



Regional Acquisition and Assistance Office

Issuance Date: October 05, 2009
Closing Date: November 16, 2009
Closing Time: 4:00 p.m. Pretoria time

Subject: Request for Applications (RFA) USAID/Southern Africa No. 674-10-0001 for the Strengthening Clinical Services Program in Lesotho (SCS)

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Southern Africa, is seeking applications from organizations to implement a five-year program to assist USAID to implement and manage a strengthening of clinical services program in Lesotho. The overall goals of the program are to strengthen community systems and structures to improve the wellbeing of HIV positive pregnant women, their families and prevent the spread of HIV to their children as fully described in the following Request for Applications (RFA).

The purpose for the Cooperative Agreement is to provide state-of-the-art technical expertise in effective and tested approaches to providing comprehensive and integrated HIV/AIDS care and treatment, and including activities being provided under the current prevention of mother to child transmission (PMTCT) programs. The Recipient will be responsible for ensuring achievement of the program objectives. Please refer to Section I, the Funding Opportunity Description for a complete statement of goals and expected results.

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

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

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

Subject to the availability of funds, USAID intends to provide approximately \$25,000,000 to be allocated over the 5 year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter pursuant to the instructions contained in the RFA. Any questions concerning this RFA must be submitted in writing to **me via email** to Francinah Hlatshwayo at fhlatshwayo@usaid.gov

If it is determined that the answer to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answer document, and/or if needed, an amendment to the RFA, will be issued. Therefore, **questions should be submitted no later than Close of Business (COB) October 19, 2009**

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

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

Sincerely,



Martin R. Fischer
Agreement Officer

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SECTION I - FUNDING OPPORTUNITY DESCRIPTION

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

1. GENERAL DESCRIPTION OF FUNDING OPPORUNITY

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

A. Background

A small mountainous and landlocked country of approximately 1.8 million people, the Kingdom of Lesotho has the third highest adult HIV seroprevalence rate in the world. At 23.2% prevalence rate of adult Basotho ages 15 to 49, the estimated number of HIV-infected persons living in Lesotho is 273,000. HIV prevalence is highest among women at 57% versus 43% for men, while it is estimated that around 22,000 children are HIV infected.

The Government of Lesotho responded vigorously to this situation, establishing a National AIDS Commission in 2005 which consequently developed a National HIV and AIDS Strategic Plan (2006-2011), currently being revised. The burden of service delivery fell upon the Ministry of Health and Social Welfare, which responded by initiating an ART program in major hospitals throughout Lesotho. They also developed and are executing a National Strategy for Scaling up the Response to HIV since 2006. The strategy targets the goal of a nation free from new HIV infections and the provision of universal and equitable access to quality care, treatment and support for the HIV infected as well as the HIV affected¹ by 2010. At the start of the strategy, the number of Basotho receiving ART in 2006 was approximately 18,000.² By September, 2008, more than 150,000 Basotho were receiving HIV care and services while the number receiving ART doubled to approximately 36,000 people.³ This reflects very rapid program scale up during the past 3 years. The Government of Lesotho efforts have resulted in a unified and standardized public national ART program, based on a successful public health approach, provider-initiated HIV testing, CD4 testing at the district level, standardized ART regimens, non-physician care, and community linkages. The Government of Lesotho has accomplished this with support from the Global Fund for AIDS, Tuberculosis, and Malaria (GFATM), the World Health Organization (WHO), the Clinton HIV/AIDS Initiative (CHAI), Irish Aid, UK Department of International Development (DFID), the U.S. President’s Emergency Plan for AIDS Relief (PEPFAR), and other stakeholders.

The prevention of mother to child transmission (PMTCT) of HIV was initiated in 2003 and has been one of the Lesotho Ministry of Health and Social Welfare’s (MOHSW) primary focal and entry point into prevention, care and treatment of HIV/AIDS. The program has been based on client-initiated counseling and testing and the provision of single-dose

¹ Lesotho National Strategic Plan for HIV/AIDS

² Working draft, Lesotho National ART Guidelines, p. 9

³ PEPFAR Lesotho APR, November 2008

Nevirapine (NVP) prophylaxis to mother and child at birth. There are approximately 50,000 deliveries annually in Lesotho, and HIV prevalence among ante-natal clinic (ANC) attendees was reported to be 27%. With the high level of HIV infected children and HIV orphans and the high rates of maternal, infant and under five child mortality rates from other causes, MOHSW has taken an integrated, family centered approach to HIV and AIDS care and treatment through PMTCT. From 2006 to 2008, the number of health facilities providing PMTCT services increased from 35 to 180 out of 205 functioning health facilities nationwide.⁴ In 2007, MOHSW, through an inter-agency task force, assessed the status of PMTCT and developed a scale up plan in line with the national objective of achieving universal access by 2010.

The overarching goal of the PEPFAR program in Lesotho is to expand access to HIV-related services to large numbers of Basotho, in support of the Lesotho Government's HIV/AIDS Strategic Plan, 2006-2011. The program targets six areas: (1) prevention of HIV transmission; (2) the provision of quality comprehensive evidence-based HIV disease management services for Basotho through private and/or public sector providers, including as provision of ARV drugs, treatment counseling, laboratory support and other related service; (3) improved quality comprehensive and compassionate care for AIDS orphans and other vulnerable children; (4) improved quality of life of HIV-infected individuals and their families through community-based care and support, including psycho-social and spiritual problems associated with life-threatening illness; (5) increased capacity and improved skills of government personnel working in HIV/AIDS, especially in clinical care and treatment, policy development, health information management; and (6) health systems strengthening and improved institutional capacity of civil society groups to take a more active leadership role in providing HIV/AIDS services.

Since its inception in 2004, the PEPFAR program in Lesotho has used PMTCT as the entry point for HIV/AIDS care and treatment, operating through maternal child health (MCH) clinics. As such, the PEPFAR/Lesotho program has grown beyond the usual stand alone PMTCT program envisioned under the Office of Global AIDS Coordination (OGAC), in response to MOHSW public health approach and strategic priority to provide integrated family care. At the request of MOHSW in 2005, PEPFAR initiated a five-year program, Lesotho Partnership for Family-Centered HIV Services. The objective of the program is to prevent pediatric HIV infections and to reduce HIV-related morbidity and mortality among women, children and their families. The three PEPFAR-supported implementing partners were Columbia University's Center for AIDS Care and Treatment Program (ICAP), the Elizabeth Glaser Pediatric AIDS Foundation (EGPAF) and the Young Child Nutrition Project (IYCN). In addition, two non-PEPFAR funded partners also provide PMTCT services: Partners in Health works in the mountainous areas across three districts and MSF supports Scott Hospital and 15 clinics at in Maseru and Mafeteng. In FY 2008, due to coordination challenges, the MOHSW reorganized the PMTCT programs by district for a more efficient response. Thus, both of the PEPFAR-supported partners assumed responsibility for comprehensive PMTCT services in an entire district; ICAP in 3 southern districts (Mafeteng, Mohale's Hoek and Quthing) and EGPAF in 4 northern districts ((Berea, Leribe, Butha-Buthe, Mokhotlong). Both partners have designated responsibility in the Maseru District, and collaborate at Queen Elizabeth II hospital. To date, EGPAF has extended coverage to major clinical sites in all of its designated 4 districts plus in Thaba-Tseka, while ICAP has now started to expand to a fourth southern district, Qacha's Nek. PIH is expected to continue

⁴ PEPFAR MOHSW Annual Joint Review, 2009

their program in the mountainous regions, while MSF is phasing out of the Maseru District by December 2009 and from Mafeteng by December 2010.

The current PEPFAR-supported PMTCT partners are supporting integrated family-centered HIV services which comprise HIV specific care, including access to a number of standardized antiretroviral options to HIV infected women and children identified in PMTCT programs and for their HIV infected partners and other family members. Implementing partners are providing technical assistance and training of health care workers, TB screening, community-based care, and supporting drug management and procurement assistance to improve regular drug and consumables supplies to the health supply chain.

During 2010, the cooperative agreements of both ICAP and EGPAF are coming to an end. The MOHSW has requested that PEPFAR contract with one prime partner that can manage a consistent program across all districts, and continue to expand from the traditional PMTCT program to a broadened, comprehensive care and treatment service delivery program. Thus, this next phase of PEPFAR/Lesotho activities, from November 2009 to September 2014, will further develop, reinforce and standardize quality, comprehensive and integrated care and treatment programs and services, including PMTCT, across the health system in line with MOHSW priorities, objectives and guidelines. The prime partner will be expected to have state of the art technical expertise in comprehensive care and treatment service delivery along with professional managerial experience and skills in managing a country wide HIV/AIDS care and treatment program. This will require effective coordination and collaboration between government, donor and NGO stakeholders and implementing partners vertically and horizontally across the health system to sustain a high level of HIV/AIDS services throughout Lesotho. Sustaining quality and broadening clinical services will present particular challenges to a new prime partner due to the decentralized of health system management currently being undertaken in Lesotho. Under this new government structure, district governments are expected to take on responsibility for all clinics, including primary health care and MCH in the 10 districts while the central MOHSW will continue to oversee all hospitals in the 10 districts and Queen Elizabeth II, the main referral hospital located in Maseru. To sustain quality care as well as increase access, the prime partner will need to manage priorities across several MOHSW directorates, namely STI and HIV, Family Health, Pediatrics, Human Resources and potentially other directorates and other key ministries and agencies, and within districts and through the health system. This integrated approach, while challenging, is providing an opportunity to reinforce care and treatment activities in several programmatic areas, resulting on a far reaching impact on HIV patients and their families.

Coordination and collaboration is also expected to occur between other supportive program in HIV/AIDS, both PEPFAR supported and non-PEPFAR supported. These include ART drugs for adults and pediatrics, supply chain management, prevention programs, TB/HIV, labs, pharmacy, community-based care, OVC and others. The USAID program in Lesotho does not receive funding to support general reproductive health or TB; USG support through the Millennium Challenge Corporation (MCC) will provide various aspects of improved infrastructure. Lesotho is the only country where MCC is supporting the health sector and the only country receiving both MCC and PEPFAR funding. Thus close attention and collaboration is needed when MCC rehabilitates health clinics, PEPFAR needs to ensure full HIV/AIDS care and treatment services, adequate staffing and commodities are available to all clients.

Two other activities are currently on-going which might affect this CA in the medium term: First, PEPFAR Lesotho is currently engaged in developing a Partnership Framework with the GOL, which was finalized in August, 2009. This CA was written in light of the MOHSW's current priorities, and is expected to become part of the Partnership Framework. However, PEPFAR implementing partners must always be prepared for changes in GOL priorities and be willing to react accordingly. Secondly, the Demographic Health Survey is expected to be conducted starting in September/October, 2009. The results of the analysis will be available around August 2010. Results from the DHS may influence the GOL priorities, thus also having an effect on the implementation of the CA.

B. Objective

The objectives to be achieved are:

- 1) Sustained high level quality Comprehensive, Integrated Client-centered HIV/AIDS Care and Treatment services at health facilities
- 2) Strengthened and increased roll-out of Family-Centered HIV/AIDS care and treatment services at all points of contact
- 3) Universal access to PMTCT including expanded delivery of services
- 4) Strengthened national health system in accordance with MOHSW's plan
- 5) MOHSW's policies, protocols and guidelines for Care and Treatment services reviewed and improved on regular basis.

C. Program Description

The purpose of this program is to conduct activities involving effective and tested approaches to providing comprehensive and integrated HIV/AIDS care and treatment, to include activities being provided under the current PMTCT programs. The program intends to build and capitalize on the accomplishments, experience and on lessons learned from phase one of the PMTCT program (2004-2009) and thereby facilitate a smooth transition to the new phase (2010-2014) and program continuity with MOHSW and other key HIV/AIDS partners and stakeholders. This next phase of activity, detailed herein, will require demonstration of an effective level of collaboration, coordination and integration of policy, technical approaches, programs and stakeholder and partner relationships in accordance with the Government of Lesotho's HIV/AIDS strategy, The MOHSW policy, procedures and guidelines, the Partnership Framework and USG PEPFAR guidance for Lesotho. The program should also remain flexible in light of GOL on-going decentralization process.

1. General Program Activities

Activities under this program will include on-going discussions, priority setting and reporting to various directorates, departments and units in the MOHSW, primarily the Directorate of STI and HIV (including HIV prevention, care and treatment), Directorate of Primary Health, Department of Family Health, Directorate of Clinical Services, Pediatrics, Directorate of Human Resources and potentially other directorates, departments and units, and other ministries. Regular planning, policy review and revision and quarterly reporting are required by the MOHSW, NAC and PEPFAR. Coordination and collaboration with other program areas, in particular community-based care and OVC, prevention, TB/HIV, MCC/MCA and others will be important linkages to ensure congruent messages around care, treatment and prevention are provided to clients serviced in clinical settings. The program will assist the

MOHSW in a standardized, integrated approach of clinical services which include provider-initiated opt-out HIV testing and counseling at all clinical entry points and in the continuous decentralization process Lesotho is carrying out over the next five years.

The Recipient will utilize its best efforts to conduct activities necessary to achieve the goals specified in Section I.1.C.2 below. Section I.1.C.2 provides guidance on the activities that are expected to aid in achieving those goals. In addition, the work plan process set forth in Section VI.3.B. will define and authorize the specific activities that can be conducted under this program.

2. Statement of Goals

The activities conducted under this program shall be intended at achieving the following expected results by the end of the program. The goals and illustrative activities relating to those goals are specified below.

1. Sustained high level quality Comprehensive, Integrated Client-centered HIV/AIDS Care and Treatment services at health facilities

- a. Provide a sound, innovative approach for providing support to full HIV/AIDS clinical services which supports the MOHSW Strategic Plan.
- b. Improve and strengthen two-way referral systems for quality clinical care, treatment and follow up within hospitals and between clinics and hospitals.
- c. Develop and standardize criteria for addressing and improving “quality of care” for all clinical services.
- d. Develop/improve systems for retaining clients in clinical/community-based care and reduce loss-to-follow-up for reporting clinical results and for adults and children on treatment.
- e. Train and mentor clinical staff working in clinical services as requested and as needed.
- f. Provide technical and managerial training and mentorship to headquarters staff as requested.
- g. Develop a supportive networking system of community based support for holistic and integrated services for the purpose of treatment adherence (ART and TB), functional support groups, such as mother to mother groups, groups that target men and mother-in-laws, etc. and for two-way clinic/community referrals.
- h. Collaborate and cooperate with other development partners who provide support services and training to clinical programs through MOHSW.
- i. Improve and strengthen pediatric care, support and treatment; coordinate activities with the Baylor Center of Excellence in Maseru and at district hospitals, which are in the process of being developed.
 - i. Test all infants and children who present signs or symptoms of HIV
 - ii. Provide comprehensive care and treatment services including referrals to psychological and social support.

2. Strengthened and increased roll-out of Family-Centered HIV/AIDS care and treatment services at all points of contact.

- a. Strengthen the MOHSW family centered approach through innovative family-centered services which encourage family members to attend clinics on regular basis. Encourage families to attend clinics as a family unit.
- b. Increase counseling and testing for HIV/AIDS and TB/HIV at maternity wards, gynecology wards and during regular care and treatment services.
- c. Improve referrals for family planning, family health care, immunizations, etc.
- d. Improve screening, testing, diagnosis and treatment for OIs, STIs, TB/HIV and cervical cancer for all clients.
- e. Implement components of Prevention with Positives in the clinical and community setting.

3. Universal access to PMTCT including expanded delivery of services.

- a. Align PMTCT program with Government of Lesotho National Scale Up Plan including the 4-prong approach for PMTCT, e.g. 1) Primary prevention via the MCH including counseling and testing at facility and community; 2) Prevention of unintended pregnancies; 3) Prevention of HIV from mother to child; and 4) Care and treatment of all family members.
- b. Ensure program elements are comprehensive and integrated according to MOHSW guidelines.
- c. Provision of HAART for women who require it for their own health based on their CD4 count or for those who don't require HAART, effective combination prophylaxis, in line with MOHSW guidelines.
- d. Establish functioning outreach system to mothers delivering at home, (estimated to be 50% of all births) and increase skilled attendance at delivery to a level of 80% by 2014.
- e. Strengthen M&E systems including HIV-exposed status and related interventions on both the mother's health card (ANC/MCH card) and the child's well-child card (Road to Health)
- f. Active case management with maternal/infant tracking and follow-up to ensure continuity of care and provision of necessary services.
- g. Expand services for pregnant women who test negative at early ANC visits, including on-going prevention education, partner testing with PwP interventions in cases of discordance and re-test during subsequent ANC visits, during labor and delivery and while breastfeeding.
- h. Increase provider initiated early infant HIV testing for HIV exposed or suspected children using PCR testing at 4-6 weeks of age with immediate referral to care and treatment for positives and ongoing prevention education and confirmatory antibody test for negatives at 18 months or after cessation of breastfeeding.
- i. Assess and counsel mothers on maternal nutrition and exclusive breastfeeding practices in support of MOHSW HIV/AIDS guidelines.
- j. Intensify efforts to implement essential nutrition actions (ENA) and strengthen and provide therapeutic and prescriptive foods to malnourished and underweight mothers and infant feeding up to six months, as necessary.
- k. Screen for OIs, STIs, TB and cervical cancer in accordance with MOHSW guidelines.
- l. Develop effective programs and linkages with community-based care and support partners for holistic and integrated services for the purpose of treatment adherence, functional support groups, such as mother to mother groups, groups

that target men and mother-in-laws, etc. and for two-way clinic/community referrals.

4. Strengthened national health system in accordance with MOHSW's plan

- a. Assist in revising and strengthening training curriculum for cadres of clinical workers as requested by MOHSW.
- b. Support and improve the MOHSW system for monitoring and evaluation for sustained high level clinical services and assess performance of health management information system and address data management, analysis, and utilization requirements for improved performance (HMIS).
- c. Support and improve logistics and quality assurance for clinical services.
- d. Prepare clinic staff for projected changes anticipated over the next five years as result of decentralization.
- e. Support and improve social and psychological services for children and families with HIV infected children as they develop and age.
- f. Provide technical assistance for MOHSW and short-term clinical staff for emergency coverage as requested by MOHSW.
- g. Assist MOHSW with coordination and supervision of clinical HIV services by providing training and technical/logistical support as needed at headquarters level and to the District Health Management teams.

5. MOHSW's policy, protocols and guidelines for Care and Treatment services reviewed and improved on a regular basis

- a. Participate in relevant Technical Working Groups to review and up-date policies, guidelines, and protocols and ensure policies, guidelines and protocols reflect state of the art practices.
- b. Review and consolidate MOHSW approved guideline, tools and data collection forms for equitable effective service delivery at all hospitals and clinics.
- c. Collaborate with other GOL key ministries and technical working groups at the national and district level to ensure coordination of plans for decentralization and to ensure the effective implementation of the National Scale-up Plan for HIV/AIDS.

3. *Next Generation Indicators*

The following New Generation Indicators are listed below for your information. Essential Indicators with reporting requirements are marked with two stars (**), essential indicators without reporting requirements are marked with one star (*) and recommended indicators are not marked. The Recipient will be required to indicate additional indicators for their own use (refer to section IV.4.A.3.a.1).

Indicator/Category	Results Mid-Term	Results End
<i>PMTCT:</i>		
1. **Percent of pregnant women who were tested for HIV and who know their results		
*Known positives at entry; Number of new positives identified		
2. **Percent of HIV-positive pregnant women who received antiretrovirals		

to reduce risk of mother-to-child-transmission		
3. *Number of known positive pregnant women		
4. Number of PEPFAR-supported health facilities providing ANC services that provide both HIV testing and ARVs for PMTCT on site		
5. **Percent of pregnant women who were tested for HIV and know their results.		
6. **Percentage of HIV-positive pregnant women who received antiretrovirals to reduce the risk of mother-to-child transmission		
<i>Care:</i>		
1. **Number of eligible adults and children provided with a minimum of one care service		
**By Age: <18, 18 +		
**By sex: Male and Female		
2. **Number of eligible adults and children provided with a minimum of one support service (By Age: <18, 18 +)		
<i>Clinical Care:</i>		
1. **Number of HIV-positive adults and children receiving a minimum of one clinical service		
**By Age: <15, 15 +		
**By sex		
2. **Number of HIV-positive persons receiving cotrimoxazole prophylaxis		
*By Age: <15		
3. **Number of HIV positive clinically malnourished clients who received therapeutic or supplementary food		
<i>Clinical Care - Additional Pediatric</i>		
1. *Number of infants born to HIV-positive women who received an HIV test within 12 months of birth		
*By test type: PCR at 6-14 weeks, ELISA		
<i>Support Care:</i>		
1. **Number of eligible clients who received food and/or nutrition services.		
**By Age: <18		
**Pregnant/lactating women		
<i>Treatment:</i>		
1. **Number of adults and children with advanced HIV infection <u>newly</u> enrolled on ART		
**By sex: Male and Female		
**By age: <1, <15, 15+		
**Pregnant women		
2. **Number of adults and children with advanced HIV infection receiving antiretroviral therapy (ART) [CURRENT]		
**By sex: Male and Female		
**By age: <1, <15, 15+		
3. Number of adults and children with advanced HIV-infection who <u>ever</u> started on ART		
By sex: Male and Female		
By age: <15 and 15+		
4. Number of health facilities that offer ART		
By type of site: Public, Private, NGO		
5. ** Percent of adults and children with HIV known to be on treatment 12 months after initiation of antiretroviral therapy		

6. **Number of clinically malnourished clients who received therapeutic and/or supplementary food		
7. **Percent of adults and children with advanced HIV infection receiving antiretroviral therapy		
TB/HIV:		
1. **Percent of HIV-positive patients in HIV care or treatment (pre-ART or ART) who started TB treatment		
2. **Percent of HIV-positive patients who were screened for TB in HIV care or treatment settings		
3. Number of TB patients who had an HIV test result recorded in the TB register		
Testing and Counseling		
1. **Number of individuals who received Testing and Counseling (T&C) services for HIV and received their test results		
**By sex: Male and Female		
**By age: <15 and 15+		
*By test result: Positive, Negative		
By type of counseling/test: Individual, Couple		
In concentrated epidemics by MARP type		
2. Number of PEPFAR supported service outlets providing testing and counseling services according to national standards		
By Healthcare facilities, Stand alone sites, Mobile Units		
Health Systems Strengthening:		
1. **Number of new health care workers who graduated from a pre-service training institution		
**By Specific Types: Doctors, Nurses		
2. **Number of community health care workers who successfully completed a pre-service training program		
3. **Number of health care workers who successfully completed an in-service training program		
**By Specific Types: Male Circumcision, Pediatric Treatment		
Health Systems Governance:		
1. National Composite Policy Index (NCPI)		
2. Existence of national costed HIV implementation plan		
3. Existence of effective civil society organizations		
4. *Monitoring policy reform and development of PEPFAR supported activities (Required for Partnership Framework Countries)		
*Human Resources for Health (HRH)		
*Gender		
*Orphans and other Vulnerable Children		
*Counseling and Testing		
*Access to high-quality, low-cost medications		
*Stigma and Discrimination		
*Strengthening a multi-sectoral response and linkages with other health and development programs		
*Pain Management for PLWHA		
Post Exposure Prophylaxis		
Laboratory Accreditation		
Other policy areas identified by country team		

**Essential Indicators with HQ reporting requirements

*Essential Indicators without HQ reporting requirements

2. AUTHORIZING LEGISLATION/APPLICABILITY OF 22 CFR 226

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

APPLICABILITY OF 22 CFR PART 226 (MAY 2005)

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

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with monitoring procedures in accordance with OMB Circular A-133.

3. PROGRAM ELIGIBILITY REQUIREMENTS

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

4. AWARD ADMINISTRATION

For U.S. organizations, 22 CFR 226, OMB Circulars, and the *Standard Provisions for U.S. Nongovernmental Recipients* will be applicable. For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. For Public International Organizations (PIOs), the Standard Provisions for Grants to Public International Organizations, along selected provisions from the Standard Provisions for Non-U.S., Nongovernmental Recipients and other negotiated provisions, will be used.

These documents may be accessed through the internet as follows:

- 22CFR226:
http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

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

You may contact Francinah Hlatshwayo at fhlatshwayo@usaid.gov for copies of these regulations.

SECTION II – AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, USAID intends to provide approximately \$25,000,000 in total USAID funding for the life of the activity. USAID intends to award one (1) Cooperative Agreement pursuant to this RFA. USAID reserves the right to fund any one or none of the applications submitted.

2. START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years. The estimated start date is on or about **January 18 , 2010**.

3. TYPE OF AWARD

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

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;
- Review and approval of proposed subcontracts and subawards in excess of \$100,000; and
- Review and approval of all subcontractors and sub-recipients where the subcontract or subaward exceeds \$100,000.

SECTION III – ELIGIBILITY INFORMATION

1. APPLICANTS

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

2. COST SHARE

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from own, private or local sources for the implementation of this program. Cost sharing is defined at 22 CFR 226.23. **Cost share** is required to be **at least 5%** of the total estimated amount. If the applicant proposes a cost share of less than **5%**, it will be deemed as not responsive, and will be removed from further consideration. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. POINTS OF CONTACT

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

Francinah Hlatshwayo
Acquisition and Assistance Specialist
USAID/Southern Africa
100 Totius Street
P.O. Box 43, Groenkloof
Pretoria, South Africa
E-mail: fhlatshwayo@usaid.gov

2. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance**
- **SF-424A, Budget Information - Nonconstruction Programs,**
- **SF-424B, Assurances - Nonconstruction Programs,**

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

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

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

- a. For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs. This certification applies to Non-US organizations if any part of the program will be undertaken in the United States.
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference AAPD 04-14;
- d. Survey on Ensuring Equal Opportunity for Applicants; and

- e. **All applicants must provide a Data Universal Numbering System (DUNS) Number.** If you have questions on what this means or how to obtain a DUNS number, please contact Francinah Hlatshwayo as specified above.

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

The application shall be split into two separate parts: a. Technical Application; and b. Cost/Business Application. All applications shall be in English. The format for each of these parts of the application are set forth below.

A. Technical Application Format

The Technical Application shall contain the following sections: 1. Cover Page; 2. Program Abstract; 3. Technical Application Body; and 4. The Annex. The Technical Application Body shall include the following sections: A. Technical Approach; B. Management & Staffing; C. Monitoring & Evaluation; D. Institutional Capacity/Experience; E. Past Performance. The overall page limitation for the technical application is 20 pages. Applications shall be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper) or A4 paper, single spaced, 12 characters per inch with each page numbered consecutively⁵. The Annex and items such as the cover page, dividers and the table of contents are not included in the 20-page limitation.

1. Cover Page

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

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

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

2. Program Abstract

⁵ Footnotes, charts, tables and other similar types of graphic displays can use font that differs from that specified herein. However, USAID reserves the right to not review pages in the application if this practice is abused.

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

3. *Technical Application Body*

The Technical Application Body will contain the main parts of the technical application. The maximum number of pages in this section will be twenty (20). The basic purpose of this section is to provide the information necessary to allow USAID to fairly and completely evaluate the Applicant under each of the evaluation criteria specified in Section V.1 of this RFA. Additional specified guidance for each section of the Technical Application Body is set forth below.

a. **Technical Approach:**

In this subsection, the Applicant should address the considerations related to and provide all of the information necessary for USAID to effectively and fairly evaluate the criterion specified in Section V.1.A. This Section should include sub-sections addressing the following: 1. Technical Soundness; 2. Implementation Effectiveness; and 3. Gender.

1. Technical Soundness

This subsection should describe in detail the proposed technical strategy and approach and comprehensively address how the applicant will achieve the objectives outlined in the Program Description over the 5 years life of project. This Section must also set forth in sufficient detail the conceptual approach, methodology, and techniques for the implementation and evaluation of program activities and should demonstrate responsiveness to the Lesotho context.

In addition, the applicant should identify those "Next Generation" indicators that its program activities will address. This should be done by discussing these indicators in this sub-section of the Technical Application Body (as well as including the completed chart listed in Section I.1.C.3 in the Annex).

2. Implementation Plan

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

Applicants will be expected to reflect its understanding of the health and HIV/AIDS initiatives already being conducted in-country by the USG, other implementing partners, other donors, and the host country government in this Section. Applicants are expected to show how they will move from a number of fragmented care and treatment services provided by numerous implementation partners to a unified and standardized program aligned with the MOHSW guidelines. Applicants will also describe a plan for promoting sustainability through capacity building and hand-over of decision making to MOHSW clinical staff. Applicants Offerors will be expected to describe how they will work with Technical Officers at the MOHSW and in district hospital and health clinics.

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

Description of all planned activities including

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

The implementation plan should be addressed in this subsection. If the Applicant determines that a lengthy chart or other supporting documentation is helpful, this supporting documentation may be included in the Annex.

3. Gender

In this subsection, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.A.3. The Applicant should specifically discuss how gender concerns will be incorporated into the overall approach to the program and propose ways to create equal opportunities for men and women in the implementation of this project.

b. Management & Staffing

Applicants should provide summary descriptions of roles, responsibilities and qualifications of all key personnel, local and expatriate. Resumes of these staff, not to exceed 3 pages each should be provided in the Annex. Letters of commitment from all key personnel to the effect that they will be available for the period of the cooperative agreement, should the applicant receive an award, should also be included in the Annex.

Applicants should provide a clear description of how the cooperative agreement will be managed, including the approach to addressing potential problems. Applicants shall outline which organization/ sub-grantee will carry out the various tasks specified in the technical approach and evaluation plan. Applicants shall specify the composition and organizational structure of the entire project team (including home office support and any sub-partners and/or sub-grantees) and describe each staff member's role, technical expertise, and estimated amount of time each will devote to the project. Applicants may propose a mix of international and domestic advisors and specialists to cover the full range of objectives and activities. The management plan should also demonstrate how the applicant will use in-country staff and resources and provide a smooth transition from current activities to phase II activities under this CA. A functional organizational chart of the proposed SCS program should be included in the Annex.

If the applicant plans to collaborate with other organizations, government agencies or indigenous organizations for the implementation of the agreement, the services to be provided by each agency or organization shall be described. Applicants that intend to utilize sub-grantees shall indicate the extent intended, the method of identifying sub-grantees

partners, and the tasks/functions they will be performing. Applicants should state whether or not they have existing relationships with these other organizations and the nature of the relationship, and should include MOA/MOUs with proposed collaborators in the appendix.

c. Monitoring & Evaluation

In this sub-section, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.B. The Applicant should address monitoring and evaluation in this subsection. At a minimum, this discussion should address how:

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

Applicants should describe how the program will measure PEPFAR's required and selected indicators, propose supplemental indicators and targets, and outline an approach for developing an M&E plan. The M&E section should demonstrate the applicant's ability to reach stated project objectives within the required time of performance (including a plan for rapid launch of project activities) through the inclusion of illustrative timelines for the effective implementation of project components. This Section should also identify expected interim and final results of the program and a plan for collecting baseline and follow-on data.

d. Institutional Capacity/Experience

The Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in institutional capacity building, HIV/AIDS policy development, delivery of an integrated set of HIV/AIDS care and treatment services, including PMTCT at the clinic level, collaborations with donors, host country governments, and NGOs to strengthen health and HIV/AIDS systems, and to improve the quality and use of data for decision making and to advance organizational capacity building.

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

The Applicant shall also identify (briefly, with details in the Annex) up to ten (10) contracts or agreements that involve some of the activities described immediately above. Also in the Annex, the Applicant shall include one information sheet for each such contract or agreement identified pursuant to the instructions above. The information sheets shall include all of the following information:

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

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

e. Past Performance:

The Applicant should briefly address examples of any relevant performance issues in this section of the Technical Proposal. Examples of past performance by itself or its team and how this performance record demonstrates that the Applicant will be able to successfully implement the program specified in this RFA should be included here. An information sheet with the information required in sub-section d above should be provided for any program discussed in this subsection.

4. The Annex

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

B. Cost/Business Application Format

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

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately forty-five (45) days after the date established as a deadline for receipt of applications.
3. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Subsection IV.2 above. All budgets shall include a sheet relating to the entire 60 month period and separate sheets for each of the five program years. It is strongly preferred that these budgets include a breakdown of the costs allocated to any sub-recipient involved in the program, as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in Microsoft Excel format.

4. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
5. The following Section provides guidance on line item costs.

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

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

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

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

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

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

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

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

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

6. In the case of a an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.
7. The required Certifications, including the SF 424s, should be included with the Cost Application.
8. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
9. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
10. Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
11. If requested by USAID after submission of applications, please provide information on the Applicant's financial status and management, or that of major subcontractors and sub-recipients, including:
 - (a) Audited financial statements for the past three years,
 - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
 - (c) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

- (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

12. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:

- (a) Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;
- (b) Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;
- (c) Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues re its record of performance that were not discussed in the technical application);
- (d) Has a satisfactory record of integrity and business ethics; and
- (e) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

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

- 13. Cost Sharing: Cost sharing is required, in addition to USAID funds, applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this program.
- 14. Unnecessarily elaborate applications: unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

5. SUBMISSION DEADLINES

Applications shall be due at 4:00 p.m. Pretoria Time on November 16, 2009. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. FUNDING RESTRICTIONS

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

7. GENERAL INSTRUCTIONS

USAID will accept applications from the qualified entities as defined in Section III of this RFA. The Applicant should follow the instructions set forth herein. If an applicant does not follow the instructions, the Applicant's proposal may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. All applications received by the deadline will be reviewed against the evaluation factors in Section V.

The preferred delivery method is electronically via email with up to 10 attachments (2MB limit) per email compatible with MS WORD, and Excel environment applications@usaid.gov.

If the application is submitted electronically, the Applicant should also mail an original and four (4) copies of the technical application and two (2) copies of cost application through the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Francinah Hlatshwayo
Box 43, Groenkloof, 0027
Pretoria, South Africa

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

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Francinah Hlatshwayo
100 Totius Street
Groenkloof 0027
Pretoria, South Africa

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

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

8. BRANDING STRATEGY AND MARKING PLAN

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein.

Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.

SECTION V – APPLICATION REVIEW INFORMATION

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

A detailed description of how the progress and achievements of the program will be monitored, measured and assessed must be included.

1. SCORED EVALUATION CRITERIA

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

A. TECHNICAL APPLICATION

a. TECHNICAL APPROACH (30 POINTS)

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

1. Technical Soundness (20 points)

Evaluation under this sub-factor will focus on the soundness of the overall technical approach. The following considerations may be, but are not required to be, considered in the evaluation of this sub-factor:

- The extent to which the technical approach is logical, well-conceived, and technically appropriate for the Lesotho context;
- The demonstrated understanding and consistency with the MOHSW HIV/AIDS strategy and priorities, USG program objectives in Lesotho and OGAC technical guidelines;
- The extent to which the technical application demonstrates integrated service delivery of comprehensive family-centered HIV/AIDS clinical care and treatment services;
- The extent to which the proposed approach accords with the MOHSW's objective of equitable and consistent methodology across the entire health system and in all health facilities, and demonstrates a preliminary plan for transitioning from phase 1 to phase 2;
- The level of demonstrated support to MOHSW for policy reform, decentralization strategies, improved training and retention of clinical staff, assistance with social welfare reform needed for comprehensive clinical care; and
- Drawing from lessons learned elsewhere, especially in the Southern African region, but also sets forth an innovative approach for the situation in Lesotho.
- The extent to which the applicant commits to meeting "Next Generation" indicators, including, but not limited to, the results/goals proposed.

2. *Implementation Effectiveness (8 points)*

Evaluation under this sub-factor will focus on the effectiveness of the proposed plan to implement the activities and the ability to achieve sustainable results. The following considerations may be, but are not required to be, considered in the evaluation of this sub-factor:

- Illustrates timelines that demonstrate effective implementation of project components and the applicant's ability to reach stated project objectives within the required time period of performance, including a front-loaded plan for rapid launch of project activities;
- The extent to which the implementation plan demonstrates that the proposed start-up activities take into account the transition from the current PMTCT program to a comprehensive, integrated approach in family-centered HIV/AIDS clinical care and treatment without loss of services to clients; and
- The ability to achieve meaningful, sustained results beyond the life of the project.

3. *Gender (2 points)*

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

b. MANAGEMENT & STAFFING (25 POINTS)

Evaluation under this factor will consider the experience and qualifications of project team with respect to the services and tasks required under the proposed Cooperative Agreement, as well as the effectiveness of the overall management plan. The following considerations may be, but are not required to be, considered in the evaluation of this sub-factor:

- The extent to which the long-term and short-term personnel plan is composed of a project team and key personnel with appropriate technical and managerial expertise and experience to provide technical direction, management and oversight to meet program goals and results; demonstrates appropriateness and relevance of expertise and experience of key personnel in a general pandemic environment;
- Demonstrated ability of the Chief of Party to manage a complex program in an integrated HIV/AIDS service delivery setting, coordinate with multiple ministry directorates, international donors and local and international NGO partners and the technical experience of the Chief of Party in the relevant technical areas and the Chief of Party's demonstrated ability and past experience to work with diverse implementation methodologies and merging them to align with approved ministry methodology;
- Demonstrated appropriateness and effectiveness of staffing pattern, including limited home office support, use of international, regional and local professionals and appropriate organizational structure for the program. Also the

appropriateness of the alignment of personnel (short and long-term as well as home office support) with each program component and the effectiveness of the plan for technical and other support from short-term, local, international and regional experts; and

- The effectiveness of the proposed transition plan, including an efficient approach to achieve a smooth continuation of comprehensive care and treatment activities that builds on and captures experience and lessons learned from phase one of the PEPFAR Lesotho PMTCT program.

c. MONITORING & EVALUATION (15 POINTS)

The monitoring and evaluation plan factor relates to the applicant's plan to monitor and evaluate the results achieved. The following considerations may be, but are not required to be, considered in the evaluation of this factor:

- The extent to which the application identifies preliminary indicators and targets which are in accordance with and support achievement of GOL objectives and OGAC/PEPFAR program objectives and are specific, measurable, and achievable within the Lesotho context.
- The realism and achievability of the timeline for reaching OGAC/PEPFAR indicators and targets;
- Demonstrates data reliability, validity and effectiveness in data collection and analytical approach for quantifying program progress and impact; and
- The clarity and effectiveness of the explanation regarding how M&E activities will integrate with and support building local capacity for one M&E system for evidence-based decision making.

d. INSTITUTIONAL CAPACITY & EXPERIENCE (10 POINTS)

This factor focuses on the existing capabilities of the applicant and its actual experience in providing similar services to those required under the program description. The following considerations may be, but are not required to be, considered in the evaluation of this factor:

- The organizational knowledge, capability and experience of the applicant in managing similar country-wide programs. Ability to demonstrate past experience in expanding PMTCT to an integrated and comprehensive care and treatment environment, focusing on policy improvements, building beneficial relationships and coordination with broad range of government, donor and local and international NGO organizations at national, provincial, district and local levels;
- Demonstrates relevant organizational knowledge and capability of the other proposed team members (proposed sub-contractors and/or grantees, if any) in successfully implementing similar programs;
- Experience supporting and sustaining new knowledge and skills of local clinical staff beyond program end;
- Experience in evidence-based decision making and programming, demonstrating how data for decision making was acquired and used to improve service delivery and policy making.

e. PAST PERFORMANCE (10 POINTS)

(a) Performance information will be used for both the responsibility determination and best value decision. USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in Section IV.4.a. of this RFA and from other sources if and when the Agreements Officer finds the existing databases to be insufficient for evaluating an applicants performance.

(b) If the performance information contains negative information on which the applicant has not previously been given an opportunity to comment, USAID will provide the applicant an opportunity to comment on it prior to its consideration in the evaluation, and any applicant comment will be considered with the negative performance information.

(c) USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

(d) The Contractor's performance information determined to be relevant will be evaluated in accordance with the elements below:

- Quality of product or service, including consistency in meeting goals and targets;
- Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient completion of tasks;
- Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, including coordination among subcontractors and developing country partners, cooperative attitude in remedying problems, and timely completion of all administrative requirements;
- Customer satisfaction with performance, including end user or beneficiary wherever possible;
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified; and
- Cost control, including forecasting costs as well as accuracy in financial reporting, ensuring that unnecessarily expensive technical assistance is not used when lower cost advisors are adequate, and pacing the expenditure of level of effort such that contract deliverables and outputs can be produced within budget.

B. COST/BUSINESS APPLICATION

COST EFFECTIVENESS AND COST REALISM/REASONABLENESS (10 points)

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

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources (amounts included as cost share may be considered in this analysis). Cost effectiveness may include analyzing the cost per result proposed. Cost effectiveness will also include an analysis of the

ratio of administrative costs compared to costs dedicated to program implementation (US Government costs).

- Cost realism - That the Applicant's technical approach supports the costs proposed. In addition, the cost realism analysis will evaluate whether the costs estimated accurately reflect the costs that would be incurred during the actual performance of the program, and whether those costs are reasonable. The cost realism analysis will: a) verify the Applicant's understanding of the requirements and regulations; b) assess the degree to which the cost proposal reflects the approaches in the technical application; and c) assess the degree to which the cost included in the cost proposal accurately represents the work effort included in the technical application.
- Reasonableness and fairness of proposed costs, including all costs. Consistency of budget line items and amounts with the resource requirements of the different activities.
- Finally, the clarity and conformity of the applicant's Cost/Business Application to the instructions will be considered.

2. BRANDING STRATEGY AND MARKING PLAN

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2. the apparently successful applicant will be required to submit a Branding Strategy and Marking Plan prepared in accordance with the guidelines contained in AAPD 5/11, CFR 226.91 and ADS 320.3.3. No award will be made without USAID approved Branding Strategy and Marking Plan.

3. COST SHARING

Cost share is required to be at least 5% of the total estimated amount. If the applicant proposes a cost share of less than 5%, it will be removed from further consideration. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

4. REVIEW AND EVALUATION PROCESS

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

The cost applications will be evaluated by the Agreement Officer on Cost Effectiveness and Realism. Award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

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

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

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

1. NOTIFICATION TO OFFERORS

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

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

2. DEVIATIONS

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

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

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

A. Monitoring and Evaluation Program

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

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

The performance monitoring plan must address the issues set forth above and is due 90 days after award of the cooperative agreement contemplated by this RFA. It must be approved in writing by the Agreement Officer's Technical Representative. Any modifications to the performance monitoring plan must be submitted in writing to the Agreement Officer's Technical Representative and approved in writing by the Agreement Officer's Technical Representative.

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

B. Annual Implementation Plans

The recipient will submit annual work plans to the Agreement Officer's Technical Representative (AOTR). The initial work plan will be submitted within 60 days after the effective date of the agreement, with subsequent annual work plans being due 30 days before the anniversary date of the effective date of the agreement. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOTR.

1. Contents

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

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

2. Distribution

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

3. Revisions

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

C. Quarterly Progress Reports

The recipient shall submit quarterly performance reports to USAID to reflect results and activities of each preceding quarter. Reports are to be submitted within 10 days of the end of each quarter as follows: one copy to the AOTR and one copy to the Agreement Officer.

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

recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

D. Final Agreement Completion Report

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

E. Miscellaneous Documents

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

4. ENVIRONMENTAL COMPLIANCE

A. General

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

B. Compliance with the IEE

An Initial Environmental Examination (IEE) has been approved for the Activity_funding the cooperative agreement expected as a result of this RFA. The IEE covers activities expected to be implemented under this cooperative agreement. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this

C. Implementation Plans

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

D. Mitigation Measures and Monitoring

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the [*contractor/recipient*] shall:

1. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
2. Integrate a completed EMMP or M&M Plan into the initial work plan.
3. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

5. USAID DISABILITY POLICY

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

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

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

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

[END OF PROVISION]

SECTION VII – AGENCY CONTACTS

The Agreement Officer for this Award is:

Leona Sasinkova
Agreement Officer
USAID /Southern Africa
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Pretoria, South Africa
+27 (012)452-2166
lsasinkova@usaid.gov

The Acquisition and Assistance Specialist for this Award is:

Francinah Hlatshwayo
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SECTION VIII – OTHER INFORMATION

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

The following additional information is provided in this Section:

1. BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

Submission Requirements

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

(1) Positioning

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

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

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

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

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

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

2. MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any

requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

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

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

(8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.

(9) Subrecipients. To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

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

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

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

(c) Implementation of marking requirements.

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

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

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

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

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

- (3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:
 - (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
 - (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
 - (iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;
 - (iv) USAID marking requirements would impair the functionality of an item;
 - (v) USAID marking requirements would incur substantial costs or be impractical;
 - (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
 - (vii) USAID marking requirements would conflict with international law.
 - (4) The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.
- (d) Waivers.
- (1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.
 - (2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a

description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

- (3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.
 - (4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.
 - (5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.
- (e) Non-retroactivity. The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

ATTACHMENTS

The following attachments and annexes are provided:

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

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

**Certifications, Assurances and
Other Statements of the Recipient**

**USAID/Southern Africa Request for Applications (RFA) No. . 674-10-0001
Strengthening Clinical Services in Lesotho (SCS)**

Att -3

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

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non- Discrimination in Federally Assisted Programs

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments

after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. Certification Regarding Lobbying

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational 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.

4. Certification of Recipient

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

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

Part II — Other Statements of Recipient

1. Authorized Individuals

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:
Name Title Telephone No. Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

3. Data Universal Numbering System (DUNS) Number

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

service center, it may send an e-mail to Dun and Bradstreet at globalinfo@dbisma.com. The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. 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.

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]