



USAID | UGANDA

FROM THE AMERICAN PEOPLE

Issuance Date: January 04, 2011
RFA Clarification Questions Due: January 18, 2011
RFA Closing Date and Time: February 07, 2011
4.00 PM(Uganda, Kampala Time).

Subject: Request for Applications (RFA) Number: RFA-617-11-000001
Sustainable Responses for Improving the Lives of Vulnerable Children and their Households.,

Prospective Applicants:

The United States Agency for International Development (USAID) is seeking applications from eligible and qualified local and international organizations and institutions that are interested in implementing a program to improve the lives of vulnerable children and their families living in conditions of critical and moderate vulnerability.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of goals and expected results.

This is full and open competition, under which local and international organizations, large or small commercial (for profit) firms, faith based, and non-profit organizations in partnership or consortia from Uganda and the rest of the free world (geographical Code 935), are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible applications to achieve program objectives in the program description. Local and small NGOs may pair with one or more partners if they wish and appear in several applications. USAID encourages applications from potential new partners.

Subject to the availability of funds, USAID intends to provide approximately \$29,500,000 in total USAID funding to be allocated over a five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

A cost share **of 5% of USAID funded amount** is required for this program.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments such as cooperative agreements. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the Cooperative Agreement. The resulting award shall be made in accordance with federal regulations and agency policy. For U.S organizations, awards shall be administered according to 22 CFR 226 and OMB Circulars and USAID Standard Provisions for U.S Nongovernmental Recipients (<http://www.usaid.gov/policy/ads/300/303maa.pdf>). For non U.S. organizations, USAID provisions for Non-U.S., Nongovernmental Recipients will apply (<http://www.usaid.gov/policy/ads/300/303mab.pdf>)

USAID will be substantially involved in the performance and implementation of the award, and the specific nature of our substantial involvement is specified herein in Section B, Sub-section F.

This RFA consists of this cover letter and the following:

1. Section A – Grant Application and Submission Instructions;
2. Section B – Award and Administration Information;
2. Section C – Evaluation Criteria and Selection Process;
3. Section D – Program Description;
4. Section E – Required Certifications, Assurances, and Other Statements of Applicant/Grantee;
5. Section F – Standard Provisions

6. Section G- References
7. Section H- Annexes
8. Forms: - Survey on Ensuring and Equal Opportunity for Applicants
 - Application for Assistance form SF – 424

The preferred method of distribution of USAID RFA information is via the Internet. This RFA and any future amendments to it can be downloaded from <http://www.grants.gov>.

SUBMISSION OF APPLICATIONS:

If your organization decides to submit an application(s), it must be received by the closing date and time indicated at the top of this cover letter, i.e., on or before 4:00 p.m//1600 hours February 7, 2010 Uganda, Kampala time.

Electronic submission of applications is required. Please submit your applications by email, up to five (5) attachments (2MB limit) per email compatible with MS WORD, PDF, and Excel in a MS Windows environment, to all of the email addresses mentioned hereafter. Receipt by any one of these two addresses before the closing date and time will constitute timely receipt of the application. RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE USAID/W INTERNET SERVER.

The addresses for the receipt of applications are:

- 1) Josephine Kitongo at jkitongo@usaid.gov. Primary Contact
- 2) Geraldine Kyazze at gkyazze@usaid.gov, Secondary Contact

Applicants are encouraged to obtain confirmation of receipt of their applications.

Hard copies of the applications are NOT required and will NOT be accepted. Telegraphic or fax applications are NOT authorized for this RFA and will not be accepted.

After you have sent your applications by email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions, so please inspect your own emails.

Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email. If you send multiple copies of the same email, we do not know if there has been any change from one email to the next.

If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your organization's name is ABXY Consulting, and your cost proposal is divided and being sent in as two emails, the first email should have a subject line which says: "ABXY, Cost Proposal, Part 1 of 2". If you do not do this clearly, we may not be sure of the correct order of the separate parts of your application. Our preference would be that each technical and each cost proposal be submitted as a single email attachment, e.g. that you consolidate the various parts of a technical proposal into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence. What is obvious to you as the preparer of the document may not be obvious to us. Your application may not get optimal treatment if we are confused regarding the order and composition of your application.

If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

Your organization should appoint one person to send email submissions. If we receive email submissions from more than

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one person in your organization, we do not know who the authorized person is, and we cannot tell whether there has been a change from one email to the next without considerable effort on our part. Applicants should retain for their records one copy of the application package.

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. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant 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.

Any questions concerning this RFA should be submitted in writing to Josephine Kitongo at jkitongo@usaid.gov and Geraldine Kyazze at gkyazze@usaid.gov not later than January 18, 2011. Answers to questions and any additional information regarding this RFA will be furnished through amendments to this RFA and posted on grants.gov.

Thank you for your interest in USAID programs.

Sincerely,

//signed//

Bruce McFarland

Regional Agreement Officer

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LIST OF ACRONYMS

AIDS	Acquired Immunodeficiency Syndrome
ANPPCAN	African Network for Prevention and Protection Against Child Abuse and Neglect
AOTR	Agreement Officer Technical Representative
BEUPA	Basic Education for Urban Poor Areas
BTVET	Business, Technical, and Vocational Educational Training
CAADP	Comprehensive Africa Agriculture Development Programme
CBO	Community Based Organization
CBSD	Community Based Services Department
COPE	Complimentary Opportunities for Primary Education
CORE	Communities Responding to the HIV/AIDS Epidemic
CPAs	Core Program Areas
CSF	Civil Society Fund
CSO	Civil Society Organizations
DUNS	Data Universal Numbering System
EP	Emergency Plan
FBO	Faith Based Organizations
FMA	Financial Management Agent
GIPA	Greater Involvement of People with HIV/AIDS
GOU	Government of Uganda
HH	Household
HIV	Human Immunodeficiency Virus
HMIS	Health Management Information System
HSSPII	Health Sector Strategic Plan II
IEC	Information, Education and Communication
IGAs	Income Generating Activities
LG	Local Government
LOE	Level of Effort
M & E	Monitoring and Evaluation
MEEPP	Monitoring and Evaluation of the Emergency Plan Progress
MGLSD	Ministry of Gender Labor and Social Development
MIS	Management of Information System
MOLG	Ministry of Local Government
NAADS	National Agricultural and Advisory Services
NGO	Non-Governmental Organizations
NIU	National Implementation Unit
NOP	National OVC Policy
NPI	New Partners Initiative
NSF	National Strategic Framework
NSP	National Strategic Plan
NSPPI	National Strategic Program Plan of Interventions
OVC	Orphans and Vulnerable Children
PEAP	Poverty Eradication Action Plan
PEPFAR	President's Emergency Plan for AIDS Relief
PHAs	Persons with HIV/AIDS
PMA	Plan for Modernisation of Agriculture
PMP	Performance Monitoring Plan
PRDP	Peace, Recovery and Development Plan
PSS	Psychosocial Support
PWD	People with Disability

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SACCOs	Savings and Credit Cooperative Organizations
SDS	Strengthening Decentralization for Sustainability
SI	Strategic Information
SO8	Uganda's Improved Human Capacity Strategic Objective
TMA	Technical Management Agent
TSO	Technical Services Organization
UBOS	Uganda Bureau of Statistics
UDHS	Uganda Demographic Health Survey
UMEMS	Uganda Monitoring and Evaluation Management Services
UNICEF	United Nations Children Fund
UPE	Universal Primary Education
USAID	United States Agency for International Development
USE	Universal Secondary Education
USG	United States Government
VC	Vulnerable Children
WHO	World Health Organization

Project Acronyms

CSF	Civil Society Fund
CRS	Catholic Relief Services
HCI	Health Care Improvement
HIPS	Health Initiative for Private Sector
ICOB	Integrated Community Based Initiatives
IRCU	Inter Religious Council of Uganda
IYP	International Youth Project
JCRC	Joint Clinical Research Centre
LEAD	Livelihoods and Enterprises for Agriculture Development
MCP	Malaria Communities Project
NPI	New Partners Initiative
NUMAT	Northern Uganda Malaria HIV/AIDS TB Response
NULIFE	Nutrition for People Living with HIV/AIDS
PMI	Presidential Malaria Initiative
SMP	Stop Malaria Program
STAR E	Strengthening TB HIV/AIDS Response for Eastern Region
STAR EC	Strengthening TB HIV/AIDS Response for Eastern Central Region
STAR SW	Strengthening TB HIV/AIDS Response for South Western Region
SUNRISE	Strengthening Uganda National Response for Implementation of Services for OVC
TASO	The AIDS Support Organization
THALAS	Targeted HIV/AIDS and Laboratory Services

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SECTION A- GRANT APPLICATION AND SUBMISSION INSTRUCTIONS

I. APPLICATION PREPARATION GUIDELINES

Application must be submitted in a format as stated below and it must include the completed form SF-424 which Applicant can download together with the RFA.

Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award unless the Agreement Officer determines it is in the best Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. The application shall be prepared according to the structural format set forth below.

Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the Specialist at the email address set forth in the RFA cover letter. Oral explanations or instructions given before award of a grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

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:

(a) Mark the title 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, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages____."; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

II. TECHNICAL APPLICATION GUIDELINES

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below:

USAID requests that applications be kept as concise as possible. Detailed information should be presented only when required by specific RFA instructions. Technical Applications are limited to **30 pages (12 point single-spaced type, 1 inch margins)**, not including the cover page, executive summary, appendices, figures and tables. Shorter applications are encouraged. **Technical applications will only be evaluated up to 30 pages.** Supplementary materials such as the performance monitoring and evaluation plan, past performance reference information, personnel resumes and relevant letters of support are excluded from this page limitation. These should be provided as annexes.

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 prospective recipient's lack of cost consciousness.

USAID requests that applications provide all information required by following the general format described below. The technical evaluation criteria, with the possible points allocated to each, are described in Section D. The format of the technical application should follow the outline and order of the technical scoring criteria according to the guidelines provided below.

(1) Executive Summary

This section should be a succinct one-page summary and contain information that the Applicant believes best represents its proposed approach, including:

- Name of the prime applicant and any partners;
- Names of key personnel;
- Expected results;
- Overview of technical approach and monitoring plan;
- Overview of management approach; and
- Cost share information, if any.

(2) Technical Understanding and Approach

The program description outlines objectives and results that are expected to be achieved under its cooperative agreement. The technical application must present how applicant intends to achieve these results in Section D of this document.

Technical applications must be specific, complete and presented concisely. The applications must demonstrate the applicant's capabilities and expertise with respect to achieving the goals for this program. The application must take into account the technical selection criteria and evaluation procedures found in Section C.

The technical approach will be evaluated on the overall merit and feasibility of the program approach, innovativeness and strategies proposed to achieve the results. The technical approach must set forth the conceptual approach, methodology, and techniques for the accomplishment of the stated objectives. It should reflect a thorough understanding of the current context and policy environment in Uganda. The applicant should discuss how resources will be organized to obtain expected results.

Data and evidence-based interventions related to vulnerable households are becoming increasingly available. Applicants shall develop strategies and technical approaches that are reflective of available data and evidence. Applicants shall also highlight how new data and information will effectively be integrated into program strategies and activities as it becomes available. As needed for the design, roll-out and improvement of program activities, assessments and operational research will be undertaken.

This activity will directly support the implementation of the GoU's and USG's commitment to decrease vulnerability through empowering vulnerable households to care for themselves and access needed services. USAID/Uganda seeks services of an international or local organization that will achieve the objectives of this activity using a multi- sectoral approach.

Any consortia proposed must be legally binding. In other relationships with sub partners, the applicant must demonstrate the added value of each partner in achieving the project goals. The applicant must also address how the sub partners will be managed as one project management unit and how overhead costs to multiple organizations will be minimized.

The prime recipient is responsible for implementing at least 60% of program activities.

It is expected that full-scale implementation will begin in **Year one**.

b) Planning, Monitoring, and Evaluation

Applicants should propose a preliminary performance monitoring plan (PMP) to track progress in achievement of the activity objective and each of the Results under the Award. The PMP should include proposed performance indicators with specific targets and benchmarks for the overall objective and each of the results. Applicants should describe how the PMP indicators will be regularly collected and reported to facilitate results reporting to USAID/Uganda and USAID/Washington.

Applicants should describe how overall impact of activities will be assessed, including how baselines will be established and how changes in status will be measured and attributed to SCORE activities. Applicants should also describe how the data provided by the PMP, and any other proposed specific studies to monitor particular aspects of activities, would be used to make mid-term corrections or other changes.

Applicants shall:

- Provide a draft performance monitoring plan for this activity that includes meaningful indicators. The PMP should include ambitious but achievable performance targets and benchmarks that will be achieved by the end of one, three, and five years.
- Identify the data collection method, type, and source of information to be collected.
- Describe how USAID reporting requirements will be met.
- Describe how data generated through this activity will feed into national and sectoral/line ministry reporting systems and requirements.
- Describe how the partner will develop and implement an operations research agenda to test the development hypothesis and strategies. The research should also provide information for evidence based programming.
- Propose a methodology to measure the impact of the project in improving health and education status of primary project beneficiaries.
- **Up to 10% of the budget should be allocated to M&E and operations research.**

The PMP should be included in an Annex.

(3) Management and Personnel Plan

The management and office structure is expected to be cost effective and provide the necessary combination of permanent staff and experienced consultants (limited short-term). The office and management structure should exploit synergies with USAID implementing partners. The applicant should provide an organogram that clearly shows a streamlined and effective management structure of the program across regions and technical areas. The applicant will propose positions that will be designated as Key Personnel for this program. Each key personnel will be proposed by name and position.

Full mobilization of staff is expected within 60 days and implementation of activities to start within 90 days. Applicants shall provide a management plan consistent with the project's technical complexity and stakeholders. The composition and organization structure of the entire implementation team (including home office support) shall be provided. The staffing pattern will reflect the minimum number of highly experienced technical staff sufficient to manage and implement activities under this award.

The management structure should also take into consideration USAID's and the Government of Uganda's desire to have Ugandans and regional nationals in substantive positions. The guiding principles focusing on Gender shall be applied to the management plan as well.

The section on personnel capability in the main body of the application will include brief statements of staff member's role, technical expertise, and estimated amount of time each will devote to the project for each of the key personnel and

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other senior program staff. Resumes for key personnel, other senior program staff and any long-term professional staff/advisors will each be limited to four pages in length and should be included in the annexes. The annexes will include letters of intent to participate for those not already employed by the proposing organization and letters of commitment from proposed key personnel.

The applicant should include:

- Organizational chart with roles and responsibilities.
- Management structure of all proposed partners and their roles and contributions.
- Lines of authority.
- Personnel management.
- Plans for rapid start up, including first-year work plan that identifies the major activities to be undertaken for each objective; a detailed timeline for implementation of activities is not necessary.
- Financial management, reporting, and cost containment strategies.

(4) Institutional Capacity and experience

The applicant is expected to lead a process of strategic engagement with programs focused on economic growth and food security in order to provide more effective pathways for target households to advance out of economic vulnerability and into growth –oriented opportunities. Implementation of activities should also be undertaken by a partner(s) with the relevant strategic, technical, and institutional mandates to strengthen women and VC household’s ability to care for itself and access the same services as non-vulnerable household. It is expected that applicants will have substantive experience in empowering and strengthening families with the skills to navigate the service delivery system to access, acquire or provide critical services such as health, education and psychosocial support.

Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a grant from the US Federal government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. If a local/indigenous organization does not hold a DUNS registration number at the time of application, a non-indigenous partner with a DUNS number can be the primary contact recipient. An indigenous/local organization that does not have a DUNS number can contact the mission for the appropriate form.

Applicants shall:

- Provide a description of the applicant or organization – including its general purpose, goals, annual budget (including funding sources – details may be in the cost application), and major relevant activities and projects undertaken since 1998.
- Describe plans for rapid start-up of the project, including plans for rapidly accessing and deploying key personnel and essential technical staff to support the implementation of the technical program and meet missions’ needs on the ground while avoiding excess staffing.
- Include a description of all proposed sub-partners, if any; the proposed working relationship with them; and their added value. As indicated above, the applicant should clearly distinguish between partners with whom they intend to enter into a sub-granting relationship and those with whom they intend to apply as a consortium (indicate the leader of the consortium).
- Discuss the applicants’ organizations and its sub-partners past experience in the following areas that is directly relevant to achieving the results outlined in this RFA:
 - Grant management
 - USG financial management guidelines
 - Management training

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- Leadership development
- Community development
- Service delivery planning
- Budgeting
- Implementation, monitoring and evaluation methodology.
- Instituting Anti corruption strategies

(5) Past Performance

a) Past performance information will be used for both the responsibility determination and best value decision.

b) The applicant should submit, as part of the application, a list of up to 5 current contracts and grants/cooperative agreements and those completed within the last three years that are similar in size, scope, and complexity to the program description in this RFA. The list should be included as annex or attachment to the technical proposal and will not count against the page limitation.

c) Provide for each of the contracts listed above a list of contact names, job titles, mailing addresses, phone numbers, e-mail addresses, and a description of the performance to include:

- Scope of work or complexity/diversity of tasks,
- Accomplishments in developing and implementing programs as described under this RFA
- Primary location(s) of work,
- Term of performance,
- Skills/expertise required,
- Dollar value, and
- Award type

(USAID recommends that applicants alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed contracts if and when USAID requests it).

The Government reserves the right to verify the experience and past performance record of cited projects or other recent projects by reviewing Contractor Performance Reports (CPR's), other performance reports, or to interview cited references or other persons knowledgeable of the applicant's performance on a particular project. The Government may check any or all cited references to verify supplied information and/or to assess reference satisfaction with performance. References may be asked to comment on items such as: Quality of Product or Service, Cost Control, Timeliness of Performance, Customer Satisfaction, and Key Personnel. Applicants will be provided an opportunity to explain circumstances surrounding less than satisfactory performance reports if not previously provided the opportunity.

III. ESSENTIAL DESIGN ELEMENTS

Activities supported through this project will be guided by a set of principles germane throughout the development arena, and more recently, heavily emphasized within USG initiatives. It is expected that these principles will be clearly visible and meaningfully applied throughout the strategic, technical and programmatic activities proposed. If these principles are not clear, applicants are encouraged to reference the Paris Declaration and Accra Agenda for Action, Feed the Future and Global Health Initiative materials available through the internet.

- **Implementing a women and child centered approach.** This activity is particularly focusing on women, children and their households living in moderately and critically vulnerable situations.
- **Strategic coordination, integration and partnerships.** Uganda has an abundance of resources (financial, human, natural, partners (public, private, community, development, etc.) and if harnessed effectively, can lead to

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long-term sustainable solutions for improving the lives of Ugandans. Implementation of this program will be guided by the policies and frameworks from key ministries that are critical to the wellbeing of children namely, Education (UPE, USE), Agriculture (NAAADs, NUSAF, PRDP, and CAADP), Health (immunization, PHC, HIV/AIDS, RH), Finance Planning and Economic Development (wealth for all through SACCOs, micro finance and MGLSD (cash transfer to the elderly and very poor), Justice (birth and death registration), and all the various policies in MGLSD. This program will work with community delivery systems, private sector, civil society, and local governments to break down the barriers that hinder access to comprehensive service to the intended beneficiaries.

Awardees are expected to coordinate, collaborate, and share best practices and lessons learned with other USG and non-USG supported activities operating in the same geographical zones. Territorialism will not be tolerated.

- **Country ownership and country-led plans:** The USG's role is to assist countries (government, civil society, private sector and others) to make and sustain progress, while at the same time being accountable to those they serve.

Learning, Accountability and Sustainability: Awardee performance and sustainability of project efforts will be tracked through milestone indicators and performance outcomes. In an effort to increase the likelihood of sustainable outcomes, it is expected that the awardee will build on proven practices, discover new information and ways of achieving desired outcomes through research, and innovation.-

- **Sensitivity to marginalized populations.** In all efforts, it is critical that a thorough analysis is done to ensure that individuals or groups of individuals, such as people with disabilities and people living with HIV/AIDS, who need services supported through this activity are not being excluded. The applicant should describe how this program will address marginalized, not only with regard to access to services but also in terms of addressing imbalances in leadership and decision making.
- **Gender** – Despite strong efforts made by the GOU and its development partners to address gender inequities, wide variations still remain between men and women and girls and boys with regard to access to health services, employment, nutrition, education and economic security. The applicant should describe how this program will address gender issues, not only with regard to access to services but also in terms of addressing imbalances in leadership and decision making.

Anti-corruption and fraud:

In order to support the USAID Mission's efforts to fight corruption and fraud, the recipient will be required to demonstrate that it has effective internal control measures that ensure the safe and rational use of grant funds and other public resources. In addition, the recipient will be required to demonstrate that its governance policies and procedures engender transparency, participation and periodic self assessments. These procedures will be consistent with best practices within the donor community to minimize corruption.

IV. COST APPLICATION FORMAT

1. Budget Preparation and Submission Instructions

The Cost/Business application must be completely separate from the Applicant's technical application. The cost information submitted must include three distinct parts: a) the SF 424 and SF 424A; b) summarized cost data; and c) budget notes. The SF-424 and SF-424A "Application for Federal Assistance," is attached to this application on **page 78** or can be downloaded at USAID's website: <http://www.usaid.gov/forms/sf424.pdf>.

The Cost/Business application should be for approximately \$29.5 million over a period of five years and should include a budget with an accompanying budget narrative which provides in detail the individual costs for implementation of the program. The Budget spreadsheet must not be locked or password protected.

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If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicants including identification of the Applicant with which USAID will treat for purposes of Agreement administration, 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.

To support the proposed costs, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following provides guidance on what is required:

- a. The breakdown of all costs associated with the program according to the costs of, if applicable, headquarters, in-country offices; project management and administrative costs.
- b. The breakdown of all costs according to each partner organization involved in the program.
- c. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
- d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement.
- e. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement.
- f. Procurement plan for commodities (if applicable).

The cost application should contain the following budget categories:

- Salary and Wages: Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies.
- Fringe Benefits: If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. 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, FICA, 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.
- Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity).
- Supplies: Office supplies and other related supply items related to this activity.
- Contracts: Any goods and services being procured through a contract mechanism.
- Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), equipment, office rent abroad, etc. The narrative should provide a breakdown and support for all other direct costs.
- Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Recovery Agreement (NICRA), or with sufficient

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information for USAID to determine the reasonableness of the rates. (e.g., a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

2. Responsibility Determination

Applicants should submit any additional evidence for responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- a. Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement.
- b. Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.
- c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- d. Has a satisfactory record of integrity and business ethics.
- e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations.
- f. Completed copy of certifications and representations (Section E).

3. Additional Documentation

Please include information on the organization's financial status and management including:

- a. Copies of the Applicant's financial reports for the previous 3-year period, which have been audited by a reputable certified public accounting firm.
- b. NICRA if applicable (This competition is restricted to Ugandan organizations (see cover letter)). A NICRA from such an organization would be unusual. However, if your organization has a NICRA, please submit it.
- c. Organizational chart.
- d. 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.
- e. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the Applicant should advise which Federal Office has a copy.

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IV. COOPERATIVE AGREEMENT AWARD

1. The Government contemplates that it may award multiple cooperative agreements resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application or (c) award multiple cooperative agreements if it is determined to be in the best interests of the Government.
2. The Government may award cooperative agreements on the basis of initial applications received, without discussion. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with any applicant. Alternatively, USAID may proceed with awardees selection based on its evaluation of initial applications received and/or commence negotiations with any applicant.
3. Technical evaluation factors are significantly more important than cost factors. However, the closer the technical evaluations of the various applications are to one another, the more important cost considerations become. The Agreement Officer will make the final determination of award based on the best overall value to the Government.
4. A written award e-mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.
5. Terrorism: The Applicant is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this agreement.
6. 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" [<http://www.info.usaid.gov/pubs/ads/300/refindx3.htm>] or as approved by the Agreement Officer.

V. AUTHORITY TO OBLIGATE THE GOVERNMENT

The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed cooperative agreement may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

SECTION B – AWARD AND ADMINISTRATION INFORMATION

A. ANTICIPATED AWARD DATE

USAID plans to award one or more five year cooperative agreements from this RFA. USAID/Uganda anticipates that the Cooperative Agreement(s) will be awarded on or about April 2011

B. FUNDING

Subject to the availability of funds, USAID intends to provide up to \$29,500,000 in total USAID funding to be allocated over the five-year period to support these activities. However, depending on a number of issues including the number of districts covered, the burden of need, and the strength of the existing infrastructure, etc., more resources may be committed to support the additional work.

C. AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of goods and services under the cooperative agreement(s) is 935.

D. USAID MANAGEMENT

The Award will have one Agreement Officer Technical Representative (AOTR) from the SO8 team. The AOTR will work in collaboration with AOTRs for other projects that overlap or feed into service delivery, centrally managed USAID/Washington projects that may be working in Uganda, and other Mission activities that may be able to provide support. S/he will regularly meet with project senior leadership and staff to track program and activity design, implementation, progress, and evaluation; and conduct semi-annual management reviews and budgetary analyses.

E. SUBSTANTIAL INVOLVEMENT

A Cooperative Agreement implies a level of “substantial involvement” by USAID through the Agreement Officer and AOTR. The intended purpose of the AOTR involvement in this program is to assist the successful applicant in achieving the supported objectives of the agreement. During implementation of this program, USAID will be substantially involved in the following ways:

- a. Approval of Key Personnel.
- b. Approval of the Recipient’s Implementation Plans, i.e., annual work plans and performance targets, and monitoring and evaluation plans
- c. Approval of and monitoring against the partner’s performance monitoring plan (PMP).
- d. Agency and Recipient collaboration or Joint Participation
 - (1) Collaborative involvement in selection of districts, interaction and communication with GOU and other participating partners on technical or programmatic issues;
 - (2) Approval of recipient’s monitoring and evaluation plans; and
 - (3) Agency coordination with other USAID projects identified in the program description.

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SECTION C – EVALUATION CRITERIA AND SELECTION PROCESS

A. Overview

Each application submitted in response to this RFA will be evaluated in relation to the evaluation factors set forth in this RFA and which have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application. These criteria: (a) identify the significant matters which applicants should address in their applications and (b) serve as the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the technical evaluation criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be evaluated for general reasonableness, allowability, and allocability. In evaluating the different components of the technical applications, the USG will examine the overall merit and feasibility of the Applications, as well as examine specific criteria relevant to each component, as elaborated below.

The Government intends to evaluate applications and award an agreement without discussions with applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. Therefore, each initial offer should contain the applicant's best terms from a cost or price and technical standpoint.

B. Acceptability of Proposed Non-Price Terms and Conditions

An offer is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments and provides a complete and responsive Application without taking exception of the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its offer to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so. The USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the Applicant selection decision.

C. Technical Evaluation Criteria

1. Technical Approach

Presentation of strategic and technical approaches that will effectively and efficiently achieve the results outlined in the detailed scope of work:

Applicants will be evaluated on the extent to which they have:

A. Strategic and Technical Fit: The extent that the proposed approach is responsive to the stated objectives and requirements, aligned with accepted good practices, appropriate for the country and beneficiary context, and likely to contribute to overall USG initiative goals in Uganda.

B. Sustainability of the Approach: The likelihood that outcomes of the set objectives will continue beyond and without USG funding – because critical activities initiated by the project are assumed (and financed) by local institutions, necessary capacity is built among local stakeholders, and/or key behaviors are adopted by partners and beneficiaries.

C. Application of key design elements/principles: Key design elements/principles must be meaningfully integrated and reflected throughout the strategic and technical approaches and the performance monitoring plan.

2. Personnel and Management Structure

Applicants will be evaluated on the basis of the extent to which they have:

- Demonstrated ability to identify and develop/strengthen synergistic relationships with USG, GOU, private sector, civil society, etc. to achieve desired outcomes.

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- Present a management structure that will be flexible and responsive to new developments and dynamics that might evolve over time.
- Demonstrated commitment to using Ugandan professionals in the leadership, management, and implementation of this program.
- Proposed personnel with relevant professional qualifications and experience appropriate to manage and achieve results.
- Proposed staffing and cost projections for the recipient to be awarded and operating simultaneously.
- Indicated how the proposed management structures and staffing address gender principles.
- Demonstrated effective and cost-efficient management structure to achieve planned outcomes; cost effective and productive management of sub partners is demonstrated, if applicable.

3. Institutional Capacity and Past Performance

Applicants will be evaluated on the basis of the extent to which they have:

- Demonstrated organizational knowledge and institutional capability to develop manage and implement similar sustainable programs.
- Described relevant work experience and representative accomplishments in implementing similar programs and in managing similar partnerships in Uganda or East Africa.

D. COST EVALUATION

Cost Applications will be evaluated on the basis of realism and used in combination with the assessment of technical quality to determine best value to the government. Where applications are considered essentially equal, cost may be the determining factor.

The cost Application will be judged on: (i) realism and risk mitigation; (ii) consistency with the technical application; (iii) overall cost control (proposed cost containment methods, avoidance of excessive salaries, excessive home office visits), and other costs in excess of reasonable requirements.

Technical versus Cost Considerations: For this RFA, technical considerations are more important than cost.

E. AWARD

To the extent that they are necessary (if award is not made based on initial applications), discussions and negotiations will be conducted with all the applicants whose applications have a reasonable chance of being selected for award. Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding for the cooperative agreement.

USAID may make one or multiple awards from this RFA.

The selection process may involve oral presentations, which will be conducted in Kampala, with those applicants whose application, has a reasonable chance of being selected for award. Award will be made to responsible applicants whose applications offer the greatest value to the USG, technical, cost, and other factors considered.

SECTION D-PROGRAM DESCRIPTION

SUSTAINABLE RESPONSES FOR IMPROVING THE LIVES OF VULNERABLE CHILDREN AND THEIR HOUSEHOLDS PROGRAM (SCORE)

A.1 SUMMARY

Uganda's Improved Human Capacity Strategic Objective Eight (SO8) in collaboration with the Expanded Sustainable Economic Opportunities for Rural Sector Growth Strategic Objective (SO7) anticipates awarding a 5-year, \$29.5 million Cooperative Agreement to improve the lives of vulnerable children and their families living in conditions of critical and moderate vulnerability. The program will operate in five zones, covering a total of 21 districts of Uganda. This new program will build on the achievements to date of key support to orphans and other vulnerable children and will ensure continuity of services initiated under the President's Emergency Plan for AIDS Relief (PEPFAR) centrally-funded Track 1.0 grants, which have now ended, as well as build on the principles outlined in the new Global Health and Feed the Future Initiatives. The program will focus on improving household economic and food security, enhancing protection and legal services for vulnerable children and empowering and strengthening families with the ability to access, acquire or provide critical services for women and children such as health, education and psychosocial support. Strategic and continuous collaboration between this program and other USG and non USG activities is expected. The proposed program shall be aligned with and support effective implementation of the following policies which are key for the wellbeing of children: The National OVC Policy (NOP) and the revised National Strategic Program Plan of Interventions (NSPPI II), The National Youth Policy, The National Child Labor Policy, The National Policy on Elimination of Child Labor and The National Policy on Disability in Uganda, Universal Primary Education Policy, Universal Secondary Education Policy, Uganda Post Primary Education and Training Policy, Primary Health Care Policy, Adolescent Health Policy, HIV/AIDS Policies, Food and Nutrition Policy, Economic Policy (SACCOs), The Comprehensive Africa Agriculture Development Programme (CAADP) and the National Agricultural and Advisory Services.

Program Objectives:

The goal of the program is to decrease the vulnerability of children currently classified as critically and moderately vulnerable within families and communities through four key objectives:

1. Improve the socio-economic status of vulnerable children (VC) households.
2. Improve the food security and nutrition status of VC and their household members.
3. Promote and provide child protection and legal services to VC and their household members.
4. Strengthen the capacity of vulnerable women and children and their households to access, acquire or provide other critical services.

A.2 INTRODUCTION AND BACKGROUND

Uganda is one of the countries in Sub-Saharan Africa suffering from HIV/AIDS, malaria and tuberculosis. The country has also had a long history of civil unrest manifesting through armed conflicts. Other preventable perils, such as poverty and road accidents, have risen to considerable levels and are becoming significant health threats. These catastrophes combined have led to huge populations of orphans and other VC in Uganda. An orphan is a child below the age of 18 years who has lost one or both parents. A VC is one who is likely to be in a risky situation, and /or likely to suffer significant physical, emotional or mental harm that may result in their human rights not being fulfilled. The OVC situation analysis report 2009 estimated that of the 17.1 million children below the age of 18 years in Uganda, 14 percent (approximately 2.43 million) have been orphaned. It is estimated that nearly half (48%) of all Ugandan orphans are a result of HIV/AIDS. Up to 96% of children in Uganda are considered to be vulnerable, of which 43% (7.3 million) suffer

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moderate and 8% (1.3 million) critical vulnerability situations. This totals to 51% of Ugandan children living in unacceptable conditions.

Vulnerability of children in Uganda mainly derives from factors such as poverty, orphanhood, parental negligence and abuse, exposure to extreme and hazardous labor, street life, children conflicting with the law, heading households, and disability. Uganda has been impacted by the HIV/AIDS epidemic over the past 30 years and many of these vulnerability factors are directly related to the impact of HIV/AIDS on Ugandans. The rising orphan population has eroded the capacity of the extended family system to provide care and support to VC. Today, over 32,130 children between the ages of 10 to 17 are heading households, while over 40,000 children live in institutions and approximately 10,000 live on the streets with no adult care. The situation analysis report also indicates that about 63% of the orphans live with caregivers other than a biological parent who themselves are typically impoverished elderly grandparents who lack access to basic services.

The Ministry of Gender Labor and Social Development (MGLSD) is the national body responsible for the welfare of children in Uganda. It sets policies, oversees implementation, provides technical direction, and is mandated by Government to strategically direct the response for youth and children, including VC in Uganda.

In collaboration with development partners, in 2004 MGLSD developed the NOP and the NSPPI to guide local, national and international efforts focused on mitigating the crisis of VC in Uganda. The NSPPI complements MGLSD policy and offers guidelines for a comprehensive and coordinated approach to planning, implementation and monitoring and evaluation (M&E) for VC, within 10 CPAs in the four building blocks as stated below:

National OVC Strategy: Core Program Areas	
Building Block A: Sustaining Livelihoods	Building Block B: Linking Essential Social Services
1. Socio-economic security 2. Food security and nutrition 3. Care and support 4. Mitigation of the impact of conflict	5. Education 6. Psychosocial support 7. Health
Building Block C: Strengthening Legal and Policy Frameworks	Building Block D: Enhancing the Capacity to Deliver
8. Child Protection 9. Legal Support	10. Strengthening capacity (of service provision structures)

The current NSPPI 2005-2009 is being reviewed. In addition to the NSSPI, the Government of Uganda has also developed a number of sectoral policies and programs that address the welfare of orphans and other VC. These include the National Development Plan (NDP, 2009/10-2014/15) that aims at increasing access to quality social services targeting vulnerable populations, Universal Primary Education (UPE) and Universal Secondary Education (USE), both giving priority to orphans, the National Agricultural Advisory Services (NAADS) that seeks to improve small holder agricultural productivity with a key focus on vulnerable households and the National Youth Policy that aims at empowering youth, with special attention on their vulnerability and circumstances of living to develop social, economic, cultural and political skills to improve their quality of life. Unfortunately, most of these programs overwhelmingly benefit the generally and moderately vulnerable and exclude the poorest of the poor. The MGLSD, whose mandate is to support vulnerable households, also faces several structural challenges such as gross underfunding and understaffing. Its capacity to manage, coordinate, supervise and monitor the national VC response is limited, which leads to the failure of targeting the most critically and moderately VC and having poor quality and duplication of services by several implementing organizations.

The majority of VC in Uganda are cared for by families through extended family networks. This family approach is the most preferred mode of care as stipulated in the National OVC Policy. However, due to poverty, caregivers, community members and community leaders fail to provide quality care to VC unless they receive external support from either government or non-governmental organizations (NGOs). Thirty-one percent (31%) of Ugandans live in absolute poverty

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and the majority of them live in rural areas. The country also has high population growth, which currently stands at 3.2% annually which is reflecting a high dependency burden. In turn, children are absorbed into families already chronically poor, over-sized, and often with breadwinners infected with HIV or elderly.

While the government response is fairly nascent and evolving, external VC care and support is largely provided by civil society organizations (CSOs). The 2009 Situation Analysis of Vulnerable Children in Uganda established that there were over 4,000 CSOs offering VC services in Uganda, using a variety of approaches. PEPFAR provides the bulk of the resources to support civil society activities followed by the Civil Society Fund (CSF), a coordinated mechanism to which various donors contribute resources to support OVC and other HIV/AIDS interventions. However, CSO services were noted not to be commensurate with actual needs, as many VC programs have been fragmented, fail to conduct needs assessments to identify priority needs of vulnerable households and generally offer unsustainable services. This has led to limited impact in the lives of the targeted children and households. The report further established that the most commonly supported CPA was education (70%), followed by health services (57%). The least supported CPAs were child protection and legal support, while socio-economic strengthening interventions are poorly managed, especially income generating activities (IGAs) and psychosocial care for VC and caregivers are largely ignored. Thus, notwithstanding the commitment and the excellent work families are doing to care for orphans, assistance is needed to empower and improve the ability of these VC households to sustain their livelihood and overall wellbeing.

U.S. Government Response to VC

The USG, through Public Law 109-95, is mandated to offer assistance for VC in developing countries under the Act of 2005. This Public Law responds to the global VC crisis and calls for the USG response to be comprehensive, coordinated and effective. Seven USG agencies – namely the Departments of Agriculture, Defense, Health and Human Services, Labor, State, Peace Corps and USAID – support implementing partners to assist VC and their families in 113 countries. In Uganda, seven USG agencies support OVC programs, namely: USAID, the Centers for Disease Control and Prevention, the Departments of Defense and Labor, Peace Corps, the Department of State and Walter Reed.

USAID/Uganda has been supporting the national response to VC in Uganda since the late 1990s. In early 2001, USAID teamed up with UNICEF and other key stakeholders to support the MGLSD in the development of the NOP and NSPPI, which were officially launched in 2004. USAID also supported services for VC through a number of bilateral programs working to strengthen local government response as well as to provide direct services through faith based and civil society organizations. The unprecedented resources availed to Uganda since 2004 through the USG PEPFAR program has propelled the partnership between USAID, UNICEF and the MGLSD to substantively strengthen national systems and expand access to services.

USAID supported the MGLSD to enhance its capacity to lead, manage and coordinate VC services through the Communities Responding to the HIV/AIDS Epidemic (CORE) program. Some of the results from this partnership include contribution to the expansion of VC service delivery to 11% in 2009, development of various tools, standards and guidelines for strengthening VC program management. It also contributed to the development of M&E frameworks that have been disseminated to the districts, aligning civil society activities to the district VC plans, enhanced capacity at the district level to provide strategic direction, coordination and monitoring of VC response, development of a national VC monitoring and evaluation framework and Management Information System (MIS) as well as supporting the development of the CSF.

USAID through the CORE Initiative has supported the MGLSD to initiate partnerships with eight regional Technical Services Organizations (TSOs) to strengthen coordination of VC activities at the district and regional levels. Some of the achievements made by the TSOs include the dissemination of the NOP, the NSPPI, the national quality standards, as well as the service delivery protocols and guidelines. The guidelines enabled district technical and political leaders to develop a five year OVC strategic plan for each district and improved coordination of VC interventions through the established OVC coordination committees.

USAID has also continued to support VC and the implementation of the NSPPI through different mechanisms namely, bilateral programs such as TASO and the Inter-religious Council of Uganda, centrally funded PEPFAR Track 1.0, the New Partners Initiative grantees, and regionally initiated programs, such as ROADS I, which offered services along the

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transport corridor (See Annex 1). These programs are focusing their interventions on both systems strengthening and direct service delivery with emphasis on supporting the family and community response.

USAID is working closely with other USG agencies through the PEPFAR interagency country framework to collaborate and coordinate support to service delivery for VC. USG agencies supporting VC include the State Department's Small Grants Program, the Department of Defense, including Walter Reed, and the Centers for Disease Control and Prevention. Collectively, the USG reached 274,860 VC with various services in FY 09/10.

To further enhance the capacity of MGLSD, a three-year grant was awarded to the United Nations Children's Fund (UNICEF) in 2010 to provide upstream technical support to develop the NSPPI II, functionalize the OVC Management Information System (OVC MIS), and strengthen the capacity of the Department of Children and Youth to manage the national response. A five-year cooperative agreement was recently awarded to the International HIV/AIDS Alliance to strengthen the local government response to VC. These two programs will work in concert with the program awarded through this RFA to ensure access to critical services within strengthened and functional VC national and district structures. This program is intended to bridge the gap between sub county and village level service delivery.

Feed the Future (FTF)

FTF is the comprehensive global hunger, food security, and poverty reduction initiative recently launched by the U.S. Government. It invests in country-owned plans that support results-based programs and partnerships to promote inclusive agriculture sector growth and improve nutritional status, especially of women and children. It also features cross-cutting priorities of gender equality and expanded opportunities for women and girls, as well as environmentally sustainable and climate resilient agricultural development integrated into all FTF investments. Other key principles include strengthening strategic coordination, leveraging the benefits of multilateral organizations, and delivering on sustained and accountable commitments. Uganda was selected as a focus country for FTF because of its adoption of both the Comprehensive African Agricultural Development Program Compact and the Development Strategy and Investment Plan, as well as because of its high levels of under nutrition and rural poverty.

The Feed the Future initiative is based on the twin goals of increasing agricultural growth and improving nutritional status, especially for women and children. The USAID/Uganda FTF program will support a set of interventions under each of these pillars that will sustainably increase agricultural productivity and competitiveness of smallholders, improve the functioning of markets and trade as well as increase access to diverse and high-quality diets, improve nutrition-related behaviors and increase usage of maternal and child health and nutrition services.

The five FTF goals of USAID Uganda include:

- Increasing agricultural productivity;
- Eliminating perennial food and nutrition insecurity;
- Improving the effectiveness of humanitarian assistance;
- Reducing poverty; and
- Strengthening government capacity to support growth in the agriculture sector.

A.2.1. Global Health Initiative (GHI)

Similar to FTF, the GHI also places women and children at the forefront of USG development efforts. With a plan to work with host countries to improve health outcomes through strengthened systems, focus is placed on improving the health of women and children through programs including infectious disease, nutrition, maternal and child health and safe water. GHI principles further include strategic coordination and integration, leveraging partnerships and private sector engagement, improving metrics, monitoring and evaluation and promoting research and innovation.

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The roll-out of these two U.S. Government initiatives provides an unprecedented opportunity to leverage and integrate our development resources into new investments that recognize the centrality of women and children to the long-term health and wellbeing of families and communities. This activity is the first of many to come in Uganda that foster the development and expansion of high-performing and sustainable initiatives, by building on the strengths, skills and knowledge of different sectors, to bring about substantive changes in the lives of the individuals, families and communities that are being supported.

A.2.2. USAID/Uganda

USAID/Uganda's goal is to contribute to the GoU's effort to build a healthy and productive society, and generate broad economic opportunities for all Ugandans. USAID will leverage the goals and objectives of several initiatives and activities currently supported through USAID/Uganda including: PL109-95, FTF, GHI, PEPFAR, USAID's health and education sector support cross-cutting Mission initiatives such as youth and democratic governance. Targeting the same beneficiaries – vulnerable households – with synergistic and integrated approaches across USAID Strategic Objectives (SO8 and SO7) will result in a greater impact on vulnerable households.

This program will focus on the attainment of all three Intermediate Results under the strategic objective for Improved Health and Education status of Ugandans. Under Intermediate Results 8.1, the program will contribute to the attainment of IR 8.1.1 “Improved Quality of Social Sector Services; IR 8.1.2 “Increased Availability of Social Sector Services; IR 8.1.3 “Increased Accessibility of Social Sector Services”. The program will contribute to attainment of IR. 8.1.1.1 “Increased Availability of Resources”, IR. 8.1.1.2 “Enhanced Enabling Environment” and IR 8.1.1.3 “Improved Organization and Management of Social Service Delivery”.

This program will also focus on the attainment of three program areas under the strategic objective for Economic Growth. Under Expanded Sustainable Economic Opportunities for Improved Livelihoods, the program will contribute to attainment of Program Area 4.5 “Agricultural Growth Increased”; Program Area 3.1 “Access to and Utilizations of Safe Water and Sanitation Improved”; and Program Area 3.3 “Food Insecurity among Vulnerable Populations Reduced”.

The core beneficiaries of this program are VC in critical and moderate conditions of vulnerability and their households. It is estimated that at least 15,000 VC households or roughly 80,000 persons (assuming a typical household has 5.3 persons, as highlighted in the OVC Situational Analysis) will be identified for services by community members who will participate in the community mapping process as described in the community mapping field guide by the MGLSD. The partner will be expected to undertake a costing exercise to determine total numbers of beneficiaries to be reached annually and through life of the project.

Geographical targeting was determined by a number of factors including support provided to OVC by the PEPFAR Track 1.0 partners, USAID's current district-based health and HIV/AIDS programs, geographical priority areas identified in the design of the nutritional components for Feed the Future, and a high burden of need. A strategic approach being employed by USAID is to overlay and integrate sectoral programs in order to achieve improved outcomes. Working in the selected 21 districts, this program will benefit from local government systems and civil society strengthening efforts currently being supported by existing USAID programs as well as leveraging additional resources and expertise in economic growth and nutrition offered through our health and economic growth programs. Not only will more vulnerable households be supported, but improved access to social sector services will be availed to these households

	District Name	TSO Zone	Existing programs
1	Bushenyi	South West	Track 1.0, STAR-SW, ICOBI, NPI, CRS-AIDS, Relief, IRCU, LEAD, UHU-Malaria, SDS
2	Rukungiri	South West	Track 1.0, STAR SW, CSF, IRCU, JCRC/TREAT, TASSO-HIV/AIDS, SDS
3	Ntungamo	South West	Track 1.0, STAR SW, Baylor, SMP, JCRC/TREAT,

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			SDS
4	Isingiro	South West	Track 1.0, SMP, STAR-SW, SDS
5	Kamuli	East Central	Track 1.0, IRCU, STAR EC, Nulife, JCRC, LEAD, Baylor, STRIDES, SDS
6	Iganga	East Central	Track 1.0, IRCU, STAR EC, CSF, IYP, HIPS, Nulife, JCRC, IHAA, LEAD, SDS
7	Mayuge	East Central	Track 1.0, STAR EC, HIPS, CSF, SDS
8	Bugiri	East Central	Track 1.0, UNITY, Baylor, CSF, STAR EC, STRIDES, LEAD, SDS
9	Busia	East	Track 1.0, STAR E, Baylor, CSF, FHI-ROADS II, SDS
10	Butaleja	East	Track 1.0, STAR E, Baylor, State Small Grants, SDS
11	Budaka	East	Track 1.0, HIPS, Baylor, STAR E, SDS
12	Buduuda	East	Track 1.0, STAR E, HIPS, Baylor, LEAD, SDS
13	Sironko	East	Track 1.0, Baylor, Linkages, STAR E, SDS
14	Lira	North Central	Track 1.0, HIPS, NUMAT, PMI, JCRC, IRCU, LEAD, Baylor, MTI-Malaria, SDS
15	Gulu	North Central	Track 1.0, PMI, CSF, NUMAT, Baylor, IRCU, JCRC, TASO, LEAD, State Small Grants, SDS
16	Amuru	North Central	Track 1.0, NUMAT, HIPS, CSF, LEAD, PMI, Baylor, SDS
17	Kitgum	North Central	Track 1.0, NUMAT, PMI, IRC-Malaria, Nulife, Baylor, CRS, LEAD, Linkages, SDS
18	Luwero	Central	Track 1.0, SMP, CSF, IRCU, Nulife, JCRC, Mildmay, LEAD
			Reason for inclusion High incidences of child abuse, Urban district
19	Kampala	Central	Engender Health, HCI, TB-CAP, Stop Malaria, TASO, IRCU, MJACP, HIPS, NuLife, HOSPICE, SUNRISE, THALAS, TREAT , AFFORD, WSH-AYA
20	Wakiso	Central	STOP Malaria, CSF, TASO, IRCU, MJAP, HIPS, NuLife, SUNRISE, JCRC, AFFORD
21	Mukono	East	TB CAP, Stop Malaria, TASO, IRCU, MJAP, HIPS, SUNRISE, JCRC, AFFORD, SURE, SPRING, LEAD

A.3. SCOPE OF WORK:

A.3.1 Key result areas

PEPFAR II (2009-2014), GHI, and FTF all emphasize local capacity, government ownership, and sustainability, with a focus on outcomes rather than outputs. Handouts like food rations and scholastic materials, while useful, do not generally address the actual issues underlying VC or household needs and are not sustainable. This program is expected to achieve its outcomes when the needs of a child are not just recognized and subsequently met, but met in a sustainable manner.

Drawing from the findings of the Situation Analysis of Vulnerable Children in Uganda (2009) and the lessons learned from the other programming for vulnerable households in Uganda, East Africa and South Africa, this program will support four key areas namely, socio-economic security, food security and nutrition, child protection and legal support, and access to essential services.

A.3.1.1. Result Area One: VC and their households independently meet their basic needs through socio-economic viability. (LOE 30%)

UNICEF's Uganda Annual Report (2006) indicates that over 6 million children live in poverty and they comprise 62% of the 9.6 million Ugandans experiencing absolute poverty. Socio-economic services are crucial in addressing the consequences of poverty in their households. These interventions strengthen the capacities of VC families and older VC to better provide for their long-term needs.

Interventions in this area will be differentiated and targeted to the specific needs of the household (HH). Interventions for the moderately vulnerable children should prevent them from falling into the critically vulnerable bracket, while those for the critically vulnerable should stabilize their situation and promote them to an economically viable level. The program approaches and strategies will aim to enhance, in a sustainable manner, the capacity of target individuals and households to earn income through activities that suit local conditions and are culturally appropriate. Such strategies shall be linked with the existing national poverty alleviation efforts such as "Prosperity for All", the Uganda Plan for Modernization of Agriculture (PMA), National Agricultural and Advisory Services (NAADS) Cash Transfer program, Community Based Micro-Finance initiatives and the Uganda poverty-alleviation efforts that extend beyond what most NGOs can provide. This program may want to complement the Cash Transfer Program that is being supported by DFID and UNICEF. The economic strengthening interventions shall be tailored to specific HH needs, as well as align with existing markets for the products. In addition, the interventions must be carefully considered for their sustainability and their potential impact on family labor and resources for other critical activities such as children's education, agriculture and food production, health care seeking and leisure.

Caregivers of VC and older VC will be economically strengthened to provide better care for the VC in their households. To effectively achieve significant results, this activity will be implemented to strengthen the economic security of VC households. It will seek to improve their ability to sustain their livelihood over the medium- and long-term with a special focus on alleviating poverty of the critically and moderately vulnerable children and households.

Prime implementing partners should view their role as facilitators in this results area, as distinct from their potential role as direct service providers in other results areas. A careful and continuous process of facilitation can support economic strengthening interventions to achieve scale, sustainability, and cost-effectiveness. Three central principles guide how a facilitator conducts its interventions:

Intensity refers to the magnitude of resources and visibility that a project employs when intervening. The intensity can range from light-touch (i.e., very little resources or involvement and a limited public presence) to more heavy-handed approaches (i.e., greater allocation of resources and an active public presence). The default should always be light-touch unless there are compelling reasons why increased intensity is needed to achieve outcomes. As interventions become more heavy-handed, the implementing partner is expected to manage the assistance to ensure sustainability.

Relationships among target households and other local stakeholders are critical for sustaining economic strengthening outcomes, unlike the relationships between them and the project. Building strong relationships between households and the project creates dependency and weakens sustainability. This program should address the underlying factors that prevent or discourage households from forming and sustaining relationships with other stakeholders. An effective project tactic is using project assistance to briefly mitigate the perceived risks of engaging in new relationships until stakeholders learn such risk is unfounded or easily managed. Known by many as "buying down risk", this practice encourages sustainable, supporting relationships and limits dependency of stakeholders on the project.

Ownership refers to who actually drives the changes sought at the household level. If target households are already adopting needed changes on their own, the project should avoid engagement. Otherwise, this program must seek ways to catalyze, but not own, the needed changes. "Self-selection" is an effective project tactic that requires households and other stakeholders to invest their own time or resources before being able to access project

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support. Self-selection becomes an especially effective tactic when employed continuously so that households take on ownership of each progressive change sought and supported by the project.

Illustrative Outcome Indicators:

- Percent of households with improved economic status that show evidence of increased support to VCs.
- Percent of supported households with basic needs of children met.
- Percent of vulnerable youth earning income from skills acquired through apprenticeship/internship.
- Percent change in value of household assets (i.e., net worth) among VC households assisted with economic strengthening interventions.

A.3.1.2. Result Area Two: VC and their household members have food security and adequate nutritional status. (LOE 30%)

Adequate nutrition is universally recognized as the foundation for proper physical and mental development, especially for children (UBOS/Macro International Inc. 2006). Nutrition and health reports in Uganda indicate that although the country is well endowed with adequate food supplies, a large proportion of children are malnourished. Studies in orphan care households (Ntozi and Mukiza-Gapere, 1995; Wakhweya, et al. 2002) have all documented that food shortage in households caring for VC has reached worrying levels, with most household unable to provide the full range of meals and inadequate amounts for both children and adults. Food security is the capacity of households to procure a stable and sustainable basket of food. Households are said to be food secure when food availability, equal access, stability of supplies, and quality of food are in balance with each other. Food security is directly linked to the availability of household labor, skills and resources to produce or procure food. Therefore, given that poverty levels are high, and a number of VC are under the supervision/care of the elderly, both labor and resources to deliver food are impaired. Therefore, many household members are operating at nutritional levels far below their optimum requirements and this can result in dire consequences especially for children.

The program will address food and nutrition through strategies that assist vulnerable families to restore food security. The strategies shall take cognizance of local conditions, family labor, seasonality of food availability, culture and other resources available to the households. Strategies that engender improved, labor-sensitive agricultural productivity will be highly emphasized. While behavioral change communication approaches to food security and nutrition will be encouraged, emphasis shall be placed on ensuring that there is sufficient evidence that the recipients yield significant improvement in real food production at the household level. The program shall also be expected to tap into and maximize synergies with the upcoming USG Feed the Future Initiative. Interventions under each of these essential areas are mutually supportive and interdependent in building capacity and enabling VC to attain their right to a standard of living adequate for their development.

Illustrative Outcome Indicators:

- Prevalence of stunting among vulnerable children supported.
- Prevalence of wasting among vulnerable children supported.
- Prevalence of under weight among vulnerable children supported.
- Prevalence of women with anemia.
- Percent of households of VC with ‘proper’ feeding practices (frequency of meals, amounts of meals, and variety of foods).
- Average number of months with uninterrupted adequate food for VC and their households.

A.3.1.3. Result Area Three: VC and their households receive needed child protection and legal services.. (LOE 20%)

VC, irrespective of their cause of vulnerability, are susceptible to violence in its multifaceted forms. Child protection is keeping children safe from violence, abuse, neglect, and exploitation by ensuring their rights are upheld and protected from violation. Children’s safety and well-being depends on a protective environment that includes their family and community; social services-including measures to strengthen family care and provide alternative care when needed;

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security and legal justice; and any national social protection mechanisms, such as cash transfers, that may be available. The common risks that VC face include abuse, neglect, and exploitation in different settings such as homes, schools and religious institutions. According to police records (January to April 2009) compiled by African Network for Prevention and Protection Against Child Abuse and Neglect (ANPPCAN), defilement was the highest form of child abuse with 2,594 cases (32%), closely followed by child disappearance with 1,259 cases (15.6%), and child stealing with 1,089 cases (13.1%). Other offences committed against children in this report included child torture 773 cases (9.3%), neglect 680 cases (8.2%), assault 326 cases (3.9%), infanticide 317 cases (3.8%) and child trafficking 100 cases (1.2%).

There is a rising trend of child abuse in communities with incidences of outright defilement being high, and Kampala district reported the highest defilement rate (42.27%) of the total 194 defilement cases reported to ANPPCAN. A number of the cases reported fail to take off because of requirement to pay medical fees (USD\$5-10), which limits processing of reported cases, and lack of resources to collect evidence in the first 72 hours by respective structures. In many other situations parents collude with local leaders to abet this practice.

The child protection structures are streamlined both at district and sub-county levels leaving a gap at parish and village levels. Communities are lacking child protection structures that link them to formal structures. This is mainly attributable to limited funding of the Community Based Services Department that is mandated to establish and operationalize such community structures.

According to the report on implementation of the Convention on Rights of Children in Uganda (2010)¹, there has been tremendous improvement in the awareness of the rights of the children in the general public as well as among actors in the justice system, including the police, local council officials, and magistrates. However, violence and other rights abuses are on an upward trend. While an increase in cases could be a result of increased awareness and reporting, there is greater evidence demonstrating that the justice system put in place to help protect children is in fact failing. The law is failing to protect children in the juvenile justice system. It assumes that the children's institutions are safe, although it has emerged that children are suffering violence in these institutions that are meant to protect them. Furthermore, there are no adequate remand homes, cases may be heard in public rather than on camera as provided for by the Children Act, Secretaries for Children at all levels, including Probation and Social Welfare Officers, are usually not present when children are arrested and taken to court, and parents are rarely invited to witness court proceedings.

The proposed program is expected to enhance protection for VC. It will also focus on initiatives that mitigate circumstances and conditions that create gross violation of the rights of children that subject them to serious risks and hazards like property grabbing. Within households, the program will aim to strengthen the skills of VC caretakers to allow for full integration of VC in their foster households. This program will empower communities to identify, prevent, and respond to children in need of protection from violence, abuse, and exploitation (such as child trafficking/migrations, sex trade, domestic labor, sacrifice and refugees). In addition to child protection services, the program will promote and implement innovative strategies and methods to increase legal protection services such as increasing birth registration, inheritance planning, guardianship, property, and children rights. It will also develop a comprehensive referral pathway for reporting child abuse and seeking child protection services and empower children, caregivers and community structures with child protection and legal support strategies. This will be accompanied by an intensive BCC campaign to profile the rights of OVC, portray the negative consequences of child abuse and also outline the formal and legal channels openly available for seeking justice.

Illustrative Outcome Indicators:

- No. of cases reported.
- No. of reported cases that are followed to conclusion.
- Percent of children who report they are suffering abuse and the abuse has ceased following project intervention.
- No. of cases prevented from abuse and exploitation. (Children identified as vulnerable through a vulnerability assessment that do not report suffering abuse in a later survey and attribute prevention from abuse to project intervention.)

¹ Policies and Practices by Eddy Walakira,

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A.3.1.4. Result Area Four: Vulnerable women and children and their households regularly access, acquire and/or provide other critical services. (LOE 10%)

A key development hypothesis being tested under this activity is that improving the ability of VC households to sustain their livelihood over the medium and long-term will enable a household to meet their basic needs, including health, education, shelter as well as to access psychosocial support as needed. It is vital to ensure that families have the knowledge and skills needed to access, acquire and/or provide these critical services through their own means (in the medium to long-term) and, in the interim, through services designed to reach the vulnerable.

This activity is specifically working to improve economic and food security and improve protection for VC and their households. This activity is further expected to outline strategies and approaches that will be used to provide families with the knowledge and skills needed to access other needed services during the life of and following the end of project, including: existing Government services such as education provided through UPE and USE, Complimentary Opportunities for Primary Education (COPE) and Basic Education for the Urban Poor Areas (BEUPA) as well as preventative, curative and rehabilitative health services through public facilities; access to appropriate private for and not-for profit services; psychosocial support; and basic needs such as shelter, clothing, bedding, water and sanitation, assistive devices for persons with disabilities, support for families with chronically or mentally ill family members.

Strategic approaches must reflect the unique needs of different age groups, sexes and their unique vulnerabilities. For example, vulnerable teenage girls account for 25% of unwanted pregnancies; female OVC (15-17) are more likely to have a sexual partner 10 years older than a non OVC of the same age; younger children need immunization whereas older children need reproductive health services; HIV positive children need access to quality HIV services; children living in conflict/post conflict settings need access to quality psychosocial services.

Illustrative Outcome Indicators:

- Identification of barriers to critical services required by women, children and their households not directly supported through this initiative.
- No. of strategic synergistic partnerships established/strengthened to minimize barriers and achieve sustainable outcomes, including public private partnerships.
- No. of household members accessing needed services not directly supported through this initiative (disaggregated by household members and type of service).

A.4. REQUIREMENTS ON PROGRAM REPORTING, MONITORING AND EVALUATION

a. Annual Work Plans

The recipient shall provide the first annual work plan within one-month of award date; modified, as needed, work plans reflecting district specific information will be submitted no later than three (3) months after the award date. The plan will be reviewed and approved by the AOTR within two- weeks of submission. Within one-month prior to the end of each activity year, the recipient shall submit to the AOTR an annual work plan for the following year.

Annual work plans shall include a narrative describing the strategies, activities, and interventions required to meet the award outputs as well as a log frame or Gantt chart outlining specific activities, the timetable and responsible persons. Annual budgets are expected to accompany the annual work plans.

b. Monitoring and Evaluation

Recipient will be responsible for monitoring and reporting progress in the achievement of results of this activity at the output, outcome and impact levels. Baseline data will be collected and used to fine tune performance targets. USAID/SO8 will conduct mid-term and final evaluations. The recipient should plan for additional assessments and/or evaluations to understand if development hypotheses are as planned, why specific strategies are working/not working well and whenever monitoring data shows major deviations from what was anticipated e.t.c. The purpose of such special evaluation studies will be to improve results and quality of the services. In executing the monitoring and evaluation functions under this program, the recipient shall collaborate and coordinate with the USAID/Uganda's Monitoring and Evaluation Management Services (UMEMS) and the Monitoring and Evaluation of the Emergency Plan Progress (MEEPP)

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contractors or other designees. An analytic agenda and implementation plan to assess operational questions will be drafted by IP and approved by USAID.

c. Performance Monitoring Plan (PMP)

Applicants are expected to include a preliminary PMP with meaningful indicators beyond what is proposed within the application. Within 90 days of the signing of the award, the recipient shall submit a detailed Performance Monitoring Plan (PMP) for the life of the activity that derives from the activities outlined in the program description.

The Performance Monitoring Plan will include an outline of the linkages between key program activities/results, the President's Emergency Plan targets and USAID/Uganda's SO8 intermediate results and include a performance indicator table showing a minimum of, baseline data and annual targets for proposed indicators.

d. Progress Reporting

Quarterly Reports

Within 30 days after the end of each quarter, the recipient shall submit quarterly narrative reports which give insight into the progress of planned activities. The reports shall include qualitative and quantitative information which describes activities conducted and specific results achieved during the quarter. Each report should include quarterly and cumulative (current year and total) data. In addition, the reports shall indicate key implementation challenges encountered and a plan to resolve these issues. Accrued program costs for the quarter and planned expenditure for the following quarter shall also be indicated. Where possible, the program reports shall include success stories and pictures to reflect the real impact of activities on the lives of beneficiaries.

Following receipt of the report a "quarterly review" meeting with the AOTR and other relevant Mission staff will be held to discuss results, challenges, and the way forward.

Annual Reports

Within one-month after the close of each activity year, the recipient shall submit to the AOTR an annual report, along with the final quarter report, which reflects the progress of the program activities over the last year against the work plan. The report should focus on outcomes and impact the program is having on the target beneficiaries, and use activity and output achievements to give context/background and provide project –to-date cumulative data. Anecdotal stories, case studies, pictures, and any other information that gives insight into the success of the program should be included.

End of Activity Report

Within the last month of the program, the recipient shall submit to USAID/Uganda an end-of activity report, summarizing the major achievements, impact, and issues generated by the activity. The report should also indicate the contextual opportunities remaining that could easily be harnessed to sustain the results of the program.

PEPFAR Reporting

Requirements for PEPFAR semi-annual reports (March) and annual reports (September) will be presented to the mission or any other delegated partner during the stipulated reporting periods. Ad hoc reports are periodically requested.

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SECTION E – REQUIRED USAID 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

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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:

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

(ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by 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

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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, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

RFA/APS No. _____
Application No. _____
Date of Application _____
Name of Recipient _____
Typed Name and Title _____
Signature _____
Date _____

6. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b) (1) (A);

(D) Notifying the employee in the statement required by paragraph (b) (1) (A) that, as a condition of employment under the Cooperative Agreement, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b) (1) (D) 1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b) (1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific Cooperative Agreement:

Place of Performance (Street address, city, county, state, zip code)

Alternate II

The recipient certifies that, as a condition of the Cooperative Agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the Cooperative Agreement.

7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this application is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this application is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1) (B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

8. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, _____ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001) (8 U.S.C. §1182).

_____ further certifies that it will not provide material support or resources to any individual or

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entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: _____

Name: _____

Date: _____

Address: _____

NOTICE:

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

9. 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.

10. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

1. I hereby certify that within the last ten years:

a. 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.

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

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

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

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 participants 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.

11. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this application, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to whom this application is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this application is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this application that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such

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prospective participant shall attach an explanation to this application.

Solicitation No. _____

Application/Proposal No. _____

Date of Application/Proposal _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

12. CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED “CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING.”

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

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

RFA No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
<hr/>			
<hr/>			

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. 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

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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
----------------------------	----------	-----------	-----------

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

TYPE/DESCRIPTION	QUANTITY	ESTIMATED	GOODS	PROBABLE	GOODS	PROBABLE (Generic)
UNIT COST	COMPONENTS	SOURCE	COMPONENTS	ORIGIN		

(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	QUANTITY	ESTIMATED	PROBABLE	INTENDED USE
(Generic)	UNIT COST	SOURCE	ORIGIN	

(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	QUANTITY	ESTIMATED	PROBABLE	SLUPPIER NATIONALITY	RATIONALE
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(Generic) UNIT COST (Non-US Only) for NON-US

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

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

5. PAST PERFORMANCE REFERENCES

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

6. 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.

7. 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.

SECTION F – STANDARD PROVISIONS AND OTHER REQUIREMENTS

1. IMPLEMENTATION OF E.O. 13224 - EXECUTIVE ORDER ON TERRORIST FINANCING

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.

2. REVISED REGULATIONS CONCERNING DEBARMENT AND SUSPENSION AND DRUG-FREE WORKPLACE APPLICABLE TO ASSISTANCE

A. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JANUARY 2004)

(1) The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:

(a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;

(b) Have been convicted within the preceding three-years period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

(c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and

(d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

(2) The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

B. DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

(3) The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

C. DRUG-FREE WORKPLACE (JANUARY 2004)

(1) The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:

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- (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
- (b) Specify the actions the recipient will take against employees for violating that prohibition; and
- (c) Let each employee know that, as a condition of employment under any award, he or she
 - (1) Must abide by the terms of the statement, and
 - (2) Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
 - (3) The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about
 - (a) The dangers of drug abuse in the workplace;
 - (b) Your policy of maintaining a drug-free workplace;
 - (c) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
 - (4) Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
 - (5) The recipient agrees to immediately notify the Agreement Officer if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.
 - (6) Within 30 calendar days of learning about an employee's conviction, the recipient must either
 - (a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or
 - (b) Require the employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
 - (7) The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

3. SUPPORTING USAID'S DISABILITY POLICY IN CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS

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

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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://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

(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.

4. MARKING UNDER ASSISTANCE INSTRUMENTS

I 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.

(c) 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,

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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

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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.

- (c) **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.

II 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.

A 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,

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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:

(i) the 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 proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

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

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

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

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and 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 Cognizant Technical Officer 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.

III 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 subagreement.

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 <http://www.usaid.gov/branding> and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the

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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 Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

- (11) The recipient will provide the Cognizant Technical Officer (CTO) 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:

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- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
- (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

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

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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.

5. ANTI-TRAFFICKING ACTIVITIES--LIMITATION ON USE OF FUNDS; RESTRICTION ON ORGANIZATIONS PROMOTING, SUPPORTING, OR ADVOCATING PROSTITUTION.

“ORGANIZATIONS ELIGIBLE FOR TIP ASSISTANCE (MAY 2007)

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. No funds made available under an agreement resulting from this Request for Application or Annual Program Statement for the purpose of monitoring or combating trafficking in persons may be used to promote, support or advocate the legalization or practice of prostitution. Nothing in the immediately preceding sentence shall be

construed to preclude assistance designed to combat trafficking in persons, including programs for prevention, protection of victims, and prosecution of traffickers, by ameliorating the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked. U.S. and foreign organizations, Public International Organizations and collaboration agreement non-traditional partners, in each case, whether prime or sub-recipients, that

receive U.S. Government funds to carry out programs that target victims of severe forms of trafficking, which means sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age, cannot promote, support or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to such organizations or non-traditional partners that provide services to individuals solely after they are no longer engaged in activities that resulted from such victims being trafficked.

In accordance with the information-sharing requirements in Section 105(f)(4) of the 2003 TVPRA and subject to the review procedures of the Senior Policy Operating Group (SPOG) -- an inter-agency coordinating body statutorily established by the 2003 TVPRA -- before USAID makes any award for anti-trafficking programs or activities or makes an award with a significant anti-trafficking component, USAID is required, to the extent permitted by law, share information on its proposed action with the other primary grant-making SPOG member agencies (Department of State, USAID, Department of

Justice, Department of Labor, Department of Health and Human Services, and Department of Homeland Security). Such information shared by the awarding SPOG member agency shall include (i) the name of the funding recipient (including subgrantees or sub-awardees); (ii) location of proposed project; (iii) proposed amount of the award; and (iv) a one or two sentence description of the project. SPOG member

agencies shall have the opportunity to comment on (but not clear) any proposed anti trafficking award of USAID's with respect to (1) whether the proposed action will duplicate anti-trafficking activities of other member agencies; (2) whether the proposed action presents opportunities for partnership with anti-trafficking activities of other member agencies; or (3) whether the proposed action or award to a funding recipient is consistent with U.S. Government policies on combating trafficking in persons. This review and comment process may take twenty-seven business days or longer.

6. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12 (HSPD-12) (SEPTEMBER 2006)

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity

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Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 “smart card” IDs to applicable recipients (and recipient employees), using a phased approach. Effective October 27, 2006, USAID will begin issuing new “smart card” IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID’s information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employee) loses or damages his/her existing ID and would need a replacement ID prior to Oct 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV processes described below, and be issued one of the new smart cards.)

Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID’s information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID’s information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual’s employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notices, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee employee to have routine physical access to USAID space or logical access to USAID’s information systems.

7. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)

Requirements for Voluntary Sterilization Programs

None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate”, as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in

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whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)

a. Voluntary Participation and Family Planning Methods:

(1) The recipient agrees to take any steps necessary to ensure that funds made available under this award will not be used to coerce any individual to practice methods of family planning inconsistent with such individual's moral, philosophical, or religious beliefs. Further, the recipient agrees to conduct its activities in a manner which safeguards the rights, health and welfare of all individuals who take part in the program.

(2) Activities which provide family planning services or information to individuals, financed in whole or in part under this agreement, shall provide a broad range of family planning methods and services available in the country in which the activity is conducted or shall provide information to such individuals regarding where such methods and services may be obtained.

b. Requirements for Voluntary Family Planning Projects

(1) A Family planning project must comply with the requirements of this paragraph.

(2) A project is a discrete activity through which a governmental or nongovernmental organization or public international organization provides family planning services to people and for which funds obligated under this award, or goods or services financed with such funds, are provided under this award, except funds solely for the participation of personnel in short-term, widely attended training conferences or programs.

(3) Service providers and referral agents in the project shall not implement or be subject to quotas or other numerical targets of total number of births, number of family planning acceptors, or acceptors of a particular method of family planning. Quantitative estimates or indicators of the number of births, acceptors, and acceptors of a particular method that are used for the purpose of budgeting, planning, or reporting with respect to the project are not quotas or targets under this paragraph, unless service providers or referral agents in the project are required to achieve the estimates or indicators.

(4) The project shall not include the payment of incentives, bribes, gratuities or financial rewards to (i) any individual in exchange for becoming a family planning acceptor or (ii) any personnel performing functions under the project for achieving a numerical quota or target of total number of births, number of family planning acceptors, or acceptors of a particular method of contraception. This restriction applies to salaries or payments paid or made to personnel performing functions under the project if the amount of the salary or payment increases or decreases based on a predetermined number of births, number of family planning acceptors, or number of acceptors of a particular method of contraception that the personnel affect or achieve.

(5) No person shall be denied any right or benefit, including the right of access to participate in any program of general welfare or health care, based on the person's decision not to accept family planning services offered by the project.

(6) The project shall provide family planning acceptors comprehensible information about the health benefits and risks of the method chosen, including those conditions that might render the use of the method inadvisable and those adverse side effects known to be consequent to the use of the method. This requirement may be satisfied by providing information in accordance with the medical practices and standards and health conditions in the country where the project is conducted through counseling, brochures, posters, or package inserts.

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(7) The project shall ensure that experimental contraceptive drugs and devices and medical procedures are provided only in the context of a scientific study in which participants are advised of potential risks and benefits.

(8) With respect to projects for which USAID provides, or finances the contribution of, contraceptive commodities or technical services and for which there is no subaward or contract under this award, the organization implementing a project for which such assistance is provided shall agree that the project will comply with the requirements of this paragraph while using such commodities or receiving such services.

(9) The recipient shall notify USAID when it learns about an alleged violation in a project of the requirements of subparagraphs (3), (4), (5) or (7) of this paragraph; the recipient shall investigate and take appropriate corrective action, if necessary, when it learns about an alleged violation in a project of subparagraph (6) of this paragraph and shall notify USAID about violations in a project affecting a number of people over a period of time that indicate there is a systemic problem in the project.

The recipient shall provide USAID such additional information about violations as USAID may request.

c. **Additional Requirements for Voluntary Sterilization Programs**

(1) None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

(2) The recipient shall ensure that any surgical sterilization procedures supported in whole or in part by funds from this award are performed only after the individual has voluntarily appeared at the treatment facility and has given informed consent to the sterilization procedure. Informed consent means the voluntary, knowing assent from the individual after being advised of the surgical procedures to be followed, the attendant discomforts and risks, the benefits to be expected, the availability of alternative methods of family planning, the purpose of the operation and its irreversibility, and the option to withdraw consent anytime prior to the operation. An individual's consent is considered voluntary if it is based upon the exercise of free choice and is not obtained by any special inducement or any element of force, fraud, deceit, duress, or other forms of coercion or misrepresentation.

(3) Further, the recipient shall document the patient's informed consent by (i) a written consent document in a language the patient understands and speaks, which explains the basic elements of informed consent, as set out above, and which is signed by the individual and by the attending physician or by the authorized assistant of the attending physician; or (ii) when a patient is unable to read adequately a written certification by the attending physician or by the authorized assistant of the attending physician that the basic elements of informed consent above were orally presented to the patient, and that the patient thereafter consented to the performance of the operation. The receipt of this oral explanation shall be acknowledged by the patient's mark on the certification and by the signature or mark of a witness who shall speak the same language as the patient.

(4) The recipient must retain copies of informed consent forms and certification documents for each voluntary sterilization for a period of three years after performance of the sterilization procedure.

d. **Prohibition on Abortion-Related Activities:**

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate", as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in

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whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

- e. The recipient shall insert this provision in all subsequent subagreements and contracts involving family planning or population activities that will be supported in whole or in part from funds under this award. The term subagreement means subgrants and subcooperative agreements.

8. IMPLEMENTATION OF THE UNITED STATES LEADERSHIP AGAINST HIV/AIDS, TUBERCULOSIS AND MALARIA ACT OF 2003 – ELIGIBILITY LIMITATION ON THE USE OF FUNDS AND OPPOSITION TO PROSTITUTION AND SEX TRAFFICKING

ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)

An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

CONDOMS (ASSISTANCE) (JUNE 2005)

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, "USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at: http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html"

PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (JUNE 2005)

(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 post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

(b) Except as noted in the second sentence of this paragraph, as a condition of entering into this agreement or any sub agreement, a non-governmental organization or public international organization recipient/sub recipient must have a policy explicitly opposing prostitution and sex trafficking. The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

(c) The following definition applies for purposes of this provision: 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 sub agreements.

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

SECTION G- RESOURCES/REFERENCES/EVALUATIONS:

- a. Recent USAID supported evaluations (CORE Initiative and OVC situational analysis report 2009)
- b. Recommended resources available through GOU:

1. Ministry of Gender Labor and Social Development

- GOU National OVC Policy 2004
- GOU National Youth Policy
- GOU National Strategic Program Plan of Interventions 2004 – 2009
- Updated OVC M&E Framework in the NSPPI
- GOU Child Labour Policy
- GOU National Policy on Elimination of Child Labour
- OVC situational analysis 2009 report
- OVC Policy brief
- TSO Capacity Building Plan
- OVC CSO Capacity Assessment Tool
- National OVC Quality Standards
- OVC-MIS Piloting Report
- District Support Supervision Guide
- OVC Program Coordination guide
- OVC Service level standards

2. Ministry of Education

- UPE Policy
- USE Policy
- Uganda Post Primary and Education Training Policy

3. Ministry of Health

- The Adolescent Health Policy
- Primary Health Care Policy
- HIV/AIDS Policy

4. Ministry of Agriculture and Animal Industry

- Comprehensive Africa Agriculture Development Programme
- National Agriculture and Advisory Services
- Food and Nutrition Policy

5. Ministry of Finance and Economic Planning and Development

- National Development Plan 2010 - 2015 http://www.finance.go.ug/docs/NDP_April_2010-Prot.pdf; <http://npa.ug/docs/NDP2.pdf>
- SACCO as stated in the NDP

6. Ministry of Justice

- Birth and Death Registration Policy

7. Recommended resources available through USAID

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- Feed the Future: <http://www.feedthefuture.gov/>
- AGCLIR is the latest report generated under U.S. President Obama's Feed the Future Initiative. Executive summary and full reports are available at this direct link: <http://bizclir.com/cs/countries/africa/uganda> and executive summary: http://bizclir.com/galleries/publications/Uganda_AgCLIR%20Executive%20Summary.pdf
- Global Health Initiative: <http://www.pepfar.gov/documents/organization/136504.pdf>
- PEPFAR indicators, reporting requirements and guidelines for Focus countries, including indicator definitions and guidance on measurement – <http://www.state.gov/s/gac/partners/guide>
- TSO progress reports, midterm review, and final evaluation
- AIM and CRD end of project evaluations
- UPHOLD end of project evaluation
- Civil Society Fund mid-term review

c.. Paris Declaration and Accra Agenda for Action :

http://www.oecd.org/document/18/0%2C2340%2Cen_2649_3236398_35401554_1_1_1_1%2C00.html

SECTION H-ANNEXES

ANNEX 1:

Bilateral OVC Programs:

- AIDS Integrated Model Districts (AIM),
- Uganda Program for Human and Holistic Development (UPHOLD),
- The AIDS Support Organization (TASO),
- Inter-Religious Council of Uganda (IRCU).
- Strengthening MGLSD's Management of the OVC Response (SMMORE)
- Strengthening the Ugandan National Response for Implementation of Services for OVC (SUNRISE)

ANNEX 2

Centrally funded PEPFAR OVC Programs:

Track 1.0s 1

- AFRICARE,
- AVSI,
- Christian AID,
- Opportunity International,
- Salvation Army.

ANNEX 3

OVC New Partner Initiative NPIs:

- GOAL,
- RETRAK,
- ICOBI,
- Wellshare International,
- Francios-Xavier Bagnoud,
- American Refugee Committee

ANNEX 4

Regionally initiated OVC program:

ROADS II Project, which offered services along the transport corridors

**APPLICATION FOR
FEDERAL ASSISTANCE**

Version 7/03

1. TYPE OF SUBMISSION: Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:		Organizational Unit:	
		Department:	
Organizational DUNS:		Division:	
Address:		Name and telephone number of persons to be contacted on matters involving this application (give area code)	
Street:		Prefix:	First Name:
City:		Middle Name	
County:		Last Name	
State:	Zip Code	Suffix:	
Country:		Email:	

6. EMPLOYER IDENTIFICATION NUMBER (EIN): □ □ □ □ □ □ □ □ □ □	Phone Number (give area code)	Fax Number (give area code)
--	-------------------------------	-----------------------------

8. TYPE OF APPLICATION: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>	7. TYPE OF APPLICANT: (See back of form for Application Types) Other (specify)
--	--

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: TITLE (Name of Program): □ □ □ □ □	9. NAME OF FEDERAL AGENCY:
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12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):	11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:
--	--

13. PROPOSED PROJECT Start Date: Ending Date:	14. CONGRESSIONAL DISTRICTS OF: a. Applicant b. Project
---	---

15. ESTIMATED FUNDING:	16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?
a. Federal \$.00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE:
b. Applicant \$.00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372
c. State \$.00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
d. Local \$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?
e. Other \$.00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No
f. Program Income \$.00	
g. TOTAL \$.00	

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative		
Prefix	First Name	Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

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Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

INSTRUCTIONS FOR THE SF424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">Institution of Higher Learning</td> </tr> <tr> <td>B. County</td> <td>J. Private University</td> </tr> <tr> <td>C. Municipal</td> <td>K. Indian Tribe</td> </tr> <tr> <td>D. Township</td> <td>L. Individual</td> </tr> <tr> <td>E. Interstate</td> <td>M. Profit Organization</td> </tr> <tr> <td>F. Intermunicipal</td> <td>N. Other (Specify)</td> </tr> <tr> <td>G. Special District</td> <td>O. Net for Profit Organization</td> </tr> <tr> <td>H. Independent School District</td> <td></td> </tr> </table>	A. State	Institution of Higher Learning	B. County	J. Private University	C. Municipal	K. Indian Tribe	D. Township	L. Individual	E. Interstate	M. Profit Organization	F. Intermunicipal	N. Other (Specify)	G. Special District	O. Net for Profit Organization	H. Independent School District		17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	Institution of Higher Learning																		
B. County	J. Private University																		
C. Municipal	K. Indian Tribe																		
D. Township	L. Individual																		
E. Interstate	M. Profit Organization																		
F. Intermunicipal	N. Other (Specify)																		
G. Special District	O. Net for Profit Organization																		
H. Independent School District																			
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

BUDGET INFORMATION - Non-Construction Programs

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	
1.	-					
2.	-					
3.	-					
4.	-					
5. Totals						
		Grant Program Function or Activity				
6. Object Class Categories		(1)	(2)	(3)	(4)	
a. Personnel						
b. Fringe Benefits						
c. Travel						
d. Equipment						
e. Supplies						
f. Contractual						
g. Construction						
h. Other						
i. Total Direct Charges (Sum of 6a-6h)						
j. Indirect Charges						
k. TOTALS (Sum of 6i and 6j)						
7. Program Income						

BUDGET INFORMATION - Non-Construction Programs (cont'd)

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:	22. Indirect Charges:			
23. Remarks:				

INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ½4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ½1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ½794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ½6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ½523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ½3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. ½1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ½276a to 276z - 276a-7), the Copeland Act (40 U.S.C. ½276c and 18 U.S.C. ½874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. ½327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Save Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ CFDA Number: _____

1. Does the applicant have 501(c)(3) status?

Yes No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes No

5. Is the applicant a non-religious community based organization?

Yes No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes No

8. Is the applicant a local affiliate of a national organization?

Yes No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651.**

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.