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**FUNDING OPPORTUNITY COVER PAGE**

Issuance Date: **28 April 2011**  
RFA Clarification Questions Due: **12 May 2011, 1730**  
Closing Date and Time for Application Submission: **06 June 2011, 1730**  
**Addis Ababa Local Time**

Subject: Request for Applications (RFA) Number: **USAID-Ethiopia- RFA-663-11-000012**  
RFA Title: **Empowering New Generations to Improve Nutrition and Economic opportunities (ENGINE) - An Integrated Nutrition Program**

Ladies and Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for Assistance Agreements from all U.S. and non-U.S. qualified organizations for funding to support a program entitled “Empowering New Generations to Improve Nutrition and Economic opportunities (ENGINE) - An integrated nutrition program.” The overall goal of the program is to decrease maternal, neonatal and child mortality by improving the nutritional status of women and children less than 5 years through sustainable, comprehensive and coordinated evidence-based interventions. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

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 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 Cooperative Agreement based on this RFA. Subject to the availability of funds, USAID intends to provide approximately \$50,891,422 in total USAID funding to be allocated over the Five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

Awards will be made to the responsible applicants whose applications offer the greatest value to the U.S. Government. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application.

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.

U.S. Agency for International Development  
US Embassy, Entoto Street  
P. O. Box: 1014  
Addis Ababa, Ethiopia

Tel. : 00251-11-1306002  
Fax : 00251-11-1242438  
Website: [www.usaidethiopia.org](http://www.usaidethiopia.org)

USA Address:  
2030 Addis Ababa Place  
Washington, DC 20521-2030

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 applications in electronic copy. Applications submission in hard copy format is accepted if submission in electronic format is not practicable as described in Section IV.

Applications must be received by the closing date and time indicated at the top of this cover letter. Late or incomplete 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.

Sincerely,

/S/

Yves B. Kore  
Supervisory Contracts & Agreement Officer

## **SECTION I. FUNDING OPPORTUNITY DESCRIPTION/PROGRAM DESCRIPTION**

### **1. Executive Summary**

Malnutrition remains one of the main public health problems in Ethiopia contributing to 53% of infant and child mortality<sup>1</sup>. According to the 2005 Ethiopian Demographic Health Survey, 47% of children are stunted, 11% of children are wasted and 38% of children are underweight<sup>2</sup>. The recent National Nutrition Survey (NNS) also indicated that rates of malnutrition remain high in Ethiopia<sup>3</sup>. In addition, the survey showed that maternal and infant and young child feeding practices, maternal and child health remain weak.

In response to the high levels of malnutrition, the Government of Ethiopia developed the National Nutrition Strategy and the National Nutrition Program (NNP). Partners including USAID have supported the implementation of the NNP through various programs with success. Recently, the GoE has announced several initiatives to combat malnutrition and work toward reaching the millennium development goals through the Accelerated Stunting Reduction Initiative, Food Fortification Initiative and the linkages between the NNP and the Productive Safety Net Program (PSNP).

In order to sustain momentum achieved under current nutrition programs and build upon the GoE's initiatives and renewed commitment to nutrition while also addressing the shortcomings and lessons learned, the Request for Assistance (RFA) defines the parameters and results for a nutrition program "Empowering New Generations to Improve Nutrition and Economic opportunities (ENGINE). The overall goal of ENGINE is to contribute to the reduction of maternal and infant mortality by improving the nutritional status of women and children less than five years through sustainable, comprehensive and coordinated evidence-based interventions.

The award to be issued for this new program will support the national, regional and local level nutrition programs and policies at the health facilities and community levels. The intention of this Request for Application (RFA) is to support national, regional and local responses with a particular emphasis/focus on areas where the Agriculture Growth Program (AGP) and food security programs under the Business, Environment, Agriculture and Trade Office (BEAT) within USAID will be implemented to ensure coordination. In addition, this program will build upon the previous nutrition activities under the Food and Nutrition Technical Assistance (FANTA), Infant and Young Child Nutrition (IYCN) and build upon the successes of the National Community-based Management of Acute Malnutrition (N-CMAM) while addressing the challenges that were identified in the final evaluation of this program.

USAID/Ethiopia's long-term goal is to support the GOE to achieve a more peaceful, prosperous and healthy Ethiopia. The proposed activities under this RFA will be linked with programs, currently being supported by USAID-Ethiopia. Resources under this RFA will contribute to the USAID-Ethiopia mission strategic plan "A Healthy Educated Population."

In 2009, President Obama's administration announced two new initiatives; the six year \$63 billion Global Health Initiative (GHI) which is the umbrella for all USG international Health Programs and the Feed the Future Initiative (FTF) for all agriculture and food security programs. This new program will contribute to the GHI and FTF principles; therefore the applicants should demonstrate how this program will strengthen the government of Ethiopia (GOE) health system and integrate with other programs to support the Health Sector Development Plan four (HSDP IV).

### **2. Program Objectives**

The purpose of this program description is to define the parameters and results for a comprehensive nutrition program to improve the multi-sectoral nutrition policy environment, utilization of quality health and nutrition services, and appropriate maternal, infant and young child feeding practices in Ethiopia. The overall goal of the program is to decrease maternal, neonatal and child mortality by improving the nutritional status of women and children less than 5 years through sustainable, comprehensive and coordinated evidence-based interventions.

<sup>1</sup> Ethiopia Profiles: Why Nutrition Matters 2006

<sup>2</sup> Ethiopian Demographic and Health Survey (EDHS) 2005.

<sup>3</sup> Ethiopian Health and Nutrition Research Institute. **The National Nutrition Survey 2010.**

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The applicant/s will ensure that their application, implementation plans, reporting, and other programming aspects are coordinated and aligned with the Government of Ethiopia (GoE)'s National Nutrition Program (NNP), the Health Sector Development Plan IV (HSDP-IV), the Multisectoral Response to HIV II (SPM-II) and the US Government's Global Health (GHI) and Feed the Future (FTF) initiatives principles.

The applicants will assure their application, implementation actions, reporting, and other programming aspects are in compliance with the new Ethiopian CSO law (Reference: The Federal Negarit Gazeta Regulation No.168/2009, Charities and Societies Council of Ministers Regulation).

### **3. Program Background**

#### **3.1. Country Context**

Maternal and child undernutrition is the underlying causes of 3.5 million deaths worldwide, and results in lifelong consequences on cognitive and physical development. Chronic undernutrition leads to poor educational attainment, increased morbidity, and lower productivity and earnings in later life. In Ethiopia, undernutrition is a persistent problem for nearly one in two children. Malnutrition remains one of the main public health problems in Ethiopia contributing to 53% of infant and child mortality. According to the 2005 Ethiopian Demographic Health Survey, 47% of children are stunted, 11% of children are wasted and 38% of children are underweight. The recent National Nutrition Survey (NNS) also indicated that rates of malnutrition remain high in Ethiopia. In addition, the survey showed that maternal and infant and young child feeding practices, maternal and child health remain weak. Exclusive breastfeeding for the first 6 months is recommended for new infants to provide them with nutrients and antibodies and protect them from illnesses. Starting from 6 months on, the World Health Organization (WHO) recommends that children eat meals that include at least four food groups. The results of the NNS showed that half of children 0 to 5 months are exclusively breastfed, and only 29% of children receive a minimum acceptable diet (that is eating foods from at least 4 groups) from 6 to 23 months of age in addition to breast milk. For those who were not breastfed, only 38% of children received a minimum acceptable diet.

Maternal health especially the wellbeing of mothers during pregnancy is an important factor in the wellbeing of the fetus and infant postpartum. One aspect of this is the woman's nutritional status. Undernourished women are at higher risk for pregnancy complications and low-birth weight babies. The NNS found that 29% of women of reproductive age were malnourished; that is their body mass index was below 18.5. Over a third of women did not eat a diversified diet that included a variety of food groups and 61% did not know the types of nutritious foods rich in vitamin A and iron to consume to improve their overall diet.

Another aspect of maternal health is antenatal care during pregnancy. The WHO recommends at least four visits to the health center for pregnant women if there are no complications. In the NNS, 64% of mothers did not receive the recommended ANC. And for those who did attend ANC, only 23% received IPT for malaria prevention, 51% breastfeeding information, 17% iron/folate supplementation and 25% the recommended two tetanus toxoid injections. In terms of food consumption, the majority of pregnant women consumed less food than normal during pregnancy. For delivery care, the majority of women in the rural areas used traditional birth attendants, relatives or friends and they delivered at home.

In child health, the 2005 DHS showed that 20% of children had been fully immunized. The recent NNS showed that universal vaccination coverage remains low at 21%. In addition, the NNS has shown that only 28% of the children slept under a mosquito net. For children who reported fever illness, only 35% sought treatment outside the home. Diarrhea can lead and/or exacerbate malnutrition when not treated early among children. Treatment for diarrhea includes provision of oral rehydration solution (ORS) and for children less than 6 months of age, continued breastfeeding. The NNS showed that only 24% of children 6-23 months who had diarrhea were treated with ORS.

The lack of a diverse diet contributes to micronutrient deficiencies in Ethiopian women and children. Supplementation programs delivered through the health system have not reached the scale necessary. The recent NNS showed that only 42.5% of children received vitamin A supplementation, 32% of women 15-49 reported night blindness and 17.3% of pregnant women reported taking iron/folate tablets, with virtually no women receiving the required 90 or more tablets. Over half (53%) of children are anemic and more than a quarter (26%) of women are anemic. Finally, only 5% of households were shown to utilize iodized salt.

Practices relating to water, sanitation and hygiene, food security and health seeking behaviors that can contribute to and exacerbate malnutrition show room for improvement. In the recent NNS, it was shown that only 57% of households were using improved sources of water; that is they were getting their drinking water from piped water, borehole, or protected wells. Furthermore, 56% of rural households were not using improved toilet facilities. In rural areas, only 51.2% washed their hands immediately after using the toilet.

The majority (76%) of rural areas reported depending on their own food production while 26% depended on food aid or other safety net programs for their food sources. Specifically, 15% of households received food from emergency food rations, 20% from the productive safety net program and 7% from the targeted supplementary food program. These figures vary depending on different factors including amount of rain, drought and other unforeseen disasters.

Food and nutrition is a key component of HIV/AIDS treatment, care and support. Lack of nutritional support for people living with HIV/AIDS and who are on anti-retroviral treatment (ART) has shown to accelerate the progression of the disease. In Ethiopia according to the 2007 point estimate, the HIV prevalence is 2.3% which translates in an estimated 980,000 people living with HIV/AIDS. In a small assessment conducted at St. Peter's Hospital in 2007, the results showed that 35 to 40% of pre-ART clients were malnourished. Adequate nutritional support for PLHA is necessary to improve adherence to treatment and to improve quality of life.

### **3.2. Government of Ethiopia Priorities**

Nutrition has not always been considered a priority in Ethiopia despite the enormity of the burden of malnutrition. This was due to limited resources and lack of information regarding nutrition. In recent years, the Government of Ethiopia in collaboration with development partners has initiated several measures to put in place enabling policies and effective programs, and have implemented a range of nutrition programs.

Nutrition is one of the issues underlined in the Plan for Accelerated and Sustained Development to End Poverty (PASDEP) 2005-2010 as critical for the country's development. Nutrition is among the key "cross cutting issues" in the current Health Sector Development Program (HSDP) III, with activities embedded at all levels of health service delivery, and with multi-sectoral coordination under the responsibility of the MOH.

#### National Nutrition Strategy and Program

The National Nutrition Strategy (NNS), started in 2005, officially approved in early 2008, has led to the development of the National Nutrition Program (NNP). The National Nutrition Strategy addresses basic nutrition interventions to improve the nutritional status and well-being of mothers, children, and other vulnerable groups, by addressing chronic as well as acute malnutrition, in addition to strengthening nutrition response in emergencies and nutrition information systems and early warning.

#### National Nutrition Program

The NNP is the road map for the NNS and integrates a multi-sectoral approach to nutrition. Existing funding to the NNP supports the Service Delivery component of the program and provides assistance to

community-based nutrition and health services. It also supports micronutrient interventions which enhance the appropriate utilization of key micronutrients, especially iodine, iron, Vitamin A and zinc. The second component focuses on institutional strengthening and capacity building. It provides assistance to help strengthen human resources, improve coordination mechanisms for nutrition and build the institutional capacity of implementing units. This component also supports the development of an effective communications strategy to encourage changes in behavior that would positively affect nutritional status, such as the practice of optimal breastfeeding and child-feeding habits. Lastly, the NNP includes the development and implementation of a proper nutritional surveillance system in Ethiopia.

At program levels, the MOH and donors are supporting nutrition activities through several venues such as the Enhanced Outreach Strategy, Targeted Supplementary Feeding, Safety Net Program, and the Health Extension Workers program.

### **3.2.1. Enhanced Outreach Strategy (EOS)**

The EOS provides key child survival interventions (e.g. vitamin A, measles vaccination, de-worming tablets, nutritional screening) every six months, with supplementary food provided to those found to be moderately malnourished as part of the Targeted Supplementary Feeding (TSF) Program. The EOS is currently funded largely through emergency funding, but the goal is to gradually mainstream it into the Health Extension Program (HEP), whereby it would operate as part of a sustainable service delivery system. However a major hurdle for the viability of this transition is that the substantial costs of the program will need to be borne directly by the MOH or out of other funding sources for developmental activities.

### **3.2.2. Targeted Supplementary Feeding**

The Targeted Supplementary Feeding (TSF) program is a large supplementary feeding program targeted to children less than 5 years of age and pregnant or lactating women who screen positive for acute malnutrition during 6-monthly interventions in selected areas of Ethiopia. The TSF program distributes food twice, at 3 month intervals, to enrolled children. There is no monitoring of nutritional response and therefore no discharge criteria. Children may be re-admitted to the program at a subsequent screening if they again screen positive for acute malnutrition.

A recent evaluation of the program recommended that targeting of the program should be improved through better training of EOS screening teams to increase the accuracy and precision of their measurements; Investigation of Intra-household food sharing; improving the education provided to mothers at the time of TSF food distribution on the use and benefits to the targeted child; and improving linkages to health centers to improve the referral of severely malnourished children for more appropriate therapeutic care.

### **3.2.3. Essential Health Services Package and Health Extension Program**

The MOH implements the Essential Health Services Package (EHSP) with the objective to reduce the morbidity, mortality and disability resulting from the major health and health related problems affecting most of the population of Ethiopia. The Health Extension Program (HEP) is a community level component of the EHSP. HEP's objective is to improve equitable access to preventive essential health services through community (Kebele) based health services with strong focus on sustained preventive health actions and increased health awareness. Essential curative care another component of the EHSP is introduced at Health Centre and District Hospital Level. The implementation of HEP involves the deployment of two salaried and trained Health Extension Workers (HEW) at each village (Kebele). The HEW, elected members of the Kebele, agricultural development agents, and teachers at the same Kebele constitute a Kebele council bringing administrators and sector specialists together. This ensures close linkages with interrelated sectors and promotes intersectoral collaboration.

The HEP is designed to provide services at Kebele level covering sixteen health extension packages including TB and HIV/AIDS and other STI prevention and control; Malaria prevention and control; First Aid and emergency measures; Maternal and child health; Family planning; Immunization; Adolescent reproductive health; Nutrition; Excreta disposal; Solid and liquid waste disposal; Water supply and safety measures; Food hygiene and safety measures; Healthy home environment; Control of insects and rodents; Personal hygiene; and Health Education and Communication. In addition, the

HEW organizes the community for joint plans, and joint interventions related to health such as environmental and water projects, drainage of swampy areas etc. Furthermore, the HEW mobilizes and trains other volunteers to deliver messages and to implement interventions.

In the area of nutrition and HIV/AIDS, the GoE through the HIV/AIDS Prevention and Control Office (HAPCO) with USAID support and collaboration with partners has developed strategies and guidelines to facilitate the implementation and response to this area. In 2008, HAPCO rolled out national nutrition and HIV guidelines and implementation reference manuals.

#### **3.2.4. Productive Safety Net Program**

The Productive Safety Net Program (PSNP) focuses support continuously on selected households over several years and has an explicit objective of beneficiaries eventually graduating. The Productive Safety Net Program is funded by a large consortium of international donors including USAID, the World Bank, the United Kingdom's Department for International Development (DfID), and the European Commission among others. The government of Ethiopia provides in-kind contributions through program supervision and management support.

The PSNP has two components: public works and direct support. Public works are used to mitigate the impacts of climatic and food insecurity risks on chronically food-insecure farmers by providing employment to "able-bodied" laborers. It is the core component of the safety net program and creates a labor market for unskilled labor, primarily by involving them in labor intensive, community-based activities. This labor enables households to meet their food gaps so that they not sell productive assets in order to overcome food shortages. The public work is also intended to create valuable public goods. Direct support is a minor component and delivers assistance to members of the community who cannot participate in public works but need help.

The project reached 5 million chronically food-insecure people in 2005, expanded to more than 7 million in 2006 and currently covers 7.6 million rural inhabitants. Up to 192 million paid workdays have been generated through community projects that address some of the roots of food insecurity by rehabilitating severely degraded land and creating productive community assets—such as terraced fields, feeder roads, and small-scale irrigation systems.

The GoE is also implementing the community-based nutrition program (CBN) in the food insecure areas of the country that are also part of the Productive Safety Net Program (PSNP). The program is supported by the World Bank and operates in 300 woredas and provides preventive nutritional support including growth monitoring, community mobilization and community conversations.

#### **Business Process Re-engineering**

The Business Process Re-engineering (BPR) that the government has recently undertaken has been completed. In the new MOH structure, nutrition will fall under the Directorate General of Health Promotion and Disease Prevention (HPDP). This Directorate General is subdivided into three Directorates, in charge respectively of Urban, Agrarian, and Pastoralist issues. A focal person for Nutrition is designated at each Directorate and the focal person at the Urban HPDP Directorate serves as the lead coordinator for Nutrition in the whole HPDP. Ensuring that there are focal points that can coordinate and be accountable for nutrition is commendable. The application of this re-engineering has one major hurdle; the scarcity of trained nutritionists in the MOH and countrywide.

#### **National Nutrition Coordination Committee**

A National Nutrition Coordination Committee (NNCC) was formed and is chaired by the Minister of Health and with members including the ministries of Agriculture's disaster risk management and food security sector (DRMFSS), agriculture sector and natural resources, Ministry of Education, Treasury, Finance and Economic Development and Women, Youth and Child Affairs, Family Health Department of MOH (Secretary), a representative from Addis Ababa University (AAU); a representative from School of Public Health (representing academia); an independent senior nutritionist; a partner from the private sector; and UNICEF. The NNCC has agreed that cross sectoral issues, such as nutrition linkages with the Productive Safety Net Program (PSNP) and the Water, Sanitation and Hygiene (WASH) program, should be brought up for high level discussions at the NNCC.

While these are great accomplishments, gaps remain in the implementation of the NNP and realization of a comprehensive response to the nutrition situation in Ethiopia. Recently however, the GoE has

recommitted itself to addressing nutritional challenges in Ethiopia through several measures including the accelerated stunting reduction initiative, food fortification, and efforts to link PSNP and NNP to achieve greater impact on nutrition.

### **3.3. Previous and ongoing USAID support to nutrition programs in Ethiopia**

For the past several decades, USAID/Ethiopia has been implementing nutrition programming and providing technical assistance through a variety of mechanisms including bilateral and through centrally-funded programs to support the Government of Ethiopia. . The ENGINE project will build on the successes of previously funded USAID programming and technical assistance. USAID funded projects have worked across several technical areas related to nutrition. With a focus on increasing the capacity of the government of Ethiopia, programs related to nutrition have worked on nutrition and HIV/AIDS, maternal and child health and nutrition services, and behavior change communication. The programs have increased the capacity of the Government of Ethiopia in many successful ways.

#### Nutrition and HIV/AIDS

The U.S President's Emergency Plan for AIDS Relief (PEPFAR) has supported the implementation of nutrition and HIV/AIDS activities through a variety of programs. USAID/PEPFAR is currently supporting the Food by Prescription (FBP) program which provides nutritional assessment, counseling and support to pre-ART and ART patients and HIV positive pregnant women. In addition, USAID/PEPFAR has been supporting the Urban HIV/AIDS Program which provides nutritional support to HIV affected and infected persons in urban and peri-urban areas. Lastly, the Urban Gardening Program (UGP) is supporting HIV affected and infected orphans and vulnerable children and their caregivers by providing them with income generating activities through gardening as well as training in appropriate feeding practices.

USAID funded projects have worked with the Ministry of Health in strengthening HIV/AIDS services and national policies as they relate to nutrition. For example, Food and Nutrition Technical Assistance (FANTA-2) worked with the ministry to create several guidelines and tools for clinical nutrition care and support for people living with HIV (PLHIV). Included in this are: Ethiopian Guide to Clinical Nutrition Care for Children and Adults with HIV; A three-day training course for Clinical Care Providers manual; and Ethiopian National Guidelines for HIV/AIDS and Nutrition and Ethiopian National Nutrition and HIV/AIDS Implementation Reference Manual. Many health workers and university instructors have been trained on the guidelines and provided with tools to implement nutrition and HIV/AIDS services in health facilities.

Other support through the Infant and Young Child Nutrition project (IYCN) has included working to strengthen the provision of nutrition services for HIV/AIDS pregnant and lactating women through the training of service providers and clinical mentors to ensure the provision of quality nutrition counseling and services at the health facilities. In addition, training in nutrition counseling for mother support groups has strengthened and ensured that HIV positive women and exposed children receive services across the continuum of care.

#### Maternal and child health services

A number of projects have worked to strengthen and support maternal and child health service delivery for mothers and children in ways that aim to augment nutritional status. The ESHE project was USAID/Ethiopia's flagship health program for nearly 10 years and worked to integrate child survival interventions and health sector reform to improve health in the three most populous regions in Ethiopia. Other nutrition related health issues were also addressed including, sleeping under an insecticide-treated bednets, and vaccinations.

#### Nutrition

Working in conjunction with the broad health programming a number of nutrition specific interventions were supported. USAID funded projects supported health extension workers to reach over 5 million children with nutrition programming. Specific areas include treatment of acute malnutrition and nutrition education and counseling of the caregivers on appropriate feeding practices. Projects have expanded the implementation of the essential nutrition action (ENA) framework. This has led to improvements in a number of practices surrounding child nutrition such as early initiation of breastfeeding and exclusive breast feeding.

USAID has also supported the National Community-based Management of Acute Malnutrition program (N-CMAM) since 2005. The goal of the N-CMAM program is to decrease morbidity and

mortality among acutely malnourished children under 5 years and pregnant and lactating mothers. In the past three years, 41,243 severely malnourished children were admitted in the program and 34,875 have exited the program achieving 79% cure rate.

While the program has achieved successes, there are still areas to address. Notably, the program has not been able to implement the management of moderate acute malnutrition (MAM). Currently, the management of MAM remains under the purview of the Ministry of Agriculture's Disaster Risk and Food Security Sector (DRMFSS) and linkages with this section need to be strengthened to ensure that children identified as MAM in the community and/or at the facility level receive appropriate services.

#### Capacity of the Government and Ministry of Health

A large portion of support has been providing technical assistance to the MoH and other GoE entities, partners and other stakeholders in the development of policies and guidelines for nutrition, capacity building and supporting community-based nutrition programs. This has included training volunteer community health workers in CMAM, breastfeeding practices and the ENA framework. This has enabled the MoH to scale-up its response to acute malnutrition at the community level by providing appropriate treatment as well as strengthened the capacity of the MoH at the regional, zonal and woreda level to provide nutrition services and coordination and to manage logistics for nutrition services and supervision.

#### **3.4. Other Nutrition Partners**

The Government of Ethiopia (GOE) has mobilized resources from external and internal sources to support nutrition activities. There are many development partners assisting the GOE in its goal of implementing the National Nutrition Program. The following is a list of major partners:

The World Bank has committed approximately USD 30 million to support the community-based nutrition program (CBN) component of the NNP. In addition, the World Bank has recently supported the MoH in conducting a feasibility study of food fortification in Ethiopia. The Bank in collaboration with UNICEF are working to support the REACH to End Child Hunger and Undernutrition and Scaling Up Nutrition (SUN) framework activities by building the capacity necessary in country to meet the goals of both initiatives.

UNICEF, the World Food Program (WFP), and the Japanese International Cooperation Assistance (JICA) are supporting other components of the NNP such as the EOS, TSF, and providing logistics for the CBN program. JICA also supports the salt iodization initiative.

The Gates Foundation funded Alive & Thrive (A&T) has been working closely with the USAID-funded Integrated Family Health Program to improve complementary feeding practices. In addition, A&T has begun work to improve linkages between nutrition and livelihood programs by supporting organizations piloting innovative integrated programs.

The Canadian International Development Agency (CIDA) has recently committed USD 52 million over five years to support the implementation of the CBN and other nutrition activities through UNICEF.

## **4. USG Policies, Programs, and Global Context**

### The Millennium Development Goals (MDGs)

The Millennium Development Goals (MDGs)<sup>4</sup> are a major influence on the policies and priorities of USG. The goals – designed to be met by 2015 – include a goal to eradicate extreme poverty and hunger. The nutrition-related target for this goal (MDG 1) is to reduce by half the proportion of people who suffer by hunger. This target is measured by the prevalence of underweight children under-five years of age and the proportion of the population below minimum level of dietary energy consumption. In addition to MDG1, ENGINE will support several other MDGs, including Goal 4 to reduce child mortality, Goal 5 to improve maternal health.

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<sup>4</sup> Millennium Development Goals, United Nations homepage, available at: <http://www.un.org/millenniumgoals/>.

### Global Health Initiative

Complementary strategies and smart integration are required to achieve Millennium Development Goals 1, 4, and 5. Feed the Future (FTF) and the Global Health Initiative (GHI) intersect around nutrition, due to the multi-sectoral nature of the causes, consequences, and solutions to undernutrition. ENGINE will be the flagship nutrition program for USAID/Ethiopia, and accountable to achieving results under both FTF and GHI.

The rationale for including nutrition in FTF is built around key relationships between poverty, agriculture and nutrition:

Good nutrition in early childhood is essential to capitalize full physical and intellectual potential. Chronic undernutrition leads to negative impacts on intellectual capacity, educational performance, and productivity. Improving nutrition is a driver of economic growth and poverty reduction. A comprehensive strategy must address all components of the food security framework - availability, access, and utilization/consumption. Our goals cannot be achieved by addressing one pillar alone. USG core investments must be integrated and aligned across sectors to achieve sustainable reductions in global hunger and poverty.

Economic growth in itself is not sufficient to achieve required reductions in child undernutrition. The US government (USG) will harness the power of poverty reduction strategies and maximize synergies in the economic growth section that will enable the USG to make substantial progress toward the ambitious targets of MDG 1. This strategy will break the cycle of hunger and poverty by addressing these inter-related challenges with comprehensive country-led food security plans. By focusing on undernutrition as part of these plans, evidence indicates that USG efforts can contribute to double the rate of reduction in undernutrition that is seen with economic growth alone.

USG's integrated global health strategy addresses the main causes, both short and long route, of child and maternal morbidity and mortality. Specific interventions must be delivered through a strong and effective health system. USG core investments in the health sector must address the centrality of undernutrition as a main contributor to child and maternal illness and death.

Women and girls in developing countries are often more likely to bear the economic, physical, and health burdens to provide adequate food for their families on a daily basis. While their nutritional needs are greatest in the family both for growth and reproduction, they often receive the least portion of nutritious foods in the family which impacts their ability to develop both physically and intellectually. ENGINE will maintain a special focus on women's specific nutritional needs and include a gender focus programs and activities.

In May 2009, President Obama announced a \$63 billion commitment to global health to address some of the most serious health problems facing the world's poorest people. The Initiative, as announced, focuses increased attention and resources on global health challenges including maternal and child health, family planning, and neglected tropical diseases, and maintains the robust funding and strong commitments to fighting HIV/AIDS, TB and malaria.

The Initiative has seven guiding principles including:

- Implement a woman-and girl-centered approach
- Increase impact through strategic coordination and integration
- Strengthen and leverage key multilateral organizations, global health partnerships and private sector engagement
- Encourage country ownership and invest in country-led plans
- Build sustainability through health systems strengthening
- Improve metrics, monitoring and evaluation
- Promote research and innovation

The Initiative addresses maternal health through the implementation of a "dual-track" approach which aims to rapidly expand coverage of existing life-saving interventions such as prevention and management of post-partum hemorrhage, family planning, anemia reduction and clean delivery. Simultaneously, the Initiative invests in health systems strengthening to address human resources shortages, and lack of health system infrastructures in many developing countries that are required to provide adequate and comprehensive maternal care.

In child health, the Initiative aims to save the lives of a cumulative total of 3 million children under the age of five by targeting the most hard to reach, vulnerable families. These hard to reach families will be targeted through different interventions and mechanisms including essential newborn care, immunization, prevention and treatment of diarrhea, pneumonia and newborn infections; improved nutrition, point of use water treatment and many other community-based health interventions.

One of the key elements of the Initiative is “integration and coordination” of different programs. Nutrition is a cross-cutting element that is crucial in health programming. Malnutrition is the underlying cause of more than 50% of child deaths. In addition, the recent Lancet series have underscored the need for nutrition programs in the developing world as way to prevent child mortality. This attention as well as the focus on efficient utilization of food to improve health and nutrition service delivery in the Feed the Future (FTF), USAID/Ethiopia aims to develop nutrition programs that integrate other development sectors.

#### **4.1. The United States President’s Emergency Plan for AIDS Relief (PEPFAR)**

Launched in 2003 by President George W. Bush, and reauthorized by the US Government in 2008, PEPFAR<sup>5</sup> is the largest effort by any nation to combat a single disease, as well as the US Government’s biggest bilateral health assistance program. In 2006, PEPFAR outlined the USG’s approach to addressing the food and nutrition needs of PLWH in the Report on Food and Nutrition for People living with HIV/AIDS. Policy guidance to operationalize this approach was issued by OGAG the same year, setting guidance targets for food support to priority groups, including: orphans and vulnerable children born to an HIV infected parent (regardless of the child’s HIV and nutritional status); HIV- positive pregnant and lactating women in programs to prevent the transmission of HIV to their children (PMTCT); and adult patients in anti-retroviral therapy and care programs with Body Mass Index less than 16.

#### **4.2. Best Practices at Scale in the Home, Community and Facilities (BEST)**

Best Practices at Scale in the Home, Community and Facilities (BEST) is a process to ensure that, under the Global Health Initiative, USAID applies state-of-the-art programming in family planning, maternal and child health, and nutrition (FP/MCH/N) programs. BEST reaffirms USAID’s commitment to the three areas of programming, strengthens the agency’s technical leadership and scales up proven interventions. The BEST planning process builds on USAID’s ongoing work and integrates programs where it makes sense to do so. BEST is a USAID planning and review process that draws on the agency’s best experience and the best evidence to base USAID programs on the best practices to achieve the best impact.

#### Feed the Future Initiative<sup>6</sup>

Feed the Future is the U.S. Government’s global hunger and food security initiative. At the 2009 G-8 Summit in L’Aquila, Italy, President Barack Obama pledged at least \$3.5 billion for agricultural development and food security over three years. This commitment helped leverage more than \$18.5 billion from other donors in support of a common approach to achieve sustainable food security and laid the groundwork for Feed the Future.

To achieve measurable results, Feed the Future seeks to align resources with country-owned plans and foster sustained, multi-stakeholder partnerships to reduce hunger and poverty. Through these long-term, large-scale investments in a small number of partner countries, Feed the Future will concentrate resources on investment plans with proven approaches. Included in these plans will be support for women as agricultural producers and as critical actors for creating a food secure world. An important part of this initiative is the long overdue recognition that women in low income countries produce the major share of food and the need to improve their control over resources for improving nutritional wellbeing of families.

<sup>5</sup> The United States President’s Emergency Plan for AIDS Relief, Office of the U.S. Global AIDS Coordinator and the Bureau of Public Affairs, U.S. State Department, available at: <http://www.pepfar.gov/>.

<sup>6</sup> Feed the Future Initiative, United States Agency for International Development, available at: <http://www.feedthefuture.gov/>.

USG's FtF Initiative for Ethiopia builds on considerable USAID and other USG partners' experience and knowledge of the key constraints – structural, human capacity, regulatory, attitudinal, and institutional – that continue to limit Ethiopia's ability to reach its economic potential and aggressively and effectively advance a robust, high-impact hunger and food security initiative. The Initiative has been framed in the context of Ethiopia's articulated priorities and emphasizes effective coordination across the agricultural, food security, nutrition, and health sectors.

Aligned with Ethiopia's CAADP Compact, the FtF Initiative aims to sustainably reduce global poverty and hunger through investments in the performance of the agricultural sector, in improved nutrition and the improved capacity of vulnerable households to meet their food needs. These investments will lead to improvements in food availability, access and utilization. A better performing agriculture sector should improve both food availability and access, while improved food access and utilization will contribute to improved nutrition. ENGINE will work in coordination with the Agriculture sector programming to maximize impact.

Thousand Days Effort<sup>7</sup>:

Maternal and child nutrition during the 1,000 days of pregnancy through age two shapes a child's future. With adequate nourishment in the earliest years of life, children have an opportunity to grow to reach their full potential. In the critical window of opportunity between pregnancy and age two, nutrition has a measureable, lasting impact on growth, brain development, incidence of disabilities and susceptibility to disease or infection. The full long-term effects reach beyond health. Poor, early nutrition can lead to limited educational achievement and decrease lifelong economic opportunity.

This effort recognizes that reducing malnutrition supports individuals and nations seeking to break the cycle of poverty. Investing in nutrition can increase a country's GDP by an estimated 2-3 percent annually. The effects are lasting. Improving young child nutrition supports the growth and development of the next generation that will drive the nation's growth.

The Scaling-Up Nutrition (SUN) Framework and Road Map

The SUN framework is a multi-stakeholder global effort to reduce hunger and under-nutrition and to contribute to the realization of all of the MDGs, with particular emphasis on MDG 1. The SUN framework has been endorsed by more than 100 entities from national governments, the United Nations system, civil society organizations, development agencies, academia, philanthropic bodies, and the private sector. The SUN road map encourages better focus on nutrition within development programs and identifies investments that have been shown to work if implemented within the context of nutrition-focused development policies.

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<sup>7</sup>1,000 Days, InterAction, available at: <http://www.feedthefuture.gov/>

## **5. Project Framework**

### **5.1. Geographic Targeting**

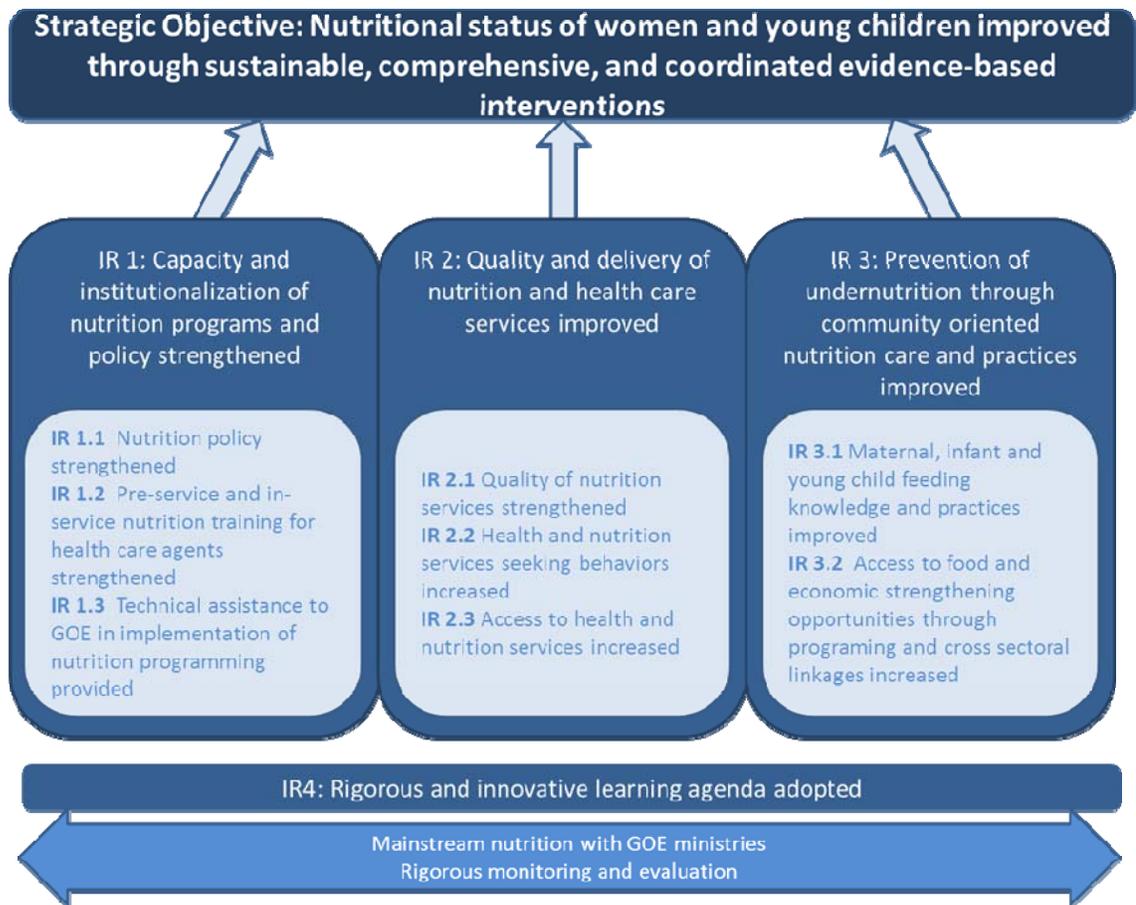
ENGINE will be the flagship nutrition program for USAID/Ethiopia's FTF and GHI strategies. The overall FTF strategy focuses on four regions (Amhara, Oromia, Tigray and SNNPR) and targets 100 woredas in these regions. These focus areas are directly aligned with USAID's support to the GOE's Agricultural Growth Program (AGP) and surrounding areas of the Productive Safety Net Program. In addition, USAID/Ethiopia funded the The National Community-based Management of Acute Malnutrition (NCMAM) which targeted 116 woredas in the same four regions for support to ongoing community management of acute malnutrition programs. The evaluation of this program showed success in building capacity of the MoH and in timely comprehensive response to emergency situations but suggested challenges that remain including the management of moderate malnutrition. It is anticipated that ENGINE will be a national program. However, initial focus will be to work in collaboration with the AGP and the NCMAM programs in a subset of woredas in the regions of Amhara, Oromia, Tigray and SNNPR. The final determination of the woredas targeted will be developed in conjunction with USAID/Ethiopia however the applicant should propose a methodology for geographic targeting with consideration to the following criteria:

- Need: Prevalence and number of children stunted, wasted, and underweight; prevalence and number of families living in poverty
- Opportunity: Existing effective programs that could be scaled up; opportunities for synergistic programming with other implementers/donors; local government enabling environment
- Sustainability: the ability for the program to provide lasting change with a clear exit strategy
- Cost-effectiveness and feasibility

USAID/Ethiopia seeks to reach the maximum number of children feasible with the proposed program approach and to impact the nutritional status of mothers and young children through a quality program. The applicant shall provide a rationale for the selected target areas, and include metrics related to impact on prevalence of undernutrition, numbers of total children receiving interventions, and potential impact in the Monitoring and Evaluation Plan.

### **5.2. Goal, purpose, results, and intermediate results**

The overall goal of the program is to contribute to the decrease of maternal, neonatal and child mortality. More specifically, the strategic objective of the program is to improve nutritional status of women and children less than 5 years through sustainable, comprehensive and coordinated evidence-based interventions.



**Intermediate Results**

- IR 1:** Capacity for and institutionalization of nutrition programs and policy strengthened
- IR 2:** Quality and delivery of nutrition and health care services improved
- IR 3:** Prevention of undernutrition through community oriented nutrition care and practices improved
- IR 4:** A rigorous and innovative learning agenda adopted

**5.3. Intermediate Result 1: Capacity for and institutionalization of nutrition programs and policy strengthened**

**5.3.1. Intent statement**

It is anticipated that the applicant/s will support national level nutrition, nutrition and HIV policy and programming including capacity building. The successful applicant/s will build upon the work of previous USAID-funded programs (Linkages, ESHE, FANTA, IYCN, N-CMAM) to strengthen the nutrition, nutrition and HIV policy environment including strong advocacy for development and updating of multi-sector nutrition guidelines and standards. Included in this is staying abreast of new development in nutrition and supporting the MoH in the adoption and implementation of new standards and guidelines. For example, the MoH is spearheading efforts to develop the accelerated stunting reduction strategy. There are ongoing efforts to redefine the management of acute malnutrition and the adoption of the new World Health Organization growth standards. ENGINE involvement is anticipated to include technical assistance and participation in advocacy for adoption and/or implementation of such ongoing and/or upcoming national initiatives.

Given the limited nutrition curricula in institutions of higher education and lack of nutritionists within the GoE's sectors, the program is anticipated to have a particular emphasis on capacity building in nutrition. Nutrition training for agriculture extension workers is currently not available nor is training in nutrition as an academic discipline provided. Only few training programs in nutrition and nutrition-related fields and their capacity are limited. It is anticipated that ENGINE will continue pre-service training efforts underway in universities. ENGINE will be expected to collaborate with USAID/PEPFAR's Food by Prescription efforts to introduce nutrition and HIV/AIDS curriculum in university and other ongoing work to expand availability of nutrition curriculum in institutions of higher learning. In addition it is expected that ENGINE will address the needs of mid-level career GoE relevant ministries by providing in-service training to build the capacities of the ministries. In addition, the nutrition capacity of GoE at the regional and community level should be strengthened. This may include identifying pre-service and in-service training opportunities and ways to improve their quality and accessibility for frontline workers such as agriculture extension workers, community volunteers, health extension workers or other community groups that will be central to improving nutrition in Ethiopia. ENGINE will be expected to work closely with USAID's Capacity to Improve Agriculture and Food Security (CIAFS) to identify opportunities for short-term capacity building of GoE staff. Lastly, ENGINE should identify ways in which to ensure continuous training of mid-level GoE staff and front workers that is cost-effective and sustainable such as the establishment of a center of excellence that provides rapid training and hands on nutrition experience.

The MoH has recently assumed the role of coordinating nutrition efforts in Ethiopia. While these are positive steps in the right direction, challenges remain. Capacity in nutrition at the MoH remains limited. It is anticipated that ENGINE will support the efforts of the MoH and assist in strengthening the coordination unit. ENGINE will work closely with the MoH to ensure that the coordinating body is reaching its goals of mainstreaming nutrition across sectors. The applicant/s will also facilitate linkages between different GoE entities to ensure cross-fertilization in nutrition.

Lastly, ENGINE is expected to collaborate with and provide technical assistance to other USAID/Ethiopia programs to ensure that the provision of nutrition services is adequate and leads to the goals of improving the nutritional status of households. For example, USAID/Ethiopia may request the applicant/s to provide training in nutrition, nutrition and HIV and nutrition and food security/livelihood to other implementing partners for FTF. The applicant/s will be anticipated to not only provide such services but also assist other programs to identify opportunities for linkages across sectors.

### **5.3.2. Expected outcomes**

- Multisectoral nutrition policies are implemented effectively
- Nutrition guidelines and strategies are developed and/or updated
- Nutrition and HIV guidelines and strategies are developed and/or updated
- Pre-service training in nutrition institutions of higher education are expanded and strengthened
- Capacity of GoE in nutrition is strengthened

### **5.3.3. Illustrative activities for IR 1**

The activities may include the following but are not limited to:

#### **IR 1.1 Nutrition policy strengthened:**

- Integration of nutrition in prevention of mother to child transmission (PMTCT) program
- Updating essential nutrition actions materials including guidelines, job aids, training manuals
- Support of development of strategies to address emerging issues in nutrition, nutrition and HIV, and nutrition and food security
- Support of development and implementation of multisectoral nutrition strategy and guidelines

#### **IR 1.2 Pre-service and in-service nutrition training for health care agents strengthened:**

- Identifying the critical change agents for nutrition at the national and community levels
- Strengthening and expanding pre-service training curriculum in nutrition, nutrition and HIV and nutrition and food security
- Strengthening in-service training of mid-level GoE staff at national, regional, woreda and kebele levels

- Expanding training in nutrition of front line workers including HEWs, agriculture extension workers, community volunteers and other community groups
- Establishment of a center of excellence for rapid training and hands on experience in nutrition

#### IR 1.3 Technical assistance to GOE in implementation of nutrition programming provided

- Ensuring the capacity of the MoH to lead and coordinate all nutrition activities
- Providing technical assistance to the GoE
- Assisting the MoH in advocacy activities to ensure that nutrition is mainstreamed across other sectors

#### **5.3.4. Indicators**

These include but are not limited to:

- Number of people trained on nutrition
- Number of multi-sectoral policies in place and assisted by the project
- Number of centers of excellence established
- Number of new health care workers who graduated from a pre-service training institution
- Number of community health and para-social workers who successfully completed a pre-service nutrition training program
- Number of health care workers who successfully completed an in-service nutrition training program

### **5.4. Intermediate Result 2: Quality and delivery of nutrition and health care services improved**

#### **5.4.1. Intent statement**

It is anticipated that ENGINE will support service delivery in the different regions to improve the prevention and treatment of undernutrition. It is expected that the program will strengthen systems and the linkages between communities and facilities by expanding the pool of available community structures that can prevent and respond to crises of malnutrition including screening, referral and follow-up of acute malnutrition.

For example, the program should ensure that services for the treatment of acute malnutrition are available in the coverage areas of the program. ENGINE is expected to build on and strengthen the national CMAM program and to identify and overcome barriers to ensure that treatment services reach the most vulnerable, and to ensure quality implementation of screening, referral, and follow-up. It will be imperative for the applicant/s to provide a plan to ensure that such inputs as stabilization centers and food supplies are in place through other means. The program is expected to work on prevention of undernutrition and treatment of acute and malnutrition. A successful program plan must demonstrate a clear plan for sustainability including graduation of facilities from requiring externally funded inputs.

Finally, ENGINE will be expected to improve both delivery of nutrition and health services and demand for those services in communities. Nutrition services include vitamin A supplementation for children 6-59 months and postpartum women, iron/folate supplementation for pregnant and lactating women, nutrition counseling for pregnant and lactating women, screening for undernutrition, and referral for treatment of acute undernutrition. Health services include antenatal care services, treatment of diarrhea and other childhood illness and ensuring that women recognize danger signs and seek services as prescribed under the Integrated Management of Childhood illnesses (IMCI). It is anticipated that ENGINE will work through the health extension program and other health systems to ensure that mothers and young children receive high quality nutrition services through strong and effective systems.

#### **5.4.2. Expected outcomes**

- Improved and expanded treatment services through the CMAM program
- Strengthened community outreach
- Strengthened capacity of health workers and communities to address issues of malnutrition
- Improved health-seeking behaviors
- Improved linkages with maternal child health (MCH) and food security and livelihood programs.

### **5.4.3. Illustrative activities for IR 2**

The activities may include the following but may not be limited to:

#### **IR 2.1 Quality of nutrition services strengthened:**

- Provide training to health extension workers or community volunteers on screening
- Work with health facilities to ensure that they track clients on treatment
- Identify barriers and facilitators to follow up visits

#### **IR 2.2 Health and nutrition services seeking behaviors increased:**

- Educate communities on the availability of health services
- Educate on the best practices concerning micronutrient supplementation
- Facilitate communities in addressing barriers and identifying facilitators to accessing health services

#### **IR 2.3 Access to health and nutrition services increased:**

- Coordinate with partners such as the Integrated Family Health Program (IFHP) to facilitate referrals to necessary maternal and child health services
- Ensure that households are aware of available of services and seek CMAM services

### **5.4.4. Indicators**

The applicant/s will be expected to collect against these indicators.

- % of children screened at the community level for acute malnutrition reporting to health facility for treatment
- % of children screened at the health facility for acute malnutrition who receive treatment
- % of children who complete treatment for acute malnutrition at the facility
- % of women who are referred by the community to attend the health facility
- % of children under 5 managed for severe malnutrition
- % of women attending 4 or more ANC visits at the health facility
- % pregnant women supplemented with iron/folate during pregnancy
- % of pregnant women taking iron/folate supplements for 90 or more days during pregnancy
- % of children receiving vitamin A supplementation
- Number of eligible clients who received nutrition services
- Number of eligible children provided with health care referral

## **5.5. Intermediate Result 3: Improved prevention of undernutrition through community based nutrition care and practices**

### **5.5.1. Intent statement**

Pregnancy and the first two years of life are the critical windows of opportunity for improving survival, educational, and productivity outcomes. Improving nutrition during this timeframe has the maximum benefit to health, education, productivity, and poverty outcomes. The 2008 Lancet series outlines a set of cost effective behavior change interventions optimally delivered through community nutrition programs. Included in this are: promotion of breastfeeding, appropriate complementary feeding, improved maternal nutrition, improved hygiene and sanitation and proper hygiene and targeted micronutrient supplementation. Integrating community actions with facilities is imperative. As part of a comprehensive approach to food security, USAID/Ethiopia is linking direct nutrition interventions with programs to increase overall accessibility of quality food to vulnerable groups. It is anticipated that ENGINE will take an approach to enable a community to adopt the best practices to prevent, identify and treat malnutrition.

Social and behavior change approaches will aim to improve maternal infant and young child feeding practices and hygiene and sanitation behaviors including proper maternal nutrition, exclusive breastfeeding of infants under six months, appropriate introduction of complementary foods, and promotion of adequate water, sanitation, and hygiene practices. It is anticipated that ENGINE will need to identify both barriers to change and localized differences in practices and thus need a strategy on how it will do so.

The program is expected to build upon the existing community and health extension structures in place. There are both the capabilities and limitations of working with community volunteers. Behavior change programming is often human resource intensive. Community health worker and volunteer time is limited and they often have competing interests. It is imperative to balance compensation, long term sustainability without inputs after the project end date and not undermining the volunteer aspects in communities. Logistics and staff management will also play a role in effective programing. ENGINE will need a clear strategy on how it will engage communities to link with health facilities to increase use. A successful community based program can increase the demand for health services as well as facilitate the success of community outreach campaigns. The program is expected to act as a resource for mobilizing communities and ensuring coverage of supplementations.

Both access to food and consumption of a diverse and acceptable diet are needed to reduce malnutrition. ENGINE will be implemented in the same geographic areas as the Agriculture focused portions of FTF. ENGINE should facilitate increased knowledge of resources available to communities through GOE programs like the PSNP, other USAID funded programs, and other programs that offer economic opportunities. ENGINE should provide technical expertise on ways to increase income for vulnerable households. The program should focus on increasing community awareness and facilitating opportunities through other programs rather than implement a robust livelihoods program. However, if few programs are accessible to communities in a targeted woreda and those communities identify a need for income generating activities, ENGINE may provide resources towards these activities. ENGINE applicant/s will need to describe the approach to facilitating increased access to economic opportunities through existing programs such as the agriculture and livestock growth programs and other livelihood programs being implemented through the Feed the Future Initiative, and detail how ENGINE may work to increase incomes and improve nutrition in project areas. The approach should be gender sensitive, describe specific efforts to target women as beneficiaries and as change agents, and explain how the project will improve knowledge and buy-in of key community members such as men and grandmothers.

#### **5.5.2. Expected Outcomes:**

- A community based program integrated with other activities
- Increased demand for health and nutrition services
- Changes in practices regarding maternal, infant and young child feeding
- Increased knowledge and use of economic opportunities

#### **5.5.3. Illustrative Activities for IR 3**

The activities may include the following but are not limited to:

##### **IR 3.1 Maternal, infant and young child feeding knowledge and practices improved**

- Assess barriers and facilitators to the practice of improved nutrition-related behaviors
- Link with other projects to disseminate materials and adapt as necessary to address the identified barriers in target communities
- Identify potential community members to lead social and behavior change at community level, such as mother-to mother groups, traditional and religious leaders
- Assess barriers and facilitators to the adoption of improved hygiene and sanitation behaviors
- Promote community-based efforts to improve access to and use of sanitation facilities
- Conduct home visits by community members identified above to counsel households

##### **IR 3.2 Access to food and economic strengthening opportunities through programing and cross sectoral linkages increased**

- Educate on importance of diversified diets
- Initiate, introduce or facilitate effective approaches to small scale plant and animal production to increase access to necessary agriculture inputs for most vulnerable households
- Facilitate access to savings and credit schemes at community and/or through the private sector
- Facilitate linkages of small farmer groups to public and private resources
- Facilitate community-based learning on agriculture techniques for increased production of diverse foods, demonstration gardens
- Facilitate or develop community gardens to be organized and managed by community based organizations

- Aid communities to identify local storage and process capacity, as well as existing and potential technologies
- As necessary if resources allow, provide the inputs required for small scale home based gardens.
- Provide training on better resource management at the household and community level
- Facilitate creation or strengthening community-based savings and loans groups especially in geographic areas with limited access to other options
- Develop innovative approaches to address barriers to female participation and/or marginalized groups

#### **5.5.4. Indicators**

The project should in consultation with USAID establish goals for improvements in the following indicators based on a baseline assessment in the intervention areas.

- Percentage of children with breastfeeding initiated in the first hour
- Proportion of children 0-5 months exclusively breastfed
- Proportion of children 6-23 months receiving a minimum acceptable diet
- Percentage of children 6-59 months given vitamin A every 6 months
- Percentage of children 12-59 months dewormed every 6 months
- Percentage of households using iodized salt
- Increased knowledge and attitudes on IYCF
- Demonstrated self and child care skills
- Expanded nutrition promotion
- Household Hunger Scale
- Number of households with access to financial services
- Number of eligible adults and children provided with economic strengthening services

### **5.6. Intermediate Result 4: A rigorous and innovative learning agenda adopted**

#### **5.6.1. Intent statement**

ENGINE will be guided by the core principles of FTF and GHI, including a strong emphasis on rigorous metrics, monitoring, and evaluation and the promotion of research and innovation. ENGINE will adopt a learning agenda that monitors performance and evaluates impact on nutritional status of the target population, and that explores and documents innovative approaches to implementation. The learning agenda is both influenced by and contributes to intermediate results 1, 2 and 3.

It is anticipated that ENGINE will test new and innovative approaches and tools for implementation of nutrition interventions that address key gaps and barriers to successful scale-up of nutrition. ENGINE will focus on translational research that brings efficacious interventions into use in communities in ways that improve effectiveness, decrease costs, increase access for the most vulnerable, improve monitoring techniques or otherwise improve programmatic implementation.

It is expected that ENGINE will identify core operations research questions, present an approach to implement a research agenda that addresses these core questions, and discuss the value-added for this research and potential implications for future nutrition programs in Ethiopia. The research agenda must complement IR1, IR2, and IR3 program implementation and be a cohesive component of ENGINE. It is anticipated that the plan will include collaboration such as working with Alive and Thrive and other nutrition programs and initiatives.

It is anticipated that ENGINE will build an innovation platform into ENGINE from the beginning of implementation. This may include an initial investigation or critical barriers. It is expected that ENGINE will incorporate qualitative and quantitative measures in order to effectively evaluate such innovations.

It is anticipated that ENGINE will contribute substantially to the global evidence base for improving nutrition. This will likely include a plan for knowledge sharing that documents and disseminates key lessons learned from program implementation, including operations research, to USAID/Ethiopia and global stakeholders. In addition, it is anticipated that ENGINE will develop a communications plan that identifies approaches to knowledge sharing with important stakeholders.

**5.6.2. Expected Outcomes:**

- Key operations research questions identified and prioritized Communications plan for a national learning agenda developed and implemented
- effective dissemination of results within Ethiopia and globally
- Knowledge of barriers and facilitators to improving nutrition, effective tools and technologies that facilitate scaling up of nutrition in Ethiopia better understood and documented

**5.6.3. Illustrative activities for IR 4**

Activities may include the following but are not limited to:

- Asses barriers and facilitators to change in communities
- Collaboration with evaluation team on successes and challenges
- Conduct focus groups with key stakeholders to identify the critical set of operations research questions to be investigated
- Develop a coherent and feasible operations research agenda as part of overall ENGINE implementation
- Introduce new tools, techniques, or technologies and analyze their use
- Conduct one or more research studies that address the critical set of questions previously identified
- Dissemination of studies, papers, articles, or reports that contribute to the knowledge base on effective nutrition program design and implementation in Ethiopia
- Use data generation for decision making and program improvement

**5.6.4. Indicators**

- Number of special studies conducted
- Number of new approaches explored

**6. Program Management**

**6.1. Resources**

Subject to availability of funding, USAID/Ethiopia plans to spend not more than \$ 50,891,422 during the five year period of this award. The RFA will be awarded to one prime applicant. Below are details of the resources:

<b>Expected Number of Award(s):</b>	<b>1</b>
<b>Estimated Total Program Funding:</b>	<b>\$50,891,422</b>
<b>Award Ceiling:</b>	<b>\$50,891,422</b>
<b>Award Floor:</b>	<b>\$40,891,422</b>

**6.2. Implementation Plan**

The ENGINE program will be implemented through a request for application (RFA). The RFA will be awarded to one prime applicant. It is anticipated that applicants may want to form a consortium to provide the range of technical skills needed and ensure the strong participation of Ethiopian organizations.

**6.3. Financial Plan**

Subject to availability of funds, USAID/Ethiopia plans to spend not more than \$50,891,422 for the program, which includes technical assistance and direct and indirect costs during a five year period. The funding will be allocated to the prime applicant who will subsequently allocate to partner/s. It is anticipated that the approximate funding breakdown by IR will be as explained in the table to the right.

Approximate Funding Percentage of each Intermediate Result	
IR1	20%
IR2	20%
IR3	40%
IR4	20%

## **7. Substantial involvement**

USAID/Ethiopia's approval required for the following listed elements:

1. Approval of the recipient's initial and annual work plan and monitoring and evaluation plan
2. Approval of key personnel
3. Approval of subaward, transfer or contracting out of any work worth more than 5 % of the annual allocated budget for the project by USAID.
4. The AOTR involvement in operational research and guideline development

## **8. Monitoring and evaluation**

As a results-oriented cooperative agreement, ENGINE will formulate a rigorous monitoring and evaluation system that will incorporate staffing, technical support and a routine data collection system. Applicants are encouraged to propose alternative or additional indicators to the illustrative indicators that will measure program success more effectively. A framework for a final and mid-term evaluation should be proposed before the end of mid-term of program implementation. In the first 2 months after the award is made, the successful applicant will work closely with USAID/Ethiopia to refine indicators and performance targets for each indicators based on the most recent results.

USAID/Ethiopia and successful applicants will conduct performance reviews with the RHBs and with the FMOH annually to see the achievement and advise future plans. ENGINE will require a robust monitoring and evaluation plan that includes defining specific and quantifiable performance indicators and targets for the program, and reporting results. An effective monitoring and evaluation system should directly align with the proposed program approach and intermediate results. As such, ENGINE shall document: the impact of policy-focused activities; the effectiveness of specific behavioral interventions at the community level; the effectiveness of economic strengthening interventions at the community level; the impact of targeting health facilities with specific interventions; and the overall effectiveness of the comprehensive program approach. As such, ENGINE will substantially contribute to the body of literature on best practices for integrated nutrition programs.

The monitoring and evaluation plan shall: (1) address the overall program objective and intermediate results; (2) have measurable, achievable and time-phased results for each of the outcomes; (3) focus on programmatic outcome/impact; (4) specify how often evaluation will be conducted; (5) specify who will be responsible for leading monitoring & evaluation efforts; and (6) discuss how the results of the evaluation and lessons learned will be used on an on-going basis during project implementation. Evaluation should be designed and implemented at the beginning of the project and occur throughout the project.

The proposed indicators should be aligned with USG's global FTF results framework available at <http://www.feedthefuture.gov/monitoringevaluation.html>, the GoE's Health Sector Development Plan indicators, SPM-II and PEPFAR indicators for nutrition where appropriate. The indicators for the previous intermediate results are outlined in the above sections. An indicator table with illustrative mid-project and end-of-project targets should be included in an annex. The applicant should suggest any changes or additions to the indicators suggested however, the high level indicator of the FTF result framework and the applicable indicators in the forthcoming FTF handbook should be included.

These indicators and targets will support USAID/Ethiopia's goal to reduce undernutrition and will assist USAID in achieving impact on the following impacts:

- Underweight in children under 5 (high level indicator)
- Stunting in children under 5\*(high level indicator)
- Wasting in children under 5\*(high level indicator)
- Woman's anemia
- Child anemia

A successful applicant will present a monitoring and evaluation plan that includes specific targets for the selected geographic areas on these high-level indicators. The plan will also outline output and additional outcome indicators that help monitor progress towards these high level goals. These include but are not limited to the following illustrative indicators:

- Policy measures
- Measures of health systems strengthening

- Measures of feeding practices and access to food, such as minimum acceptable diet for children 6-23 months, women’s dietary diversity, exclusive breastfeeding
- Measures of food security, such as household hunger scale
- Measures of access to assets, such as income generating opportunities and financial services
- Outputs: number of women and children reached, number of people trained, number of health facilities assisted, number of households with gardens

An effective Monitoring and Evaluation Plan will present an approach to obtain critical baseline information on nutrition status, knowledge, and practices in the selected geographic focus areas. The plan should include an analysis of knowledge gaps or barriers, and recommend approaches to overcome these barriers. In addition, it is expected that ENGINE conduct a mid-term and final evaluation. Specifically, the awardee may work with an external third party organization to conduct the final evaluation.

ENGINE will work with other USAID/Ethiopia implementing partners such as the Integrated Family Health Program (IFHP), Food by Prescription (FBP), Agriculture Growth Program (AGP), Livestock Growth Program, Graduation with Resilience (GRADS) and Multi-Year Assistance Programs (MYAPs) to document, monitor, and evaluate the impact of FTF in Ethiopia. It is expected that throughout implementation, the awardee will work with external parties and possible third party evaluators to describe the overall implementation and impact of ENGINE and FTF on poverty and undernutrition in Ethiopia

### **8.1. Performance monitoring**

The AOTR will be designated by USAID/Ethiopia’s agreement officer at the time the award is made. The AOTR will monitor and evaluate the recipient’s overall performance in accordance with the progress towards deliverables and expected performance against agreed upon indicators. Semi-annual performance reviews (SARS) will be conducted through the life of the project based on USAID/Ethiopia’s SARS calendar. USAID may conduct external evaluations of the program two years after the award is made as well as towards the end of the award. USAID may also conduct management reviews of work progress during the life of the program.

### **8.2. Monitoring, Evaluation and Reporting**

Plans to document, monitor and evaluate program performance must be included in all applications. Data quality audits will be made given that quality data is critical to the success of this program. Hence, all applicants must develop systems to ensure the quality of data. Applicants should always be ready for revision in program indicators and reporting requirements. Initially, these requirements may include the following:

#### **8.2.1. Initial Plan**

- Performance Monitoring Plan (PMP):* The proposed PMP for the entire period of performance including the collection of baseline data must be submitted in the initial work plan
- First year work plan:* The first year work plan shall be submitted by the recipient with substantial involvement of the AOTR within 45 days of the award.
- Annual work plan:* An annual work plan shall be submitted with substantial involvement of the AOTR
- Exit strategy:* The initial work plan should capture a proposed exit strategy documenting steps to sustain the deliverables of the agreement by the host government.
- Environmental mitigation and monitoring plan (EMMP):* The new mechanism should address potential hazards to the environment pertaining to the treatment of acute malnutrition. As mentioned above, a proper environmental mitigation and monitoring plan to address environmental concerns will include a plan for proper disposal of treatment-related equipment.

The work plan, exit strategy, IEE, EMMP and PMP will be subjected to written approval of the AOTR and mission environmental officer (MEO).

### 8.2.2. Progress Reports

Quarterly and annual narrative reports are expected to be delivered to USAID/Ethiopia within two-weeks and 45 days, respectively. Each report will cover activities completed during the preceding period indicating progress achieved towards benchmarks, tangible results as well as identify and address problems encountered during implementation.

### 8.2.3. Financial Reports

Quarterly financial reports are expected to be submitted within four weeks after the end of the quarter being reported. The report should include a summary of finance and pipeline analysis of fund obligated, fund expended, expense accrued, and funds remaining by program area.

### 8.2.4. Demobilization plan

At least two quarters prior to the completion date, the recipient shall submit demobilization Plan for AOTR's approval. Property disposition plan, a plan for the phase-out of in-country operation and delivery schedule for all required reports or deliverables along with timetable for completing all required actions should be included in this plan. A final project report will be due 30 days after project completion.

### 8.2.5. Success stories

At least two one-page success stories on health and nutrition service utilization, improved maternal and infant and young child caring practices as well as policy activities shall be submitted to USAID/Ethiopia yearly in accordance with USAID guidance on "success stories" available at <http://www.usaid.gov/stories/>.

### 8.2.6. Performance indicators

The standard and agreed indicators should be addressed in all progress reports.

## 9. Environmental Compliance

The new mechanism should address potential hazards to the environment in regards to treatment of malnutrition and implementation of economic strengthening activities. A proper environmental mitigation and monitoring plan to address environmental concerns should be submitted with the application and will include a plan for the proper disposal of both sputum cups and syringes. The applicants are strongly advised to give due consideration for the mission's guidance on Environmental compliance (annexed).

## 10. Branding Implementation Strategy and Marking Plan

### a. Definitions

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

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

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

**b. Submission.**

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

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

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

- (i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
- (ii) technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;
- (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and
- (iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

- (i) the program deliverables that the recipient will mark with the USAID Identity,
- (ii) the type of marking and what materials the applicant will be used to mark the program deliverables with the USAID Identity, and
- (iii) when in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking.

(3) A table specifying:

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

**(d) Presumptive Exceptions.**

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

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

## **SECTION II. AWARD INFORMATION**

USAID expects to award one (1) based on this RFA. The anticipated total federal funding amount is \$50,891,422. The period of performance is five (5) years (08/01/2011 – 07/29/2016) with an anticipated start date of 01 August 2011.

The Government may issue one or more awards 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.

## **SECTION III. ELIGIBILITY INFORMATION**

### **1. Eligible Applicants**

All U.S. and non-U.S. qualified organizations

### **2. Cost Sharing or Matching**

The minimum cost share for this RFA is \$2,500,000 or \$500,000 per year. Applications with a cost share less than this are non-responsive and will not be considered for award. This cost share should be used to set up stabilization centers where none exist and/or to provide food to malnourished children and pregnant and lactating women at the community level and inputs for livelihood activities.

## **SECTION IV. APPLICATION AND SUBMISSION INFORMATION**

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.
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. After you have sent your application by email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to advise you that certain documents intended to be sent were not received, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions, so please inspect your own emails.

4. Please do not send the same email more than one time unless there has been a change, and if so, please note that it is a corrected email. If multiple copies of the same email are sent, it will be difficult to know if there has been any change from one email to the next.
5. The Applicant will appoint one person to send in the email submissions. If USAID receives email or hard copy submissions from more than one person from the Applicant, it will be difficult to know who the authorized person is, and USAID cannot tell whether there has been a change from one email to the next without considerable effort.
6. If the application is sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if the Applicant's name is ABXY Consulting, and the cost application is divided and being sent in as two emails, the first email shall have a subject line which says this clearly; otherwise USAID may not be sure of the correct order of the separate parts of the application. USAID's preference will be that each technical and each cost application be submitted as a single email attachment, e.g. that the Applicant need to consolidate the various parts of a technical application into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence. What is obvious to the Applicant as the preparer of the document may not be obvious to USAID. The application may not get optimal treatment if USAID is confused regarding the order and composition of the application.
7. The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.

#### 8. Content and Form of Application Submission

Applications shall be submitted in two separate volumes: (a) technical proposal or management plan, and (b) cost or business application. In submitting a hard copy application, applications shall be submitted as follows: technical portions of applications in original and two copies, and cost portions of applications in original and two copies including both technical and cost applications on a CD ROM.

##### 8.1. 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.

The technical application will be the most important part of consideration in selection for award of the proposed activity. It shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. It shall be specific, complete and presented concisely. The application shall take into account and be arranged in the order of the technical evaluation criteria found in Section V.

**Application Contents:** The technical application may contain the following sections, as more fully explained below: Cover Page, Table of Contents, Executive Summary, Technical Application/Applicant 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 may not exceed 50 pages while the minimum is 30 pages exclusive of the annexes (curriculum vitae/resumes, past performance references, and letters of commitment from any implementing partners, if any), New Times Romans, 12 pt Font on A4 size paper and with single line spacing.

A Technical Evaluation Panel will evaluate the technical applications in accordance with the evaluation criteria in Section V. The format for the technical application is the following:

i. Cover Page

Include proposed Project title, “Empowering New Generations to Improve Nutrition and Economic opportunities (ENGINE) - An Integrated Nutrition Program, USAID-Ethiopia-RFA-663-11-000012”, name of organization submitting application, authorized individual, telephone and fax numbers, e-mail, and physical address.

ii. Executive Summary (no more than 3 pages):

This section shall allow technical reviewers to quickly understand the critical elements of the application, highlighting the most salient features of the applicants’ technical vision and approach, the key personnel and management plan proposed, and the capabilities of the partners to accomplish the desired results.

iii. Technical Application/Applicant’s Program Description

The technical application must provide an explanation of the proposed approach to continue to improve and meet the minimum results described in the Performance Indicators and Targets Section of the USAID Program Description and address the Evaluation Criteria. This section shall include:

1. Technical Approach

1.1. Guiding Principles

Applicants must use the Global Health Initiative Consultative Document, the Feed the Future Ethiopia Strategy, PEPFAR guidance on HIV/AIDS and nutrition, and the HSDP-IV as essential references to inform response to this RFA. The ENGINE will build upon the success of previous nutrition programs as well as address challenges and/or lessons learned from these programs to improve the response to nutritional situation in Ethiopia.

1.2. Program Components

The successful applicant will address the following components of ENGINE as outlined in section five of this application and more specifically 5.3, 5.4, 5.5, 5.6. The components are as follows:

- 1.2.1. Strengthened capacity for and institutionalization of nutrition programs and policy
- 1.2.2. Improved quality and delivery of nutrition and health care services
- 1.2.3. Improved prevention of undernutrition through community-oriented nutrition care and practices
- 1.2.4. Adopted rigorous and innovative learning agenda

1.3. Key personnel

The five key staff positions shall include:

- i. Project Director/Chief of party
- ii. Senior Health and Nutrition Advisor
- iii. Senior Nutrition and HIV Advisor
- iv. Senior Nutrition and Livelihoods Advisor
- v. Senior Monitoring and Evaluation/Research Advisor

Each of the five key personnel must meet or exceed the qualification described below.

Project Director: S/he shall be the chief of party with at least 15 years of experience in the following areas:

- a minimum of a Master’s degree in nutrition, public health, social sciences, international development, or a related field;
- at least 15 years’ experience leading, managing and implementing large international development projects, specifically with experience in two or more of the following areas:

nutrition, health policy, health systems strengthening, behavior change communication, community development, food security, or agriculture;

- broad understanding of public health and in particular must be sufficiently knowledgeable in the area nutrition and should be knowledgeable about the relevant socioeconomic, institutional and policy issues that are related to this area of work;
- professional experience interacting with U.S. Government agencies, host country governments, and other relevant stakeholders;
- demonstrated experience working in partnership with international donors and agencies;
- preferred: at least 5 years professional experience working in Ethiopia

The responsibilities shall include overall planning, coordination, and technical direction of all activities including the work of sub-recipients (if any). S/he is responsible for the oversight and the management of all staffs of the project. The project Director shall be expected to have regular and transparent communication with the AOTR.

Senior Health and Nutrition Advisor: S/he has at least ten years of experience in each of the following areas:

- Designing and implementing nutrition programs that include a strong behavior change communication component
- Guiding and providing technical assistance to project/host country government staffs working on nutrition programs especially around behavior change communication
- Experience develop and implement a behavior change communication strategy for the program, focusing on creating demand for community and clinic-based health and nutrition services
- Experience in developing behavior change training tools and materials
- Experience in design and implementation of programs that deliver nutrition services, including management of acute malnutrition
- Experience in developing and managing community-based health programs in developing countries.
- Experience in operations research

S/he shall have either a PhD/MD and/or a master's degree (Msc and MPH) with significant research experience in nutrition or related field from an accredited college or university. The senior health and nutrition advisor responsibilities shall include the overall strategic planning, coordination, and technical direction of overall nutrition activities, nutrition prevention and behavior change activities for the project. S/he shall provide cross-cutting, strategic and program implementation direction to promote demand for key health, and nutrition services—both clinical and community-based. S/he shall be expected to work with the monitoring & evaluation officer to ensure progress is being achieved towards nutrition targets.

Senior Nutrition and HIV/AIDS Advisor: S/he has at least ten years of experience in each of the following areas:

- Experience in national level policy advocacy
- Experience in providing nutrition and HIV/AIDS technical leadership/support to a Ministry of Health
- Specialized knowledge and demonstrated expertise in the area of HIV/AIDS prevention, and care and support, including nutrition and HIV/AIDS
- Experience in developing and managing HIV/AIDS and nutrition programs in developing countries.
- Experience working in development of educational materials

She/he will have at least a Master of Science in Human Nutrition or closely related field with experience working in HIV/AIDS or a Master's in Public Health or M.D. with experience working in both HIV/AIDS and nutrition. The advisor's responsibilities shall include overall strategic technical guidance to HIV/AIDS and nutrition activities. S/he will be responsible for working on the national policy stage and support to development of quality higher education. S/he will work closely with the M&E/Research advisor to ensure quality monitoring of appropriate indicators and the design of monitoring and evaluation plan.

Senior Nutrition and Livelihoods Advisor: She/he will have at least ten years progressively responsible experience in the following areas:

- Development and management and administration of at programs in nutrition,
- Development and management and administration of at programs agriculture or livestock.
- Knowledge and understanding of agriculture value chains and/or livestock
- Experience in integrated programing

She/he will have a master's degree in international development or international agriculture or food security or a relevant field. The Senior Nutrition and Livelihoods Advisor will be responsible for managing and implementing the economic activities portions of the program. She/he will also be responsible for ensuring linkages with USAID's AGP, LGP and GRADS programming being implemented in the same areas. S/he will work closely with the M&E/Research advisor to ensure quality monitoring of appropriate indicators and the design of monitoring and evaluation plan.

Senior Monitoring, Evaluation and Research Advisor: S/he has at least 10 years of experience in the following areas:

- Strong grounding in the use and analysis of data by applying epidemiological models.
- Capacity to evaluate data for evaluation purposes
- Experience in developing M&E tools and materials
- Demonstrated ability to write technical articles and/or success stories of the quality expected by peer reviewed publications
- Demonstrated experience in relevant operations research

S/he shall have at least a PhD in nutrition or public health or related field from an accredited college or university. The senior M& E/Research advisor responsibilities shall include but not limited to providing technical advice for the development and implementation of ME&R systems, and oversight of all ME&R activities and results reporting. S/he shall provide technical guidance for operations research and special assessments (develop study design and methodology including sampling procedures, assist with implementation, analysis and write-up) to inform policy.

**Non-key Personnel:** In addition to the key personnel, the applicant/s will have sufficient personnel, including Ethiopian professionals to help address the objective of ENGINE, and to help implement state-of-the-art nutrition interventions. ENGINE shall have a deputy chief of party and a policy and capacity building advisor. In addition, ENGINE will have sufficient staffing to address technical and administrative aspects that may include but not be limited to the following areas of expertise: policy and capacity building, food security and livelihood, gender-based approaches, community mobilization, social behavior change and communication, institutional and human resource development, monitoring and evaluation, health systems strengthening, and other skill areas required for implementation.

#### 1.4. Institutional Capacity – Partners Roles & Responsibilities

Applications must include a detailed management plan/implementation schedule in support of proposed activities. The applicant must present the relevant, specialized competence that itself and each member will contribute. This shall include demonstrated accomplishments and institutional capability to carry out activities of the type required under this Program. The management plan must include descriptions of the following elements:

- Participating Organizations - Proposed prime organization, other organizations, if any, and their relationships shall be clearly described. This shall include a description of the comparative advantage that each organization brings to this activity. Applications proposing a consortium or joint-venture-like mechanism rather than a prime/sub need to include a description of the management procedures to be followed regarding each member, and what operational arrangements for coordination with USAID/Ethiopia and other institutional partners will be made. Note that the USAID will only commit to a bilateral relationship so consortium and joint-venture arrangements must designate (authorize) one legal entity/individual able to bind all partners in the offer to the Government;

- Organizational Structure - Proposed overall staffing plan and organizational chart indicating the organization planned for the field (including any proposed sub-recipients) and headquarters. The plan shall specify the composition and organizational structure of the proposed implementation team and describe each staff member's role, technical expertise and the estimated amount of time each member of the team will devote to the Program. Identify by title and name each position to be supported under the Program for the field office, as well as for any support staff based abroad. To comply with USAID/Ethiopia's commitment to use existing local capacity to the greatest extent possible, the implementer will hire local staff for its field offices. Detailed description of the credentials, skills, prior successful experience and accomplishments of proposed key personnel must be provided.
- According to desired results the Application shall describe regional and/or headquarters resources that will be made available to ensure maximum technical and administrative support.
- Policies and Procedures - Proposed policies and procedures for managing and directing the effort to ensure productivity, quality, cost control, and early identification and resolution of difficulties. Standard corporate policies and practices documentation submitted for Agreement Officer responsibility determination may be referenced, however the intent here is to highlight (unique) policies that may be created specifically in responding to the RFA.
- Implementation Planning – This must illustrate how the applicant intends to implement a management plan that contributes to the achievement of the stated results. The application shall contain a detailed Mobilization Plan showing when field staff will be mobilized in Ethiopia, as well as the startup of field office(s) if any. The second section shall be a less detailed initial Annual Work plan that includes how the recipient envisions assuming responsibilities of project activities.

A detailed work plan submission will be expected within 30 days of the award. USAID will request a series of lessons learned presentations be given twice a year to USAID, Federal Government of Ethiopia, and donor working group on achievements to date that can be replicated and expanded. It is also expected that two briefing papers will be presented throughout the course of the project highlighting implementations achievements, failures and successes.

#### 1.5. 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 and other competitors 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.

Applicants must provide a list of Federal awards (prime contracts and grants) active in calendar year 2008, 2009 and or 2010. Include at least one reference (e.g. name, title, organization name, phone and fax number, and email address) for each award. Performance as a subcontractor and/or sub grantee may also be provided with contact (reference) information of a knowledgeable representative from the prime and the U.S. Federal agency –Agreement officer Technical Representative (AOTR). The U.S. Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources outside of the U.S. Government. Applicants lacking relevant past performance history will receive a neutral rating for past performance. However, the application of an applicant with no relevant past performance, may not represent the most advantageous application to the U.S. Government.

1.6. Coordination with other partners

The successful applicant will be expected to coordinate with ongoing and new USAID-funded programs as well as with those programs being implemented by the GoE and other donors to ensure coordination and harmonization of interventions for maximum impact.

1.7. Geographic Scope

The ENGINE program will work nationally. However, initial focus for program implementation will be in the four most populous regions of Ethiopia (Amhara, Oromia, Tigray and SNNPR) where the AGP, LGP and GRADS programs will be implemented.

8.2. COST APPLICATION FORMAT

The Cost or Business Application is to be submitted as separate document/package from the technical application. Certain documents are required to be submitted by an applicant in order for an Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

**NOTE: The Total Estimated Amount** to undertake this program over the next five (5) years is **\$40,891,422 for the floor** and **\$50,891,422 for the ceiling** in “core” funding (**Federal**), broken down as follows in a range floor to ceiling: Year One: **\$8,462,792 to \$10,462,792**; Year Two: **\$7,905, 310 to \$9,905,310**; Year Three: **\$8,175,907 to \$10,175,907**; Year Four: **\$8,198, 392 to \$10,198,392**; and Year Five: **\$8,149,021 to \$10,149,021**. The Estimated Total Recipient's Share of Program Costs (**Non-Federal**) is **\$2,500,000**.

- A. A copy of the applicant’s business/cost application on a compact disk, formatted in Excel.
- B. Present the summary budget by year for proposed activity including uses of USAID funds and any other cost share. Clearly indicate the applicant’s commitment to match funds separate from other donor support. The portion of this matching fund which will qualify as cost-share under 22 CFR 226 shall be clearly identified.
- C. Include a budget, in US Dollars, with an accompanying budget narrative in MS Word to facilitate USAID’s determination that costs are allowable, allocable, and reasonable. 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. 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/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/).

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/subgrantee 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.
- C. A copy of the latest Negotiated Indirect Cost Rate Agreement if your organization has such an agreement with the US Government;

D. Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall, upon request from the Agreement Officer, 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.

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

1. Has 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).

F. Required certifications, assurances, and other statements for the prime and sub-recipients. 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
- Certification Of Compliance With The Standard Provisions Entitled “Condoms” And “Prohibition On The Promotion Or Advocacy Of The Legalization Or Practice Of Prostitution Or Sex Trafficking
- Survey On Ensuring Equal Opportunity For Applicants
- Applicant Information
- Procurement Information

G. Applicants that have never received a cooperative agreement, grant or contract from the U.S. Government may be required to submit, upon request from the Agreement Officer, 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.

9. 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.
- B. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- C. 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."

- D. Explanation to Prospective Applicants – Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions should preferably be sent within two weeks of issuance of the RFA to allow a reply to reach all prospective applicants 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.
- E. Telegraphic or Faxed Applications – Telegraphic or faxed applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.
- F. Language – All applications must be in English.

#### 10. Submission Date and Time

Applications are due to USAID by **June 6, 2011, 1730 Addis Ababa Local Time.**

(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.")

#### Methods of Applications Submission

- i. **Electronically - Option 1** – Application by email compatible with MS WORD and Excel to [caddis@usaid.gov](mailto:caddis@usaid.gov) and request for acknowledgement without application to [twolde@usaid.gov](mailto:twolde@usaid.gov), and [ykore@usaid.gov](mailto:ykore@usaid.gov).
- ii. **Hard Copy – Option 2** - Via regular mail to US Postal Address – Sending one original and two copies of a technical application and one original and two copies of a cost application including both technical and cost application on CD-ROM to: USAID-Ethiopia- RFA-663-11-000012, Office of Acquisition and Assistance, USAID/Ethiopia, 2030 Addis Ababa Place, Washington D.C. 20521-2030.

NOTE: Pouch can take up to two (02) weeks; also all mail is subject to US Embassy electronic imagery scanning methods, physical inspections, and is not date and time stamped prior to receipt by USAID/Ethiopia Office of Acquisition & Assistance Office; or

- iii. **Hard Copy – Option 3** - Local - Hand delivery/Int'l Courier Address (including commercial courier) sending one original and two copies of a technical application and one original and two copies of a cost application including both technical and cost application on CD-ROM to: USAID/Ethiopia, Office of Acquisition and Assistance, USAID-Ethiopia- RFA-663-11-000012, American Embassy, Entoto Street, PO Box 1014, Addis Ababa, Ethiopia

Hard copies of applications and modifications thereof (one (1) original and two (2) copies of each technical and cost proposal) should be submitted in sealed envelopes or packages with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost proposals noted on the outside of the envelopes/packages. Applications submission in hard copy must include both technical and cost application on CD-ROM in separate volumes.

Regardless of the method used Applicants are requested to submit applications both technical and business portions. Technical applications must not make reference to pricing data in order that the technical evaluation may be made strictly on the basis of technical merit.

Note: Delivery to the post office or air courier representative does not constitute meeting the statutory requirement that applications are received on time at the designated office. For purposes of recording the official receipt of applications, the date/time stamp of the Office of Acquisition and Assistance at USAID/Ethiopia will govern. Applicants shall retain for their records one copy of the application and all enclosures that accompany their application.

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](http://www.grants.gov) opportunity. Final award of any resultant cooperative agreement(s) 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.

Any questions concerning this RFA shall be submitted in writing via email to [caddis@usaid.gov](mailto:caddis@usaid.gov), with copy to [twolde@usaid.gov](mailto:twolde@usaid.gov), and [ykore@usaid.gov](mailto:ykore@usaid.gov) and reference the RFA number in the subject line by the date listed above. 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 time, questions must be received by May 6, 2011; 1730 Addis Ababa Local Time.

11. Address to Request Application Package

This application is found on the internet at [www.grants.gov](http://www.grants.gov). Potential applicants that cannot download application materials electronically may request paper copies of the RFA by contacting:

*Tesfaye Wolde (Mr.)*  
*Acquisition & Assistance Specialist*  
*Office of Acquisition & Assistance (OAA)*  
*USAID/Ethiopia*  
*Tel.: 00251-11-1306002 Ext. 6019*  
*Fax: 00251-11-1242438*  
*Email: [twolde@usaid.gov](mailto:twolde@usaid.gov)*

## **SECTION V. APPLICATION REVIEW INFORMATION**

The criteria presented below have been tailored to the requirements and expected results 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.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability to the extent that they are necessary. If award is not made based on initial applications, negotiations will be conducted with all applicants whose applications have a reasonable chance of being selected for award. A Cooperative Agreement may be awarded to the responsible applicant or applicants whose applications offer the greatest value, cost reasonableness, and other factors.

Awards will be made based on the ranking of applications according to the selection criteria identified below. To make an objective evaluation possible, applications must clearly demonstrate how the organization and the application meet these criteria.

### **1. TECHNICAL EVALUATION CRITERIA**

The technical application will be evaluated on the basis of factors stated below. Applications shall present information on each of these factors which will be evaluated according to the point assigned to them. Oral presentation may be required if found to be appropriate.

#### **Technical approach (total 50 %)**

- The extent to which application demonstrates a clear understanding of each of the four technical areas:
  - Strengthened capacity and institutionalization of nutrition programs and policy
  - Improved quality and delivery of nutrition and health services
  - Improved prevention of under-nutrition through community-oriented nutrition care and practices
  - Adoption of a rigorous and innovative learning agenda
- The extent to which application demonstrates a clear understanding of guiding principles (Implementation consideration)
- Feasibility and merit of the monitoring and evaluation strategic framework outlined in the technical application
- The degree to which overall technical approach demonstrate clear understanding of the nutrition issues in Ethiopia

#### **Personnel (total 25 %)**

- The extent to which the proposed project Director meets or exceeds the minimum required set forth in Section 8 of the RFA under Key Personnel
- The extent to which the four proposed key personnel other than project Director meets or exceeds the minimum required set forth in Section 8
  - Senior Nutrition and Health Advisor
  - Senior Nutrition and HIV Advisor
  - Senior Nutrition and Livelihoods Advisor
  - Senior M&E and Research Advisor
- The extent to which the staffing plan beyond the key personnel will meet the project requirements

#### **Institutional Capacity (15%)**

- Demonstrated depth and breadth of institutional capacity in nutrition technical area similar to the program description in Ethiopia
- Clear and feasible anticipated roles for all sub-grantees and/or partners and distribution of resources based on their demonstrated institutional capacity

**Past performance (10%)**

Demonstrated successful past performance in quality of products or services, cost control, timeliness, key personnel and customer satisfaction in previous and/or existing projects

**Summary of Technical rating:**

Technical Approach -----	(50 %)
Personnel -----	(25 %)
Institutional Capacity -----	(15 %)
Past performance -----	(10 %)
Total -----	100 %

**2. COST EVALUATION CRITERIA**

**i. Cost Effectiveness and Realism**

Proposed costs shall be analyzed for cost realism, reasonableness, completeness, and allowability. In its analysis USAID will assess: Are the costs realistic for the effort? Do the proposed costs demonstrate that the applicant understands the RFA requirements, and are consistent with the applicant's technical application?

**ii. Technical versus Cost Considerations**

For this RFA, technical considerations are more important than cost.

## **SECTION VI. AWARD ADMINISTRATION INFORMATION**

### **1. 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.

### **2. A description of any deviations from standard provisions**

There are no standard provision deviations contemplated under this award.

### **3. Reporting**

The Recipient shall submit Annual Implementation Plans and Reports for the Program with format, content and time schedule substantially as described below. 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.

#### **3.1. Quarterly and annual progress reports**

The Recipient shall submit quarterly narrative performance reports and one annual narrative report per year. These reports will indicate progress achieved towards benchmarks, highlight tangible results, identify any problems encountered in implementation, and propose remedial actions as appropriate. Annual reports will be submitted within 45 days of the close of the Agreement Year. Each report will cover activities completed during the preceding 12 months and will be submitted to the AOTR. Quarterly progress reports that highlight accomplishments, constraints and progress against COP indicators will be submitted within two weeks of the end of USG fiscal year quarters.

#### **3.2. Ad hoc reports**

The successful applicant may be requested to submit ad hoc reports on the status of their activities as requested by the USAID/Ethiopia.

#### **3.3. Financial reports**

The Recipient shall submit a quarterly financial report that will include a summary of finances and a pipeline analysis of funds obligated, funds expended, expenses accrued, and funds remaining by program area.

#### **3.4. Demobilization plan**

Six months prior to the completion date, the Recipient shall submit a Demobilization Plan for AOTR approval. The plan will include, at a minimum, an illustrative Property Disposition Plan; a plan for the phase-out of in-country operations; a delivery schedule for all reports or other deliverables required under the Cooperative Agreement; and a timetable for completing all required actions, including the submission date of the final Property Disposition Plan to the Agreement Officer. A final project report will be due 30 days after project completion.

#### **3.5. Outreach Materials**

At a minimum, the Recipient shall submit two, one-page success stories covering prevention, care or support activities on OVC in a semi-annual basis in accordance with USAID guidance on "success stories" available at <http://www.usaid.gov/stories/>.

#### **3.6. Performance Indicators**

The Recipient shall utilize standard and agreed indicators in quarterly and annual progress reports.

#### **3.7. Mid-Term Evaluation**

At midpoint mark of the life of the project, the USAID/Ethiopia will conduct a mid-term evaluation to assess progress toward the objectives and expected results. This midterm evaluation will guide implementation in the last two years.

**SECTION VII. AGENCY CONTACTS**

*Tesfaye Wolde (Mr.)  
Acquisition & Assistance Specialist  
Office of Acquisition & Assistance (OAA)  
USAID/Ethiopia  
Tel.: 00251-11-1306002 Ext. 6019  
Fax: 00251-11-1242438  
Email: [twolde@usaid.gov](mailto:twolde@usaid.gov)*

*Yves Kore  
Supervisory Contracts & Agreement Officer  
Office of Acquisition & Assistance (OAA)  
USAID/Ethiopia  
Tel.: Tel.: 00251-11-1306002 Ext. 6023  
Fax: 00251-11-1242438  
Email: [ykore@usaid.gov](mailto:ykore@usaid.gov)*

**SECTION VIII. OTHER INFORMATION**

**A. CERTIFICATIONS, ASSURANCES, OTHER STATEMENTS OF RECIPIENT REQUIRED FOR COOPERATIVE AGREEMENT AWARD**

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 were 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 IN ACCORDANCE WITH AAPD 04-14**

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, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - b. "Terrorist act" means-
    - (i) An act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
    - (ii) An act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub-national groups or clandestine agents; or
    - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
  - c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
  - d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

- e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

**5. CERTIFICATION OF RECIPIENT**

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

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

**6. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

(a) Instructions for Certification

- (1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For recipients other than individuals, Alternate I applies.
- (4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

- (1) The recipient certifies that it will provide a drug-free workplace by:
  - (A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (B) Establishing a drug-free awareness program to inform employees about--
    - 1. The dangers of drug abuse in the workplace;
    - 2. The recipient's policy of maintaining a drug-free workplace;

3. Any available drug counseling, rehabilitation, and employee assistance programs; and
  4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b)(1)(A);
- (D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the Cooperative Agreement, the employee will—
1. Abide by the terms of the statement; and
  2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;
- (F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted—
1. Taking appropriate personnel action against such an employee, up to and including termination; or
  2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

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

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

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Alternate II

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

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

(a) Instructions for Certification

1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition

to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to 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/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.<sup>[9]</sup>

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<sup>[9]</sup>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](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 - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."**

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

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

RFA/APS No. \_\_\_\_\_  
Application No. \_\_\_\_\_  
Date of Application \_\_\_\_\_  
Name of Applicant/Subgrantee \_\_\_\_\_  
Typed Name and Title \_\_\_\_\_  
Signature \_\_\_\_\_

## **PART VI - “ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)**

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

## **PART VII - CONDOMS (ASSISTANCE) (JUNE 2005)**

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID’s fact sheet entitled, “USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at:

[http://www.usaid.gov/our\\_work/global\\_health/aids/TechAreas/prevention/condomfactsheet.html](http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html)

## **PART VIII - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

## **PART IX - 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 X - 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](mailto:globalinfo@dbisma.com) .

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

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

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

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

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

**5. PROCUREMENT INFORMATION**

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or 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) COST	QUANTITY	ESTIMATED UNIT COST
------------------------------------	----------	------------------------

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

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

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

TYPE/DESCRIPTION NATIONALITY (Generic)	QUANTITY UNIT COST	ESTIMATED (Non-US Only)	PROBABLE SLUPPIER for NON-US
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- (g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property

for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

TYPE/DESCRIPTION(Generic) 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.

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

## B. ANNEXES

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### ANNEX I - ACRONYMS AND DEFINITIONS

The following acronyms are particular to this Request for Application:

ADS	Automated Directives System. USAID's operating manual.
AGP	Agriculture Growth Program
ANC	Antenatal Care
AOTR	Agreement Officer Technical Representative. A USAID employee designated by the Agreement Officer to oversee a contract, grant or cooperative agreement on behalf of USAID
AIDS	Acquired Immune Deficiency Syndrome
CDC	US Centers for Disease Control and Prevention
CSO	Civil Society Organization
DFID	UK Department for International Development
DHS	Demographic and Health Survey
ENA	Essential Nutrition Actions
ENGINE	Empowering New Generations in Improved Nutrition and Economic opportunities
FTF	Feed the Future Initiative
GHI	Global Health Initiative
GOE	Government of Ethiopia
GRADS	Graduation with Resilience to Achieve Sustainable Development
HAPCO	Federal HIV/AIDS Prevention and Control Office
HEP	Health Extension Program
HEW	Health Extension Worker
HIV	Human Immunodeficiency Virus
HSDP	Health Sector Development Plan
IFHP	Integrated Family Health Program
IMCNI	Integrated Management of Childhood & Newborn Illness
LGP	Livestock Growth Program
LOE	Level of Effort
LOP	Life of Program
MCH	Maternal Child Health
M&E	Monitoring and Evaluation
MOH	Ministry of Health
NCMAM	National Community-based Management of Acute Malnutrition
NNP	National Nutrition Program
PMI	President Malaria Initiative
PMP	Performance Monitoring Plan
PEPFAR	President's Emergency Plan for AIDS Relief
PMTCT	Prevention of Mother to Child HIV Transmission
PSNP	Productive Safety Net Program
RFA	Request for Application
SNNPR	Southern Nations, Nationalities, and People's Region
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
USG	United States Government
WB	World Bank
WHO	World Health Organization

## ANNEX II - USEFUL REFERENCES

1. Global Health Initiative Ethiopia Country Strategy.  
<http://www.ghi.gov/country/ethiopia/index.htm>
2. Feed the Future Initiative, United States Agency for International Development.  
<http://www.feedthefuture.gov/>
3. Concern Worldwide (2010) *Evaluation of the National CMAM Program. Available upon request*
4. Listing of federal grants application requests are at [<http://www.grants.gov>]
5. Development Clearinghouse: [[http://dec.usaid.gov/submit\\_doc.cfm](http://dec.usaid.gov/submit_doc.cfm)]
6. Requirements and standard formats/logos for USAID branding requirements:  
<http://www.usaid.gov/branding/assistance.html>
7. USAID's Policy Framework for Bilateral Foreign Aid  
[http://pdf.dec.org/pdf\\_docs/PDACG244.pdf](http://pdf.dec.org/pdf_docs/PDACG244.pdf)
8. OGAC (2009) Next Generation Indicators Reference Guide, Version 1.1, USA:  
[www.pepfar.gov](http://www.pepfar.gov)
9. MOH (2007) Single Point HIV prevalence Estimate, Addis Ababa  
<http://www.etharc.org/resources/download/view.download/33/102>

### **ANNEX III - MANDATORY PROVISIONS**

1. Mandatory Standard Provisions for U.S. Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/303maa.pdf> .
2. Mandatory Standard Provisions for Non-U.S., Nongovernmental recipients can be accessed through USAID's website <http://www.usaid.gov/policy/ads/300/303mab.pdf> .

## **ANNEX IV - BUDGET PREPARATION GUIDANCE**

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

### **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.

### **Fringe Benefits & Allowances**

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.

### **Travel & Per Diem**

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.

### **Equipment & Supplies**

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. Applicants may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

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

### **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-grant, which should be included in other direct costs.

### **Construction**

N/A

### **Other Direct Costs**

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>.

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

**Sub-agreements**

Include in this budget class category all subgrants.

**Indirect Costs/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. In the absence of a NICRA all costs must be charged as direct costs.

USAID Form 424A, Section C should reflect the Applicant’s and other sources’ cash contribution to this program, if applicable. A cash match means that funds are used to support the budget elements discussed above. The cash value of donated equipment or supplies must be documental.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424. The narrative must provide clear explanations for cost reasonableness, particularly when proposed costs exceed market rates.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B-Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative.

**SAMPLE COOPERATIVE AGREEMENT BUDGET**

SF 424, Sec. B, Item 6

Budget Cost Element	Object Class Category	Budget Amount
Program	Line a, b, c, & h	\$ _____
Procurement	Line d, e and f	\$ _____
Training	Line h	\$ _____
Indirect Costs	Line j	\$ _____
Program’s Total Budget		\$ _____
Funding arrangement:		
Total USAID Amount		\$ _____
Recipient’s Cost Share, if applicable		\$ _____
Total Program Funding		\$ _____

## ANNEX V - ENVIRONMENTAL CONCERNS

### 1. Conditions for Award:

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. *Applicant's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.*

Implementing agencies must adhere to USAID's Environmental Compliance Procedures, Title 22, Code of Federal Regulations, Part 216 (22 CFR 2163). Specific procedures for every new and/or amended program or project are set forth in this guidance. In addition, the Contractor/Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

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

### 2. Environmental Regulations and References

USAID's general launching point for information relating to environmental assessments and guidelines are available at:

- a) [http://www.usaid.gov/our\\_work/environment/compliance/index.html](http://www.usaid.gov/our_work/environment/compliance/index.html)
- b) USAID's list of key contacts (Environmental Officers) in Bureaus and Missions at [http://www.usaid.gov/our\\_work/environment/compliance/officers.html#aec](http://www.usaid.gov/our_work/environment/compliance/officers.html#aec)
- c) USAID's Environmental Training Course Materials, including Title 22 of the Code of Federal Regulations, Part 216 that governs the U.S. government's environmental impact abroad. The site also contains various forms and templates relating to Initial Environmental Examinations. <http://www.encapafrika.org/EPTM.htm>

**ANNEX VI - SAMPLE COOPERATIVE AGREEMENT FORMAT AND SCHEDULE**

Mr. X  
President  
XYZ, Organization  
Anywhere, U.S.A.

Subject: Award Number \_\_\_\_\_

Dear Mr. Doe:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (hereinafter referred to as "USAID" or "Grantor") hereby awards to the XYZ Organization (herein after referred to as "XYZ" or "Recipient"), the sum of \$\_\_\_\_\_ to provide support for a program in \_\_\_\_\_ as described in the Schedule of this agreement and the Attachment 2, entitled "Program Description."

This agreement is effective and obligation is made as of the date of this letter and shall apply to commitments made by the Recipient in furtherance of program objectives during the period beginning with the effective date and ending \_\_\_\_\_. USAID shall not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This agreement is made to the XYZ, on condition that the funds will be administered in accordance with the terms and conditions as set forth in 22 CFR 226, entitled "Administration of Assistance Awards to U.S. Non-Governmental Organizations"; Attachment 1, entitled "Schedule"; Attachment 2, entitled "Program summary"; and Attachment 3 entitled "Standard Provisions."  
[NOTE - Do not include reference to 22 CFR 226 if Agreement is with a Non-US Organization]

Please sign the original and each copy of this letter to acknowledge your organization's receipt of the grant, and return the original and all but one copy to the Agreement Officer.

Sincerely yours,

Agreement Officer

Attachments:

1. Schedule
2. Program summary
3. Standard Provisions

ACKNOWLEDGED:

XYZ Organization

By: \_\_\_\_\_  
Title: \_\_\_\_\_  
Date: \_\_\_\_\_

FISCAL DATA

A. GENERAL

- 1. Total Estimated USAID Amount: \$ \_\_\_\_\_
- 2. Total Obligated USAID Amount: \$ \_\_\_\_\_
- 3. Cost-Sharing Amount (Non-Federal): \$ \_\_\_\_\_
- 4. Project Number: \_\_\_\_\_
- 5. USAID Project Office: \_\_\_\_\_
- 6. Tax I.D. Number: \_\_\_\_\_
- 7. DUNS Number: \_\_\_\_\_
- 8. LOC Number: \_\_\_\_\_

B. SPECIFIC

(as appropriate)

- 1. MAARD Number: \_\_\_\_\_
- 2. Appropriation: \_\_\_\_\_
- 3. Allocation: \_\_\_\_\_

Part II Sample Cooperative Agreement Format

A. Purpose of Agreement

The purpose of this Agreement is to provide support for the program described in Attachment 2 to this Agreement entitled "Program Description."

B. Period of Agreement

- 1. The effective date of this Agreement is \_\_\_\_\_. The estimated completion date of this Agreement is \_\_\_\_\_.

[Note - For incrementally funded agreements or where pre-award expenses are authorized, add the following sentence:]

- 2. Funds obligated hereunder are available for program expenditures for the estimated period \_\_\_\_\_ to \_\_\_\_\_ as shown in the Agreement budget below.

C. Amount of Award and Payment

[Note - For fully funded agreements use the following:]

- 1. USAID hereby obligates the amount of \$ \_\_\_\_\_ for purposes of this Agreement.
- 2. Payment shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_ [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

- or -

[For incrementally funded awards use the following in lieu of the above:]

- 1. The total estimated amount of this Award for the period shown in B.1 above is \$ \_\_\_\_\_.
- 2. USAID hereby obligates the amount of \$ \_\_\_\_\_ for program expenditures during the period set forth in B.2. above and as shown in the Budget below. The recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the recipient for the expenditure of amounts in excess of the total obligated amount.

3. Payment shall be made to the Recipient by \_\_\_\_\_ (Note - state method) in accordance with procedures set forth in \_\_\_\_\_. [Note - for U.S. Organizations cite 22 CFR 226; for Non-US Organizations reference attached Standard Provisions. Agreement Officer must select a method of payment in accordance with the applicability requirements set forth in 22 CFR 226; i.e., letter of credit, advance payment, or reimbursement.]

4. Additional funds up to the total amount of the grant shown in C.1 above may be obligated by USAID subject to the availability of funds, satisfactory progress of the project and continued relevance to USAID programs.

D. Budget

[Note - the items included in the Budget, including local cost financing items, should relate to the results, activities or functions described in Attachment 2 - Program summary, not to specific cost items (such as salaries or travel) except for those listed at items 4-6 below. However, at the discretion of the Agreement Officer, an alternative budget may be appropriate.]

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with \_\_\_\_\_. [Note - For U.S. Organizations cite 22 CFR 226.25; for Non-US refer to Standard Provision entitled "Revision of Grant Budget."]

Total*	From** __to** __ From** __to** __	From** __to** __	
Cost Element	\$U.S. Local Currency	\$U.S. Local Currency	\$U.S. Local Currency
1.			
2.			
3.			
4. Training			
5. Procurement			
6. Indirect Costs overhead	_____	_____	_____
7. Total \$	_____	_____	_____
_____			

\* Use all three columns for incrementally funded grants, otherwise use only this column.

\*\* Insert effective and expiration dates of grant or obligation/funding dates.

E. Reporting and Evaluation

1. Financial Reporting

The Recipient shall submit \_\_\_ (an original and two copies of \_\_\_\_\_) [Note – Agreement Officer to determine type of report, frequency of reporting periods and address]. Financial Reports shall be in keeping with \_\_\_\_\_ [Note - for US Organizations add: 22 CFR 226.52; for Non-US refer to appropriate Standard Provision]. For U.S. Organizations under Letter of Credit the following language shall be used:

“In accordance with 22 CFR 226.52 the SF 425 and 425A will be required on a quarterly basis. The recipient shall submit these forms in the following manner:

1) The SF 425 and 425a (if necessary) will be submitted via electronic format to the U.S. Department of Health and Human Services (<http://www.dpm.psc.gov>) . The SF 425 or 425a (as appropriate) shall be submitted to the Agreement Officer Technical Representative with one copy to the Agreement Officer [NOTE: if Agreement Officer desires a copy].

\* 2) In accordance with 22 CFR 226.70 - 72 [Note: for Non-US organizations refer to appropriate Standard Provision] the original and two copies of final financial reports shall be submitted as follows:

M/FM, the Agreement Officer (if requested) and the CTO. The electronic version of the final SF 425 or 425a shall be submitted to HHS in accordance with paragraph (1) above.

## 2. Program Reporting

The Recipient shall submit \_\_\_\_ [Note - specify number of copies, not to exceed the original and two copies] of a performance report to \_\_\_\_ [Note - specify name and title of Agreement Officer Technical Representative and the Agreement Officer, if desired, along with address]. The performance reports are required to be submitted \_\_\_\_ [Note - state frequency, not to exceed quarterly] and shall contain the following information \_\_\_\_\_ [Note - state reporting requirements, as related to the Program Description].

### Final Report

The Recipient shall submit the original and one copy to \_\_\_\_ [Note - specify name and title of Agreement Officer Technical Representative and the Agreement Officer, if desired, along with address] and one copy to USAID Development Experience Clearinghouse, ATTN: Document Acquisitions, 1611 N. Kent Street, Suite 200, Arlington, VA 22209-2111 (or e-mail: [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org)).

(NOTE – Agreement Officer to verify ADS 540 for detailed information on which categories of development experience documents should or should not be submitted to CDIE and appropriate format for electronic transmission.)

The final performance report shall contain the following information \_\_\_\_\_ [Note – state reporting requirements, as related to the Program Description].

### F. Special Provisions

[Note - Use this paragraph to delete inapplicable Standard Provisions or to add provisions of special applicability as authorized. Included should be waivers, including authorized local cost financing, and any alterations to the Standard Provisions or 22 CFR 226 which have been approved as deviations for the specific award.]

### G. Indirect Cost Rate

[Note - Establish the applicable indirect cost rate(s), base(s) on which they apply, and the Grantee's accounting period(s) they cover, as provided in the appropriate Standard Provision. If an Indirect Cost Rate Agreement has been executed by USAID or a cognizant Federal agency, such rate(s) are required to be incorporated herein if such costs are covered by the grant. The most current overhead information should be obtained from the Overhead and Special Costs and Contract Close-Out Branch (M/OP/PS/OCC).]

### H. Title to Property

[Note - Specify to whom title will vest for property, by category if appropriate.]

[Note - For awards having a procurement element greater than \$250,000, add the following:]

### I. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this grant is \_\_\_\_\_.

[Note - For awards with a cost-share element add the following:]

J. Cost Sharing

The Recipient agrees to expend an amount not less than \_\_\_\_\_ [Note - put in percentage] of the total activity costs.

[For awards with US or Non-US Organizations which may generate Program Income add the following:]

K. Program Income

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-U.S. organizations). Program Income earned under this award shall be applied and used as follows: [Note – Agreement Officers in consultation with the Technical Officer must decide how Program Income will be applied: 1) added to the Project; 2) used to finance the non-Federal share; or 3) deducted from the total Federal share. All three may be picked as long as a descending order (i.e., "excess amounts may be applied to another alternative") is established in accordance with 22 CFR 226.24. Agreement Officers are encouraged to be as specific as possible in detailing the appropriate types of activities Program Income may be applied for when using the additive option as described at 226.24(b)(1).

**ANNEX VII - PAST PERFORMANCE INFORMATION**

**PAST PERFORMANCE INFORMATION**

<b>CONTRACTOR PERFORMANCE REPORT - SHORT FORM</b>	
<b>PART I: Contractor Information (to be completed by Prime)</b>	
1.	Name of Contracting Entity:
2.	Contract Number:
3.	Contract Type:
4.	Contract Value (TEC): (if subcontract, subcontract value)
5.	Problems: (if problems encountered on this contract, explain corrective action taken)
6.	Contacts: (Name, Telephone Number and E-mail address)
6a.	Contracting officer:
6b.	Technical Officer (CTO):
6c.	Other:
7.	Contractor:
8.	Information Provided in Response to RFP No. :
<b>PART II: Performance Assessment (to be completed by Agency)</b>	
1.	Quality of product or service, including consistency in meeting goals and targets, and cooperation and electiveness of the Prime in fixing problems. Comment:
2.	Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3.	Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
4.	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
5.	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job: and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:

[Note: the actual dollar amount of subcontracts, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall contract. In addition, a Prime may submit attachments to this past performance table if the spaces provided are inadequate; the evaluation factor(s) must be listed on any attachments.]