services;
2. Develop and implement a model(s) to strengthen district level systems (CSOs and local government) to provide and coordinate HIV/AIDS services in hard-to-reach areas; and,

3. Strengthen an institution(s) to provide sustainable capacity building to the civil society sector.

This program will build technical competence and organizational capacity at several levels in order to strengthen the overall civil society response. First, over the course of the program, the recipient will work to develop the technical competence and organizational capacity of a local partner organization so that that organization can take on a leadership role in Botswana's on-going capacity building efforts (Objective #3). Secondly, the recipient will work with larger national organizations or networks to develop their technical competence and organizational capacity to support and to implement HIV/AIDS and other health service activities (Objective #1). Thirdly, through the organizations mentioned above and their sub-partners (i.e., smaller CSOs and local governments), the recipient will develop models and systems to improve the provisioning and coordination of HIV/AIDS services in hard-to-reach areas (Objective #2).

This program will need to address **both organizational capacity building as well as increasing the technical competency** in a wide range of HIV/AIDS-related services in the following areas: Sexual prevention, HIV Testing and Counseling (HTC), community TB care, adult and pediatric palliative care, and support for orphans and vulnerable children (OVC). The program will advance Botswana's ability to achieve its national goals for HIV/AIDS in terms of service delivery in the PEPFAR target areas of treatment, care and prevention through implementation of capacity building strategies to move civil society partners closer to independence and program sustainability. The program will also develop models and strategies that will help guide Botswana's response to HIV/AIDS and inform the NSF II and other strategic documents.

The program will require significant strengthening of leadership, general management, coordination and collaboration, monitoring and evaluation and technical capacity of civil society organizations to meet the program's objectives. The program's objectives will be met through the resultant cooperative agreement that will build on previous CSO support for capacity building and implementation of HIV/AIDS activities by the USG, other international donors and the Government of Botswana and will function in close collaboration with other ongoing capacity development initiatives in order to strengthen Botswana's HIV/AIDS response.

C. Program Description

The Program Description consists of: 1. a section laying out the general considerations that apply to all program activities; and 2. the specific results for each objective, as well as a description of some illustrative activities and approaches for achieving those results.

1. Program Considerations

The following program considerations apply to all activities conducted and include: a. General Program Activities; b. Collaboration; c. Technical Competence; d. Gender Considerations; and e. Innovation.

a. General Program Activities

Activities under this program will include building the capacity of local organizations in Botswana to manage HIV/AIDS activities and increasing sustainability of these activities

over the coming years. Specific activities include developing the capacity of at least three local organizations with broad and national reach, such as national NGOs and/or networks that have affiliates and/or members throughout the country. The program will assist local organizations to be capable of implementing projects under direct USAID awards and continue to provide technical assistance and support to those organizations throughout the remaining life of this Civil Society Strengthening award. The program will develop a strategy on how responsibility and leadership of the program will gradually be shifted to the local organizations over the life of the program.

The program is characterized by the following two phases:

Phase I

The first phase will focus on building the capacity of the national local organizations and/or networks through sub-awards and technical assistance. For Result 1, this initial program phase will last approximately two years. It will ensure that the local organizations selected have potential, with the support to be offered from this program, to become sustainable organizations and key actors in Botswana's HIV/AIDS response on a national level. During Phase I, the preliminary list of criteria that will indicate that each local organization and/or network has the capacity to achieve the development results required (which may include the capacity to develop an application and directly successfully implement a project that complies with USAID regulations) will be refined and approved. When the local NGOs have demonstrated that they have met the criteria, the program will move to Phase II.

With respect to Result 3, this phase will demonstrate how the roles and/or responsibilities will change over the life of the program and illustrate how the local organization(s) is expected to continue capacity building activities after the program ends.

Phase II

During this second phase a direct award to the qualified local partners for a period of three years initially, with a possibility of an extension of further two years *may* be made by USAID subject to satisfactory performance, competition requirement, a positive responsibility determination and the availability of funds. The CSS program will continue to provide technical assistance during this second phase gradually reducing its direct support over time.

The second phase also will focus on continuing to build financial sustainability of the local partners by helping them to develop a diverse funding base and identify and secure alternative sources of support through grants from other donors, public-private partnerships, and/or fundraising activities.

Through targeted investments, the Botswana Civil Society Strengthening Program shall develop a consistent, medium-term funding mechanism to support organizational and technical capacity building activities and ensure that local partners have the skills and resources to implement high-quality programs for the delivery of a wide range of HIV/AIDS interventions and services. The award will support key civil society strengthening activities covering a broad spectrum of community-based HIV/AIDS programs and local government systems and offices that are responsible for the coordination and support of community HIV/AIDS activities. The activities will also support the improvement of the quality and quantity of services available to target populations in Botswana.

b. Collaboration

The GOB, through NACA, is in the process of developing a CSO strategy that will guide overall CSO support to the HIV/AIDS response in Botswana. In addition, there are a number of CSO capacity building projects, including others funded by the USG and projects funded by The European Union, The World Bank and SIDA, among others. It is critical that this program is responsive to the national CSO strategy, but equally important that this program coordinates and collaborates with other CSO projects, both USG and those funded by other donors, in order to share resources, information and lessons learned and avoid duplication of efforts.

In addition to collaboration with the GOB and other development partners, the program will be coordinated with other PEPFAR agencies and their partners, namely CDC/BOTUSA, the Peace Corps, and the State Department. CDC provides funding and technical assistance to Government and Non-Government entities in several technical areas that are included under this program. Peace Corps has community-based volunteers, who work with District Administrations and local NGOs. The State Department through the American Embassy provides small grants to community groups through the Ambassador's Self-help Program. The program will highlight and use linkages with these activities.

c. Technical Competence

This program will address strengthening activities covering a broad spectrum of community-based HIV/AIDS programs, including prevention, care and treatment. Technical capacity is required to support the development and expansion of services provided by the CSOs. In building the organizational and business capacity of local CSOs and systems it is necessary to do so within the technical context of the organizations and systems. Therefore, the program will need to address technical issues and capacities that are necessary for the improved operations supported by this program: including Prevention, Community TB Care, Adult and Pediatric Palliative Care, OVC and HTC.

d. Gender Considerations

Services and activities conducted under this program shall take into account the impact of gender with respect to not only the beneficiaries, but within the organizations being strengthened. Specifically, activities conducted must recognize that men are often the decision makers within CSO structures, both at the executive and senior management levels and the boards.

In building the capacity of organizations and local partners, gender-equitable institutional policies and mission statements, including equal opportunity employment practices will need to be in place or developed as part of the capacity building process. Using participatory methodologies, working with diverse constituencies, and ensuring stakeholder participation; and undertaking gender training for staff, collaborating partners, and in-country associates will be essential parts of the program.

e. Innovation

Civil society in Botswana has received significant support over the past decade, and while there has been progress, there is still significant work to do to strengthen CSOs. Therefore, to bring civil society to a stronger, more sustainable level the program will look at innovative

ways of strengthening and building the capacity of CSOs and not just at doing more of what has already been done. Although further training of individuals, teams and organizations will still be required, this has in the past had only a limited impact. An organizational development approach, with mentoring and coaching shall play a large role in the strengthening of organizations.

The Botswana Civil Society Strengthening Program requires a new creative, innovative and results-based approach to institutional capacity building. The program focuses on achieving concrete results against the stated objectives, and ensuring both efficient and effective efforts are utilized to promote sustainability. Innovation in monitoring and evaluation will be required to ensure both progress in capacity building and documentation of the results.

The program will include comprehensive and creative approaches to address the full spectrum of institutional capacity building, including efforts to collaborate and coordinate with ongoing health efforts, including other health activities beyond HIV/AIDS, to maximize impact and minimize duplication. The program will further establish a system for routine mapping of funding resources to civil society groups and making the reports widely available.

While previous and existing efforts, models, tools and resources will be used, the program does not intend to rely primarily on the standard model of off-site training. While training can be an important part of institutional capacity building, the program strives to develop innovative solutions to the potential negative outcomes of an off-site training-based approach.

2. Expected Results

This section provides more detailed information on the three results that the program expects to achieve:

1. Strengthened technical competence and organizational capacity of national NGOs and networks to support field offices, affiliates and member organizations with expanded and strengthened delivery of strategic and high quality HIV/AIDS services.
2. A model(s) developed and implemented to strengthen district level systems (CSOs and local government) to provide and coordinate HIV/AIDS services in hard to reach areas.
3. Strengthened institution(s) able to provide sustainable capacity building to civil society

Expected Result 1: Strengthened technical competence and organizational capacity of national NGOs and networks to support field offices, affiliates and member organizations with expanded and strengthened delivery of strategic and high quality HIV/AIDS services

In order for Botswana to achieve its national goals for HIV/AIDS, the civil society sector will require significant strengthening in leadership, general management, coordination and collaboration, organizational development and service delivery. By building local capacity and promoting sustainability, this program will achieve results in delivering services in the PEPFAR target areas of prevention, care and support.

Under this component, USAID intends to build on previous investments in NGO capacity building and HIV/AIDS service delivery by engaging **three or more national NGOs and networks**. The most likely candidates are those that already have received support from the USG and/or other donors and that have potential, with the support to be offered from this

program, to become sustainable organizations and key actors in Botswana's HIV/AIDS response on a national level. The identification of local organizations to be supported by the program will be an initial step in the program.

1a. Organizational Capacity Building

Several assessments of civil society organizations that have been carried out in Botswana over the past two years have identified organizational capacity development needs of national organizations and networks and their member NGOs, CBOs and FBOs. The program will support the use of the available body of knowledge to moderate the need to collect information through additional assessments.

Success under organizational capacity building will be subject to measurement using the following specific indicators and criteria for the basic competencies set for determining the three or more national NGOs or networks:

[Specific indicators and criteria for all competencies of organizational and technical capacity described below will be inserted based on the winning application]

Key Skills and Issues for Organizational Capacity Building

The basic competencies can be categorized in the following manner:

- **Basic office management skills:** Word processing and spreadsheet use, writing and documentation skills, record keeping
- **Basic organizational skills:** Managing time and delegation, running effective meetings
- **Basic supervisory skills:** Supervision, scheduling staff and volunteer's time, motivating staff, teamwork

Organizations at all levels need these basic skills. In addition, larger organizations including the networks and national level NGOs and FBOs need to have a high level of capacity in all of the following, 'NGO Success Competencies':

1. **Strategic leadership:** Leadership, strategic planning, niche management
2. **Organizational structure:** Governance structure, operational structure
3. **Human resources:** Planning, staffing, developing, appraising and rewarding, maintaining effective human relations
4. **Financial management:** Financial planning, financial accountability, financial reporting (statements) and systems
5. **Infrastructure:** Facilities management, technology management
6. **Program and services management:** Planning, implementing and monitoring programs/projects
7. **Process management:** Problem-solving, decision-making, communications, monitoring and evaluation
8. **Inter-organizational linkages:** Planning, implementing and monitoring networks and partnerships
9. **Community organizing:** Community investigation, problem identification, group dynamics, mobilization, communication

Some of the CSOs have recognized capacity gaps and have a desire to change but not the means to bring about that change. They need to be given the means. Others have little or no awareness of the gaps in their own organization's capacity or the need to fill these gaps, or in some cases it is outside their experience or frame of reference. They need to be better informed and then given the means. With sound 'NGO Success Competencies', CSOs will be able to keep up on the latest developments in the field of HIV/AIDS and implement quality, evidence-based programs.

The Overall Approach/Model

The national NGO and network interventions should be focused at the headquarters or network office and concentrate on capacity building that will not only allow these organizations to achieve the improvement described above, but will also allow them, with the support of this program, to roll out these capacity building activities to their affiliates and member organizations. Building capacity and developing competencies should be done in ways that both enlighten and excite the CSOs. An illustrative process for achieving Expected Result 1 includes the following:

- i. Business Planning Process*
 - ii. Using capable networks and national NGOs to support affiliates and members*
 - iii. Developing tools to simplify complex processes*
 - iv. Using Information Communication Technology and Geographic Information Systems*
- i. Business Planning Process: Strengthening and invigorating CSOs*

CSOs are not businesses but they need to be 'business-like' if they are to be successful. The Business Planning Process is an organizational development tool. The process is the key rather than the intermediate output, the business plan. It is the process that is used to 'build the 'business' and enable the organization to grow, to improve its capacity and the competency of its key staff. Building the business in this context includes:

- improving both systems and competency of the staff
- operationalizing the organization's mandate/mission/purpose
- network building
- Building capacity (in the case of networks) of its members/affiliates.

The senior management of the organization normally leads the process. In this case the senior management of the NGO will be supported and coached/mentored in organizational development, business processes, change management and facilitating organization learning by the Recipient of this award. The process of drawing up the plan should enable the organization to recognize the extent of its competency in each of the areas necessary for it to succeed – using the 'NGO Success Competencies' as a reference.

Business Planning Process is a tool that will be used to build capacity of each of the selected NGOs and Networks. The program will ensure that each organization has defined and delineated the direction that will guide the organization at least over the life of this program.

The NGO or Network would typically include in its business plan:

- *Situational Analysis* – of both external and internal environment

- *Vision/Mission* – What is the organization’s ideals and what does it want to do?
- *Strategic Plan* – typically a 5-year plan that includes not only broader programmatic strategies, but human resources, financial needs, resource development, information exchange, and is based on the organization’s vision/mission.
- *Action Plan* – This is the annual implementation plan that details the activities and tasks that will be carried out during the first year (in support of the strategic plan).
- *Resource Requirements* –for implementation of the action plan, this will include not only funds, but equipment, information, human resources, etc.
- *Monitoring Plan* - indicators, milestones, etc. to ensure the action plan is progressing, again, this is different from program M&E

The development and *implementation of the* business planning strategy would allow the organizations to:

- Develop a common sense of purpose for the organization
- Focus attention on difficult choices
- Stimulate decisive action in order to turn strategic objectives into deliverable actions
- Make plans and processes routine to better equip the organization to achieve change.
- Demonstrate the commitment of the management team to the delivery of the plan and thereby the confidence of the donors and funders of the organization’s programs.

ii. *Using Capable Networks and National NGOs to Support Affiliates and Members*

Building capacity in the national NGOs and networks is the first key step, which must be followed almost immediately or done concomitantly with capacity building in the affiliates and members—the smaller NGOs and CBOs that are delivering HIV/AIDS related services. These organizations need a range of basic competencies, basic office skills, basic organizational skills, and basic supervisory skills. They should have an appreciation of the ‘NGO Success Competencies’ and understand the principles behind them and how they apply on a smaller scale to their own organizations. They also need to understand how to build their capacity in these areas as their own CBOs grow.

Cascading the tutor/mentor approach, so that this methodology can be applied to building the capacity of the members of the networks and affiliates of the national NGOs, underpins the sustained follow-through and support in the work setting, rather than theoretical classroom learning.

The national level NGOs and networks will have their capacity enhanced through this program to directly provide the coaching; however, they will have limited capacity in the early stages to undertake this. The program will use coaching/mentoring support in order to build the capacity for tutoring and use this approach to illustrate how this can be undertaken to build capacity in the members/affiliates. As the national NGOs and networks become increasingly capable they will be able to support their own affiliates and members.

iii. *Developing Tools to Simplify Complex Processes for all CSOs*

Three processes that all of the CSOs have indicated they have some difficulty with are:

- Writing proposals and applications;
- Accounting for the use of funds; and,

- Reporting on activities/results.

Donors train their recipients in the processes that apply to their grants/awards/funds, but recipients report that a combination of different terminology combined with different rules and limits on what they can and cannot do with the funds confuses them. The complexity of dealing with this can lead to higher overheads while their staff deals with one donor to the exclusion of others. It was also reported that the confusion was one of the reasons costs were disallowed. The CSOs saw the complexity and lack of consistency of the donors' rules and restrictions as a weakness of the donors. They would like to have a common proposal writing process as well as common (and preferably simple) reporting and accounting standards. Since many of the large NGOs are recipients of multiple grants/ awards/funds, this is an issue that should be addressed under this program.

The program will be liaised with the GOB and other donors that are funding local NGOs to explore innovative approaches and develop a solution(s) that eases the burden of reporting and results in increased capacity of NGOs to account for funds, report on results and activities and write proposals in respect of multiple donors. Two possible approaches are outlined below.

1. Develop a 'common-input' and 'multi-output' system. Develop a 'common-input' activity reporting and accounting system for the NGOs. Each NGO would have its own copy of the reporting and accounting system once it is developed. The NGO staff would enter information into the system (probably a database - although for the financial accounting it could be a spreadsheet package with protected cells and formulae) irrespective of who the donor is. They would, however, need to enter more information than would be required if it were just one report for one donor. They would enter information in the same way for all the organization's activities. The 'system' would then produce reports in the format required by each donor funding activities in the format required by each of the donors whether it were the USG, the Government of Botswana, the Global Fund, or the European Union.
2. Develop and support a reporting and accounting agency to undertake the work of assisting NGOs in reporting and accounting for the funds they use from each of the donors and the Government of Botswana, for which the agency charges a fee to the NGO concerned. This would provide a sustainable, capable local organization to support NGOs and CBOs in the longer term with the ability to retain a skilled workforce. The agency would need to be independent, have no vested interest in or bias for any of the local implementing organizations. It would need to be competent in the reporting and accounting requirements and standards of all the donors and the Government of Botswana. The program could build the capacity of the agency over the life of the program so that when the program ends it would be fully functional and independent. This approach would take the burden off individual NGOs and CBOs and focus the expertise in one agency.

iv. *Using Information Communication Technology and Geographic Information Systems*

The capacity of CSOs shall also be built in information communication technology (ICT) to improve both the delivery of services and the functioning of the organizations. ICT, including the use of geographic information systems (GIS) will allow organizations to have regular access to information through communications technologies, which may include such things

as basic computer skills, internet access, skills and website development and maintenance, improved use of mobile phone networks, satellite television and radio. This will allow all organizations and especially those in remote areas to collect and disseminate information to communities, local and national government officials and other stakeholders more effectively and efficiently. The program will develop ICT and GIS activities that will be supported to enhance communications, management and monitoring and evaluation of NGOs and CBOs and should include a system for mapping and reporting of funding resources to civil society groups and results of program activities.

1b. Building Technical Competency

To successfully implement this program, capacity building activities need to focus not only on organizational and management capacity, but also on technical competency. Strong organizations with weak technical capacity will be unable to maximize the ultimate impact of reducing HIV incidence or mitigating the impact of HIV/AIDS. Illustrative activities in all of the technical areas are described below, and for which initial funding has been made available, though the selection of the organizations that will receive technical capacity building will determine which technical areas will be the focus of the technical capacity building provided under this program. This focus should be addressed in the work plans, as well as identifying criteria and indicators of success for technical capacity building.

Prevention

Prevention efforts are paramount to a sustainable HIV/AIDS response. Several guiding principles should be applied to ensure that a strategic and coherent response is implemented by all partners of this program.

- a) *Emphasizing Behavioral, Biomedical, and Structural Relevance:* The prevention activities should support programmatic strategies and target resources based on relevant quantitative and qualitative data about the HIV/AIDS epidemic in Botswana. This should include a sharp focus on behavioral drivers most salient to the epidemic, including multiple and concurrent partnerships and discordant partnerships and related social and cultural norms. In addition, the application should support the harmonization of biomedical and structural efforts in HIV prevention including clinical-based responses such as antiretroviral therapy (ART), prevention of mother-to-child transmission (PMTCT), HIV testing and counseling (HTC), family planning and sexual and reproductive health (FP/SRH).
- b) *Incorporating Best Practices and Innovative Approaches to Prevention:* The activities should incorporate basic principles of high quality behavior change programming. Interventions should be data-driven and based on formative research and behavioral theory. To the extent feasible, activities should adapt and replicate evidence-based program models from similar settings. Behavior change activities should incorporate linked, multi-level interventions with systematic approaches to providing adequate “dose” and “intensity”. Emphasis should be on changing social norms as well as individual behaviors. Additionally, all partners implementing prevention activities should be strategically aligned with each other and with national campaigns or priorities to provide clear and consistent messages. Partners should target geographic areas and target populations based on sound epidemiological data rather than on convenience. While adherence to best and promising practices is likely to result in achieving behavior change, innovative and creative approaches must also be explored

and evaluated to advance the HIV prevention response in Botswana including the collection and dissemination of knowledge to appropriate audiences, such as decision makers, professionals, and civil society.

- c) *Combination Prevention*: The proposed activities will support multi-level, multi-channel social and behavior change communication, with particular attention to partner reduction, prevention for people living with HIV and AIDS (PLHIV) and discordant couples, delaying initiation of sexual activity for young people and promoting and distributing condoms. The activities will address a range of normative issues including multiple and concurrent partnerships, gender norms, stigma, intergenerational sex, transactional sex, the importance of HIV testing; risky cultural and traditional practices, mutual disclosure of HIV status between sexual partners, and alcohol use/abuse. These activities should be situated within the context of a broader combination prevention package, including strong linkages to HIV counseling and testing; male circumcision and referral to other HIV services.

HTC (HIV Testing and Counseling)

Voluntary counseling and testing (VCT) services are a crucial gateway to HIV-related services, particularly for those who test positive and for couples who are identified as sero-discordant. VCT offers individuals an opportunity to understand their HIV risks and to confidentially learn their HIV test results. The Botswana National Guidelines for VCT and support CSOs will be used to integrate VCT services and where appropriate, make referrals to the community-based HIV prevention and care services. Principally, the program will help CSOs to increase access, availability and uptake of quality VCT services through:

- a. *Creating awareness and demand*: Mobilizing communities to increase uptake of VCT, with additional focus on vulnerable populations.
- b. *Strengthening human resources and infrastructure*: Increasing the number of trained VCT staff; providing training, support and supervision of counselors to avoid staff burnout; and increasing local ownership of VCT programs.
- c. *Ensuring high-quality service*: Standardizing guidelines and procedures for both counseling and testing; ensuring timely distribution of commodities; standardizing data collection and management to facilitate monitoring and evaluation of programs.

Community TB Care

The goal of community tuberculosis care (CTBC) is to improve diagnosis of TB, improve treatment outcomes, enhance HIV testing of TB patients and improve access to HIV care, treatment and support services in the community. This approach brings treatment to TB patients in the community and saves them the hassle of going to distant health facilities. It also allows patients to receive personalized care with community-based treatment supporters and encourages treatment adherence due to proximity of treatment. CTBC also increases access and awareness of TB services to patients and their families and extends the lives of PLHIV when they are cured from TB. The program will support the Ministry of Health's National Tuberculosis Control

Program Strategic Plan 2008-2012 with activities that roll out and strengthen the quality of CTBC. The program will assist CBOs to:

- a. *Increase community involvement and participation in TB case finding, treatment, and prevention activities:* This is achieved by: creating community-based patient support groups/volunteers to aid in direct observation of TB therapy (DOT) in order to help patients take their drugs regularly and complete their treatment; encouraging peer education and support to ensure that communities have an enhanced general awareness about TB leading to effective patient empowerment and community participation; and, linking with other self-help groups in the community to leverage other resources towards combating TB.
- b. *Support the TB Advocacy, Communication and Social Mobilization Strategy (ACSM) (Adopted from the National Tuberculosis Control Program Strategic Plan 2008-2012):* Advocacy to influence policy changes and to sustain political and financial commitment towards TB control; two-way communication between care providers and people with TB as well as communities to improve knowledge of TB control policies, programs and services; and, social mobilization to engage society and all allies and partners in the campaign to stop TB.
- c. *Address high-risk groups:* Identify risk groups like OVC, assess the problems they face in accessing TB care and the services currently available to them, and define strategies to ensure access to high-quality TB care.

Adult and Pediatric Palliative Care

The Botswana definition of palliative care is a philosophy of care that combines active and compassionate long-term therapies intended to comfort and support individuals and families living with life-threatening illness. Such care strives to meet the physical, psycho-social, and spiritual needs of ill people and care givers, with an emphasis on a family-oriented holistic approach.

Though with limited capacity, CSOs still play a vital role in the palliative care arena in Botswana. Services offered are psycho-social support, food and nutrition support, social and legal services, “positive living”, peer support and voluntary counseling and testing (VCT). In order to strengthen the quality of palliative care services provided by CSOs, the program is expected to:

- a. *Identify strategies for reaching increasing numbers of those in need of palliative care with an emphasis on community mobilization and home-based approaches:* An effective and efficient community mobilization process includes methods of bringing difficult issues out into the open, developing skills for community dialogue, developing skills for working collaboratively to achieve shared goals and inculcating a spirit of self reliance. It also begins the process of changing attitudes and breaking down stigma related to HIV/AIDS.
- b. *Support the roll-out of the Family Care Model developed by the Ministry of Local Government (MLG):* Guidelines and tools introduced by the MLG on the Family Care Model for Home-based Care and Orphan Care (February 2009) provide a framework for integrating services at the family level, rather than just singling out

individual family members based on a service or services that they may require. Instead, this method allows for greater reach of all family members in addressing their own support needs.

- c. *Strengthen skills of NGOs to provide Pediatric Palliative Care:* CBOs must be able to empower HIV-positive adolescents to build positive relationships, improve their self-esteem and acquire life skills through peer mentorship, adult role-modeling and structured activities which lead to improved clinical and mental health outcomes as well as a healthy transition into adulthood.
- d. *Developing methodologies for supporting ART adherence, especially for children:* Adherence, especially among children and adolescents is complicated by their dependence on their parents and guardians to bring them for treatment and to care for them once on medications. Their parents may themselves be struggling with HIV infection and its consequences. Methodologies suggested here must focus on the distinct needs of children on treatment with formal systems for follow-up in the home after they leave the hospital or clinic.
- e. *Activities to address the unique needs of adolescents with HIV (Gender considerations included):* Services provided must ensure that girls' unique vulnerabilities are addressed with strategies that help reduce their vulnerabilities and the underlying gender inequalities that contribute to vulnerability. These include: psycho-social support for teens and parents, using a peer approach; sexual and reproductive health education and counseling; HIV prevention support; life-skills education and support; tutoring and homework assistance; helping those who have dropped out to return to school; providing skills and assistance with developing a family kitchen garden; career/livelihood motivation and opportunities; skills development for parents to help them communicate with and support their children.

Orphans and Vulnerable Children (OVC)

Currently, there are over 200 CSOs in the country that are registered with the Department of Social Services (DSS) under the MLG to offer OVC services, which include: identifying the OVC, initiating referrals, organizing kids clubs, providing psycho-social support (PSS), training care-givers, providing early childhood development (ECD) services, income generating activities, feeding, home gardens, and child protection. To strengthen the OVC services provided by CSOs, the program plans to:

- a. *Support pre-school providers to comply with the provisions of the Early Childhood Care and Education Policy of 2001:* Most CSOs face challenges in complying with the GOB requirements of running a pre-school as set out in the Early Childhood Care and Education Policy of 2001. As a result, most of the CSO operated pre-schools enroll very few numbers as they lack the resources to scale-up the services they provide. CSOs need assistance to expand pre-school services to OVC aged 2-6 years old to prepare them for formal school.
- b. *Develop strategies to identify and appropriately assist OVC who are disabled, outside of family care, children in conflict with the law and out-of-school adolescents, especially girls:* Quite often these sub-groups are left out and do not benefit from existing interventions. Usually this happens because CSOs lack the

management and technical capacities to address their needs. The Guidelines and Tools for the Family Care Model for Home-based Care and Orphan Care of 2009 can be applied to identify and assist all OVC.

- c. *Empower CSOs to effectively roll-out implementation of the Children's Act of 2009:* The Children's Act calls for the establishment of new structures such as Village Protection Committees, the Children's Consultative Forum, National Children's Council and Jurisdiction of Children's Courts. It provides further guidance on how to care for children in a way that protects their rights and dignity and it calls for the provision of services that have the best interest of the child.
- d. *Support the roll-out of existing guidelines for the care of OVC:* These include the 2008 manual on providing psycho-social support to OVC, Guidelines on the Care of OVC (2009) and the 2010 User-friendly Guide to the Care of OVC. All these documents provide guidance on the implementation of various interventions that are provided by the GOB, development partners and civil society.

Expected Result 2: A model(s) to strengthen district level systems (both CSOs and local government) developed and implemented to provide and coordinate HIV/AIDS services in hard to reach areas

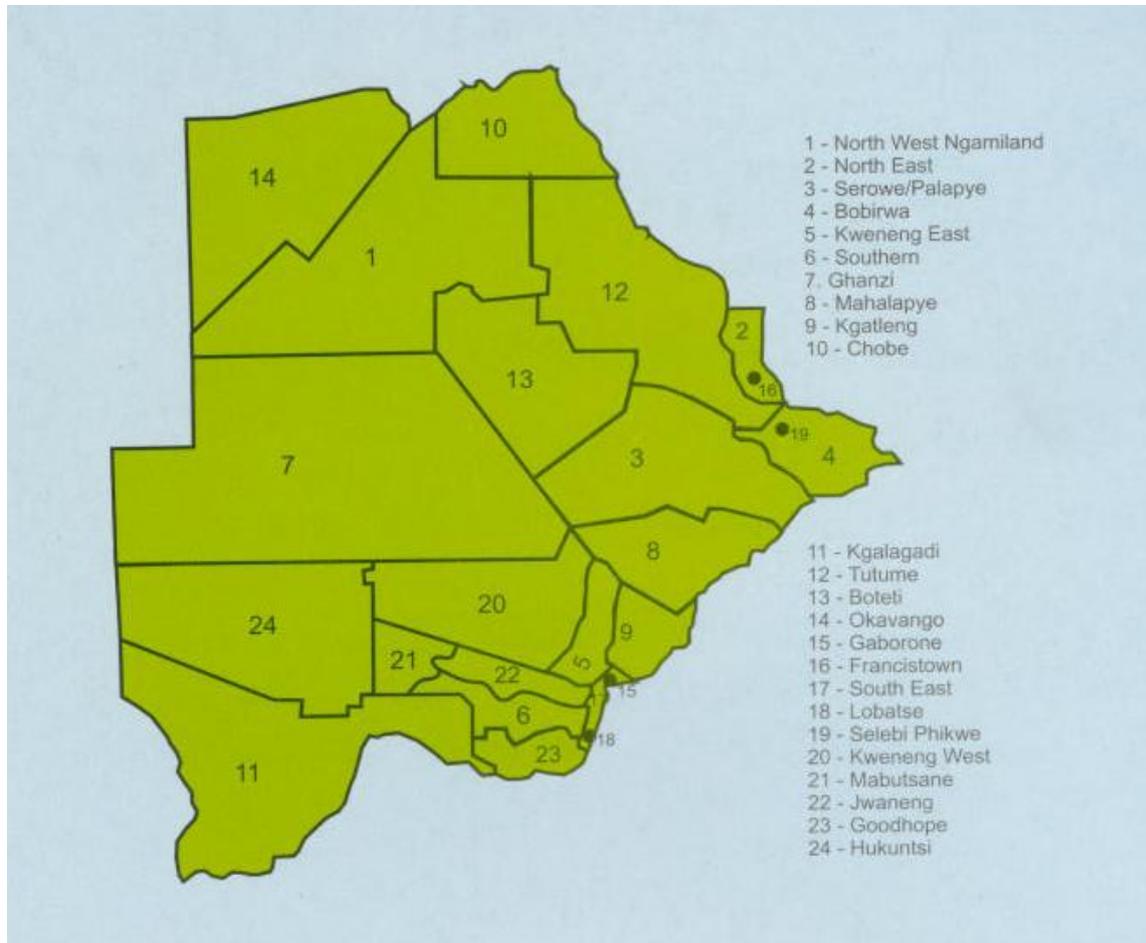
2a. Geographic Focus

As HIV/AIDS and health service delivery is focused on the population centers of Gaborone and Francistown and the towns in between, many rural areas of the country are not being fully served. Several donors, including the USG, have supported district-level HIV/AIDS activities through interaction with District Multi-Sectoral HIV/AIDS Committees (DMSAC) and select CSOs in districts of need. This support to date, however, has been too diffuse to have a long-term, sustainable impact. This Civil Society Strengthening program will address these underserved areas by developing and implementing an innovative model(s) that will provide critical resources to both district governments and CSOs to mobilize communities and improve the reach and quality of district HIV/AIDS delivery systems and services. The support must be sufficiently comprehensive both in technical interventions and geographic coverage to have an impact on the epidemic and sufficiently coordinated to ensure joint learning among different projects and partners and prevent duplication. Community mobilization efforts must ensure that communities are fully engaged as both beneficiaries and consumers. The program should ensure that services are more accessible and appropriate to community beneficiaries; as consumers, the community members will insist upon quality and affordability. Communities must be equal partners from the outset. Even though this program will not be able to serve the entire country, the model(s) and lessons learned will be shared with the government and other stakeholders.

USAID intends to achieve this Expected Result 2 in **at least three** of the following eight Health Districts (coded to the map below) by the end of the program:

- Ghanzi (7)
- Hukuntsi (24)
- Chobe (10)
- Okavango (14)
- Kgalagadi [Tshabong] (11)

- Boteti (13)
- Bobirwa (4)
- North West Ngamiland (1)



2b.Approach

The program will develop and implement a model (or models) for coordination and support of the HIV/AIDS response at the district level in these rural districts that is replicable and scalable. The program will further lay out a process that strengthens the district system including local governmental authorities and CSOs, and fosters community participation. This will include developing strategies to build capacity to expand collaboration and services in remote districts with inadequate HIV/AIDS services, providing strategic resources and linkages between the local governmental authorities (DCs, DACs, DMSACs,), local CBOs and the communities.

A phased in approach may be used to engaging the districts with sufficient justification on how the particular approach will achieve the intended result. However, implementation will be initiated in **at least three districts by the end of year three** of the program in order to ensure the program is able to develop and implement sustainable systems and organizations in all districts by the end of the award period.

Understanding the geographic breadth, the program will utilize the most efficient and cost-effective way of project management. The choice of intervention areas and populations may be further refined and guided by GOB priorities, as well as by the opportunities to expand USAID activities and relationships.

The program must ensure that while strengthening civil society organizations that the integrity of the role of Government is maintained. The District Council, through the DAC and DMSAC is responsible for ensuring coordination and collaboration between different service providers in the district and shall be monitoring progress of the providers and reporting into the national Health Management Information System (HMIS). Additionally, the CSOs shall be responding to the needs of the district as articulated by the district authorities and the communities. If district authorities have the necessary financial, material, and human resources, they will be better able to fulfill their roles as district coordinators. This program will support this through provision of some resources and of capacity building services to strengthen the human resources.

Additionally, capacities of these organizations shall be built in Information Communication Technology (ICT) to improve both the delivery of services and the functioning of the organizations in remote areas. Improving ICT will allow organizations to have regular access to information, which may include such things as internet, including e-mail and websites, mobile telephone networks, satellite television and radio. This will allow organizations in remote areas to collect and disseminate information to communities, government at local and national levels and to stakeholders. As the initial investment may be considerable, the program will look at ways of consolidating services. Rather than providing to each partner individually, modalities that are more cost-effective shall be considered. These may have additional benefits of promoting coordination and collaboration.

Geographic Information Systems (GIS) have been used successfully to map coverage and monitor achievements. As a critical aspect of ICT, GIS linked with Government of Botswana agencies can feed information to the National AIDS Coordination Agency (NACA) and Ministries of Health and Local Government.

While CSOs in remote districts play a critical role in service delivery, government resources are focused on urban population centers. CSOs often provide a significant proportion of services in more remote areas. However, CSOs in remote areas are often hampered by a lack of resources. Partnerships to obtain additional resources and funding from both private and public sectors will enhance sustainability at the district level and shall be fully exploited. The program will develop strategies for engaging the private sector and identifying aspects of private sector entities' core-business aligned to the mandate of CSOs in order to engage their support in delivering the CSO' services during the life of the program and after.

The strengthened districts will be characterized by:

- Government bodies responsible for HIV/AIDS coordination and service delivery at the district level (DACs and DMSAC.) with the capacity to lead and coordinate HIV/AIDS activities;
- Organizations working at the community level strengthened to deliver services in line with their stated objectives and meeting planned targets;

- Communities fully engaged both as beneficiaries of the services being provided and as consumers advocating for appropriate quality services through collaboration with service providers;
- Improved enabling environment for HIV/AIDS policymaking and service delivery;
- Organizations demonstrating sustainability and relevance to catchment area;
- Financial, human and other resources allocated to prioritized areas of need through collaborative decision-making process;
- Coordination among all partners in the districts strengthened;
- Organisational leadership in government and CSOs strengthened;
- District-level monitoring and evaluation strengthened and coordinated;
- Resources made available through public-private partnerships;
- Improved ICT at both the partner and community level.

As part of the monitoring and evaluation plan the awardee will develop indicators to measure progress toward reaching these outcomes.

Expected Result 3: Strengthened institution(s) able to provide sustainable capacity building to civil society

In addition to having more capable and effective NGOs and networks and a stronger civil society sector, the program should assure that after its completion there is a local organization able to continue providing capacity building support that meets international standards to civil society organizations.

In order to achieve this result, an existing local company or organization with capacity building expertise to support and strengthen throughout the life of the program will be identified. This organization could take on increasing responsibilities over the life of the program as it is strengthened and becomes more competent and financially sustainable over the five year period.

An alternative approach would be to identify a local capacity building institution that could include an academic entity that would be contracted or awarded a grant to develop and institutionalize the program's capacity building tools and materials. These could even be turned into distance learning courses or modules that would make them accessible to CSOs across the country long after the program ends.

If specific training courses are developed and institutionalized, the program will consider getting them certified by the Botswana Training Authority (BOTA).

The Program will ensure that there is a technically and financially viable organization in Botswana to continue providing capacity building support to the civil society sector at the end of the program. The program will further ensure that by the end of year three the local partners/NGOs and /or networks are technically qualified and capable of receiving direct awards from donors and providing cost-share. The NGOs and/or networks will also demonstrate that they are moving toward greater financial sustainability by demonstrating increasing levels of cost share over the life of their agreements.

Public Private Partnerships for Sustainability

In Botswana, as in many other countries in the region, available funding for CSOs is limited, with international donors making up the vast majority of this funding. The private sector does provide some support, however, the level of funding and use of funds and resources are limited. As support from international donors to the GOB decreases it is essential to find alternative sources of funding for CSOs to keep the sector vibrant and viable. This program strives to strengthen the relationship between CSOs and the private sector to develop a stronger understanding of the culture of each and how they can best support each other for the betterment of Botswana.

Additionally, USAID is reorienting how it sees itself in the context of international development assistance, how it relates to traditional partners, and how it seeks out alliances with new partners. While USAID will continue to deploy resources where private funding is not available, it hopes through the use of public-private alliances to stimulate new investment and new development practices.

USAID has successfully developed strategic alliances in the past with an extensive range of partners, notably NGOs, U.S. universities and colleges, and bilateral and multilateral donor agencies. Now USAID is increasing the range of prospective partners to include private businesses, foundations, and other private-sector organizations seeking alliances with partners that leverage significant new resources and technologies, to address international development issues. Therefore, opportunities for public-private partnerships will be explored within the context of this program.

Partnerships are expected to bring significant new resources, ideas, technologies and/or partners to address issues related to this program. USAID is particularly interested in partnerships that are innovative that address development challenges in new ways, leveraging resources of non-traditional partners in replicable, sustainable and scalable ways. Partnerships must clearly establish up front how the interests and objectives of each party converge. The most sustainable and successful partnerships are grounded in the intersection between core businesses interests of the private sector organization and USAID's development objectives.

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) is eligible to apply under this RFA. Organizations or institutions with on-going or planned activities with potential to support USAID/Southern Africa's Regional HIV/AIDS Program (RHAP) objectives may submit an application for funding.

4) **AWARD ADMINISTRATION**

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

These documents may be accessed through the internet as follows:

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

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

SECTION II – AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, USAID intends to provide approximately \$20 million in total USAID funding for the life of the program. USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund 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 June 1, 2011**.

3. TYPE OF AWARD

USAID plans to negotiate and award an assistance instrument known as a Cooperative Agreement with the applicant whose application offers the greatest value for this Program. A Cooperative Agreement implies a level of “substantial involvement” by USAID. This substantial involvement will be through the Agreement Officer, except to the extent that the Agreement Officer delegates authority to the Agreement Officer’s Technical Representative (AOTR) in writing. The intended purpose of the substantial involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. The substantial involvement elements for this award are listed below (this list does not include approvals required by 22 CRF 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), and for-profit companies willing to forego profit. 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 program. 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 program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. The recommended ratio for leveraging resources is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a program. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Even though the recipient is not responsible for any leveraging in excess of the agreed upon cost-share, such leveraging would be viewed favorably in the technical evaluation if it promotes sustainability.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

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

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

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

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

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

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

The application shall be split into two separate parts:

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

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

A. Technical Application Format

The Technical Application shall contain the following sections:

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

The overall page limitation for the technical application is 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 Times New Roman font with each page numbered consecutively⁴. The Annex and items such as the cover page, dividers and the table of contents are not included in the 32-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.

⁴ 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. *Program Abstract/Executive Summary*

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

3. *Technical Application Body*

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

- a. Technical Approach;
- b. Management & Staffing;
- c. Monitoring & Evaluation;
- d. Institutional Capacity/Experience; 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; 2. Implementation Effectiveness; and 3. Gender Appropriateness.

1. *Technical Soundness*

This subsection should describe in detail the proposed technical strategy and approach and comprehensively address how the applicant will achieve the three results outlined in the Program Description over the 5-year life of the program. This subsection must also set forth in sufficient detail the conceptual approach, methodology, and techniques for addressing the quality of HIV/AIDS prevention, care and support services as well as the organizational and business capacity of local CSOs to deliver these services. It must address technical issues and capacities that are necessary for the improved operations supported by this program including Prevention, Community TB Care, Adult and Pediatric Palliative Care, OVC, and HTC.

This sub-section should further describe the selection, justification, and capacity building plans for the national NGOs and/or networks that will be sub-awardees under this program. The implementation and evaluation of program activities should include the identification of an index or other tool for measuring organizational capacity development of the national NGOs and/or networks that will receive capacity building and their readiness to receive direct awards from USAID (under Result 1).

This subsection of the technical application should demonstrate responsiveness to the Botswana-specific context including the approach to working with the Government of Botswana. It should specifically include a discussion of the Applicants' capacity building plans for the difficult-to-reach districts of Botswana and how they propose to coordinate HIV/AIDS services in those areas.

This subsection should also reflect Applicants 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 GOB. The Applicants are expected to develop and propose a program name that captures the essential elements of the goals and objectives.

Applicants should describe in this subsection their proposed approach to developing a local partner that will be able to continue providing capacity building support to local NGOs when the program ends. (Result 3.)

Applicants should describe in this subsection their proposed approach to private sector engagement and indicate the amount of resources that they expect to leverage from private sector. Also in this subsection, the applicant shall include a comprehensive approach/strategy to building financially sustainable local civil society organizations by helping them develop a diverse funding base and identify and secure alternative sources of support through grants from other donors, public-private partnerships, and /or fundraising activities.

Lastly, the applicant shall describe the innovations it proposes to use to support and enhance communications, management, and monitoring and evaluation and the reasons why those particular innovations are being proposed.

2. Implementation Effectiveness

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

The national level activities under Expected Results 1, 2 and 3 shall be evidence-based, collaborative and systematic. For Result 2, the Applicant shall identify the selected remote health districts including the geographical and organizational extent of the support; the formative work to be carried out; the interventions (organizational and technical); and, coordination activities. The particular issues and challenges of hard to reach districts that will be addressed by the applicant shall be described and letters of support and commitment to work with the formal district structures in each district selected shall be included.

For Result 3, the Applicant shall demonstrate how the local organization that will continue to provide capacity building support when the program ends will support implementation and increase its level of responsibilities over the life of the program.

Applicants will be expected to reflect their understanding of the health and HIV/AIDS initiatives already being conducted in-country by the USG, other implementing partners, other donors, and the host country government in this subsection. This subsection must include a plan for promoting sustainability through capacity building. It should also identify practical tools for civil society organizations to simplify complex processes and their ability

to work with multiple donors. It should discuss use of ICT and GIS to achieve the overall program objectives and use of 'Business Planning Process' as a tool to build the capacity of each of the selected NGOs and/or networks. It should address the use of coaching/mentoring support methodology.

The detailed implementation plan should be based on the methodologies included in the program description and cover the entire five-year period, show the phasing or dates by which planned activities would be carried out as well as proposed indicators to assess the progress of the program. The implementation plan should include a description of all planned activities with sufficient detail including:

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

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

3. Gender Appropriateness

In this subsection, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.A.A.3. The Applicant should specifically discuss how gender concerns will be incorporated into the overall approach to the program and propose ways to create equal opportunities for men and women in the implementation of this program. The applicant will need to demonstrate institutional commitment to gender equality and equity in previous contracts, cooperative agreements, and grants. Both within the Applicant's own institutional management and in building the capacity of organizations and local partners, gender-equitable institutional policies and mission statements, including equal opportunity employment practices will need to be in place or developed as part of the capacity building process.

b. Management & Staffing

In this section, the Applicant should discuss its proposed management and staffing plan that is capable of operating independently. The team should have the authority to make decisions and set priorities for program-related activities. Also, consideration should be made to how the staff of local partners will engage with this program, sites and government counterparts and ensuring that local partner staff is part of the entire program's staffing plan. The Applicant should provide summary descriptions of roles, responsibilities, and qualifications of all key personnel, local and expatriate, consultants, and/or sub-awardees to be funded under the award. The details of required information are as follows:

Management Structure

The Applicant shall specify the composition and organizational structure of the entire program, the roles of staff and technical expertise, and the estimated amount of time each will

devote to the program. The Applicant may propose a mix of country-based and international advisors and specialists to cover the full range of objectives and activities. The management plan should demonstrate how the Applicant will emphasize the use of in-country staff and resources. An organizational chart should be included in the appendix laying out essential positions for the organization itself and any sub-contractors/sub-awardees. 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 members of the team.

Staffing

It is expected that this program will be the flagship USAID/Botswana capacity building effort and that it will support not only the activities of this program, but also those of the broader capacity building effort in Botswana. As such, the program offices will work closely with other USAID projects that are implementing capacity building activities, to ensure appropriate coordination and collaboration, or in need of capacity building support for their local partners, to provide such support.

Given the requirement to support the development and strengthening of at least three district level systems (both CSOs and local government) in hard to reach areas, the Applicant should consider the need for placing staff with easier access to those locations in Botswana. It is expected that staff will be placed outside of Gaborone, however, the mix of personnel and locations will have to be determined by the Applicant.

The Applicant will be required to work closely with each district, interacting with CSO and government personnel on a regular, possibly daily, basis. USAID does not intend for the program to have offices in each of the selected districts, but does expect the team to have a presence in each district. However, given the size of Botswana and difficulty of travel throughout the country, it is expected that the program will not be managed solely out of a central office in Gaborone. It is important that there is a presence in Gaborone for coordination and collaboration with USAID/Botswana, the GOB and the national NGOs and networks based in Gaborone, however, USAID/Botswana expects the program to operate at least one and possibly two field offices in relative proximity to the selected districts. Understanding that the districts are spread throughout the country and that it is not possible for one or two offices to be close to all sites, the Applicant will propose in its management plan how it will manage the districts from the field office(s). This is critical to the success of the program, therefore, a well thought out and executed management strategy able to support all the selected districts from locations that may be quite far from some of the districts' centers of population will be essential.

The Applicant will propose technical and other personnel as deemed appropriate to implement the major tasks above. The Applicant must specify the positions that it deems as Key Personnel and provide resumes for the candidates proposed for such positions. The Applicant shall specify the qualifications and abilities of proposed Key Personnel relevant to successful implementation of the proposed technical approach. The Applicant will also include, in an annex, resumes and letters of commitment 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; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application.

The successful Applicant will consider local and regional personnel for all staff positions in this program. USAID, however, will consider appropriate international staff for positions that are more difficult to recruit locally or regionally. Understanding the expectations of this program to deliver innovative approaches in a field that already has a limited number of experts, the Applicant must ensure that the staff are capable of providing the necessary leadership, management and technical duties necessary for the successful execution of this program. 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 shall consider the following key personnel positions and illustrative qualifications and experience:

- **Chief of Party:** The Applicant is required to appoint a Chief of Party (COP). The COP shall have demonstrated capabilities in institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with local, regional and central-level government authorities. The COP must also demonstrate exceptional written and oral communications skills in English. Familiarity with the political, social, economic, and cultural context of working in Botswana is necessary.
- **Other Personnel:** The Applicant has the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet program requirements. USAID strongly encourages that the awardee consider locally (non-overseas)-hired technical leads for some or all of the other personnel. All personnel must demonstrate exceptional written and oral communications skills in English. Familiarity with the political, social, economic and cultural context of working in Botswana is also necessary.

Consultants

The Applicant may propose a mix of international and in-country professional expertise, advisors and specialists to conceptualize evidence-based approaches. There are several critical areas requiring expertise that will need to be focused on specific components of the work to be conducted. This would include consultants assisting with HIV/AIDS services delivery, organizational development and business planning. 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 program (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. The Applicant that intends to utilize sub-awards should indicate the extent intended, the method of identifying sub-awardees, and the tasks/functions they will be performing. The Applicant that plans 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. The Applicant should state whether or not it has any existing relationships with these other organizations and the nature of the relationship, and should include letters of commitments (in anticipation of MOUs) from proposed collaborators in the Annex. If there's an existing relationship, the application should include the Memoranda of Understanding (MOUs) in the Annex. The Applicant should propose innovative ways to reduce managerial costs of sub-partners and sub-grantees.

Effectiveness and Cost Efficiency of Management Approach

The applicant should discuss its approach to managing the program in an effective and cost efficient manner in this section.

US Volunteers

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

c. Monitoring & Evaluation

In this sub-section, the Applicant should address the considerations related to the evaluation criteria specified in Section V.1.A.c. The Applicant should address monitoring and evaluation and should demonstrate its ability to reach stated program objectives within the required time of performance (including a plan for rapid launch of program activities) through the inclusion of illustrative timelines for the effective implementation of program component in this subsection. In addition, the Applicant should identify those OGAC's "Next Generation" indicators that its program activities will address. This should be done by discussing these indicators in this sub-section of the Technical Application Body. 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 program evaluations.

The Applicant shall provide a preliminary monitoring and evaluation (M&E) plan in its response. This plan shall identify preliminary indicators and targets which support and contribute to the GOB HIV/AIDS National Strategic Framework II, and the Botswana PEPFAR Partnership Framework. The Applicant shall be familiar with the PEPFAR Next

Generation Indicators, which can be found at <http://www.pepfar.gov/guidance/c21628.htm>. The Applicant shall report on relevant PEPFAR indicators as well as other indicators to demonstrate impact and sustainability.

The Applicant shall elaborate in the preliminary M&E plan the expected program results with illustrative indicators, mid-term milestones/benchmarks, and end-of-program results. For each indicator, the M&E plan shall provide interim and final targets, data sources, collection methods and baseline information or a timeline for collecting baseline information. With respect to organizational capacity building for the national NGOs and networks, the applicant should provide the specific targets and indicators over time that will be used to measure that organizational capacity development was successful.

The Applicant shall show how each task relates to indicators and targets. Routine data quality assessments are also required. The M&E plan should provide for a mid-term, external program assessment and describe how the assessment's results will be used to make program improvements. The plan should address how the M&E plan will contribute to evidence-based decision making and programming. There is overlap between the program's three Expected Results. The M & E plan shall address the specific issues of each Expected Result and shall also look at common issues across them.

It is expected that within 60 days of the award, the successful Applicant will submit to the USAID AOTR the final M&E plan covering the life of the program including the list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with the USAID/Botswana PEPFAR team.

d. Institutional Capacity/Experience

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

The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors, sub-grantees, or other partners) 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. 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 above and whose 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 for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

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

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

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

4. *The Annex*

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

B. Cost/Business Application Format

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

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
3. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Subsection IV.2 above. All budgets shall include a sheet relating to the entire 60-month period. The budget shall include a summary and breakdown of the costs allocated to any sub-recipient or sub-contractor involved in the program (unless the agreement or contract is on a fixed-amount basis), as well as the

breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate sub-agreement or subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in the **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. Details on the basis of estimate for each proposed salary should be sufficiently addressed in the budget narratives for all positions [key, consultants, and non-key personnel]. Any proposed salary increase [initial or annual] must be sufficiently justified and supported 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 re its record of performance that were not discussed in the technical application);
 - d. Has a satisfactory record of integrity and business ethics; and
 - e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).
- If requested by USAID after submission of applications, please provide any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.
13. Cost Sharing: Cost sharing is required at a minimum of 20% of the total estimated cost of this award. . Applicants are required to contribute resources from their own, private or local sources for the implementation of this project. Applicants should submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23 and can be audited.
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 unprotected and compatible with Microsoft Office 2003 in a MS Windows environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed. The subject line for every such email must include the following: “**Botswana Civil Society Strengthening Program.**” Applicants shall submit 1(one) original and 2 (two) hard copies of both the technical and cost application to the following addresses via courier shipment or hand delivery:

Cost Applications

Leona Sasinkova
Agreement Officer
USAID/Southern Africa
100 Totius Street
P.O. Box 43 Groenkloof
Pretoria, South Africa
E-mail: lsasinkova@usaid.gov

Technical Applications

Hossana Agedew
Reg. Acquisition & Assistance Specialist
P. O. Box 90
U.S. Embassy
Government Enclave
Embassy Drive
Gaborone, Botswana
E-mail: AgedewH@bw.cdc.gov
hagedew@usaid.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. However, hard copies must be received no later than two (2) days following the closing date for receipt of application, if the application is submitted electronically.

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.

7. 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 EVALUATION

a. TECHNICAL APPROACH (40 POINTS)

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

1. Technical Soundness (20 points)

Evaluation under this sub-factor will focus on the soundness of the overall technical approach for both building technical competence and organizational capacity building. 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 is clear, logical, comprehensive, well-conceived in addressing how the applicant will achieve the objectives all three of the objectives outlined in the Program Description and is technically appropriate for the Botswana context.
- The extent to which the technical application addresses technical issues and technical capacities that are necessary for the improved operations supported by this program including: Prevention, Community TB Care, Adult and Pediatric Palliative Care, OVC, HTC.
- The extent to which the technical application appropriately describes the selection, justification and capacity building plans for national NGOs and networks that will be sub-awardees.
- The soundness a appropriateness of the proposed index or other tool for measuring organizational capacity development of the national NGOs and/or networks and their readiness to receive direct awards from USAID.
- The extent to which the technical application appropriately describes the selection, justification and capacity building plans for the difficult-to-reach districts to improve the provisioning and coordination of HIV/AIDS services in those areas.
- The extent to which the overall approach to sustainable civil society organizations focuses on building financial sustainability of the local partners by helping them to develop a diverse funding base and identify and secure alternative sources of support through grants from other donors, public-private partnerships, and/or fundraising activities including the extent to which the technical approach provides for sustained results beyond the life of the program.
- The quality of the proposed approach to private sector engagement and the Applicant proposed ratio for leveraging resources from private sector

- Selection, justification and capacity building plan for an institution(s) that will be able to continue providing capacity building after the program ends; extent to which the application provides for sustained results beyond the life of the program.
- The degree to which the proposed approach to communications, management, and monitoring & evaluation are innovative.

2. *Implementation Effectiveness (15 points)*

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

- The extent to which the technical application demonstrates the applicant's ability to reach the stated program results within the required time period of performance;
- The extent to which the Applicant proposes using a 'Business Planning Process' as a tool to build the capacity of each of the selected NGOs and Networks and proposes the use of a coaching/mentoring support methodology.
- The extent to which the technical application identifies practical tools for civil society organizations to simplify complex processes and their ability to work with multiple donors.
- The extent to which the Applicant demonstrates an understanding the geographic breadth of this program and the availability of letters of support and commitment to work from the district structures in each district selected.
- The extent to which the Applicant proposes using ICT and GIS to achieve the overall program objectives including activities that will support and enhance communications, management and monitoring and evaluation of NGOs and CBOs and includes a system for mapping and reporting of funding resources to civil society groups and results of program activities.

3. *Gender Appropriateness (5 points)*

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

b. MANAGEMENT & STAFFING (15 POINTS)

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

- The appropriateness and qualifications of the proposed Key Personnel; extent to which proposed personnel meet country-specific needs; their proposed role in meeting program's objectives, including demonstrated technical experience in critical programmatic areas outlined in this RFA.

- The soundness of the proposed management and staffing plan and the extent to which it: 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-term personnel; aligns the staffing plan and responsibilities of personnel (short and long-term, home office support, sub-awardees) with each program component.
- The extent to which local partners including the sub-awarded companies and organizations participate in the management of the program.
- The effectiveness of the Applicant's approach to managing the program in an efficient and cost-effective approach.
- The extent to which the management and staffing plan addresses the use of highly skilled U.S. volunteers, including the feasibility and appropriateness of using these types of volunteers, level of effort, the specific roles that U.S. volunteers can play and any constraints affecting the use of U.S. volunteers [ADS 303; Executive Order 13317 - Volunteers for Prosperity].

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

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

- The extent to which the proposed M&E plan is clear, appropriate, and sound in terms of identification of expected interim and final results of the program and extent to which the plan for collecting baseline, mid-term and end of program evaluation is cost-effective, will reliably quantify program progress and impact, and will integrate with and support building local capacity to gather, ensure quality and analyze data for decision making;
- The extent to which the application identifies preliminary indicators and targets which are in accordance with and support achievement of GOB and PEPFAR objectives and are specific, measurable, and achievable, including but not limited to the meaningfulness, feasibility and ambitiousness of the indicators proposed for measuring organizational capacity development of the national NGOs or networks.
- The extent to which the application meets all the dimensions of Data Quality (reliability, validity, completeness, integrity, accuracy), data storage and effectiveness in data collection and analytical approach for quantifying program progress and impact.

d. INSTITUTIONAL CAPACITY & EXPERIENCE (10 POINTS)

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

- Demonstrated organizational knowledge, capability, and experience of the prime applicant in implementing and managing similar complex programs, that focus on

achieving improvements, building beneficial relationships and coordinating 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-contracts, sub-grantees, and/or other partners in successfully implementing similar programs.

e. PAST PERFORMANCE (15 POINTS)

(i) 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 solicit additional information from the references provided in Section IV.4.A.3.e. of this RFA and from other sources if the Agreements Officer determines additional information would be useful.

(ii) 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.

(ii) 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 program 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 EVALUATION

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 will also include an analysis of the ratio of administrative costs compared to costs dedicated to program implementation (US Government costs). Applicants who do not provide clear information and notes regarding the purpose of each proposed cost and do not provide the breakdown required by Section IV.4.B.9 between management, administrative and support costs versus program activity costs run the risk that costs may be interpreted as relating to administrative costs instead of program implementation costs.
- Cost realism - That the Applicant's technical approach supports the costs proposed. In addition, the cost realism analysis will evaluate whether the costs estimated accurately reflect the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. The cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost Application reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost Application accurately represents the work effort included in the technical application.
- Cost Analysis: All proposed costs will be evaluated for completeness, reasonableness, fairness, allowability and allocability. This analysis is intended to determine the degree to which the costs included in the cost/price application are fair and reasonable.
- Consistency of budget line items and amounts with the resource requirements of the different activities will be evaluated.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. BRANDING STRATEGY AND MARKING PLAN

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

3. COST SHARING

Cost share is required under this RFA at least 20% of the total estimated cost. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

4. REVIEW AND EVALUATION PROCESS

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

The cost applications will be evaluated by the Agreement Officer on Cost effectiveness, realism and analysis. Award will be made to the responsible applicant whose application

offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

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

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

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO APPLICANTS

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

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

2. DEVIATIONS

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

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

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

A. Monitoring and Evaluation Plan

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

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

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

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

B. Annual Implementation Plans

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

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

1. Contents

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

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

2. Distribution

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

3. Revisions

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

C. Quarterly Progress Reports

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

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

D. Quarterly Financial Reports

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

Quarterly financial reports should contain, at a minimum:

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

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

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

F. Final Agreement Completion Report

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

G. Miscellaneous Documents

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

4. ENVIRONMENTAL COMPLIANCE

A. General

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Request for Applications.
2. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

3. No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as “approved Regulation 216 environmental documentation.”)

B. Compliance with the IEE

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

C. Implementation Plans

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

5. USAID DISABILITY POLICY

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

- a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://pdf.dec.org/pdf_docs/PDABQ631.pdf
- b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

[END OF PROVISION]

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

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SECTION VIII – OTHER INFORMATION

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

The following additional information is provided in this Section:

1. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

Submission Requirements

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

(1) Positioning

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

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

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

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

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

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

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

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

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

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

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

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

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

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

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

(c) Implementation of marking requirements.

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

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

(d) Waivers.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

ATTACHMENTS

The following attachments and annexes are provided:

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

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

- a. Partnership Framework can be accessed at
<http://www.pepfar.gov/frameworks/botswana/index.htm>
- b. PEPFAR Next Generation Indicators can be accessed at
<http://www.pepfar.gov/guidance/c21628.htm>.

**USAID/Southern Africa
Request for Applications (RFA) No. 674-11-0003
Botswana Civil Society Strengthening Program**

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

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

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

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

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

7. TYPE OF ORGANIZATION

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

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

(b) If the recipient is a non-U.S. entity, it operates as a corporation organized under the laws of

_____ (country), an individual, a partnership, a nongovernmental nonprofit organization, a nongovernmental educational institution, a governmental organization, an international organization, or a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

[END OF RFA 674-11-0003]