



USAID | WEST AFRICA

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Funding Opportunity Cover Page

Issuance Date: February 17, 2012
RFA Clarification Questions Due: February 27, 2012
Closing Date and Time for Application Submission: March 19, 2012; **4:00 p.m. local time**

Subject: Request for Applications (RFA) Number: **RFA-624-12-00002**
RFA Title: **Regional HIV/AIDS Prevention and Care Project**

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for Assistance Agreements from eligible U.S and Non U.S. organizations institutions for funding to support a program entitled "**Regional HIV/AIDS Prevention and Care Project.**" The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description under section A for a complete statement of goals and expected results.

While for-profit firms may participate, 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 LWA Cooperative Agreement.

Applicants under consideration for an award that have never received funding from USAID will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate.

USAID expects to award [one] a Cooperative Agreement based on this RFA. Subject to the availability of funds, USAID intends to provide up to approximately \$13,000,000 in total USAID funding to be allocated over a Five year period. USAID reserves the right to fund any or none of the applications submitted.

Award will be made to that responsible applicant(s) whose application(s) best meets the requirements of this RFA and the selection criteria contained herein. 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.

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Select "Find Grant Opportunities," then click on "Browse by Agency," and select the "U.S. Agency for International Development" and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer.

All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. 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.

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

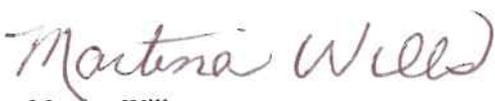
The applicant shall submit only electronic copies of the applications and in the format as described in Section IV of the RFA. Applications must be received within www.grants.gov by the closing date and time indicated at the top of this cover letter.

Request for Applications (RFA) Number: **RFA-624-12-00002**
Regional HIV/AIDs Prevention and Care Project-West Africa

Late applications will not be considered for award.

Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted. Any clarification questions concerning this RFA should be submitted in writing to Ms. Josephine Kitongo, via email at jkitongo@usaid.gov with a copy to Ms. Martina Wills, via email at mwills@usaid.gov by the deadline date listed above.

Sincerely,



Martina Wills
Regional Agreement Officer

Attachments:

- A. Program Description – Regional HIV/AIDS Prevention and Care Project
- B. Additional Guidance - SAMPLE BUDGET
- C. Certificate of Compliance
- D. Initial Environmental Examination (IEE) - USAID-WA_ Regional Health _IEE_ 020912
- E. Links to Mandatory Standard Provisions: www.usaid.gov/policy/ads/300/303maa.pdf
www.usaid.gov/policy/ads/300/303mab.pdf

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I. Funding Opportunity Description

USAID/West Africa, through the Regional Health Office, intends to develop a scalable, replicable model that can be adapted in the region for the provision of essential and comprehensive prevention and support services for MARP (FSW, their clients and MSM) in mixed epidemic environments with high levels of stigma and discrimination. USAID West Africa has a strategic focus to be a recognized leader in improving the health status of vulnerable populations, especially that of women and children by promoting and building partnerships to scale up evidence based interventions within the West Africa Region.

See Attachment B for the detailed Program Description

II. Award Information

USAID expects to award one cooperative agreement based on this RFA. The anticipated total federal funding amount is approximately \$13,000,000. The period of performance is Five Years with an anticipated start date o/a May 25, 2012.

The Government will issue one award resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA are the most responsive to the objectives set forth in this RFA. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

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 award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer.

USAID will be substantially involved during the implementation of this Cooperative Agreement in the following ways:

1. Approval of the Recipient's Annual Work Plans:

Approval of the recipient's annual work plans, monitoring and evaluation plans, including: planned activities for the year, planned expenditures, international travel plans, knowledge management plans, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement.

The first draft of the Year One work plan will be due within thirty (30) days after award of the Cooperative Agreement. USAID will not require approval of implementation plans more often than annually (but must be submitted no later than August 31 of each year for dovetailing with USAID work plan requirements), unless there are to be substantive changes as a result of the mid-term evaluation. However, the work plan will be reviewed and USAID written comments forwarded to the Recipient within one month of submission, and then finalized by the Recipient no later than two (2) weeks after Recipient's receipt of USAID's written comments.

The Recipient will be encouraged to ensure that its work plans and budgets are (i) well-coordinated and mutually reinforcing with those of other USG and other donor partners working in the targeted health zones and provinces; (ii) explicitly linked to achievement of the USAID funded project; and (iii) prepared in a timely manner. The Recipient should ensure that all research or data collection activities under the program are undertaken in collaboration and/or consultation with host countries' Governments. Recipients should collaborate closely with USAID and other partners to

avoid possible redundancies.

The work plan will outline the:

1. Proposed accomplishments and expected progress towards achieving planned results and performance targets tied to the Monitoring and Evaluation (M&E) plan, USAID/ West Africa Operational Plan;
2. Timeline for implementation of the year's proposed activities, including target completion dates;
3. Information on how activities will be implemented and supervised;
4. Personnel requirements to achieve expected outcomes;
5. Major commodities and equipment to be procured when applicable;
6. Details of collaboration with other major partners;
7. Detailed budget.
8. Planned short term technical assistance

2. Approval of Key Personnel:

USAID/WA Agreement Officer's Representative (AOR) will approve "key personnel" for positions designated as "Key" to the successful implementation of the Program.

The following positions will be considered as "key" to the implementation of this award.

- Chief of Party
- Senior HIV Technical Advisor
- Prevention/Capacity Building Specialist
- Monitoring and Evaluation Specialist and Research
- Senior Financial Manager

3. Agency and Recipient Collaboration or Joint Participation:

- Selection of advisory committee members.
- Approval of additional country/technical assistance scope
- Redirection as a result of collaboration with other donors.
- Approval of Togo and Burkina Faso Country Coordinators.
- Approval of sub-award recipients, and concurrence on the substantive provisions of the sub-awards

4. Agency Authority to Immediately Halt Construction Activities.

The award resulting from this RFA shall not include construction activities.

III. Eligibility Information

Eligible Applicants

All qualified U.S. and Non-U.S. organizations may apply

IV. Application and Submission Information

A. Applicants are expected to review, understand, and comply with all aspects of this RFA. This RFA is found on the internet at www.grants.gov. Grants.gov is your source to FIND and APPLY for federal grants *but you **MUST REGISTER to APPLY***. Registration is a one-time process, and *Registration process* can take 3-5 business days or as long as two weeks if all steps are not completed in a timely manner. After you are registered, you shall be able to download this RFA/grant application package to complete it offline and route it through your organization for review before submitting. After you have entered all the necessary information, checked the package for errors and saved your package, click the "Save & Submit" button for your application package to automatically be uploaded on www.Grants.gov and available for USAID to retrieve in response to this RFA.

B. Content and Form of Application Submission

1. Applications shall be submitted in two separate parts: (i) technical proposal including management plan, and (ii) cost or business application.
2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
3. A confirmation screen will appear once the submission is complete. A Grants.gov tracking number will be provided at the bottom of this screen, as well as the official date and time of the submission. Record the tracking number so that you may refer to it should you need to Grants.gov for support.
4. Please note that grant applications submitted to Grants.gov may take up to 48 hours to process before they are available to agencies for download. Once a submission is received, Grants.gov sends two email messages to the applicant. The first email confirms receipt of the application by Grants.gov. The second email indicates that the application has either been successfully validated by Grants.gov or has been rejected due to errors. If the application was successfully validated by Grants.gov, and the submission has both been retrieved and acknowledged by the posting agency, the applicant will receive an additional email. This email may be delivered to the applicant several days or weeks from the original date of their submission, depending on when the posting agency acknowledges the retrieval of the application from Grants.gov.
5. Each applicant is responsible for its submissions, so please check for emails from Grants.gov for any errors. Allow yourself sufficient time to be able to fix such errors. If you discover an error in your transmission, please upload the material again. USAID does NOT have any control over the Grants.gov Application submission process. Late applications will not be considered.
6. Please do not send Application directly via email to the Agency contacts.

Applicants are requested to submit applications both technical and business portions.

Content and Form of Application Submission

Applications shall be submitted in two separate parts: (a) technical proposal or management plan, and (b) cost or business application.

A. TECHNICAL APPLICATION FORMAT

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in this RFA.

1. Instructions to Prepare Technical Application and Information Mandatory to be Included in the Technical Section (“Technical Application Guidelines”)

The following technical guidelines should be used to prepare an application in response to this RFA.

The technical merit will be an important part of consideration in selection for award of the proposed activity. Technical applications should be specific, complete and presented concisely. The applications should demonstrate the Applicant’s capabilities and expertise with respect to achieving the goals of this program. Technical applications shall take into account and be arranged in the order of the technical evaluation criteria.

- a. Application Content:** The technical application may contain the following sections, as more fully explained below: Cover Page, Table of Contents, Executive Summary, Technical Application/Application Program Description including an Illustrative Implementation Plan, First Year Annual Work Plan outline (detailed to be submitted within 45 days upon award) and Monitoring and Evaluation Plan, and Annexes (Curriculum Vitae/Resumes, Past Performance References, and Letters of Commitment from implementing partners, if any). The technical application must not exceed 30 pages exclusive of the annexes (curriculum vitae/resumes, past performance references, and letters of commitment from any implementing partners, if any), in New Time Romans 12 pt Font on A4 size paper and with single line spacing. All inclusive the technical application shall **not exceed 50 pages**.

(1) Cover Page:

Include proposed Project title, RFA No., name of organization submitting application, DUNS No., TIN No., authorized individual, telephone and fax numbers, e-mail, and physical address.

(2) Executive Summary

This section should be a succinct **one-page summary** and contain information that the Applicant believes best represents a summary of its proposed program and provides a justification and rationale for the project’s scope of work, including all elements listed in technical guideline.

Guidance:

- Program locations
- The proposed start and end dates.
- The level of funding requested for the project and proposed cost-share amount.
- Estimated number of total population and primary beneficiaries in proposed target area(s):
- Summary of proposed program, including elements such as:
 - Program objectives and summary of key activities
 - Rationale for the proposed program, including a description of how the project fits within the overall goals and objectives.
 - Identification of local partner(s) involved in program implementation. Applicants should clearly distinguish between partners with whom they intend to enter into a sub-granting relationship and those with whom they intend to collaborate, but not transfer funds.

(3) Strategic/Technical Approach

This section should provide a clear picture of the proposed project and implementation strategies. Details on the proposed technical interventions and corresponding activities should be included. It is important to clearly define linkages with other family planning and related development programs and activities in-country and describe how synergy between programs will be developed and how proposed approaches will reach at-risk communities.

Guidance:

- Provide the goal and objectives of the proposed project.
- Describe in detail each of the activities proposed.
- Include a discussion of the decision-making process for the selected approach, articulating a strong rationale. The rationale should include an explanation of the geographic areas proposed for interventions and justification for the communities targeted.
- Describe the role of all relevant stakeholders (e.g., civil society organizations, local government bodies, the

USAID and/or Embassy) in the selection of the site, interventions and strategies, and how you encouraged their involvement.

- Describe local partners' role and responsibilities in the proposed program and technical intervention areas.
- Clearly articulate how the proposed approach will empower youth, improve provision of local government services, expand civil society's effectiveness and programs in the at-risk communities, and improve media coverage to the communities.

Work Plan: In table format, please present a brief, one to two page work plan with a time line for activities for the first year, which reflects the overall program approach, and objectives.

(4) Personnel Capability and Experience

The core element of the Regional HIV prevention and care program is address the critical gaps in MARP programming in Togo and Burkina Faso and will increase in coverage of other countries striving to reach similar goals and objectives based on the needs and the nature of intervention when resources become available—while providing technical assistance to regional bodies or other structures that have existing HIV and AIDS prevention, care and treatment programming targeting at risk populations within countries. To accomplish this will require field staff in tune with the local communities they serve and familiar with best practices in community governance. Given the broad range of activities likely to be implemented, the recipient will equally need to exercise maximum flexibility in staff resources and capability to be able to provide adequate technical, training, managerial, and administrative support in response to program needs as they are identified.

USAID/WA believes that the quality, commitment, and capabilities of the staff in this program constitute the single most important variable to success. Understanding of the environment, ability to communicate effectively with a range of stake-holders, facilitation and negotiation skills, and commitment to the goals of the program all play as important a role as technical or managerial skills. Applicants need to show creativity, foresight, and flexibility in defining staff positions needed and identifying proposed individuals.

With the possible exception of senior US and country personnel and some finance and administrative personnel, staff proposed for this program should be dedicated full time to this program. Proximity to the communities being served is fundamental to the effectiveness of community development. Given that this is a regional development program focused on defined geographic areas, USAID will look critically at the extent to which applicants decentralize their operations and utilize staff, partners and other resources from the locality.

Of the positions identified below, the Chief of Party, Senior HIV Technical Advisor and the Country Directors should all possess excellent English and French language oral and written communication skills. (Arabic and local language skills are a plus, particularly for relevant countries involved in this program and relevant communities within each country.)

(5) Key Positions/Personnel

Following positions are suggestions for a core management and implementation team for the Regional HIV prevention and care program. However, it is up to the Applicant to provide/list positions that are **Key** to the successful implementation and accomplishment of the program goals and objectives. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

The Recipient is encouraged to propose a staffing pattern that can best achieve the desired results. The Recipient should provide a full team of specialists appropriate to the objectives requested herein through a combination of strategies that minimize costs (such as internship, high quality local hired expatriate staff) and value quality of technical staff. The following positions are considered long term key program personnel:

- a. Chief of Party

The Chief of Party will have technical and management responsibility for all Recipient personnel and be the Recipient's representative to USAID/West Africa, the Line Ministries including Health, other donors and regional institutions, technical agencies and other participating organizations as required. The Chief of Party will have overall responsibility for addressing contract-related issues, including ensuring that Recipient financial controls and systems comply with generally accepted accounting practices that meet USAID standards, and that all activity-procured materials and equipment are safeguarded and prudently and responsibly used. S/he will be responsible for the smooth implementation of the project and for providing general program and technical direction as well as completion of required reports.

This individual must be a senior project management specialist with at least 15 years of experience in the implementation and management of international development projects, specifically, with demonstrated experience in HIV Prevention and MARP programming, capacity building and policy development and implementation. S/He should have proven knowledge on Global Fund's grant implementation. Given the regional aspect of the project and the number of organizations and institutional partners with which the program will interact, the Chief of Party should possess demonstrated capacity to build and maintain productive working relationships with a wide network of partners and stakeholders. S/he also should have experience in community development. S/he should have a demonstrated knowledge of USG/ PEPFAR, and procedures pertaining to activity design/implementation, monitoring and evaluation and substantial experience as a Chief of Party. This individual should have a broad understanding of public health in West Africa and especially in these two countries (Togo and Burkina Faso). The Chief of Party should be knowledgeable about the relevant socioeconomic, institutional and policy issues that are related to this area of work. S/he should have at a minimum a Master's Degree in public health, social sciences, international development, or a related field. S/he must have demonstrated English and French language skills (FS-3 level or higher).

b. Senior HIV Technical Advisor

Senior HIV Technical Advisor will work in close collaboration with the Chief of Party and the Program's technical staff to provide strategic inputs to the Program's activities. In collaboration with the Program's M&E Officer, Senior HIV Technical Advisor will monitor program results and will be responsible for ensuring that the program provides high quality technical services, meets its annual targets and is maximizing positive outcomes. The Senior HIV Technical Advisor will serve as Chief of Party when the Chief of Party is away from the program. An advanced degree at the Masters level or above in social science, public health or other appropriate area is required. The position requires at least Seven years supervisory experience with USG-funded international health project design, monitoring and evaluation methodologies including qualitative and quantitative skills, and 5 years managing HIV prevention programs with focus on MARP

Other requirements include:

- Experience in directing, managing, implementing, and evaluating large, complex projects Involving the collection, analysis, and presentation of health and population data that covers the full range of technical, field and administrative skills required for successful implementation of this type of program;
- At least 7 years of supervisory experience;
- Demonstrated English and French language skills (FS-3 level or higher).
- Well-organized, attentive to detail, and able to handle multiple tasks simultaneously; and
- Works well independently and in teams; proactive in anticipating work requirements and problem solving.

c. Prevention/Capacity Building Specialist

S/he must/will have at a minimum a Master's degree in one of the following or a related field: Anthropology, Behavior Change Communications, Public Health Education, Social and Behavioral Sciences, Community

Development, Social or Community Psychology, Public Health and International Communications. S/he should have at least seven years working in HIV/AIDS prevention with at least five years working with MARP populations. S/he should be able to clearly demonstrate her/his understanding of the current scientific literature and global state-of-the-art knowledge in innovative HIV/AIDS prevention programming for MARP populations. S/he will be responsible for the implementation of capacity building and provision of technical assistance to field activities. An understanding of the socio-cultural issues and nuances of working in such communities is highly desirable. S/he will work directly with partner organizations, communities and other resource users to execute the various activities. S/he should have considerable experience and technical expertise working with community-based organizations, NGOs, and host-country governments.

d. M&E Officer

The Monitoring and Evaluation Advisor should have the required academic qualifications and demonstrated experience in monitoring and evaluation of public health programs to provide technical leadership to these activities under this CA. These qualifications should include:

- A graduate degree in public health, demography, sociology, epidemiology, biostatistics, psychology or a related field.
- At least 7 years of experience in monitoring, evaluating and research related to public health programs, with at least 3 years of experience with USAID or PEPFAR HIV-related programming.
- Demonstrated experience in HIV/AIDS program target setting and reporting
- Excellent verbal, written, interpersonal and presentation skills
- Demonstrated experience and familiarity with behavioral surveillance surveys, research methodologies, qualitative and quantitative research methods, data analysis, sampling techniques and establishing M&E systems in developing countries.

e. Senior Financial Manager

- Management: Minimum 10 years' experience in all aspects of financial project management duties.
- Education: Minimum of bachelor's degree in accounting, financial management, which can be adjusted based on work experience
- Language (reading, writing, speaking): English fluency and at least an FSI 3-3 level in French or in a relevant local African language (Arabic or other)

(6) Management Plan

The recipient will have prime responsibility to ensure that activities conducted under this program contribute to USAID/WA's Mission Plan and address Results One through Four.

Guidance:

Organizational Structure and Human Resources Management:

Describe the proposed management structure for this program and provide an organizational chart in the attachments. Include in the narrative a description of the responsibilities of all principal organizations and staff involved, reporting relationships, authority and lines of communication within and between each of these organizations. Include location(s) where key staff will be based. For any proposed sub-partners (specify those that are receiving funding through this program), include a clear plan for managing and oversight as well as sub-partner budgets aligned with project objectives and activities. Please include job descriptions and CVs of key staff (Chief of Party/Senior Program Manager, Sr. HIV Technical Advisor, Finance Manager, M & E Officer).

As stated in the section "A Regional Program Approach with Targeted Country-specific Interventions to Achieve Results", Applicants should propose a regional program that is both cross-border and cross-cutting.

(7) Past Performance

The U.S. Government will evaluate the quality of the applicant's past performance. This evaluation is separate and distinct from the Agreement Officer's responsibility determination. The assessment of the applicant's past performance will be used to evaluate the relative capability of the applicant to successfully carryout the program. Past performance of significant and critical subs and other types of partnership in applications will be considered to the extent warranted by their involvement in the proposed effort. The application of an applicant with no relevant past performance, may not represent the most advantageous application to the U.S. Government.

Applicants must submit a list of all contracts, grants, or cooperative agreements involving similar or related programs over the past five years. Reference information for at least five (5) must be provided and shall include the location, current telephone numbers, points of contact, and award/contract numbers if available. A brief description of work performed is also required. USAID reserves the right to solicit relevant information concerning an applicant's past performance and may consider such information in the review process.

(8) Monitoring and Evaluation

Guidance:

Discuss how progress towards program objectives will be measured. Identify which indicators will be measured and how data on these indicators will be collected, analyzed and used for program management. Ensure that objectives and indicators are consistent with the monitoring plan and data needs. Present indicators linked to specific project objectives in table format and include source of data and proposed frequency of collection. Indicators should include those related to technical intervention outcomes and process indicators used to track project progress.

(9) Other General Guidance Principles

(a) Sub-grantees and Partners

It is recognized that identification of specific teaming partners and sub-recipients and specific delineation of responsibilities and cost information is, in fact, often known at the time the application is being prepared. In order to reduce the post-award administrative burden of obtaining post-award approval for such sub-awards, and thereby, facilitate program implementation and the achievement of results in the timeframe of the award(s), applicants are strongly encouraged to identify such teaming arrangements and sub-recipients in the technical/programmatic and cost/budget/management sections of their application to the maximum practicable extent. When such organizations are identified, Letters of Intent, Letters of Agreement, or Memoranda of Understanding should be included in the application.

Applicants should demonstrate the full range of capabilities to undertake all the activities proposed in this program. Applicants may determine that to ensure the full range of capabilities required by this program they will partner with other US and local NGOs, universities, engineering or other technical support firms, training organizations, or other partners. Applicants may propose a consortium with other organizations; however, principal responsibility for implementation and ensuring cohesion of the program will rest with the recipient who will act as prime and have final responsibility for implementation and performance monitoring of the program. Further, for consortiums with multiple organizations USAID recommends that common space and equipment be utilized to ensure greater synergy and reduce administrative and management costs where feasible. If the applicant proposes teaming with other organizations the applicant should include a sub-grantee management plan that outlines the level and type of services envisioned, relationship with the prime, and lines of authority and reporting.

B. COST APPLICATION FORMAT

The Cost or Business Application shall be submitted separately from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to

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Regional HIV/AIDs Prevention and Care Project-West Africa

award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

a. Include a budget with an accompanying budget narrative in MS Word to facilitate USAID's determination that costs are allowable, allocable, and reasonable. The applicants must provide an electronic copy of the budget (in Microsoft Excel) with calculations shown in the spreadsheet and an electronic version of the narrative discussing the costs for each budget line item (in Microsoft Word). Detailed budget notes and supporting justification of all proposed budget line items which provide in detail the total costs for implementation of the program your organization is proposing should be included [See **ADDITIONAL GUIDANCE - SAMPLE BUDGET** at attachment **B**]. In addition, a summary of the budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site: http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/.

USAID seeks applications where the maximum amount possible goes to direct interventions and not to Operating Expenses. Preference will be given to applications that clearly demonstrate and innovatively propose how USAID funds can be best applied for maximum impact and results.

The budget shall include:

1. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
 2. The breakdown of all costs according to each partner organization or subcontractor/sub grantee involved in the program;
 3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
 4. The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
 5. Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
 6. A procurement plan for commodities.
- b. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;
- C. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart; and
 3. A copy of the organization's accounting manual.
- D. Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Have adequate financial resources or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.

3. 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.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

E. Required certifications, assurances, and other statements. These forms include:

- Assurance of Compliance with Laws and Regulations Governing –
Nondiscrimination in Federally Assisted Programs
- Certification Regarding Lobbying
- Prohibition on Assistance to Drug Traffickers for Covered Countries
- Certification on Terrorist Financing
- Certification of Recipient
- Key Individual and Participant Certifications Narcotics Offence and Drug Trafficking
- Survey on Ensuring Equal Opportunity for Applicants
- Applicant Information
- Procurement Information

F. Applicants that have never received a cooperative agreement, grant 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.

3. SUBMISSION DATES AND TIMES

Applications are due to USAID by date and time listed on the cover letter of the RFA.

(Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest.")

The **preferred** method of submission of Applications is electronically via www.grants.gov.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the www.grants.gov opportunity. Final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; shall circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

4. OTHER SUBMISSION REQUIREMENTS

- a. Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted. Please note excessive documentation submitted under the annexes is neither necessary nor wanted.
- b. Proprietary Information – Applicants which 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:

- (1) 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 cooperative agreement 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 agreement. 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"

(2) 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."

- c. Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions **must** be sent by the deadline for Questions/clarifications to allow a response to reach all prospective applicants timely before the submission of their applications. Oral explanations or instructions given before award of a Cooperative Agreement 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.
- d. Telegraphic or faxed applications will not be considered.
- e. Language – All applications must be in English.
- f. **QUESTIONS / CLARIFICATIONS TO RFA:**
Any questions concerning this RFA shall be submitted in writing via email to jkitongo@usaid.gov, with copy to mwills@usaid.gov giving reference the RFA number in the subject line by the Q&A deadline **C.O.B. of February 27, 2012 (local Accra Time)**. Answers to all questions received by the time specified will be issued as an amendment to the RFA. For all inquiries and questions, please provide a contact person's name, phone number and email address to allow adequate response timely.

V. APPLICATION AND REVIEW INFORMATION

Below are the significant technical and cost factors. The Government will select application(s) that it determines is the most responsive to the objectives set forth in this RFA and presents the greatest overall value, cost and other factors considered, but reserves the right not to select any proposals for funding.

In accordance with ADS 303.3.6.3 Evaluation Criteria includes the Technical merits of the applications, Cost effectiveness and cost realism of the application, past performance of the applicant, and Branding Strategy and Marking Plan.

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: a) identify the significant matters which Applicants should address in their applications; and b) set the standard against which all applications will be evaluated. To facilitate the review of applications, Applicants should organize the narrative sections of their applications in the same order as the Selection Criteria. Applications will be evaluated in accordance with the Technical Evaluation Criteria identified below.

The cost/business applications of all Applicants submitting a technically acceptable application will be evaluated for general reasonableness, cost realism, allowability and allocability. Applicants are specifically advised that, until an agreement document is received and duly signed by a Grant or Agreement Officer, no program expenditures will be paid by USAID.

In sum, the Technical Evaluation Criteria and points allocations are indicative of USAID/WA Mission's desire to select a highly qualified, flexible, innovative organization(s) and staff, which can capitalize on and enhance the local institutions

and human resource talents in the countries of Togo and Burkina Faso to ensure a greater degree of Program success and sustainability.

To make an objective evaluation possible, applications must clearly demonstrate how the organization and the application meet these criteria.

A. TECHNICAL EVALUATION CRITERIA

The technical application evaluation criteria are presented below. The relative importance of each criterion is indicated by the points allotted to the assigned score. Sub-criteria under each primary criterion are not broken down with specific point values, but constitute the whole section. These criteria have been tailored to the requirements of this particular RFA and serve (a) to identify the significant matters that applicants should address in their applications and (b) set standards against which all applicants will be evaluated. To facilitate the review of applications, applicants should organize the narrative portions of their application in the same order as the broad evaluation criteria and should refer to detailed guidelines found above, Technical Application Guidelines.

1. TECHNICAL UNDERSTANDING AND APPROACHES (50 POINTS)

The application reflects excellent understanding of USAID, the overall program description and its objective, and the ability to synthesize and apply the lessons learned from similar programs or projects. The application clearly demonstrates:

1.1 Project Context (10 points)

- Clear and comprehensive understanding of the current context, policy, and environment to address HIV/AIDS prevention and Care for Most at-risk populations (MARPs) in West Africa, as well as opportunities and challenges related to working across the different stakeholders at regional and at national levels.
- Clear description of other programs and activities underway in the West Africa region (especially in Togo and Burkina Faso), including in the public, private and not-for-profit sectors, identifying those that provide opportunities for synergies in the proposed program interventions and strategies.
- Clear understanding of Global Funds funded programs current status.

1.2 Strategy and Technical Interventions (30 points)

- Extent to which the proposed program approach and strategies are well conceived and realistic to achieve each of the four project component expected results outlined in the program description.
- Technical interventions are evidence-based and innovative, where possible and appropriate, and demonstrate appropriate linkages with other programs.
- Technical activities are clearly linked to ambitious yet feasible project results, reflect state-of-the art HIV prevention initiatives and innovative approaches in the context of a regional program and are measurable. The Applicant describes an appropriate, functioning core package of prevention services tailored to each targeted beneficiary groups. The technical approach and corresponding work plan demonstrate an approach and timeline for a reasonable project startup period.
- The proposed capacity building interventions to beneficiaries groups and local partners demonstrate a thorough understanding of the principles of the U.S. government's Global Health Initiative; USAID Forward and address established gaps in organizational and technical capacity to implement and sustain evidence-based interventions.
- The proposed program engages regional institutions, governments and civil society organizations in substantial, value-adding, and partnerships

1.3 Plan for Monitoring and Evaluation (10 points)

- Does the monitoring and evaluation plan propose innovative approaches towards measuring the quality, effectiveness, and outcomes of the project?
- Does the Applicant propose feasible and cost effective methods and measures (process, output and outcome) to evaluate program implementation feasibility, effectiveness, and sustainability?
- Does the plan include a comprehensive set of indicators that are appropriate to effectively monitor and report on activities and results and technically feasible data sources and collection methodologies for each indicator?

2. PERSONNEL & MANAGEMENT STRUCTURE (30 POINTS)

Application demonstrates that key personnel have requisite breadth and depth of technical expertise and experience in management, planning and provision of specialized technical assistance necessary for achievement of program results.

2.1 Personnel (20 points)

- The Chief of Party and other Key personnel meet criteria, have complementary skills, and are well-matched to the program approach as well demonstrated access to appropriate technical personnel with technical experience and qualifications in all the programmatic areas outlined in the RFA.
- Core technical staff is appropriate to the proposed project approach.
- Staffing matrix – all the necessary skills are available to achieve project goals and results while still being cost effective.

2.2 Management Plan (10 points)

The Recipient shall clearly describe its ability to manage activities carried out under the program description, provide technical support and necessary oversight, and work with USAID W/A staff, other USG agencies, donors, implementing partners and key stakeholders. The Recipient shall explain the potential for the management approach to effectively contribute to achieving project objectives and targets.

- The Recipient shall describe the proposed role of each technical staff in the program and specify the proportion of time each person will be in the field.
- Clear organizational structure in place with identified roles and responsibilities of each technical staff and partner organizations.
- Clearly described roles of and contractual arrangement with each sub-Recipient, the approach for managing of proposed sub-Recipients, and demonstrated past experience managing sub-Recipients.
- Demonstrate an appropriate and realistic plan for rapid startup and exit strategy.

3. INSTITUTIONAL CAPACITY AND PAST PERFORMANCE (10 POINTS)

- Demonstrated organizational knowledge and institutional capacity to develop, manage, and implement similar HIV prevention and Care initiatives targeting hard to reach population in low-resource countries in Africa.
- Relevant work experience and representative accomplishments presented in managing, implementing, monitoring, and evaluating similar HIV/AIDS programs within Africa.
- Demonstrates ability to manage multiple complex activities involving collaborative effort, and maintain clear and effective lines of communication between and among implementing partners and sub-partners.

4. GENDER APPROACH (10 POINTS)

- The extent to which the application demonstrates that all relevant gender and gender issues are identified and how they will be addressed.
- Demonstrated strength of the analysis of gender issues presented in the technical application and extent to which disadvantaged gender groups will be integrated and supported in the activities proposed.

Summary of Technical Rating

Strategic/Technical	50 points
Personnel & Management Structure	30 points
Institutional Capacity & Past Performance	10 points
Gender Approach	10 points
Total	100 points

B. COST EVALUATION CRITERIA

1. Cost Realism:

Applicants must present a detailed budget including all sources of funds allocated and a narrative description (“Budget Notes”) of the applicant’s assumptions made for each budget line item.

2. Cost Effectiveness and Efficiency:

The cost effectiveness of the organization’s approach and its ability to affect a wide base of beneficiaries includes:

- a. Effectiveness of proposed cost control structure;
- b. Reasonableness of proposed labor cost and Expatriate salary;
- c. Budget transparency to effectively track expenditures;
- d. Subcontracting/making methods are clearly defined;
- e. Cost efficiency of proposed Other Direct Costs (ODCs)
- f. Applicant’s market competitive pricing estimates of tangible items to be used for performance;
- g. Competitive pricing estimates and sound purchase methods of international and in-country air travel and surface transportation.

C. Technical versus Cost Considerations

For this RFA, technical considerations are more important than cost and other administrative elements.

D. Review and Selection Process

In accordance with ADS **303.3.6.4** the applications shall be reviewed and evaluated by a Technical Evaluation Committee using the evaluation criteria stated above in section V of this Request for Applications (RFA).

E. Anticipated Announcement and Award Dates

The Government anticipates an award resulting from this RFA o/a May 25, 2012.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices

Following selection of an awardee, USAID will inform the successful applicant concerning the award. A notice of award signed by the Agreement Officer is the official authorizing document, which USAID will provide either electronically or in hard copy to the successful applicant’s main point of contact. USAID also will notify unsuccessful applicants concerning their status after selection has been made.

B. A description of any deviations from standard provisions

There are no standard provisions deviations contemplated under this award.

C. Reporting

The Recipient shall submit Annual Implementation Plans (Work plan) and Reports for the Program within format, content and time schedule substantially as described in details in Program Description. Implementation Plans and reports shall be prepared to be available for public reference and limited distribution. Financial or other proprietary information can be provided in an Addendum for USAID and noted in the Implementation Plan or report.

For a full listing of required Reports and reporting please see Program Description at Attachment A.

D. Demobilization and close-out

Six months prior to the completion date, the Recipient shall submit a Demobilization Plan for AOTR approval. The plan will include, at a minimum, a draft Property Disposition Plan to the Agreement Officer; a plan for the phase-out of in-country operations; a delivery schedule for all reports or other deliverables required under the Cooperative Agreement; and a timetable for completing all required actions in closing-out the award.)

VII. Agency Contacts

Josephine Kitongo
Senior Acquisition & Assistance Specialist
Regional Acquisition & Assistance Office
USAID/WA
No. 24, Fourth Circular Road, Cantonments
Accra. Ghana
Phone number: +233 (0) 302 741456
Email: jkitongo@usaid.gov

Ms. Martina Wills
Regional Agreement Officer
Regional Acquisition & Assistance Office
USAID/WA
No. 24, Fourth Circular Road, Cantonments
Accra. Ghana
Phone number: +233 (0) 302 741663
Email: mwills@usaid.gov

VIII. OTHER INFORMATION

CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF RECIPIENT REQUIRED FOR COOPERATIVE AGREEMENT AWARD (2006)

Note: When these Certification, 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

_____ (hereinafter called the "Applicant")
(Name of Applicant)

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 grant 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.

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.

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 (SEE 22 CFR 227)

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 grant, 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 sub recipients 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 or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaeda 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 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.

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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

(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

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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 whom 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/application 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.

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____
Date: _____ (MM/DD/YYYY)
Name: _____
Title/Position: _____
Organization: _____
Address: _____
Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING (SEE ADS 206)

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.

PART IV - "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)

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

(b)(1) Except as provided in (b) (2) and (b) (3), by accepting this award or any subaward, a nongovernmental Organization or public international organization awardee/sub awardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.^[9]

^[9] The following footnote should only be included in awards to Alliance for Open Society International (AOSI), Pathfinder, or a member of the Global Health Council (GHC) or InterAction (with the exception of DKT International, Inc.):

“Any enforcement of this clause is subject to Alliance for Open Society International v. USAID, 05 Civ. 8209 (S.D.N.Y., orders filed on June 29, 2006 and August 8, 2008) (orders granting preliminary injunction) for the term of the Orders.”

The lists of members of GHC and InterAction can be found at:

http://www.usaid.gov/business/business_opportunities/cib/pdf/GlobalHealthMemberlist.pdf

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

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

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

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

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

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

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

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

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

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a

person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

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

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

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

(The applicant's completion of the survey is voluntary. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

PART VI - SUPPORTING USAID'S DISABILITY POLICY IN 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 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 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.”

PART VII - 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.	Email Address
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

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. CONTRACTOR IDENTIFICATION NUMBER - 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 application.

(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 a recipient is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com .

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub grant or sub agreement) to a sub grantee or sub recipient in support of the sub grantee's or sub recipient'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 and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not code 937 (is defined as the United States, the cooperating/recipient country, and developing countries other than advanced developing countries, and excluding prohibited sources), please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source. "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. "Components" are the goods which go directly into the production of a produced commodity. Any component from a prohibited source country makes the commodity ineligible for USAID financing.

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	GOODS SOURCE
----------------------------	----------	---------------------	--------------

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	INTENDED USE SOURCE
----------------------------	----------	---------------------	---------------------

- (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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SUPPLIER (Non-US Only)	NATIONALITY 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
----------------------------	----------	---------------------	----------------------

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the most recent and/or current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

The recipient must obtain from each identified sub grantee and sub-contractor the required as necessary Certifications and statements pursuant to ADS 303.3.8 and 303.3.9 (herein listed above), and submit with its application/proposal.

9. ENVIRONMENTAL COMPLIANCE

1.a) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered, and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed, and that appropriate environmental safeguards are adopted for all activities.

1.b) In addition, recipients of USAID-funded awards must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

Activities that will be implemented under the HIV/AIDS program will be designed and monitored so as to remain compliant with the Programmatic Initial Environmental Examination (IEE) currently in place for the USAID/WA Regional Health Office - USAID-WA_Health_IEE_020912. IEE is at Attachment D.

The AFR Environmental Review Form and process, including supplemental NRM checklist, will be used for all HIV/AIDS Program small grants made after the effective date of this IEE. The form is available at www.encapafrika.org/documents/AFR-EnvReviewForm-20Dec2010.doc.

Implementing partners will take into consideration potential environmental impacts during the design and implementation process to achieve an environmentally-sound project design and to promote program sustainability. They will screen proposed activities according to the *Africa Bureau Environmental Report Form Review Process*, which is described in the **Bureau's Environmental Procedures Training Manual**, "[Annex G: Umbrella IEEs and Subgrant Environmental Screening](#)," as well as in the **Africa Bureau Environmental Guidelines, Part III**. Both can be found at <http://www.encapafrika.org/resources.htm> (Attached to this IEE as Annex 1). As described there, the screening categories include the following: *Very low risk* - activities that would normally qualify for a categorical exclusion under Reg. 216; *Moderate risk or unknown risk* - activities that would normally qualify for a negative determination under Reg. 216; *High risk* - activities that have a clear potential for undesirable environmental impacts and typically under Reg. 216 require an Environmental Assessment; and *High risk – typically not funded* - activities that either USAID cannot fund or for which specific findings must be made in an Environmental Assessment prior to funding.

The USAID/West Africa shall be responsible for, first, clearing the implementing partner's category determination of sub-grant activities. Classifications of *Moderate or unknown risk or higher* will be referred to the Mission Environmental Officer along with any required Environmental Review Reports (ERRs). All classifications of *High risk* and their ERRs must be approved by the Bureau Environmental Officer (BEO).

When ERRs are necessary, implementing partners will observe recommendations in the *Africa Bureau- EGSSAA* for relevant sectors when developing mitigation actions and monitoring plans. Once the ERRs are approved, project implementers should ensure mitigation measures and monitoring procedures described therein are in place as they will be considered requirements.

Note: The full process as described on page 1 of the form must be implemented, and activities funded by the grant may not commence until the submitted form and entailed environmental review report, if any, is approved by the AOTR and Regional Environmental Advisor (REA). The HIV/AIDS PROGRAM project is responsible for assuring grant activities may only commence, after grantees demonstrate their ability to undertake indicated mitigation and monitoring”.

10. BRANDING AND MARKING

1. Branding and Marking Requirements for HIV/AIDS PROGRAM will conform to ADS 320.3.3 (effective 01/08/2007 and revised 05/05/2009). It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or sub award, must be marked appropriately overseas with the USAID Identity. USAID will require the submission of a Branding Strategy and a Marking Plan by the apparent successful applicant under this RFA.

Applicants may want to consider any relevant exceptions to regular USAID branding and marking requirements. USAID's policy provides parameters and guidance on specific areas of consideration and may be relevant for the purposes of carrying out CVE activities in West Africa. Applicants should ensure that their illustrative budget(s) and costs proposals reflect their proposed branding and marking plan. For more information, see: <http://www.usaid.gov/branding/assistance.html>.

2. BRANDING STRATEGY AND MARKING PLAN - Pre-award Review and Approval: USAID Agreement Officer is required to request, review and negotiate the Apparently Successful Applicant's Branding Strategy and Marking Plan and require any changes to the Branding Strategy and Marking Plan, approve the Branding Strategy and Marking Plan, and include the Branding Strategy and Marking Plan as part of the assistance award. USAID will not competitively evaluate the proposed Branding Strategy and Marking Plan.

If the Apparently Successful Applicant fails to submit or negotiate an acceptable Branding Strategy and Marking Plan timely, that Applicant becomes ineligible for award.

11. GENDER ISSUES INTEGRATION/CONSIDERATIONS

Gender issues are central to the achievement of strategic plans and Assistance Objectives, and USAID strives to promote gender equality, in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural and political development; enjoy socially valued resources and rewards; and realize their human rights. USAID is committed to strengthening women's rights and strives to increase the contributions women make to economic, political, and social development.

Program activities under HIV Prevention and Care Program should assess gender dynamics and women's roles as part of the resiliency framework that supports violence prevention and Applicants should develop appropriate gender analyses and program components in their proposals to fully address gender issues. In order to ensure that USAID assistance makes the optimal contribution to gender equality, performance management systems and evaluations at the project or activity levels must include gender-sensitive indicators and sex-disaggregated data [Please see ADS 203.3.4.3, Reflecting Gender Issues in Performance Indicators]. Project reports include narration of changes in gender norms and gender-related constraints to implementation or opportunities arisen. All people-level indicators must be disaggregated by sex.

12. MANDATORY STANDARD PROVISIONS

In accordance with OMB issued Interim Final Guidance in the Federal Register are included in full text at Attachment E.

1. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)
2. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)
3. TRAFFICKING IN PERSONS (OCTOBER 2010)

ATTACHMENT A

Program Description

HIV prevention & Care project in West Africa

ACRONYMS

AO	Agreement Officer
AOTR	Agreement Officer's Technical Representative
ART	Anti-Retroviral Treatment
AWARE II	Action for West Africa Region II
C&T	Counseling and Testing
CA	Cooperative Agreement
CBO	Community-Based Organization
CCM	Country Coordination Mechanism
CDC	Center for Disease Control
CSO	Civil Society Organization
DHS	Demographic Health Survey
ECOWAS	Economic Community of West Africa States
FBO	Faith-Based Organization
FP	Family Planning
FSW	Female Sex Workers
GF	Global Fund
GFATM	Global Fund for AIDS, Tuberculosis and Malaria
GHI	Global Health Initiative
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immune Deficiency Syndrome
HQ	Headquarters
IR	Intermediate Result
JHU/R2P	Johns Hopkins University / Research to Practice
M&E	Monitoring and Evaluation
MARP	Most at-Risk Population
MCH	Maternal and Child Health
MSH	Management Sciences for Health
MSM	Men who have Sex with Men
NAC	National AIDS Commission
NGO	Non-Governmental Organization
NSP	National Strategic Plan
OGAC	Office of the US Global AIDS Coordinator
PD	Program Description
PEP	Post-Exposure Prophylaxis
PEPFAR	President's Emergency Plan for AIDS Relief
PLHIV	People Living with HIV
PMP	Performance Monitoring Plan
PMTCT	Prevention of Mother-To-Child Transmission
PR	Principal Recipient
PWID	People Who Inject Drugs
RH	Reproductive Health
RHO	Regional Health Office
STI	Sexually Transmitted Infection
SW	Sex worker
TA	Technical Assistance
UNAIDS	Joint United Nations Program on HIV/AIDS
UNFPA	United Nations Fund for Population Activities
UNICEF	United Nations International Children's Emergency Fund
USAID	United States Agency for International Development
USG	United States Government
WAAF	West Africa Ambassadors Fund
WAHO	West Africa Health Organization

I. BACKGROUND

General Overview HIV/AIDS in the West Africa Region

The international and national commitments to combat Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome (HIV/AIDS) in West Africa is strong yet, more can be done to improve HIV programming and to better target specific activities to ensure efficacious and efficient use of limited funding. Regional bodies and specific countries in the region have begun demonstrating ownership and increased commitment to the HIV response by directly funding HIV programs and instituting boards and policies to guide program administration. A majority of countries have established National AIDS Commissions (NAC) and have developed National Strategic Plans (NSP) for improved coordination. Several NAC in the region are Principal Applicants for awards from the Global Fund for AIDS, Tuberculosis, and Malaria (GFATM) and several countries in the region, including Burkina Faso, Benin, Senegal, and Mali are progressing towards universal access to treatment, having achieved approximately 70 percent treatment coverage. In addition, strong political commitment is evident in several countries. In Ghana, the government provides financial resources to increase access to HIV and AIDS services and combat stigma for high risk populations and the majority of the countries in the West and Central Africa sub-region have adopted HIV laws to protect the rights of people living with HIV and AIDS. Most of these countries are also implementing the Joint United Nations Program on HIV/AIDS (UNAIDS) Three-Ones Principle.

Despite the political and financial commitments, many challenges remain in the region both for services provision and access, and ensuring the necessary enabling environments for combatting the epidemic: (1) Stigma and discrimination remain serious concerns for people living with HIV, especially for women, Most at Risk Population (MARP) – especially female sex workers (FSW) and men that have sex with men (MSM). High levels of stigma and discrimination in the community and in some government policies hinder effective programming and the access and use of services for some of these most at risk populations; (2) There is a paucity of data both qualitative and quantitative for strategic programming, exporting and adapting successful programs to new settings, and scaling up “what works” efficiently. Where data are available, they often are not up-to-date or used to inform programs, particularly for MARP; and (3), While evidence-based models exist to address needs of MARP in West Africa and globally, many interventions in the region have been implemented as *pilot projects*, and have not been scaled up to achieve sufficient impacts to reduce HIV at the population level. These challenges require appropriate strategies and responses.

Epidemic Context

Sub-Saharan Africa is the most affected region by HIV and AIDS. In West and Central Africa, heterogeneous HIV epidemics exist both within and between countries in the region. Sexual transmission accounts for the largest portion of HIV transmission. National country level HIV prevalence in the general population is low and ranges from less than one percent to five percent. Despite low HIV prevalence among the general population, relative to other regions of sub-Saharan Africa, West and Central Africa contribute a significant number of new infections to the global burden due to its large population. While national HIV prevalence ranges are low, prevalence among MARP, including female sex workers (FSW) and MSM is significantly high. HIV prevalence among FSW and MSM is respectively 30 and 19 times more than the general population prevalence in Niger and Senegal, respectively. Few data are available on other at-risk populations, including size or prevalence estimates for people who inject drugs (PWID).

Unprotected sex between men is probably a more important factor in sub-Saharan Africa’s HIV epidemics than is commonly thought. A systematic review of the global HIV epidemic among MSM suggests that they have significant odd ratios of HIV infection in low-prevalence or very low-prevalence countries; 14.4 and 58.4 respectively. Given the high HIV prevalence levels and in the absence of effective prevention, MARP can transmit HIV in various ways. Risky sexual contact between MARP and certain ‘bridging’ groups can cause wider transmission of HIV infection to lower-risk general population. Few data are available on other at-risk populations, including size or prevalence estimates for people who inject drugs [PWID]. Additionally, large unmet needs for HIV and AIDS prevention, care, and treatment services exist across all countries.

Regional Response to HIV/AIDS

The Economic Community of West Africa States (ECOWAS) and the West Africa Health Organization (WAHO)

ECOWAS is a regional group of fifteen countries, which promotes economic integration in all fields of economic activities

including those impacted by HIV and AIDS. WAHO is the health arm of ECOWAS with a mandate to provide leadership in responding to the health needs of citizens in ECOWAS member countries. In May 2011, ECOWAS convened a high-level consultation meeting to discuss and validate its five-year HIV strategic plan (2012-2016). The strategy focuses on regional action to better address common issues including: (1) Strengthening of the on-going public-private partnership initiative for the sustainable production of quality and affordable HIV drugs and commodities; (2) Bulk purchasing of medicines; (3) Creating regional movement to eliminate mother to child transmission; (4) Improving coverage of HIV/AIDS services for MARP; (5) Creating and improving enabling legal environments; (6) Increasing ownership and sustainable financing; and (7) Coordinating capacity building efforts. From 2006-2010, ECOWAS's direct funding supporting the WAHO program is estimated at \$83,156,865-approximately 95.5 percent of the total funding managed by WAHO during that period to support health programs including HIV/AIDS.

Global Fund for AIDS, Tuberculosis, and Malaria (GFATM) in West Africa

In West/Central Africa, the GFATM is the major source of funding for HIV/AIDS prevention, care and treatment services. In total, the GFATM has approved US\$ 3.6 billion in proposals for the sub-region, representing 16 percent of GFATM resources which is second only after the East Africa region. These grants cover numerous aspects of prevention, care and treatment of HIV and AIDS, despite these significant investments, resources allocated to support MARP programming has been low. In Round 8, only nine percent of total HIV proposals approved globally had MARP focused interventions. In Round 10, to increase MARP programming, the GFATM established an incentive mechanism to promote the prioritization of interventions addressing MARP where epidemiologically appropriate. This effort will be continued in Round 11.

Other Donor Engagement

The other key players that support the fight against HIV in the region include: UNAIDS, United Nations International Children's Emergency Fund (UNICEF), United Nations Fund for Population Activities (UNFPA), and the regional networks of civil society organizations, Faith-Based Organizations (FBOs), universities, researchers and key regional champions to stabilize the epidemic and reduce the number of new infections in the sub-region. USAID believes in strong partnerships with these organizations to contribute to achieving common goals as set by UNAIDS-new generation free of HIV.

Current USAID and President's Emergency Plan for Aids Relief (PEPFAR) Program in West Africa

The USAID West Africa Regional Health Office (RHO) covers 21 countries in the West and Central Africa sub-region, eight of which are USAID presence countries. The RHO portfolio includes family planning and reproductive health (FP/RH), HIV/AIDS, maternal and child health (MCH) with an average annual budget of US\$14 million. With limited amount of funding, the USAID RHO faces significant challenges to provide strategic support to countries in the region, especially for the USAID non-presence countries.

PEPFAR is the second largest HIV and AIDS program in the region. Nigeria and Cote d'Ivoire are two of the fifteen countries that are receiving the majority of PEPFAR resources. PEPFAR support to fight HIV in these two countries was more than 14 percent of the entire appropriation for 2004 and 2005 for the 15 focus countries. In 2010, PEPFAR's budget for Nigeria, nearly USD\$0.5 billion, was the third largest (after South Africa and Kenya). Benin, Cote d'Ivoire, Guinea, Ghana, Liberia, Mali, Nigeria, Cameroon, Senegal and Sierra Leone receive PEPFAR funding. PEPFAR programs are implemented through the following US agencies: USAID, Centers for Disease Control (CDC), Peace Corps, Department of Defense and Department of State.

In July 2009, USAID/West Africa entered into a contract with Management Sciences for Health (MSH) to develop a three-year USD\$ 28,086,535 project named Action for West Africa Region (AWARE) II; a follow-on program of the previous AWARE –HIV (2003-2007). This program is working to "create a positive operating environment enabling countries to plan and implement selected high quality health service programs for people of the region." In addition USAID/West Africa is supporting three countries to conduct Demographic Health Survey (DHS) with HIV modules; which provides an excellent opportunity to leverage current and planned USAID/West Africa investments: Burkina Faso, Cameroon and Togo. Finally USAID also provided technical assistance to the Global Fund Country Coordination Mechanisms (CCM) and to Principal Recipients (PR) and Sub-Applicants for successful GFATM funded program implementation, targeting key priority areas, i.e. grant negotiation, governance, CCM restructuring, transition Phase I-II, monitoring and evaluation.

Future USAID West Africa Investment Direction and Focal Areas

The actual RHO HIV strategy is a result of a comprehensive strategic planning process with contribution from USAID Headquarters (HQ) and other stakeholders and data driven approaches: (1) The RHO five-year HIV strategy that is based on best practices and evidence, takes advantage of cutting edge strategies and is nimble to respond to the changing needs of key stakeholders, including national governments, USAID bilateral missions and regional counterparts; (2) The RHO commissioned the USAID AWARE II Project to conduct a review of the HIV/AIDS literature (both peer reviewed and gray) focusing on the current epidemiology, policy and programmatic state for each country in the region. The review has built on the World Bank's West Africa HIV/AIDS Epidemiology and Response Synthesis (2008) to provide up-to-date epidemiological and programming data. Findings and conclusions from this USAID strategic planning process, the World Bank's West Africa Response Synthesis (2008) and the ECOWAS HIV/AIDS strategy all highlight similar issues regarding prevention, care and support programs for MARP. In particular each of these assessments noted FSW and MSM contribute a disproportionate number of new infections to the various epidemics in the region yet the populations are consistently underserved. FSW and MSM needs have not been strategically and sufficiently addressed by donors, governments, GFATM supported programs, and other stakeholders. This gap disproportionately affects certain populations (FSW and MSM); however, it could also compromise the overall lower prevalence of the general population.

Some of the key findings and conclusions from these documents include:

- The most important core and bridging populations in the HIV epidemic in West Africa are FSWs and their male clients;
- The high percentages of men with high mobility occupations buy sex;
- The importance of MSM in the HIV epidemic is increasingly recognized; and
- Much more prevention focus is needed on the specific risk groups in which the epidemic and HIV transmission is primarily concentrated.

USAID's RHO strategic approach to combat HIV in West Africa is to prioritize activities that address the critical gaps in MARP programming. USAID intends to demonstrate leadership and maximize its technical expertise for prevention and care issues faced by MARP. As part of this effort, RHO has prioritized activities around stigma and discrimination and policy work aimed to create an enabling environment for combatting HIV/AIDS, is engaging in developing/adapting, testing and disseminating models and tools to bring quality-assured evidence-based programs to scale efficiently. These activities will include specific policy level and community level work to support an enabling environment and that local actions do not exacerbate stigma and discrimination against these populations. All these strategic directions are part of the USAID response under this program description.

USAID West Africa is also well positioned to provide technical assistance to regional bodies or other structures that have existing HIV and AIDS prevention, care and treatment programming targeting at risk populations within countries. For example, the RHO's strengthened response is assisting GFATM activities through targeted technical assistance to CCMs, PRs and regional bodies such as WAHO. In addition, the RHO can work with these bodies to improve the quality and approaches to MARP programming and work at the policy or community level to ensure more supportive environments.

II. PROGRAM DESCRIPTION

II.1. Summary of the Goal and Objectives

USAID/RHO's strategic focus is encapsulated in the regional health vision to be a recognized leader in improving the health status of vulnerable populations, especially that of women and children by promoting and building partnerships to scale up evidence based interventions. In particular to HIV and AIDS, the RHO's vision is to ensure that USAID assistance mitigates the population-level impact of HIV and AIDS in the West and Central Africa regions through strategic partnerships and effective strategic investments. USAID/RHO will build upon existing efforts and focus resources for the next five years to address the critical gaps discussed above. The RHO plans to make an award of up to US\$13.5 Million over five-years of West Africa regional HIV/AIDS funds to advance the three strategic objectives listed below to cover specific MARP needs in West Africa with strong focus on Togo and Burkina Faso. The program will allow increase in coverage of other countries striving to reach similar goals and objectives based on the needs and the nature of intervention, when more resources are obtained. Appropriate mechanisms will be determined in consultation with the USAID/West Africa office of Assistance and Acquisition. These efforts will be targeted towards the RHO's strategic focus to use USAID's comparative advantage to efficaciously direct its limited funding. Specifically, this program description (PD) targets activities that can address some of the most recent findings about the direction of the epidemic in the region.

For learning purposes, this program will have a research component. Prior to this award USAID/WA RHO engaged other key partners to conduct targeted research and assessments: (1) Johns Hopkins University / Research to Practice (JHU R2P) is implementing a research on Social and Structural Factors associated with HIV-related Risk Behaviors and Prevalence among Most at Risk Populations (MARPs) including FSW and MSM in Burkina Faso and Togo; (2) AIDSTAR One will conduct a program review assessment on type of prevention services targeting MARPs; the level of access, Key barriers limiting access; and Identify opportunities to scale up effective, replicable interventions for these marginalized populations (3) AWARE II will conduct an in-depth policy assessment in Burkina Faso to determine gaps between policy availability and implementation especially those related to HIV most affected groups. Once awarded the partner will be expected to collaborate with these partners, review data already available (existing data collected recently), and other relevant assessments from other sources to prioritize and plan complementary research that will support program interventions and new geographic areas of focus. These data will serve as baseline for this program against which progress will be measured.

During the course of project implementation, the project will conduct rigorous impact evaluations in formats of qualitative research and/or operational research and the methodology will include a control group. Illustrative questions to be assessed include, but not limited to:

- 1) What works well and what doesn't work well for MARP programming in the West Africa context?
- 2) How to apply the lessons learned from some targeted MARP programs successfully developed in other settings (Asia, Latino America and in Africa-Ghana)?
- 3) How a new model resulting from the combination of knowledge and lessons learnt from this HIV prevention and Care program in West Africa could be replicated in the region?
- 4) What does it cost to implement this replicable model?

The overall interventions and proposed program should incorporate a set of cross-cutting guiding principles (section II.3) which provide a lens through which implementation of strategic objectives should be viewed.

The following key results will be achieved by this program:

- 1) ***More facilities/organizations will have the capacity to provide quality, client-friendly services;***
- 2) ***More people will access services because of increased knowledge and reduced stigma,***
- 3) ***More targeted community members will have positive/supportive attitude, and***
- 4) ***Global Fund (GF) activities targeting marginalized groups will be successfully implemented to attain their expected results.***

II.2. Program Goal

The primary goal of the project is to address critical gaps in HIV programming in the region by strategically targeting interventions that build government political will and resources to engage key stakeholders including donors, civil society organizations to support programs that are evidence based, adaptable, replicable and transferable throughout the region. This goal is directly linked to the overall RHO objective "improved regional health status through proven innovation, best practice scale-up and donor collaboration".

This goal will be advanced through the implementation of three mutually supportive strategies noted in the strategic objectives below:

- 1) *Develop a scalable, replicable model that can be adapted in the region for the provision of essential and comprehensive prevention and support services for MARP (FSW, their clients and MSM) in mixed epidemic environments with high levels of stigma and discrimination.*

Immediate Result (IR)-1: Increased access to high quality/comprehensive prevention and care programs for MARP (FSW, their clients and MSM).

This objective has a direct link with the RHO's IR 1 (Service Delivery); increased dissemination and use of high quality, evidence-based interventions as well as the Immediate Result 3 (Health Information); increased implementation and use of data collection and research for evidence based advocacy and programming.

- 2) *Create an enabling environment for optimized HIV prevention services among MARP, especially FSW, their clients and MSM by reducing stigma and discrimination and by building the capacity of community structures, national governments and regional partners to sustain quality public health HIV/AIDS MARP programming.*

IR-2: Improved enabling environment for evidence-based public health interventions targeting MARP

This objective is directly linked to the RHO Immediate Result 2 (Capacity Building); increased technical and management capacity of indigenous civil society organizations, institutions and networks;

- 3) *Provide technical assistance to GFATM Principal Applicants and sub-applicants to improve the quality of prevention programming as defined through GFTAM performance rating standards, with a specific emphasis on MARP (FSW, their clients and MSM)*

IR-3: Improved quality of Global Fund HIV prevention interventions that focus on MARP in select countries.

This objective is directly linked to the RHO Immediate Result 4 (Donor Liaising); Increased USAID leadership and participation among regional platforms and stakeholders to ensure complementary supports among key donors.

II.3. Guiding Principles

This project is an instrument to implement the Regional HIV strategy which has endorsed the Global Health Initiative (GHI) principles through the following key principles:

(1) Addressing country needs to advance regional priorities. Limited resources and vast needs are compelling reasons for the USAID/RHO to work with its stakeholders (i.e. United States Government (USG) country teams, national governments, other donors, and program implementers) to find solutions to issues that have implications beyond individual country borders. This program should be identified as a regional platform foremost and secondly as a multi-country platform.

(2) Supporting innovative approaches to a scalable HIV response. Limited resources preclude the RHO from taking programs to scale in specific country settings. However, in collaboration with other regional and national stakeholders, this program funded by RHO will identify novel approaches to improve program efficiencies, demonstrate how to implement programs more efficiently, show how efficiencies gained improve cost-effectiveness, rate and coverage of services taken to scale. The choice of interventions should account for the need to deploy modest resources strategically and efficiently. USAID is committed to address concerns over the capacity of local partners and beneficiary groups and provide technical assistance in accordance to USAID Forward policy.

(3) Combination Approach: PEPFAR recognizes that an intelligent mix of evidence-based behavioral, biomedical and structural interventions will result in greater impact than individual interventions. This strategy allows for the provision of mutually reinforcing interventions and a package of services with a focus on innovations such as new communication technologies

(4) Fostering sustainability through systems strengthening. Sustainability of the HIV/AIDS response throughout West/Central Africa region will in part be achieved through the strengthening of the systems of regional platforms. Institutional and systems strengthening will allow for a more efficient response, promote the appropriate use of limited resources, and provide an improved advocacy platform. In particular, the RHO recognizes the important role of ECOWAS and WAHO in providing regional leadership to address HIV/AIDS and help meet governments' commitments, while also recognizing their limited institutional capacity to address the needs of all populations, particularly MARP but planning as well direct interventions to strengthen their capacity as required by USAID forward. Sustainability will also be achieved by working with regional partners to align priorities with those identified by the individual countries and dictated by the current HIV epidemic.

(5) Applying a gender perspective. Gender-related inequalities and disparities disproportionately compromise the health of women and girls globally. At the same time, male norms surrounding masculinity can contribute to stigma and discrimination faced by MSM and FSW. Recognizing that gender inequalities are important contextual factors for the HIV epidemic globally, this program should apply a gender perspective, ensuring culturally sensitive approaches that acknowledge the significance of traditions, address harmful gender norms, and reaffirm positive and protective norms where these exist.

(6) Improving strategic collaboration among stakeholders. The success of this program is fundamentally dependent on catalyzing the assets of many key stakeholders in the West Africa sub-region, and recognizing that improving health outcomes throughout the region is a shared responsibility. To that end, it aims to improve strategic collaboration among governments, multilateral donors, implementing partners, and other key institutions, as well as other stakeholders such as traditional authorities, local associations of PLHIV, community members and religious authorities. Leveraging of non-USG resources, specifically the Global Fund for AIDS, Tuberculosis and Malaria (GFATM) is important to broaden the coverage and intensity of interventions. Building on existing regional strategic approaches, this program should be aligned with the principles of the ECOWAS Regional Strategic Plan for HIV/AIDS Control and should continue to build the capacity of the WAHO to be a regional leader in the HIV/AIDS response. Finally the program will continue to develop its relationships with regional civil society networks supporting HIV/AIDS care and prevention programs in the region to support the implementation of the RHO strategy and actively participate in service delivery.

II.4. Geographic focus and beneficiaries

The geographic scope of this award will include the 14 USAID limited presence countries in West Africa. Eight countries from the fourteen were short listed below to be the focus for current and future USAID/ West Africa investments: **Togo, Burkina Faso, Gambia, Central Africa Republic, Gabon, Sierra Leone, Guinea and Cameroon.** This shortlist was established based on the following criteria: potential for promising practice models for the West Africa Region; active GFATM grants; burden of HIV epidemiology/prevalence; availability of existence of MARP NGOs; collaborative government partners/institutions; low-political conflict environments, and existence of PEPFAR resources. Because of a regional mandate of the USAID/RHO and given limited resources, two countries will be selected from the shortlist as the demonstration sites for the development of a model to provide a comprehensive program for Strategic Objective 1 and to create an enabling environment in Strategic Objective 2. In addition, the awardee may be expected to provide technical assistance to the other six countries from the shortlist for the same purpose if bilateral field support is added by individual country programs using the same criteria. Any expansion should be technically and financially feasible based on availability of funds, and will require USAID prior approval. Strategic Objective 3 will be implemented in two countries with the possibility of providing assistance to other countries pending the manifestation of interest and request by a specific country and availability of resources. As said USAID has commissioned several partners to develop research activities including mapping, size estimation, epi-probe. These new data when available will inform further technical programing and geographic focus decision making.

The beneficiaries are most at risk population as defined below and following Office of the US Global AIDS Coordinator (OGAC) PEPFAR guidance:

- *MSM*, including all relevant sub-categories of MSM such as gay-identified MSM, non-gay identified MSM, ‘hidden’ MSM populations, and transgender populations.
- *Female and male commercial sex workers*, to be segmented on the basis of existing/or applicant- proposed operational approaches- such as type of partner, type of venue, frequency of sex work (such as regularly, occasionally, or migratory sex work), specific behaviors that increase the risk of HIV infection (such as alcohol or drug abuse, ability to negotiate condom use, or high risk sexual acts such as anal sex),
- *Clients of sex workers* including relevant occupational and risk groups that purchase sex for money from commercial sex workers.
- As needed, regular partners of female commercial sex workers and women who engage in transactional sex, which include marital or long-term non-marital sexual partners, and with whom emotional attachments and safer sexual practices might be considerably different than with casual partners.

Program implementation under this agreement will not be national in scope nor does it cover the totality of the relevant most at-risk populations as defined/adapted in each of the selected countries. Rather, the Applicant should focus their efforts on selected high-risk areas, specifically communities with high densities of at-risk populations (MARP) as defined in this Program Description, and high prevalence rates. In these target geographic areas the applicant will develop specific operational research questions which will allow comprehensive programming for MARP in these locations. These programs will serve as model program sites to define what works and if it is adaptable and transferable in the region.

II.5. Performance standard

Performance is based on an intelligent combination of behavioral, biomedical and structural interventions and use of innovative approaches in the context of a regional program. The applicant will bring appropriate expertise to run regional

HIV programs in which targeted state-of-art services such as interpersonal interventions are expected to engage approximately 25,000 individuals per year with structured, interactive interventions within the geographic scope outlined (8,000MSM, 10,000 FSW, 7,000 other); Condoms (both male and female) and lubricants made available for beneficiaries in the targeted sites. The project is expected to achieve at least 80 percent of completed referral rate to core HIV prevention biomedical interventions and anti-retroviral treatment (ART). Use of data to support high quality program improvement and effectiveness as well as plans to share best practices will be key for program performance measurement. It is also expected that the partner will provide a *high quality technical core team for short term technical assistance* to support GFATM programs and meet countries expectation.

II.6. Critical assumptions

RHO identified the following key critical assumptions for developing its result framework for the Regional Health Program. All these apply to this program.

1. Stable social, political and legal environments that remain favorable to intervention implementation,
2. Continued commitment of ministries of health to support intervention implementation,
3. Donors including Global Fund continue to provide support to countries for health service provision, commodities, equipment and program support funds,
4. Partner institutions and civil society organizations technical competencies and good governance system.
5. Same approaches successfully tested in other countries will work to address service delivery gaps in this region.

II.7. Program components

Project component 1: Develop a scalable, replicable model that can be adapted in the region for the provision of essential and comprehensive prevention and support services for MARP (FSW, their clients and MSM) in mixed epidemic environments with high levels of stigma and discrimination.

While national HIV prevalence in the region ranges from less than 1 percent to 5 percent, most at risk populations bear a disproportionate burden of the HIV epidemic in the region. HIV prevalence among female sex workers [FSW] is 30 times the general population in some countries (e.g. Niger, Senegal). Similarly, HIV prevalence among men who have sex with men [MSM] ranges from between 13 percent to 37 percent. In addition, there is evidence that many FSW have nonpaying or regular partners outside their client-based networks and a large percentage of MSM also report having multiple concurrent partnerships with both men and women. Thus, due to these realities there is a potential for MARP to be a key bridging population to the general population. This is further exacerbated due to the fact that these populations are underserved with respect to comprehensive prevention care and treatment services and have a high risk for HIV transmission.

Currently, there is evidence of the effectiveness of a core set of interventions for MARP, which comprises a comprehensive package of services that are evidence-based, tailored to the individual needs of each vulnerable group. The minimum package of service is well defined and known as effective for hard to reach populations. This has been tested widely in middle income countries in Asia and Latino America. What is not known is how this can effectively be done in the context of scarce/low income resources and in a difficult social and cultural context. There are a few comprehensive programs to address the needs of FSW, their clients and MSM in the region and some specific countries do have experience and programmatic achievements that can be studied and utilized as a model for the region. For example, in Ghana, USAID supported the development and implementation of tailor-made educational materials for FSW (“I am someone’s hope”) and MSM (“it’s my turn”).

However, in general as identified by the World Bank 2008 findings, the ECOWAS HIV/AIDS strategy and other previously noted assessments, there are a limited number of examples of FSW and MSM activities that can be used to inform future programming. Many interventions in the region have been implemented as “pilots” and do not provide broader lessons or strategic models that can be used to take programs to scale and to achieve sufficient coverage to reduce HIV at the population level. This challenge of having limited models that are suited to inform scaled intervention and to demonstrate transferable lessons that can be applied in the region represents a major gap in addressing the needs of MARP programming in West Africa and their potential impact on general population makes MARP a highly desirable target for HIV prevention, care and treatment interventions. The RHO under this strategic objective will develop a model that can serve as a demonstration, which is adaptable and scalable, and will ensure a comprehensive package of services and activities to address FSW, their clients and MSM in the targeted focus areas.

While the reach and benefits of this activity will inform the region through an appropriate communication strategy, the awardee will be expected to research current MSM models in the region and then to work intensively in two countries to utilize known best practices in HIV prevention and care. The work in these two countries will be embarked upon in order to build a body of evidence for how to program for FSW, their clients and MSM in mixed epidemic environment with high levels of stigma and limited HIV/AIDS funding. The awardee will be expected to utilize extensive resources to develop the essential package of prevention services and demonstrate a model that can be replicated and scaled up by each country and/or other countries in the region. Expanded prevention programs should develop integrated HIV/family planning/ reproductive health activities leading to increased utilization of services and respond to the emerging issue of family planning in the context of improved health status of those who are HIV+ within appropriate groups of the targeted populations. Gaining evidence and lessons learned from interventions in these two countries will help move forward the dialogue and modeling to serve these difficult to reach and underserved populations and will provide strategies that can be transferred, replicated and utilized by many others in the region.

Currently, even if donors or national governments want to put funding into these types of activities there are very few successful examples programs that can guide their interventions. The awardee will ensure that developed models will be packaged in a way that makes them more adaptable for exportation. In addition to creating demonstration sites, and assuring their quality and replicability, the awardee might be asked to provide technical assistance to other countries as requested by USAID. This technical assistance will center on providing tools to design, implement, and monitor quality HIV prevention programming focused on MARP.

Planned activities

To achieve this objective, the Implementing Partner will be responsible for developing and implementing an approach and activities that respond to the current situation of MARP, building on the appropriate illustrative activities and approaches set forth below. USAID W/A will rely on the applicant to propose the most programmatically cost- effective approach, but activities may include: communications and service provision in at-risk settings; increasing service accessibility through outreach or expanded service hours; the use of anonymous support groups/hotlines/computer and/or mobile phone; community mobilization, interpersonal/peer education; and product distribution. Proposed activities should be based on evidence-informed, state-of-the art approaches. The aforementioned core package of services is ideal and should be pursued using evidence. Not all services or interventions can be available immediately.

Therefore, based upon available evidence, and prioritization of activities, the applicant should propose a comprehensive, core set of interventions adapted to the needs of each target audience and to the availability of resources in the communities to fill the gap identified in the field. Given the limited funding, these activities will most likely be implemented through local partners including, but not limited to community-based (CBOs), faith-based (FBOs), other non-governmental (NGOs) and civil society organizations and beneficiary groups already operating in these countries. The awardee will build capacity of selected indigenous organizations that could demonstrate potential success in addressing MARP specific needs especially related to prevention and Care HIV/AIDS services. Selection of these organizations will be through transparent and competitive processes in accordance with USAID procurement regulations. Selected HIV/AIDS prevention, care and support activities will be sub-granted to these partners. The awardee will build the sub-recipients technical, financial, and management capacity as well as mentor their progress to achieve the project's overall goal.

Vigorous monitoring of the activities, data collection, and reporting on successes and challenges will be essential so as to ensure replicability and adaptability for implementation in other country settings (please refer to section II.1). The model should include integration of HIV prevention activities with clinical services and should improve linkages to "MARP-friendly" health services, especially referrals to HIV care, support, and treatment. These linkages may also include, for example, referrals for substance abuse treatment, Prevention of Mother-To-Child Transmission (PMTCT), Counseling and Testing (C&T), reproductive health services, psychosocial counseling, and post-exposure prophylaxis (PEP), tailored to the needs of each vulnerable group. Expanded prevention programs should develop integrated HIV/family planning/ reproductive health activities. Sensitization of health care providers to provide MARP-friendly services and positive prevention messages should also be a critical part of the package with referral to complementary services. A list of additional illustrative activities is included below. Data collected by USAID before this award will serve as the foundation of a baseline for this program against which progress will be measured during the mid-term and end of program evaluations. Dissemination of lessons learned from this model is a key component of this program. This would be done through regional meetings, study tours or SOUTH/SOUTH exchanges, or other ways to transfer/share knowledge that the applicant might identify.

Illustrative Activities to achieve Results Under project component 1:

- *Promote HIV/AIDS prevention and healthier behavior among MARP and People Living with HIV (PLHIV), through peer education programs, community events, and telecommunication programs.*

- *Develop strategies to improve quality and expand “MARP-friendly” services, and generate demand for these services.*
- *Deploy peer educators using available standard curricula and closely supervise and support them.*
- *Adapt and disseminate behavior change communication materials that are targeted towards FSW and MSM.*
- *Ensure condoms and non-oil based lubricants are widely available, and promote appropriate and consistent condom use among female sex workers (FSW), nonpaying partners, and MSM including distribution of condoms and lubricants.*
- *Develop self-efficacy and condom negotiation skills.*
- *Link condom social marketing efforts of other projects with targeted outreach and risk reduction counseling in high-risk venues and workplace settings, in order to increase condom use among MARP.*
- *Link or provide FSW with structural interventions to reduce vulnerabilities to HIV.*
- *Expanded prevention programs to develop integrated HIV/family planning/ reproductive health activities.*
- *Increase knowledge of Sexually Transmitted Infection (STI) symptoms and promote prompt health seeking behavior for appropriate health services among MSM and FSW through peer education and outreach.*
- *Hold community events per target group that reinforce healthier behaviors and provide linkages with services.*
- *Expand MARP-friendly C& T / STI services, drop-in centers and satellite clinics in a systematic fashion, involving coordinating authorities.*
- *Facilitate and track referrals that support C&T and STI treatment services to and from facilities utilized by MARP.*
- *Standardize supervision and monitoring guideline and tools for monitoring HIV/AIDS prevention for MARP and PLHIV program implementation.*
- *Collect data on the implementation of the prevention activities and changes in knowledge, attitude and behaviors among clients.*
- *Develop operational research to ensure that the incorporation of best practices informs intervention models.*
- *When applicable, focus on areas of trade or transit which may lend themselves to riskier behaviors.*
- *Provide on-the-job training for project managers in supportive supervision and in monitoring, evaluation and reporting.*
- *Develop or document best practices for HIV/AIDS prevention activities, and advocate for their adoption and use by host country governments and other implementers.*
- *Develop a MARP service delivery accreditation program to ensure quality standard of service delivery.*

Indicators:

The program will be expected to track required PEPFAR indicators, as well as required programmatic indicators. In addition, in the construction of the Performance Monitoring Plan, the Implementing Partner should propose additional indicators for project level monitoring, and/or other suggestions of what information can be tracked which fits with the nature of this project and its regional context.

Required PEPFAR Indicators

- Number of MARP reached with individual and/or small group level interventions that are based on evidence and/or meet the minimum standards, disaggregated by MARP type: FSW, MSM
- Number of health care workers who successfully completed an in-service training program (including quality C&T, infection prevention, STIs syndrome treatment and management, and stigma and discrimination reduction)
- Number of individuals who received C&T services for HIV and received their test results (disaggregated by gender).

Project Indicators (non-PEPFAR)

- Number of MARP reached through targeted media campaigns (e.g., text messages)
- Number of MARP friendly clinic staff who received regular supportive supervision and mentoring.
- Number of peer educators who received regular supportive supervision and mentoring.
- Number of MARP service delivery settings that have successfully replicated the project models
- Number of supervision visits to new sites applying new models
- Number of forums/meetings supported by USG during which the project model’s lessons learned were shared (both local, and regional).

Illustrative impact indicators

- Champion incentives to support HIV prevention and Care for marginalized groups
- Type and quality of TA provided to programs that focus on marginalized groups
- Cost effectiveness of interventions.

Project component 2: Create an enabling environment for optimized HIV prevention among most at risk populations, especially FSW, their clients and MSM by reducing stigma and discrimination and by building the capacity of community structures, national governments and regional partners to sustain quality, public health HIV/AIDS MARP programming.

AIDS-related discrimination occurs at various levels: in family and community settings, institutional settings (e.g. work-places, health-care services, prisons, educational institutions and social-welfare settings), and at the national level, which reflects stigma that has been officially sanctioned or legitimized through existing laws and policies, and enacted in practices and procedures. Marginalized groups such as FSWs and MSMs face high levels of stigmatization at all of the levels identified. This has resulted in the denial of their human rights and institutionalization of discrimination against these groups, manifesting itself in impacting negatively on the policy and legal environment designed to protect them.

Across the West/Central Africa region, political commitment, institutional leadership, and legal/policy frameworks to address drivers of the epidemic (i.e. sex work, male-male sex) are insufficient to allow a robust programmatic response that will have population-level impact. Additionally, cultural and social intolerance of such behaviors contribute to stigma and discrimination against marginalized populations, resulting in decreased availability of and access to appropriately targeted HIV prevention, care, and treatment services. The applicant should explain how the program will contribute to building capacity for advocacy and policy change through partnering with civil society and human rights-based organizations and networks to assist them in advocating for policies that improve access to HIV/AIDS services and reduce barriers to both policy adoption and implementation for HIV/AIDS services for MARP. Through this strategic objective, the awardee will advocate for appropriate public health responses to HIV/AIDS at several levels:

The primary focus will be at the community (including health workers, police and media). The secondary focus will be at the institutional and national level where USG will collaborate with other donors. The project should work closely with other HIV prevention projects targeting the general population to create synergies in community and traditional leaders' engagement and advocacy. Given the limited funding, the awardee will be asked to implement these activities in the same two countries as Objective 1. Expansion to other select countries to do the same types of work if requested will be planned based on availability of funds.

In addition, the region lacks institutional and human capacity, coordination and collaboration. For example, local NGOs need enhanced capacity-building to strengthen their overall organizational capacity and to develop the skills needed to implement, monitor and evaluate MARP programs. Most national NGOs lack experience in HIV/AIDS programming and the technical skills needed to carry out quality interventions, most notably in prevention and care (e.g. peer education, outreach activities, supportive supervision). This weakness is even more critical regarding MARP interventions, in which few organizations are involved. Many health care workers need additional training in order to provide services to MARP in a manner that does not stigmatize them. Finally, there are few effective HIV/AIDS umbrella organizations that can serve as models for how to successfully implement HIV/AIDS prevention and treatment programming for MARP.

Given the limited funding, the awardee will again be asked to implement these activities in the same two countries as Objective 1. Through this strategic objective, the awardee will focus capacity building efforts on one national NGO, CBO or local organization in each country that is already doing MARP activities in order to build their organizational, technical and advocacy skills. The capacity of these organizations will be built in order to provide better appropriate public health interventions to MARP, to advocate for appropriate community and governmental responses and to provide a model for how other organizations in the region could also be strengthened. Additional bilateral funding may also be added from select countries to do the same types of work.

Planned activities

Policy, community advocacy (including media, police and health workers) and capacity building activities for an NGO or CBO will primarily center around the two selected countries where an essential package of prevention and care services for FSW, their clients and MSM will be implemented (see Objective 1). USAID/West Africa and this awardee will work to promote policy and advocacy throughout the region, and collaborate with national governments, other donors and regional bodies like ECOWAS and WAHO to identify opportunities for advocating for laws, policies and practices that create an enabling environment to implement appropriate and best practice public health MARP programs.

USAID supports transfer of technical knowledge and skills to local institutions to establish operate and sustain MARP interventions. Capacity building will be a direct USAID contribution and could cover a broad range of substantive areas, ranging from advocacy to administration and finance, governance, leadership, management, networking, and strategic planning. Particular attention should be given to monitoring and evaluation, supportive supervision and quality assurance, given the importance of the needed quality and intensity of interventions. In addition, the awardee will identify one national NGO, CBO or local organization (and any sub partner) in each country to build their capacity in organizational, technical and advocacy skills. Additional bilateral funding may also be added from select countries in the region to do complementary services.

The awardee will also collaborate with other stakeholders including WAHO, ECOWAS, UNAIDS, UNICEF, UNFPA, World Bank, GFTAM Principal Recipient (PR), Country National Aids Commissions when appropriate, feasible and realistic to support advocacy related works to improve the political, legal, and social environment to optimize the HIV response.

Illustrative Activities to achieve Results Under project component 2:

- *Build the capacity of local organizations (FSW & MSM) to implement a quality programs that focus on provision of essential services for MARP.*
- *Using findings from a policy analysis completed by Futures group with USAID support, advocate to remove national/policy barriers that inhibit a comprehensive HIV response*
- *Collaborate with national governments, other donors and regional bodies like ECOWAS, WAHO, etc to advocate and support for MARP friendly environments (laws, policies and practices) at the national levels.*
- *Organize workshops to sensitize high-level government officials and facilitate dialogue with MARP and bridge populations about their HIV-related needs.*
- *Promote stigma and discrimination reduction among health care providers, media and the police.*
- *Develop materials to be used with health workers and the police about stigma and discrimination reduction*
- *Identify and document the media's role in exacerbating or reducing stigma*
- *Design and implement a plan to work with local media*
- *In collaboration with local MARP organizations, provide training in community-based advocacy to civil society and community leaders and organizations*
- *Develop and implement capacity-building plans based on assessments of organizations' needs.*
- *Identify and provide organizational – i.e. management, leadership, financial, advocacy – capacity building to strengthen national NGO, CBO or local organizations (and any sub partners).*
- *Provide technical assistance to strengthen MARP NGO and CBOs technical capacity to promote, implement and monitor quality MARP programming.*
- *Build skills of NGO and CBO staff working in prevention for MARP (Global Fund PRs or sub-applicants) to assess problems, seek inputs from MARP and generate local solutions.*
- *Develop and disseminate a project communication strategy*
- *Develop a project website to increase awareness about the project success*
- *Organize or participate in a regional forum to share best practices.*

Required PEPFAR Indicators:

- Number of MARP reached with individual and/or small group level interventions that are based on evidence and/or meet the minimum standards, disaggregated by MARP type: FSW, MSM
- Number of health care workers who successfully completed an in-service training program (including quality C&T, infection prevention, STIs syndrome treatment and management, and stigma and discrimination reduction)

- Number of individuals who received C&T services for HIV and received their test results (disaggregated by gender).

Program Indicators (non-PEPFAR)

- Number of community and health care workers who successfully completed an in-service training program within the reporting period on Stigma and discrimination, MARP positive attitude.
- Number Organizations accredited by the country as reaching high standard of quality technical service delivery targeting MARP and as learning/training organization ,
- Number of local organizations with sustained organizational, financial and governance system as a result of this project.

Project component 3: Provide technical assistance to Global Fund Principal Applicants and sub-applicants to improve the quality of prevention programming, with a specific emphasis on MARP (FSW, their clients and MSM).

The RHO is one of many key stakeholders in the West Africa sub-region, and recognizes that improving health outcomes throughout the region is a shared responsibility. To that end, it aims to improve strategic collaboration among governments, multilateral donors, implementing partners, and other key institutions, including the largest funding platform in the region, the GFATM. GFATM investments are a critical link to support and combat the epidemic in the region and the RHO is in a position to work with the GFATM and its principal applicants to enhance programming and to provide technical assistance in strategic areas. Recently, despite GFATM's significant investments, allocation of resources to address MARP has been low. For example, in Round 8, only nine percent of total HIV proposals approved globally had MARP focused interventions. GFATM tried to close this gap in Round 10 by establishing an incentive mechanism to promote the prioritization of interventions addressing MARP where epidemiologically appropriate. Due to financial constraints, GFATM has cancelled Round 11. However, existing investments will continue to get support through TFM including existing MARP programming. This strategic objective will focus on providing technical assistance to the GFATM, principle applicants or other national governments to improve support and prioritize the quality implementation of MARP interventions.

Planned activities

The awardee will respond to requests for technical assistance, which may come from USAID/West Africa or other USAID bilateral missions, the Global Fund Country Coordination Mechanism (CCM), or host country governments. Technical assistance will focus on support to CCM for resources mobilization such as proposal development as well as provide Global Fund applicants and sub-applicants with the knowledge and skills to implement quality HIV prevention and care programs, with a particular, yet not restricted to, focus on MARP. Due to limited funding, the RHO will provide regional funding to support key GFATM projects in two countries. These two countries may be the focus countries from Objective 1 and 2, or they may be other countries in which the GFATM is struggling to address MARP programming. The awardee will review the countries' requests in collaboration with USAID and set appropriate technical assistance. Additional bilateral funding may also be added from select countries in the region to do the same types of work. The awardee will be expected to provide appropriate technical assistance on a spectrum of issues ranging from strengthening the capacity of implementing organizations, developing and advocating for quality best practices programming, building the technical skills of implementers and supporting and capacitating the local response. A list of illustrative indicators is listed below.

Illustrative Activities to achieve Results Under project component 3:

- *Provide technical assistance to selected CCMs for Global Funds proposal developments.*
- *Provide technical assistance to Global Fund PRs or sub-applicants to strengthen their institutional capacity in management and governance to effectively plan, manage, supervise, implement, and evaluate HIV/AIDS prevention programs*
- *Facilitate and organize experience exchange*

Required PEPFAR Indicators (contribution):

- Number of MARP reached with individual and/or small group level interventions that are based on evidence and/or meet the minimum standards, disaggregated by MARP type: FSW, MSM

- Number of health care workers who successfully completed an in-service training program (including quality C&T, infection prevention, STIs syndrome treatment and management, and stigma and discrimination reduction)
- Number of individuals who received C&T services for HIV and received their test results (disaggregated by gender).

Project Indicators (attribution non-PEPFAR)

- Number of organizations applicant or sub-applicant of GFTAM prevention/MARP projects scored good performances (A-B) as a result of this TA
- Number of assisted CCM that successfully got the GFATM award.

Project component 4: Communication

For learning and to support host country government ministries of health, National AIDS commission, USAID limited presence country and USAID bilateral health programs in the region, the implementing partner will develop a communication strategy and dissemination plan to share findings of USAID supported research and service demonstration initiatives. The communication strategy is a cross-cutting component to support components 1, 2 and 3. The communication plan will use tactics to convey answers to the questions as discussed under section II.1. The responses to these questions describing the process, the challenges and results achieved will be disseminated to stakeholders using appropriate channels such as briefs, regional fora and scientific publications.

Project Indicators (attribution non-PEPFAR)

- Number of publications, presentations and meetings to disseminate program data to key stakeholders (disaggregated by electronic means, official meeting, conference, publication)
- Number of regional technical meetings organized and supported by the regional health program and partners.

II.8. Gender Statement

Gender inequalities and harmful norms that put both males and females at risk, and gender-based violence are major driving forces behind the HIV/AIDS epidemic. The West Africa region is no exception: a widely patriarchal society and harmful gender norms exacerbate risky behaviors and undermine empowering, healthy environments. The HIV Prevention Care and support program with At-Risk Populations must fully subscribe to USAID's gender policy, which requires that all policies, programs, implementation, monitoring plans, and budgets analyze and address the element of gender in pursuit of sustainable economic growth, job creation, household security, and poverty reduction. Applicants should also describe how internal management structures, systems, and personnel processes will ensure that sufficient attention is paid to gender issues. Special emphasis should be given to addressing underlying gender issues that might affect participation and access by beneficiaries to the different services of the program.

II.9. Capacity Building Approach

Per USAID Forward principles, USAID/West Africa RHO will provide support to local organizations/partners¹ for increasing

¹ *Local partners as defined by USAID West Africa:*

(1) be organized under the laws of the recipient country,

(2) have its principal place of business in the recipient country,

(3) be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country, and

(4) not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

For regional platforms the definition of a "local organization" can be expanded to include regional organizations who meet the following criteria:

(1) be organized under the laws of a country in the region served by the platform,

(2) have its principal place of business in the region,

(3) be majority owned by individuals who are citizens or lawful permanent residents of the region or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the region,

(4) not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the region.

their capacity building for service delivery. RHO considers this a strategic component of future activities. USAID/West Africa RHO has a history of collaboration with local NGOs through the AWARE project: The AWARE/West Africa AIDS Funds Initiative provided annual grant funds through a Fixed Obligation Grant mechanism directed to HIV&AIDS prevention, care, and support, Reproductive Health/ Family Planning (RH/FP), and Maternal and Child Health (MCH) programs implemented by NGOs and CSOs, in 14 countries without a USAID mission. USAID/West Africa RHO AWARE II is using CSOs in implementing the RH/FP/MCH integrated package at community levels and provides direct funds under West Africa Ambassadors Fund (WAAF) grants to local NGOS to implement HIV and FP/RH programs. Through this Capacity building strategy, USAID/West Africa RHO will ensure that needed skills are transferred to these NGOS to enable them to plan technically sound programs and appropriate budgets for increased access to, and use of quality services.

II.10. Exit strategy and sustainability

USAID HIV prevention and Care program in West Africa builds upon its prior efforts in the region, especially those that began back in 2003 with AWARE HIV which built the capacity of regional institutions, local originations, and State government to deliver health and HIV services. USAID is realistic and understands that it is unlikely that most of these local partners would be able to provide quality services to an increasing proportion of at risk population in the context of mixed epidemic having access to quality services. In spite of a decade or more of assistance, they are still building their institutional and human resource base and all rely totally on external donor assistance to function. The idea of undertaking measured and explicit “graduation strategies” for high performing local partners can stimulate the Government’s confidence to mobilize and allocate more direct resources to these local partners and at the same time these local partners could be eligible to direct USG and other donor resources.

USAID expects that in this project, the Applicant would be able to define the characteristics an “accredited partners/facilities” might have, and to define a process of gradual withdrawal of support so that resources are used to upgrade other local partners/facilities. It is critical to involve appropriate in-country Government authorities in this process, document and share experience with other donors. By doing that, USAID anticipates rapid scale up quality and replicable model through accredited local institutions that are responsible for the improvement of the health status of the West Africa population. The graduation will be in the format of decreasing TA and direct training, dropping back to mentoring and coaching on a less and less frequent basis. It might also include a gradual decrease in annual financing of operating costs as partner fees and/or other leveraged resources increase.

The intent is that capacity will be such that the activities can be sustained in the absence of sustained partner technical assistance. Applicants are encouraged to include measures to build such capacity throughout the program, and to identify possible criteria to measure when technical assistance can cease. Potential applicants are encouraged to include a defined “exit” or “graduation strategy,” at least for direct technical support, as part of their technical and management approach to the project.

II.11. Cost sharing

While there is no specific formula for cost sharing or leveraging under the new HIV program, **USAID expects to see cost sharing included as part of the Applicant’s budget and management plan.**

II.12. Expected Results by Indicator (Project’s Attribution)

Indicator	FY 12	FY 13-16
Number of MARP reached with individual and/or small group level interventions that are based on evidence and/or meet the minimum standards, disaggregated by MARP – FSW, MSM	25,000	120,000
Number of health care workers who successfully completed an in-service training program (including quality C&T, infection prevention, STIs syndrome treatment and management, and stigma and discrimination reduction)	40	150
Number of individuals who received C&T services for HIV and received their test results (disaggregated by gender)	3,000	19,500
Number of MARP reached through targeted media	25,000	120,000

campaigns (e.g., text messages)		
Number of MARP friendly clinic staff who received regular supportive supervision and mentoring.	40	150
Number of peer educators who received regular supportive supervision and mentoring.	80	240
Number MARP service delivery settings that have successfully replicated the project models	4	12
Number of supervision visits to new sites applying new models	8	48
Number of forums/meetings supported by USG during which the project model's lessons learned were shared (both local, and regional).	1	3
Number of organizations accredited by the country as reaching high standard of quality technical service delivery targeting MARP and as learning/training organization	0	12
Number of local organizations with sustained organizational, financial and governance system as a result of this project.	4	12
Number of organizations applicant or sub-applicant of GFTAM prevention/MARP projects scored good performances (grade A or B) as a result of this TA	4	6
Number of assisted CCM that successfully got the GFATM award.	3	12

III. PROGRAM MANAGEMENT

Substantial Involvement

USAID, acting through a USAID Agreement Officer's Technical Representative (AOTR) and a USAID Agreement Officer (AO), shall be substantially involved during the performance of this Agreement in the following areas:

- Approval of the recipient's annual work plans, including: planned activities for the ending year, planned expenditures, international travel plans, knowledge management plans, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement;
- **Approval of and any changes to specified key personnel;**
 - Chief of Party
 - Senior HIV Technical Advisor
 - Prevention/Capacity Building Specialist
 - Monitoring and Evaluation Specialist/Research
 - Senior Financial Manager
- **Agency and recipient collaboration or joint participation**, to include:
 - Selection of advisory committee members.
 - Approval of additional country/technical assistance scope
 - Redirection as a result of collaboration with other donors.
 - Approval of sub-award recipients, and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies;
 - Approval of Monitoring and Evaluation Plan.

Approval of criteria, selection procedures, and standard formats for sub-agreements Following these criteria and selection procedures, and using approved standard formats, the Recipient shall have authority to approve sub-agreements

up to US\$150,000. The USG, acting through the USAID AOTR and AO, shall reserve the right to concur on sub-agreement/grants recipients above US\$150,000.

ROLES AND RELATIONSHIPS

The recipient is expected to work closely with the key regional and in-country international partners of the USG working on HIV in the region especially in the countries targeted by this program to ensure that all activities are collaboratively programmed. The USG values its established partnership with the host country government, regional institutions/partners and key NGOs/FBOs/CSOs in West Africa. The Recipient is expected to coordinate closely with host countries government agencies and members of relevant Networks, Technical Working Groups, and other relevant collaborative fora, including NGOs, international organizations, CBOs, FBOs, and other partners (recipients/grantees) working on USG supported programs in the region especially in these two targeted countries. The Recipient will be encouraged to work closely with these organizations to ensure improved coordination of program.

REPORTING REQUIREMENTS

a) Annual Work Plan

The Recipient is required to prepare and submit an annual work plan on a schedule established by the USAID/West Africa office of Acquisition and Assistance following the award. A first draft of the Year One work plan will be due within thirty (30) days of the award of the Cooperative Agreement. This work plan will be reviewed and USAID written comments forwarded to the Recipient within one month of submission, and then finalized by the Recipient no later than two (2) weeks after Recipient's receipt of USAID's written comments. USAID will collaborate closely with the Recipient as USAID funding, technical, and policy guidelines evolve to ensure necessary degrees of flexibility are built into all Work plans and strategies over the course of the CA.

The Recipient will be encouraged to ensure that its work plans and budgets are (i) well-coordinated and mutually reinforcing with those of other USG and other donor partners working in the targeted health zones and provinces; (ii) explicitly linked to achievement of the USAID funded project; and (iii) prepared in a timely manner.

The Recipient should ensure that all research or data collection activities under the program are undertaken in collaboration and/or consultation with host countries' Governments. Recipients should collaborate closely with USAID and other partners to avoid possible redundancies. The work plan will outline the:

- f. Proposed accomplishments and expected progress towards achieving planned results and performance targets tied to the Monitoring and Evaluation (M&E) plan, USAID/ West Africa Operational Plan;
- g. Timeline for implementation of the year's proposed activities, including target completion dates;
- h. Information on how activities will be implemented and supervised;
- i. Personnel requirements to achieve expected outcomes;
- j. Major commodities and equipment to be procured when applicable;
- k. Details of collaboration with other major partners;
- l. Detailed budget.
- m. Planned short term technical assistance

b) Monitoring Results

The Recipient must provide a comprehensive plan for project monitoring, evaluation, and reporting on achievements and impact as well as monitoring the critical assumptions data. Specific data required are of two types: (i) those that report on progress toward Recipient-proposed milestones and targets under the Cooperative Agreement (CA); (ii) those to measure USAID required indicators as established by USAID's Operational Plan. The plan will also describe the established quality assurance system. It is emphasized that the indicators in this Project Description are illustrative and the Recipients may propose indicators more relevant to their proposed program. The Performance Monitoring Plan (PMP) is expected within 60 days of the award and is subject to approval by USAID W/A.

c) Quarterly and Annual Status Reports

On a quarterly basis, thirty (30) days following the close of each three month period (based on the USG fiscal year), the

Recipient shall prepare and submit to USAID/ West Africa written status reports (Quarterly Reports) that:

- Identify and relate the benchmarks to the achievements, as identified in the applicant's annual monitoring and evaluation implementation plan, of the three month period of the approved implementation plan;
- Provide status on relevant indicators identified in the performance monitoring plan;
- Identify key problems or issues encountered, how they were or will be resolved, and, if/as required, recommended Mission-level intervention to facilitate their timely resolution;
- Include a brief summary of achievements during the concluding quarter towards planned targets; and
- Submit success stories
- Evolution of critical assumptions

The final quarterly status report of the fiscal year will serve as the annual status report for the concluding year, and shall be submitted within thirty (30) days following the close of the fourth quarter (July-September). In addition to meeting the above requirements, the annual report shall include a discussion, supported with quantitative and qualitative evidence, (which evidence shall remain auditable under the terms of the agreement and USAID program implementation procedures), of impacts achieved to-date. This shall include clear identification of which impacts achieved were within the manageable interests of the Recipient and which were likely catalyzed by Recipient-supported initiatives, leading to substantial, sustained achievement of results. This discussion will be instrumental in helping the Mission to complete Annual Reports to USAID/Washington.

d) Quarterly Financial Reports

The Recipient must present a quarterly financial status report to the AOR and USAID/West Africa Agreement Officer on actual and accrued expenditures for the concluding period and planned expenditures for the subsequent quarter using SF 425 standard forms found at <http://eclkc.ohs.acf.hhs.gov/hslc/tta-system/operations/Fiscal/Standard%20Forms/>

e) Consultant Reports

The Recipient shall additionally provide USAID/ West Africa with hard and electronic copies of the products studies, trip reports, materials developed of all short-term consultants under the CA within 30 days of completion of the consultancy. Reports shall be in English. Where a report or document is more appropriately developed in another language including local languages – e.g. a training manual for local leaders – USAID may at its option request an English-language abstract.

KEY PERSONNEL

The Recipient is encouraged to propose a staffing pattern that can best achieve the desired results. The Recipient should provide a full team of specialists appropriate to the objectives requested herein through a combination of strategies that minimize costs (such as internship, high quality local hired expatriate staff) and value quality of technical staff. The following positions are considered long term key program personnel:

- Chief of Party
- Senior HIV Technical Advisor
- Prevention/Capacity Building Specialist
- Monitoring and Evaluation Specialist/Research
- Finance Manager

i. Chief of Party

The Chief of Party will have technical and management responsibility for all Recipient personnel and be the Recipient's representative to USAID/West Africa, the Line Ministries including Health, other donors and regional institutions, technical agencies and other participating organizations as required. The Chief of Party will have overall responsibility for addressing contract-related issues, including ensuring that Recipient financial controls and systems comply with generally accepted accounting practices that meet USAID standards, and that all activity-procured materials and

equipment are safeguarded and prudently and responsibly used. S/he will be responsible for the smooth implementation of the project and for providing general program and technical direction as well as completion of required reports.

This individual must be a senior project management specialist with at least 15 years of experience in the implementation and management of international development projects, specifically, with demonstrated experience in HIV Prevention and MARP programming, capacity building and policy development and implementation. S/He should have proven knowledge on Global Fund's grant implementation. Given the regional aspect of the project and the number of organizations and institutional partners with which the program will interact, the Chief of Party should possess demonstrated capacity to build and maintain productive working relationships with a wide network of partners and stakeholders. S/he also should have experience in community development. S/he should have a demonstrated knowledge of USG/ PEPFAR, and procedures pertaining to activity design/implementation, monitoring and evaluation and substantial experience as a Chief of Party. This individual should have a broad understanding of public health in West Africa and especially in these two countries (Togo and Burkina Faso). The Chief of Party should be knowledgeable about the relevant socioeconomic, institutional and policy issues that are related to this area of work. S/he should have at a minimum a Master's Degree in public health, social sciences, international development, or a related field. S/he must have demonstrated English and French language skills (FS-3 level or higher).

ii. Senior HIV Technical Advisor

Senior HIV Technical Advisor will work in close collaboration with the Chief of Party and the Program's technical staff to provide strategic inputs to the Program's activities. In collaboration with the Program's M&E Officer, Senior HIV Technical Advisor will monitor program results and will be responsible for ensuring that the program provides high quality technical services, meets its annual targets and is maximizing positive outcomes. The Senior HIV Technical Advisor will serve as Chief of Party when the Chief of Party is away from the program. An advanced degree at the Masters level or above in social science, public health or other appropriate area is required. The position requires at least Seven years supervisory experience with USG-funded international health project design, monitoring and evaluation methodologies including qualitative and quantitative skills, and 5 years managing HIV prevention programs with focus on MARP

Other requirements include:

- Experience in directing, managing, implementing, and evaluating large, complex projects Involving the collection, analysis, and presentation of health and population data that covers the full range of technical, field and administrative skills required for successful implementation of this type of program;
- At least 7 years of supervisory experience;
- Demonstrated English and French language skills (FS-3 level or higher).
- Well-organized, attentive to detail, and able to handle multiple tasks simultaneously; and
- Works well independently and in teams; proactive in anticipating work requirements and problem solving.
-

iii. Prevention/Capacity Building Specialist

S/he must/will have at a minimum a Master's degree in one of the following or a related field: Anthropology, Behavior Change Communications, Public Health Education, Social and Behavioral Sciences, Community Development, Social or Community Psychology, Public Health and International Communications. S/he should have at least seven years working in HIV/AIDS prevention with at least five years working with MARP populations. S/he should be able to clearly demonstrate her/his understanding of the current scientific literature and global state-of-the-art knowledge in innovative HIV/AIDS prevention programming for MARP populations. S/he will be responsible for the implementation of capacity building and provision of technical assistance to field activities. An understanding of the socio-cultural issues and nuances of working in such communities is highly desirable. S/he will work directly with partner organizations, communities and other resource users to execute the various activities. S/he should have considerable experience and technical expertise working with community-based organizations, NGOs, and host-country governments.

iv. M&E Officer

Request for Applications (RFA) Number: **RFA-624-12-00002**
Regional HIV/AIDs Prevention and Care Project-West Africa

The Monitoring and Evaluation Advisor should have the required academic qualifications and demonstrated experience in monitoring and evaluation of public health programs to provide technical leadership to these activities under this CA. These qualifications should include:

- A graduate degree in public health, demography, sociology, epidemiology, biostatistics, psychology or a related field.
- At least 7 years of experience in monitoring, evaluating and research related to public health programs, with at least 3 years of experience with USAID or PEPFAR HIV-related programming.
- Demonstrated experience in HIV/AIDS program target setting and reporting
- Excellent verbal, written, interpersonal and presentation skills
- Demonstrated experience and familiarity with behavioral surveillance surveys, research methodologies, qualitative and quantitative research methods, data analysis, sampling techniques and establishing M&E systems in developing countries.

v. Senior Financial Manager

- Management: Minimum 10 years' experience in all aspects of financial project management duties.
- Education: Minimum of bachelor's degree in accounting, financial management, which can be adjusted based on work experience
- Language (reading, writing, speaking): English fluency and at least an FSI 3-3 level in French or in a relevant local African language (Arabic or other

ADDITIONAL GUIDANCE - SAMPLE BUDGET

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per-diem. This category is not to be used for sub-s, which should be included in other.

g. **Other**

Applicants are to identify all costs associated with training of project personnel.

Applicants planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

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Regional HIV/AIDs Prevention and Care Project-West Africa

The applicant should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

i. **Indirect Charges**

Include a copy of the Applicant's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

Standard Form 424A, Section C should reflect the Applicant's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies must be documented, etc

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to Standard Form 424.

ILLUSTRATIVE COOPERATIVE AGREEMENT BUDGET

<u>Budget Cost Element</u>	Budget Amount US \$_	Remarks*
Total Direct Labor	\$ _____	(1)
Salary & Wage	\$ _____	
Fringe Benefits	\$ _____	
Allowances	\$ _____	
Consultants	\$ _____	(2)
Travel, Transportation & Per Diem	\$ _____	(3)
Participant Training	\$ _____	(4)
Other Direct Costs	\$ _____	(5)
Sub awards (grants and subcontracts)	\$ _____	(6)
Security Costs	\$ _____	(7)
Training	\$ _____	(8)
Procurement (Equipment & Supplies)	\$ _____	(9)
Indirect Costs	\$ _____	(10)
Total Amount	\$ _____	

[RECIPIENT LETTERHEAD]

Date

(RECIPIENT CERTIFICATE OF COMPLIANCE)

To:
Contracting Officer
M/OAA/OCC
USAID

I, _____, _____, as a legally authorized representative
Name (Printed or Typed) Title
of _____ do hereby certify that, to the best of my knowledge
Organization Name

and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible actions ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

Signature

Type or Print Name

Position Title

Date of Execution

Initial Environmental Examination (IEE) - USAID-WA_Regional_Health_IEE_020912

Provided as a pdf document separately.

ATTACHMENT E

CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

- (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
- (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization; and
- (v) A Federal agency, but only as a sub recipient under an award or subaward to a non-Federal entity.

(4) Subaward:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub recipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(5) Sub recipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

- (i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrc.gov.
- (ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)
- (3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrc.gov specify.

b. Reporting Total Compensation of Recipient Executives.

- (1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –
 - (i) the total Federal funding authorized to date under this award is \$25,000 or more;
 - (ii) in the preceding fiscal year, you received –
 - (A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- (2) Where and when to report. You must report executive total compensation described in paragraph b. (1) of this award term:
 - (i) As part of your registration profile at www.ccr.gov.
 - (ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Sub recipient Executives.

- (1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier sub recipient under this award, you shall report the names and total compensation of each of the subrecipients five most highly compensated executives for the subrecipients preceding completed fiscal year, if –
 - (i) in the sub recipient's preceding fiscal year, the sub recipient received—
 - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
 - ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)
- (2) Where and when to report. You must report sub recipient executive total compensation described in paragraph c. (1) of this award term:
 - (i) To the recipient.
 - (ii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the sub recipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- (1) Subawards, and
- (2) the total compensation of the five most highly compensated executives of any sub recipient.

e. Definitions. For purposes of this award term:

- (1) Entity means all of the following, as defined in 2 CFR part 25:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization;
 - (v) A Federal agency, but only as a sub recipient under an award or subaward to a non-Federal entity.
- (2) Executive means officers, managing partners, or any other employees in management positions.
- (3) Subaward:
- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub recipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, “Audits of States, Local Governments, and Non- Profit Organizations”).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you or a sub recipient considers a contract.
- (4) Sub recipient means an entity that:
- (i) Receives a subaward from you (the recipient) under this award; and
 - (ii) Is accountable to you for the use of the Federal funds provided by the subaward.
- (5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient’s or sub recipient’s preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):
- (i) Salary and bonus.
 - (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - (iii) Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
 - (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 - (v) Above-market earnings on deferred compensation which is not tax qualified.
 - (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION]

TRAFFICKING IN PERSONS (OCTOBER 2010)

a. Provisions applicable to a recipient that is a private entity.

- (1) You as the recipient, your employees, subrecipients under this award, and subrecipients’ employees may not—
- (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (ii) Procure a commercial sex act during the period of time that the award is in effect; or
 - (iii) Use forced labor in the performance of the award or subawards under the award.
- (2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a sub recipient that is a private entity —
- (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
 - (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to you or the sub recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on Government wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.

- (1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a sub recipient that is a private entity—

- (i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to the sub recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, “OMB Guidelines to Agencies on government wide Debarment and Suspension (Nonprocurement),” as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

c. Provisions applicable to any recipient.

- (1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.
- (2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:
 - (i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - (ii) Is in addition to all other remedies for noncompliance that are available to us under this award.
- (3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this provision:

- (1) “Employee” means either:
 - (i) An individual employed by you or a sub recipient who is engaged in the performance of the project or program under this award; or
 - (ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- (2) “Forced labor” means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) “Private entity”:
 - (i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).
 - (ii) Includes:
 - (A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - (B) A for-profit organization.
- (4) “Severe forms of trafficking in persons,” “commercial sex act,” and “coercion” have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

