



# USAID | SOUTHERN AFRICA

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Regional Acquisition and Assistance Office

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Questions Due: August 22, 2011

**Subject: Request for Applications (RFA) No. 674-11-0042  
Community-Based Livelihood Development (C-BLD) for Women and  
Children in Swaziland**

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 that are interested in implementing a five-year program aimed at reducing vulnerability of women and children to HIV infection and minimizing the negative impacts of HIV/AIDS in Swaziland. This program will contribute directly to the PEPFAR's legislative goal of caring for 12 million people, including 5 million orphans and vulnerable children (OVC) affected by the Human Immunodeficiency Virus (HIV) in Swaziland.

The main objectives of this five-year award are to: 1) improve the livelihood capabilities of vulnerable households; 2) strengthen the capacity of local organizations to provide effective economic strengthening and livelihoods services; and 3) promote equal economic status among women and men, and protect the rights of women and children. Section I, the Funding Opportunity Description of this RFA contains the program details.

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 agreement 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 \$5.82 million to be allocated over the 5 year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. USAID reserves the right to fund 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 **via email** to Leona Sasinkova at [lsasinkova@usaid.gov](mailto:lsasinkova@usaid.gov) and Yvonne Habulembe at [yhabulembe@usaid.gov](mailto:yhabulembe@usaid.gov) on or before the deadline for receipt of questions stated on the cover letter of this RFA.

If it is determined that the answers to any question(s) is of sufficient importance to warrant notification to all prospective recipients, a Questions and Answers document, and/or if needed, an amendment to the RFA, will be issued.

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

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

Sincerely,



Leona Sasinkova  
Agreement Officer



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**ACRONYMS**

ADS	Automated Directives System
AOTR	Agreement Officer's Technical Representative
ARV	Anti-retroviral
CANGO	Coordinating Assembly of NGOs
CBO	Community-based organization
CDC	US Centers for Disease Control and Prevention
CEDAW	Convention on the elimination of all forms of discrimination against women
CFR	Code of Federal Regulations
COP	Chief of Party
DPM	Deputy Prime Minister
DSW	Department of Social Welfare
FBO	Faith-based organization
GBV	Gender-based violence
GDA	Global Development Alliance
GHI	Global Health Initiative
GOKS	Government of the Kingdom of Swaziland
HIV	Human Immunodeficiency Virus
ILO	International Labor Organization
LIFT	Livelihoods and Food Security Technical Assistance Project (AED)
LL	Lihlombe Lekukhalela (Shoulders to Cry On)
MCP	Multiple concurrent sexual partners
M&E	Monitoring and evaluation
MOH	Ministry of Health
MOU	Memorandum of Understanding
MTCT	Mother to child transmission
NCCU	National Children's Coordination Unit
NCP	Neighborhood Care Point
NGO	Non-governmental organization
NICRA	Negotiated Indirect Cost Rate Agreement
NPA	National Plan of Action for Orphans and Vulnerable Children
NSF	National Strategic Framework on HIV/AIDS
OMB	Office of Management and Budget
OVC	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
PLHIV	People living with HIV
RFA	Request for assistance
PEP	Post-exposure prophylaxis
PF	Swaziland Partnership Framework
PMTCT	Prevention of mother-to-child transmission
PRSAP	Poverty Reduction Strategy and Action Program
PPP	Public Private Partnership
PVO	Private voluntary organization
SBCC	National Social and Behavior Change Communication
SDHS	Swaziland Demographic and Health Survey
SMME	Small, Medium and Micro Enterprises



TEC	Technical Evaluation Committee
USAID	United States Agency for International Development
UN	United Nations
UNGASS	United Nations General Assembly
UNICEF	United Nations Children's Fund
USG	United States Government
WHO	World Health Organization
SADC	

## ***SECTION I - FUNDING OPPORTUNITY DESCRIPTION***

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

### **1. GENERAL DESCRIPTION OF FUNDING OPPORUNITY**

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

#### **A. Background**

##### **a. Country Context: a Crisis for Women and Children**

Swaziland is battling the most severe HIV epidemic in the world, with an estimated adult prevalence rate of 26% and 190,000 people living with HIV (PLHIV) out of a total population of 1.4 million. Illness and death associated with HIV and AIDS are enormous drains on the national economy, health system and social support networks. The growing imbalance between the number of able-bodied individuals and the number of children, elderly and infirm has increased the financial burdens on households, communities and the state and contributed to low rates of economic growth. Statistics speak to this situation (see LIFT assessment, Annex 1): according to the UN, there has been a 44% reduction in land used for cultivation, a 54% reduction in maize production and a diversion of at least 31% of labor to care for the chronically ill due to the impact of HIV/AIDS. HIV accounts for 60% of employee deaths and has contributed to an increase in absenteeism by a magnitude of twenty. It is estimated that Swaziland loses 1.6% of GDP growth annually due to HIV/AIDS. Beyond HIV, the situation is complicated by widespread poverty, significant social and economic gender inequalities, limited capacity of state and legal institutions, vulnerability to drought, weak internal markets and a lack of economic competitiveness in comparison to other countries within the region.

While all members of society in Swaziland have been affected by HIV/AIDS in some way, women and children have experienced particular hardships related to their lower status in society, heightened vulnerability to infection and the burdens placed upon them when illness and death strikes the family.

Issues of gender inequity, sociocultural norms and behaviors and gender-based violence (GBV) all play a role in women being disproportionately affected by HIV in Swaziland. The Swaziland Demographic and Health Survey (SDHS 2007) reported HIV prevalence among adults aged 15-49 to be 31% for females and 20% for males. Women are infected at a younger age, with HIV prevalence peaking at a nearly inconceivable 49% among the 25-29 year age group. The majority (62%) of new infections also occur in females, with HIV contributing to an escalating maternal mortality rate which is now at 590 deaths per 100,000. Gender-based violence is a severe social and public health problem in Swaziland. A UNICEF and CDC study in 2007 documented that one third of girls aged 13-24 experienced sexual violence before the age of 18. High HIV prevalence and the differing rates between men and women can be explained to a large extent by intergenerational sex, earlier sexual debut among girls, as well as the prevailing practice of having multiple concurrent sexual partners (MCP). These practices are influenced by gender norms and ideals for both men and women

including a tradition of polygamy and values which endorse men's power and dominance over women.

Approximately 69% of the population lives in poverty and among those households significantly more (63%) are headed by women. Women contribute to more than half of the labor associated with household food production and are often involved in the most labor intensive aspects of farming. In the formal sector, women earn an estimated 71% of the income that men earn and they have less control over the money they earn. Fewer women (44%) are employed than men (56%) and of those who are employed, most are in the informal sector. Women also face legal disadvantages when it comes to property ownership and rights, as well as access to financial services. Women shoulder most of the burden of caring for ill family members, yet it is common for widows and their children to be dispossessed of their property when a male head of household dies. Women are economically and financially dependent on male partners or family members, which dramatically increases their vulnerability to HIV infection, GBV and other forms of exploitation. Economic disparities and women's economic reliance on men also serve to reinforce gender stereotypes and limit women's ability to make decisions, including those related to safer sex, health care-seeking and the care and support of their children.

The National Children's Coordination Unit (NCCU) estimates that there are approximately 130,000 orphans and vulnerable children (OVC) in Swaziland. According to the 2007 DHS, only 22% of children live with both parents and one third do not live with either parent. While extended families have absorbed the vast majority of children without parents, traditional safety nets are being stretched to a breaking point as the number of children in need rises. The SDHS found that 60% of households with OVC received no external support for medical, social, material or emotional needs during the prior year and 40% of OVC did not have a minimum of one pair of shoes, two sets of clothes and one meal per day. Twenty-nine percent of children under the age of five in Swaziland are stunted.

In the past, families in Swaziland relied on extended family networks in times of crisis. However the HIV/AIDS epidemic has overwhelmed traditional coping mechanisms and has led to a dramatic increase in the demand for social services. Although families, communities, NGOs, government and other partners have responded with both small and large scale initiatives, they have been fragmented and varied in quality, and have not kept pace with the growing needs of vulnerable children. Lack of organizational and human capacity, weak coordination, insufficient planning for sustainability and lack of a systems-based approach are all constraints which have limited the national response.

#### **b. Government of the Kingdom of Swaziland Response**

Issues of women and children in the national HIV/AIDS response—as well as in the broader areas of poverty reduction and development—have gained prominence over the past few years. Swaziland has successfully supported the scale-up of prevention of mother-to-child transmission (PMTCT) services, expanding availability from a base of virtually none in 2004 to 140 out of 172 ante-natal care sites countrywide. According to Government of the Kingdom of Swaziland (GOKS) estimates in the 2010 UNGASS report, 69% of HIV positive pregnant women received anti-retroviral medication (ARV) in 2009 to reduce MTCT. Also with PEPFAR support, the MOH is rapidly rolling out a decentralized care and treatment program to clinics throughout the country. The 2010 *Towards Universal Access* report estimated that 85% of PLHIV in need of ARVs were receiving them in 2009, according to the 2006 WHO treatment guidelines. While the epidemic is believed to have stabilized in

Swaziland, with improved access to PMTCT and care and treatment services playing a role in that, there is consensus that sexual and behavioral prevention efforts have been less than successful.

The National Strategic Framework (NSF) 2009-2014 identifies several drivers of the epidemic that are related to gender and economic inequality including intergenerational sex, commercial sex, mobility and migration, sexual violence and cultural norms and values that endorse men's control over women. Accordingly, gender-related issues cut across all thematic areas of the NSF and strategies to address them feature prominently under the prevention, care and treatment and impact mitigation areas.

The 2005 National Constitution recognizes women's equal status in the economic, political and cultural spheres of life and stipulates that the state shall take all necessary steps to ensure the full integration of women into the mainstream of economic development. Furthermore, the GOKS has endorsed the importance of gender equality as a means to reducing poverty, enhancing justice and promoting sustainable development in a number of other policies, protocols and conventions including:

- Convention on the Elimination of All Forms of Discrimination against Women (CEDAW)
- SADC Protocol on Women and Development
- Eight core ILO labor conventions
- Poverty Reduction Strategy and Action Program (PRSAP)
- National Gender Policy
- Draft Citizens Economic Empowerment Bill
- Small, Medium and Micro Enterprises (SMME) Policy
- National Gender Policy

Despite this supportive overarching framework, real progress has been slow. Several key pieces of legislation—such as the Deeds Registry Act, Marriage Act and Administrations of Estates Act—have been developed to help women to realize their economic rights as stated in the Constitution but are yet to be implemented. The Domestic Violence and Sexual Offences Bill has been in the approval process for more than 10 years. The Child Maintenance Bill is a relatively new bill but it has the potential to greatly improve the situation of single mothers and their children.

There is a dual legal system in Swaziland, made up of the common law and the traditional Swazi Law and Custom. Because of the lack of clarity in the legal systems around issues related to women's and children's rights and a wariness of initiatives that might compromise Swazi culture and traditions, efforts to tackle gender issues straight on have yielded limited results. It is evident that the implementation of this robust collection of policies will require coordinated and sustained efforts by government and development partners, as well as civil society advocacy to ensure advances in women's equality.

Within the last three years, the NCCU was established in the office of the Deputy Prime Minister (DPM), and the Department of Social Welfare (DSW) was moved from within the Ministry of Health (MOH) to the DPM's Office. These developments have highlighted the growing commitment within the GOKS to responding to the plight of Swaziland's children. The policy environment for children's issues also is rapidly evolving with, among other developments, the approval by cabinet of a National Children's Policy, Social Development

Policy and Human Trafficking Act as well as the development of several draft documents including National Alternative Care Guidelines, Residential Care Guidelines, Referral Protocol for Sexual Abuse, Quality Service Standards for OVC Programs, Psychosocial Support Strategic Plan and Neighborhood Care Point (NCP) Strategy. While the policy environment is improving, many gaps still exist; for example, key pieces of legislation such as the Children's Welfare and the Domestic Violence and Sexual Offences Bills have yet to be passed, and the full rights of children remain unprotected.

In 2002 the Government introduced a budget allocation for grants to support education for OVC, and the country has made good progress in increasing access of children to primary schooling. Although the costs of education are not fully covered by this grant, the national allocation has steadily increased with almost 112,000 children benefiting from the grant in 2009. In 2010 the Government began phasing in universal free primary education, starting with grades one and two. The 2007 SDHS found only minor differences (a ratio of 0.976) in school attendance between orphans and non-orphans. Despite improvements in primary school enrollment, there are serious challenges with drop out and retention. Barriers to school completion include poverty and inability to pay school fees, food insecurity, starting school at a late age and teenage pregnancy. It is estimated that one out of three children who start grade one will not complete grade seven.

Impact mitigation is one of the key thematic areas of the NSF on HIV/AIDS under which coordinated, sustainable food security, livelihoods and economic strengthening interventions for vulnerable households are highlighted as important areas of expansion. Recognizing the value of care provided mainly by women and girl children, economic empowerment of women is also prioritized.

The National Plan of Action for Orphans and Vulnerable Children 2006-2010 (NPA) was evaluated and a new NPA covering 2011-2015 has been developed. The evaluation revealed concrete accomplishments in the areas but also tremendous need for more input and support, including in the area of food security and economic strengthening for households supporting vulnerable children.

#### **c. PEPFAR Involvement in OVC and Gender in Swaziland**

The Global Health Initiative (GHI) is the overarching strategy guiding all USG investments in health overseas. It is a comprehensive, whole-of-government approach with a specific emphasis on these principles: a focus on women, girls and gender equality; increasing impact and efficiency through strategic coordination and integration; strengthening and leveraging key partnerships, multilateral organizations, and private contributions; encouraging country ownership and investing in country-led plans; improving metrics, monitoring and evaluation (M&E); and promoting research and innovation. PEPFAR is the largest program under GHI and the primary funding source for health interventions in Swaziland.

PEPFAR II, which was authorized by the U.S. Congress in 2008, makes clear that USG resources need to reflect and balance certain priorities within the Swaziland context in order to: 1) support the host country national plan, 2) support human capacity building for government and implementing partners, 3) support direct services to achieve the global target of reaching five million OVC and contribute to the global training targets of 140,000 health workers in prevention, treatment, care and support, and 4) leverage USG resources to maximize impact.

In June 2009, the GOKS signed the Swaziland Partnership Framework (PF) on HIV and AIDS for 2009-2013. The Swaziland PF focuses on five pillars: developing a comprehensive national HIV prevention program; improving the coverage and quality of HIV-related treatment and care; mitigating the impacts of HIV/AIDS with a focus on children; increasing access to high-quality medical male circumcision; and building the human and institutional capacity needed to achieve and sustain these goals.

The PEPFAR program covers all regions in Swaziland and is organized around the five pillars of the PF. The program is managed by an interagency office comprised of USAID, Centers for Disease Control (CDC), and the U.S. Departments of State, Defense, and Labor to implement a sustainable, evidence-based, results-oriented program, leveraging the particular technical expertise of each agency. USAID provides technical and program management assistance through its Regional HIV/AIDS Program Office based in South Africa. USAID's support focuses on social and behavioral prevention, biomedical prevention, impact mitigation with a focus on children, human capacity development, NGO capacity building, health systems strengthening and gender.

The Swaziland PEPFAR program recognizes the critical importance of addressing issues of gender inequality in order to maximize the impact of interventions across the five pillar areas of the PF; for this reason gender was included as a cross-cutting element in the Partnership Framework Implementation Plan. The program focuses its gender activities around five strategies:

- Increasing gender equity in HIV/AIDS programs and services;
- Reducing violence and coercion;
- Addressing male norms and behaviors;
- Increasing women's legal protection; and
- Increasing women's access to income and productive resources.

Since the signing of the PF, PEPFAR Swaziland has made considerable progress in mainstreaming gender throughout all pillar areas. Highlights include:

- Strengthening service data and monitoring to ensure that gender inequities are tracked and appropriate strategies are implemented in response. Ensuring all indicators are disaggregated by gender, that national and PEPFAR partner data collection mechanisms are in place and that gender data are being used for program improvement.
- Supporting secondary education for vulnerable girls in ongoing programs that include psychosocial support and mentoring.
- Supporting the national Lihlombe Lekukhalela (LL/Shoulders to Cry On) community-based child protection program to raise awareness, increase reporting of child abuse cases and making available basic psychosocial support to victims at the community level.
- Development and roll out of the National Social and Behavior Change Communication (SBCC) Strategy, in which the focus includes key gender-based messages such as intergenerational sex, MCPs and GBV.
- Adult and youth-focused activities such as community dialogues, mentoring and psychosocial support clubs which address norms and behaviors that make women and girls vulnerable to HIV infection.
- Actively involving women in the scale up of male circumcision and ensuring that the population is educated with regards to women's benefits and potential risks.

- Prioritizing attention to male involvement through community outreach, home-based and couples HIV counseling testing and PMTCT to facilitate access to care and treatment and help reduce the potential for violence. Employing a family-centered approach to care and treatment efforts; supporting women's and men's support groups.
- Supporting the delivery of care, support and legal aid services for survivors of GBV, advocacy and GBV prevention activities. Technical assistance for the implementation of post-exposure prophylaxis (PEP) services for survivors of GBV.
- Women-focused savings and lending groups which integrate discourse around gender and GBV.

With supplementary funding awarded from the Office of the Global AIDS Coordinator's gender challenge fund, USAID will expand gender-focused activities in FY 2011—including those funded under this RFA. This program is being designed to address the fundamental causes of young women's vulnerability to HIV infection in southern Africa: poverty and gender inequality.

PEPFAR Swaziland began investing in impact mitigation in 2009. PEPFAR funded activities in support of vulnerable children directly contribute to the impact mitigation thematic area of the NSF and the NPA. Thus the focus is to expand and improve support for vulnerable children in core services areas, including health, education, protection, psychosocial support, food security and economic strengthening. A major goal is to enhance coordination and standardization of community based services.

The principles of the impact mitigation portfolio within the PF are to: 1) reach large numbers of children with a package of basic services; 2) support and build on existing national momentum, structures, plans and initiatives; 3) leverage additional funding and resources and improve quality and sustain services; 4) promote family-centered approaches and stronger linkages between prevention, care, treatment and support; 5) devote the bulk of funding to services and support for children through national or scalable initiatives and through NGOs that can model key aspects of impact mitigation; and, 6) complement the service activities with efforts to strengthen systems and improve the policy environment. All of PEPFAR Swaziland's impact mitigation activities fall within one of three strategies: improving the policy environment; strengthening national systems; and supporting community-based service delivery.

Highlights of progress within the impact mitigation pillar include:

- In partnership with UNICEF, PEPFAR enabled 200 neighborhood care points (NCPs) serving 10,000 pre-school aged children to be equipped with basic furniture, improved sanitation facilities, early learning kits and play materials, and for caregivers to be trained.
- Supported the NCCU to develop Quality Service Standards for OVC programs.
- In partnership with UNICEF, PEPFAR reached more than 100,000 children 0-5 years with package of high impact health services during MOH's National Child Health Day campaign.
- Nine NGOs supported to scale up their OVC service delivery models reaching more than 4,300 children and caregivers with a variety of services. These organizations also received organizational development support to improve overall organization functioning, program and financial management, quality of interventions and M&E.

- With UNICEF, supporting technical assistance for the development of a national M&E framework for OVC.
- Supported the expansion of the LL community-based child protection program.
- Through Peace Corps, numerous small grants were awarded to support grass roots efforts to assist children.

A key recommendation that emerged from PEPFAR's annual stakeholder review of progress and challenges in implementing the PF was the need to invest more in strategies to develop households' economic capacities. This recommendation was derived from concerns over the lack of sustainability in many of the current approaches being used to assist vulnerable children as well as the worsening economic climate in the country. Moreover secondary analysis of the SDHS 2007 data carried out by UNICEF indicates that household economic status is a better predictor of vulnerability than orphan status or living with a chronically ill parent. While there are a few successful economic strengthening interventions in Swaziland that have targeted HIV affected populations, their reach is limited. Several PEPFAR NGO partners are engaged in some form of income-generating activity with their target populations. However, the majority of partners are first and foremost health practitioners and have limited expertise in addressing economic or livelihoods issues confronting their clients and beneficiaries.

**d. Assessment of PEPFAR Economic Strengthening Programming in Swaziland**

In December 2010, on the request of PEPFAR Swaziland, the Livelihoods and Food Security Technical Assistance Project (AED-LIFT) conducted an assessment in Swaziland to review opportunities for improving the impact of PEPFAR-funded economic strengthening programs for people living with and affected by HIV/AIDS.

Several livelihoods-related challenges were raised by PEPFAR implementing partners and other organizations working with HIV-affected households:

- Maintaining adherence to ARV treatment, primarily due to lack of sufficient income to pay for transport to treatment centers;
- Maintaining adequate nutritional intake while on ARVs, primarily due to inadequate access to nutritious food;
- Balancing school fee payments with other household requirements;
- Social and economic issues underlying the high risk of HIV transmission, particularly for young women;
- Providing households with sustainable income generating opportunities and maintaining household commitment;
- Ensuring food security for households with limited means to purchase, produce or otherwise acquire adequate food;
- Protecting OVC from sexual, physical and economic exploitation.

The assessment confirmed that the GOKS, donors such as the European Union, World Bank, UN agencies, and several NGOs are investing in a range of economic strengthening programs in an effort to reduce vulnerability and risk of food insecurity. Among these approaches are the direct provisioning of social services, food and assets, protection of assets through legal services or savings, technical or material support for building homestead gardens and the promotion of vocational and entrepreneurial skills. However, given the underlying environmental, macro-economic and social factors aggravating the impact of HIV, these efforts cannot adequately address the challenges facing people affected by HIV. Greater

commitments and resources are needed to develop and implement policies that protect and empower the vulnerable (particularly women and children) and stimulate markets and economic growth.

The assessment yielded a number of recommendations for how best to strengthen the economic capacities of vulnerable households within the context of PEPFAR Swaziland's larger HIV/AIDS program. Details can be found in the complete assessment report in Annex 1. In summary, the assessment recommended that PEPFAR Swaziland consider investing in programs that:

- Build social capital and promote savings;
- Provide financial literacy training;
- Promote sustainable permaculture gardens to improve household access to nutritious food;
- Provide technical and vocational training based on existing demand in domestic and regional labor markets;
- Promote microenterprise training that is directed and market demand and linked with lead firms;
- Target young women 16-25 years of age;
- Provide legal protective services and structures that help vulnerable people, particularly OVC and women, retain assets;
- Provide referrals to health, nutritional, legal and other social services.

In addition, the assessment recommended that PEPFAR invest in technical assistance to partners to enable them to adopt standards of practice to render more effective their economic strengthening activities and support efforts to develop and implement a referral system linking health, nutrition, economic strengthening, legal and other services.

## **B. Objectives**

The overall goal of this program is to reduce the vulnerability of women and children to HIV infection and to minimize the negative impacts of the disease in Swaziland. In order to achieve this goal, the program will focus on the following three objectives:

Objective I: Improve the livelihood capabilities of vulnerable households

Objective II: Strengthen capacity of organizations to provide effective economic strengthening and livelihoods services

Objective III: Protect the rights of women and children

## **C. Program Description**

The Program Description consists of: a. Program Considerations, b. Guiding Principles, c. Resource Leverage, and d. Monitoring and Evaluation.

### **a. Program Considerations**

Program activities should respond to all three objectives discussed below. Following each objective is a list of expected results. The results are neither proscriptive, nor exhaustive.

The program should include additional activities and results which correspond to the proposed conceptual framework.

**Objective I: Improve the livelihood capabilities of vulnerable households**

It is well understood that one of the most effective ways of improving the overall status of women is to empower them economically. Moreover a growing body of evidence demonstrates the importance of economic resources to women's and girls' abilities to both protect themselves from and to cope with the consequences of sexually transmitted infections such as HIV. Research also suggests that women who own property or otherwise control economic assets have higher incomes, a secure place to live, greater bargaining power within their households and can better protect themselves against domestic violence.

Many of the risks that children face have their roots in household economic stress, which can lead to children being removed from school, malnutrition, lack of adult supervision and support, abuse, as well as trafficking and other forms of exploitation. At the same time increasing household income has been demonstrated to have numerous positive effects on care seeking behavior, child health outcomes and access to education, nutritional status, among other outcomes.

Economic strengthening is a vehicle for women to generate income, gain bargaining power in relationships and use it to influence desired outcomes or changes, generate savings in case of emergencies and avoid selling assets or engaging in other negative coping strategies such as transactional sex. Social negotiation skills are also extremely important as having additional economic resources is not sufficient to increase levels of protection and autonomy. With these skills, household members will be able to more effectively mitigate the impact of HIV and protect themselves from infection. Ultimately the coping strategies of households will be strengthened and the vulnerability of children will be reduced.

The program will focus on the following target populations:

- Female-headed households
- Elderly headed households supporting OVC
- Households with high burden of OVC, including child headed households
- Older OVC who are aging out of services, including those in residential care
- Caregiver groups
- Young women age 16-25
- Other particularly vulnerable women including survivors of GBV, women with disabilities, single mothers

The program will build on a conceptual framework that demonstrates how the proposed economic strengthening activities are tailored to meet the vulnerability, livelihoods options and economic circumstances of the different target populations. This conceptual framework will illustrate how successful interventions would enable the movement of households along a livelihoods pathway towards greater opportunity, taking into account the importance of other activities (e.g. GBV awareness, social negotiation skills) to this process.

**Expected results include:**

- Most vulnerable households (e.g. those receiving food aid or recipients of cash transfers) are linked to livelihood protection opportunities in order to stabilize consumption and reduce dependency

- Increased participation in savings groups (Note: PEPFAR Swaziland is currently supporting savings groups on a pilot scale. If savings groups are proposed, the successful applicant will be expected to coordinate their approach so that lessons learned are applied uniformly across all PEPFAR funded programs).
- Increased utilization of permaculture gardens
- Increased financial literacy levels and household economics skills
- Improved social negotiation skills and GBV awareness among targeted households
- Increased participation among project participants in microenterprise development activities that are linked to growing markets and value-chains
- Improved access of young women and disadvantaged youth to technical and vocational education and training that is oriented to market needs

**Objective II: Strengthen capacity of organizations to provide effective economic strengthening and livelihoods services**

The LIFT assessment revealed several opportunities for technical assistance provision that should have immediate and lasting impacts on the effectiveness of PEPFAR-supported economic strengthening initiatives in Swaziland. Technical assistance activities should be collaborative and seek to leverage the strengths, knowledge and experience of existing programs and institutions in Swaziland. Technical assistance should be customized to the specific needs, opportunities and challenges facing a particular organization or program and be immediately relevant.

**Expected results include:**

- Improved quality of PEPFAR partners' economic strengthening activities.
- A functioning referral system is in place which links health and other social service providers to economic strengthening activities.
- An active network for knowledge sharing around economic strengthening and livelihoods is in place.
- Improved capacity of the Vulnerability Assessment Committee to collect and analyze gender and HIV sensitive livelihoods survey data and facilitate their usage of for policy development and planning.

**Objective III: Protect the rights of women and children**

While the focus of this program is primarily on improving the livelihoods of vulnerable women and children and building the capacity of organizations to do this effectively, the program should also include activities which address underlying structural factors that influence the economic rights and protection of women and children. The recipient of this program will be expected to work closely with UN agencies, Gender Unit, other GOKS ministries and departments, and the CANGO Gender Consortium when planning and implementing program activities.

**Expected results include:**

- Increased awareness in communities and among civil servants about relevant policies and laws.
- Increased levels of legal protection measures for women (including widows) and children.

**b. Guiding Principles**

The following guiding principles should be used to guide the development of activities under this program:

- **Employ sound market analysis** – all proposed economic strengthening activities must be based on an analysis of the market as well as the capacity, challenges and opportunities of particular target groups to engage in such markets. Microenterprise development programs should be linked to growing markets/value-chains, particularly those that are women-led and/or suitable for labor constrained households.
- **Build partnerships** – applicants should illustrate how they will build partnerships that together will ensure a holistic approach is used for meeting the livelihoods needs of vulnerable groups. It is unusual for one organization to be able to “do it all.” Applicants should consider their areas of expertise in relation to project needs and forge strategic partnerships to strengthen the project with the expertise of others. Strategic linkages to the private sector are critical. The successful applicant will be required to collaborate with relevant GOKS ministries and departments, UN agencies, and non-PEPFAR livelihoods development organizations to ensure a coordinated approach to implementation is employed.
- **Sustainability** – applicants must describe the exit strategies that will be employed at the end of the project period and the steps they will take to ensure that activities and gains are sustainable. Proposals should consider how the project will link with and support ongoing GOKS decentralization efforts.
- **Family/household centered approach** – families are the first line of protection for children, and strengthening families should be the primary strategy used to ensure that children receive the care and support they need. PEPFAR Swaziland’s impact mitigation activities are designed with this principle in mind. Accordingly, applicants should articulate how activities under this RFA—which may directly target an older child or a mother—are implemented in a way that considers the complete household context. This is important when considering that women, as an example, often times do not have complete control over the income they earn or the food that they grow. Applying a family-centered approach may mean carrying out other activities, in addition to the support provided to direct participants, which can address the needs of other household members. Examples include linking household members to relevant social services or community programs and devising innovative means of gaining the support of men.
- **Continuity of care** – there are numerous efforts underway targeting households affected by HIV/AIDS and OVC, including PMTCT, care and treatment, child nutrition and combination prevention programs funded by PEPFAR Swaziland. It is imperative that activities under this RFA are linked in a meaningful way to these initiatives in order to make maximum use of limited resources, enable more effective targeting and ensure that project participants are able to access a complete range of health and social services, which will both facilitate achievement and amplify the impact of this project’s objectives.
- **Gender analysis** – all aspects of project design for this RFA must consider issues of gender and age to ensure that the differing needs of participants are addressed. Within HIV/AIDS-affected communities girls and women often face a disproportionate level of risk and vulnerability from exploitation, physical and sexual abuse, trafficking, HIV infection and burdens of caring for family members. Sexual and physical abuse of boys is also a problem in Swaziland. Applicants must address these risks and excessive burdens of care along with their root causes, and implement

measures accordingly. Furthermore, given the dynamic nature of gender related risks, ongoing attention and evaluation will be required.

- **Working with community structures** – there are a diverse array of structures, committees, groups and individuals at the community level in Swaziland. NCPs, LLs, HIV/AIDS chiefdom committees, Kagogo centers, OVC committees, rural health motivators, and PLHIV support groups, are some that are providing support to HIV/AIDS-affected households. These structures can provide important entry points for partners into a community, helping to identify potential participants and delivery mechanisms for livelihoods strengthening activities. Many of these individuals and groups are providing valuable services—particularly to children—and are not being remunerated. Applicants should explore ways of including these individuals and groups into economic strengthening activities.

#### **c. Resource Leverage - GDA/PPP Strategy**

Official U.S. Government assistance now accounts for only a minority share of the flow of resources from the United States to developing countries. Another PEPFAR priority is to identify new sources of funding and leverage participation of the private sector and non-traditional partners to create more sustainable programs. This program includes a **20% cost share requirement** and encourages development of public private partnerships (PPP) to augment funds available from the USG.

USAID anticipates that project funds/technical assistance/grants under this award will be used as leverage for private sector funding or resources. Applicants are encouraged to define innovative, practical approaches to using these resources to promote program objectives. USAID has established a target ratio for leverage of 1:1. Leveraged resources obtained through partnerships may free up funding for other purposes within this program description or allow for expanded program implementation. Applicants should visit the USAID web site ([http://www.usaid.gov/our\\_work/global\\_partnerships/gda/index.html](http://www.usaid.gov/our_work/global_partnerships/gda/index.html)) for more information on the criteria for “Global Development Alliance” (GDA) activities and refer to ADS 303.3.10.2 Cost Sharing and Leveraging that defines “cost sharing” and “leveraging” and the distinction between the two.

Any partnership commitments undertaken by the implementer(s) during the course of the program will be subject to USAID review and approval. Any post-award changes to the cost or program budget will also be subject to USAID approval.

A sound GDA/PPP strategy and approach is required for the application.

#### **d. Monitoring and Evaluation**

The evidence base examining the impact of economic strengthening on communities affected by HIV/AIDS is still fairly limited. From the beginning, it will be important to design a robust M&E process with a causal model that can answer key questions around the impact of interventions on vulnerable households, children within these households and gender relations.

The successful applicant will be expected to report on relevant PEPFAR OVC, gender and capacity building indicators as outlined in PEPFAR Next Generation Indictors Reference Guide (see <http://www.pepfar.gov/guidance/c21628.htm>) and below:

- Number of individuals provided with a minimum of one support care service, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals who received food and/or other nutrition services, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with shelter and care-giving, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with health care referral, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with education and/or vocational training, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with protection and legal aid services, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with psychosocial, social or spiritual support services, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of eligible individuals provided with economic strengthening services, disaggregated by sex, age (0-17, 18+, 18+ caregivers)
- Number of people reached by an individual, small group or community-level intervention or service that explicitly addresses norms about masculinity related to HIV/AIDS, disaggregated by sex, age (0-15, 15-24, 25+)
- Number of people reached by an individual, small group or community-level intervention or service that explicitly addresses gender-based violence and coercion related to HIV/AIDS, disaggregated by sex, age (0-15, 15-24, 25+)
- Number of people reached by an individual, small group or community-level intervention or service that explicitly addresses the legal rights and protection of women and girls impacted by HIV/AIDS, disaggregated by sex, age (0-15, 15-24, 25+)
- Number of people reached by an individual, small group or community-level intervention or service that explicitly aims to increase access to income and productive resources of women and girls impacted by HIV/AIDS, disaggregated by sex, age (0-15, 15-24, 25+)
- Number of local organizations provided with technical assistance for strategic information activities
- Number of civil society organizations (NGO, CBO, FBO, private enterprises) receiving support to build capacity (technical and administrative) for delivery of public health services at the community level

Beyond PEPFAR output indicators, the successful applicant is expected to propose outcome indicators that can demonstrate the effect of the proposed economic strengthening activities on participants' well-being (e.g. health status and care-seeking behavior, nutritional status, psychosocial indicators, coping abilities, educational outcomes, etc.) and economic status (e.g. asset ownership, coping strategies, access to credit, economic activity, income, loan repayment, etc.). See *Economic Strengthening Programs for HIV/AIDS Affected Communities: Evidence of Impact and Good Practice Guidelines, 2009* for more information: [http://dec.usaid.gov/index.cfm?p=search.getCitation&CFID=16870819&CFTOKEN=83451851&id=s\\_E2B75499-D566-FC5C-D9E86F21DA54E0FF&rec\\_no=160422](http://dec.usaid.gov/index.cfm?p=search.getCitation&CFID=16870819&CFTOKEN=83451851&id=s_E2B75499-D566-FC5C-D9E86F21DA54E0FF&rec_no=160422)

## **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, the *Standard Provisions for U.S. Nongovernmental Recipients* and 22 CFR 226 will apply.

For non-U.S. organizations, the *Standard Provisions for Non-U.S. Nongovernmental Recipients* will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award.

These documents may be accessed through the internet as follows:

- 22CFR226:  
[http://www.access.gpo.gov/nara/cfr/waisidx\\_06/22cfr226\\_06.html](http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html)
- OMB Circulars  
<http://www.whitehouse.gov/omb/circulars/index.html>
- Standard Provisions for U.S. Nongovernmental Recipients:  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Standard Provisions for Non-U.S. Nongovernmental Recipients:  
<http://www.usaid.gov/policy/ads/300/303mab.pdf>

For copies of these regulations, interested applicants may contact Yvonne Habulembe at [yhabulembe@usaid.gov](mailto:yhabulembe@usaid.gov).

**SECTION II – AWARD INFORMATION**

**1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED**

Subject to the availability of funds, USAID intends to provide approximately \$5.82 million 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 November 1, 2011.

**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 CFR 226 or other applicable law, regulation or provision):

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;
- Approval of all subcontractors and subrecipients and concurrence on the substantive provisions of all subawards.

### **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 SHARING/RESOURCE LEVERAGING**

Cost sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are **required** to contribute resources from own, private or local sources for the implementation of this program. Cost sharing is defined at 22 CFR 226.23. **Cost share under the proposed award** is required to be **at least 20%** of the total estimated amount. If the applicant proposes a cost share of less than **20%**, it will be deemed as not responsive, and will be removed from further consideration. Cost-sharing may be cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions).

This RFA further seeks to leverage additional resources from the private sector in this program. Applicants shall include in their applications a comprehensive approach to private sector engagement and indicate the amount of resources that are expected to be leveraged. As discussed in Section I, Part C, the recommended ratio for leverage is 1:1. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a program. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

**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](mailto:lsasinkova@usaid.gov).

Yvonne Habulembe  
Acquisition & Assistance Specialist.  
USAID/Southern Africa  
100 Totius Street  
P.O. Box 43, Groenkloof  
Pretoria, South Africa  
E-mail: [yhabulembe@usaid.gov](mailto:yhabulembe@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, both U.S. and non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment to this RFA.

- a. A signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (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 how to obtain a DUNS number, please visit the Duns and Bradstreet Numbers website at [http://www.dnb.com/US/duns\\_update/](http://www.dnb.com/US/duns_update/).

#### **4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS**

The application shall be split into two separate parts:

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

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

##### **A. Technical Application Format**

The Technical Application shall contain the following sections:

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

The overall page limitation for the technical application is 32 pages. Applications shall be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper) or A4 paper, single spaced, 12 point Times New Roman font with each page numbered consecutively<sup>1</sup>. The Annex and items such as the cover page, dividers and the table of contents are not included in the 32-page limitation.

##### *1. Cover Page*

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

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

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

##### *2. Program Abstract/Executive Summary*

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

<sup>1</sup> 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.

### *3. Technical Application Body*

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

- a. Technical Approach;
- b. Management & Staffing;
- c. Monitoring & Evaluation;
- d. Institutional Capacity/Experience;
- e. Past Performance.

The maximum number of pages in this Section will be thirty (30). The basic purpose of this Section is to provide the information necessary to allow USAID to fairly and completely evaluate the applicant under each of the evaluation criteria specified in Section V of this RFA. Additional specified guidance for each Section of the Technical Application Body is set forth below.

#### **a. Technical Approach**

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

##### *1. Technical Soundness*

This subsection should describe the proposed technical strategy and approach and comprehensively address how the applicant will achieve the objectives outlined in the Program Description over the 5-year life of project. This sub-section must 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 Swaziland context, including:

- Alignment with the NSF and PF priorities and USG program objectives in Swaziland.
- Knowledge of local market opportunities and challenges and how to tailor interventions to respond to specific vulnerabilities and circumstances of different target populations.
- Innovative and results-focused strategies for strengthening the capacity of indigenous organizations and structures.
- The application of lessons learned elsewhere, especially in the Southern African region, to the situation in Swaziland.

##### *2. Implementation Effectiveness*

An implementation plan for achieving the expected program results should be discussed in this subsection. The implementation plan should clearly outline links between the proposed

results, conceptual approach, performance milestones, and a realistic timeline for achieving the program results.

This subsection must include a plan for promoting sustainability through local capacity building and hand-over of decision-making to Swazi institutions or organizations. Applicants will be expected to describe how they will work with GOKS, UN agencies, PEPFAR partners and others involved in economic strengthening and gender activities. This section should reflect understanding of and experience in developing opportunities for private sector engagement and propose innovative ideas for partnerships that contribute to sustainable development. Applicants should include in this section a comprehensive approach to private sector engagement and indicate the amount of resources that are expected to be leveraged.

Applications should describe in detail implementation plans related to the objectives and guiding principles included in the program description, showing the phasing or dates by which planned activities would be carried out. The implementation plan should include or describe in detail the following:

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

If the applicant determines that a matrix or other supporting documentation is helpful, this supporting documentation may be included in the Annex.

### *3. Gender Appropriateness*

In this subsection, the applicant should include a solid gender analysis in which relevant gender issues are identified and addressed in the overall program approach. Specifically, applicants should explain how proposed activities will:

- Limit the vulnerability of women and children to sexual abuse, HIV infection and exploitation;
- Address the inequitable burden carried by women and girls to serve as caregivers for family and community members with HIV/AIDS; and
- Use innovative strategies for engaging men.

#### **b. Management & Staffing**

In this Section, Applicants should provide a clear description of how the cooperative agreement will be managed in order to meet technical, organizational, M&E, finance, administrative, and staffing requirements of the project, including the approach to addressing potential problems. Applicants shall outline which organization/sub-partner will carry out the various tasks specified in the technical approach. The prime partner will be responsible for all technical activities regardless of the activities implemented by the sub-partner or other

member of the team. Applicants shall specify the composition and organizational structure of the entire project team (including home office support and any sub-partners) and describe each staff member's role, technical expertise, and estimated amount of time each will devote to the program. An organizational chart should be included in the annex laying out essential positions for the organization itself and any sub-partner.

Given the limited funding of this award and the broad scope, applicants may want to propose innovative ways to reduce managerial costs of sub-partners such as sharing office space, vehicles, etc. It is expected that sub-partners and sub-grantees will not set up separate offices and separate managerial units, but instead offer specialized technical support under the prime partner.

### ***Staffing***

Also in this Section, applicants shall discuss proposed technical, managerial and other personnel as deemed appropriate to implement the tasks described above. Such staff should have played important technical and country-level support roles in the past. Regional candidates (third-country nationals) should also be considered for appropriate staff positions. The use of highly skilled U.S. volunteers is required according to ADS 303.3.6.3 (d) and Executive Order 13317.

The staffing plan shall elaborate what and how long-term and short term technical and management assistance will be provided to the program to accomplish tasks and objectives. Key Personnel for this Cooperative agreement must include the Chief of Party (COP), Economic Strengthening Specialist, Gender Specialist, Monitoring and Evaluation Officer. Applicants may add other key personnel as appropriate to conform to technical and managerial approach; however, the overall number of the proposed key personnel positions should be limited to a reasonable number, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater. Applicants shall provide summary descriptions of roles, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach. The COP will act as the principal managerial contact with the PEPFAR/Swaziland. Applicants shall also include, in an annex, resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience and 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. Finally, a list of 3 non-personal professional references should be included in the Annex for each proposed key personnel. The reference information provided in the Annex should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the applicant), and to use this information in the rating of personnel proposed.

In proposing the overall staffing plan, the applicant should ensure that expertise in implementing similar programs of focus and scale in the African context (preferably Southern and/or Eastern African) is represented. In particular, the application should consider:

***Chief of Party***

The applicant is required to appoint a Chief of Party (COP). The COP should have demonstrated capabilities in management, institutional capacity building, high-level strategic visioning and leadership, and experience in working effectively with district, provincial and central-level government authorities. Prior experience in senior level management of field programs is absolutely required. Demonstrated experience is required in coordination and collaboration with broad set of stakeholders, including multi-lateral and international donors and local and international NGOs. The COP must have background and experience in one or more technical areas of the program and experience managing a multi-sectoral health or development program. S/he must also demonstrate exceptional written and oral communications skills in English. Familiarity with the political, social, economic, and cultural context of working in Swaziland is preferred. The COP should be capable of holding regular meetings with the senior GOKS officials, and with USAID and PEPFAR staff as needed for the purposes of planning and prioritizing, presenting annual work plans and to report on progress of the approved annual work plan.

***Other Personnel***

Applicants have the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet award requirements. This must be described in the technical application. USAID strongly encourages the recipient to consider locally (non-overseas)-hired and regional (Southern Africa) technical leads for the maximum proportion of the other personnel positions. Expatriate residential staff, if proposed, should possess strengths and skills that cannot be found among available Swazi professionals.

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 experts and resources. A functional organizational chart of the proposed project should be included in the Annex.

All personnel must demonstrate exceptional written and oral communications skills in English. Familiarity with the political, social, economic and cultural context of working in Swaziland is preferred.

***Sub-awardee/Alliance Partner***

If the applicant intends to develop institutional partnerships/teaming arrangements for implementation of the cooperative agreement (sub-recipients, sub-contractors, or alliances), the application must specify the nature of organizational linkages. This includes their relationships between each other, lines of authority and accountability, and patterns for utilizing and sharing resources. Applicants that intend to utilize sub-awards should indicate the extent intended, the method of identifying sub-awardees, and the tasks/functions they will be performing. Applicants that plan to team up with other international organizations, private sector partners, government agencies or indigenous organizations for the implementation of the agreement should outline the services to be provided by each such agency or organization and should discuss how the collaboration with these partners fits into the Applicant's proposed management plan. Applicants should state whether or not they have any existing relationships with the proposed partners and if so should include the Memoranda of Understanding (MOUs) in the annex.

### ***US Volunteers***

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

#### **c. Monitoring & Evaluation**

In this Section, the applicant should detail a plan to monitor and evaluate the project results and demonstrate its ability to reach stated program objectives within the required time of performance (including a plan for rapid launch of project activities). At a minimum, this plan should detail how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Mid-term project evaluation will be conducted;
- How data reliability and validity and effectiveness of data collection methods – both quantitative and qualitative - will be ensured.

Applicants shall provide a preliminary monitoring and evaluation (M&E) plan in their responses. This plan shall identify preliminary indicators and targets which support and contribute to GOKS strategies (NSF, NPA, Gender Policy) and PEPFAR standard indicators. Applicants should familiarize themselves with the PEPFAR “Next Generation” indicators appropriate to the program areas discussed and should propose other higher level outcome indicators that can demonstrate the effect of the proposed economic strengthening activities on participants’ well-being as discussed in Section I, Part C. The applicant shall elaborate in the preliminary plan the expected program results with illustrative indicators, mid-term milestones/benchmarks, and end-of-project results. The applicants shall show how each task relates to indicators and targets. Routine data quality assessments are also required. The M&E plan should provide for a mid-term program assessment and describe how the assessment’s results will be used to make program improvements. The applicant should address how the M&E plan will integrate with and contribute to local capacity for evidence-based decision making and programming. Upon award, the apparently successful applicant will work in consultation with the Agreement Officer’s Technical Representative (AOTR) and other PEPFAR Swaziland staff to develop and execute a final M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with USAID and PEPFAR/Swaziland team.

#### **d. Institutional Capacity/Experience**

In this Section, the applicant should describe the organizational knowledge, capability, experience of the lead applicant and other proposed team members (sub-contractors and/or

grantees) in managing similar programs. This includes implementing activities in livelihoods and economic strengthening, gender, child welfare, HIV/AIDS and organizational capacity building. Applicants shall also describe their organizational capability in:

- Building beneficial relationships and collaboration with donors, host country governments, private sector partners, and international and local NGOs.
- Supporting and sustaining new knowledge and skills of local staff beyond program end;
- Using 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**

The applicant should discuss in this Section examples of its past performance as well as examples of the past performance of the proposed sub-contractors/sub-recipients and or other partners, if any. The applicant should address any relevant performance issues related to past performance.

The Applicant shall identify (briefly, with details in the Annex) its three (3) most recent and fully completed contracts or agreements that involve some of the activities described in Section I above and whose value exceeded \$5 million. In addition, the Applicant may identify (briefly, with details in the Annex) up to five (5) additional contracts or agreements related to the activities described in Section I for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

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

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

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

4. *The Annex*

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

**B. Cost Application Format**

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

1. The cost application should be for a period of 60 months.
2. Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
3. An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 budgets listed in Subsection IV.2 above. All budgets shall include a sheet relating to the entire 60-month period. The budget shall include a summary and breakdown of the costs allocated to any sub-recipient or sub-contractor involved in the program (unless the agreement or contract is on a fixed-amount basis), as well as the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate sub-agreement or subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in the **unprotected** Microsoft Excel format.
4. Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
5. The following Section provides guidance on line item costs.

**Salary and Wages** - Direct salaries and wages should be proposed in accordance with the organization's personnel policies. Details on the basis of estimate for each proposed salary should be sufficiently addressed in the budget narratives for all positions [key, consultants, and non-key personnel]. Any proposed salary increase [initial or annual] must be sufficiently justified and supported with the organization's personnel policies.

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

and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

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

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

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

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

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

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

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

6. In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

7. The required Certifications, including the SF 424s, should be included with the Cost Application.
8. As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
9. The cost/business portion of the application should describe headquarters and field procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.
10. Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.
11. If requested by USAID after submission of applications, please provide information on the Applicant's financial and management status, or that of major subcontractors and sub-recipients, including:
  - (a) Audited financial statements for the past three years,
  - (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable,
  - (c) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
  - (d) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.
12. The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:
  - a. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;
  - b. Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;
  - c. Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to

- discuss any notable issues re its record of performance that were not discussed in the technical application);
- d. Has a satisfactory record of integrity and business ethics; and
  - e. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

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

13. **Cost Sharing:** Cost sharing is required at a minimum of 20% of the total estimated cost of this award. . Applicants are required to contribute resources from their own, private or local sources for the implementation of this project. Applicants should submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of 22 CFR 226.23 and can be audited.
14. **Unnecessarily elaborate applications:** unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

## **5. SUBMISSION DEADLINES**

Applications shall be due on the date and time specified on the cover letter of this RFA. USAID will determine that any applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

## **6. FUNDING RESTRICTIONS**

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

## **7. GENERAL INSTRUCTIONS**

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

The preferred delivery method is electronically via e-mail to: [applications4@usaid.gov](mailto:applications4@usaid.gov) with up to 10 attachments (5MB limit) per email unprotected and compatible with Microsoft Office 2010 in a MS Windows environment. Multiple emails may be sent to accommodate the application size and content, but each must contain very clear identification of the attachment and instructions for assembling the application. Applicants may also send an Adobe Acrobat portable document format (.pdf) for electronic submission; however, zipped files attachments are not allowed. The subject line for every such email must include the following: **“Community Based Livelihood Development (C-BLD) for Women and Children in Swaziland.”**

Applicants shall submit 1 (one) original and 2 (two) hard copies of both the technical and cost application to the following addresses via courier shipment or hand delivery:

USAID/Southern Africa  
Office of Acquisition and Assistance  
P.O.Box 43, Groenkloof, 0027  
Pretoria, South Africa  
Attn: Leona Sasinkova, Agreement Officer  
Yvonne Habulembe, Regional Acquisition & Assistance Specialist

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

USAID/Southern Africa  
Office of Acquisition and Assistance  
100 Totius Street  
Groenkloof 0027  
Pretoria, South Africa  
Attn: Leona Sasinkova, Agreement Officer  
Yvonne Habulembe, Regional Acquisition & Assistance Specialist

Please note that lateness of the applications will be determined by the submission of the electronic submission, not the submission of hard copies. However, hard copies must be received no later than two (2) days following the closing date for receipt of application, if the application is submitted electronically.

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

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

## **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.

### **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 (40 Points)**

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

##### *1. Technical Soundness (15 points)*

Evaluation under this sub-factor will focus on the soundness of the overall technical approach. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points is associated with these considerations and their relative importance will vary given the circumstances:

- The extent to which technical approach is logical, well-conceived, and technically appropriate for the Swaziland context;
- The extent to which technical approach reflects understanding and accordance with the NSF and PF priorities and USG program objectives in Swaziland;
- The extent to which technical approach demonstrates knowledge of local market opportunities and challenges and how to tailor interventions to respond to specific vulnerabilities and circumstances of different target populations;
- The extent to which technical approach demonstrates innovative and results-focused strategies for strengthening the capacity of indigenous organizations and structures;
- The extent to which technical approach draws from lessons learned elsewhere, especially in the Southern African region, but sets forth an innovative approach for the situation in Swaziland;
- Demonstrated knowledge of the PEPFAR “Next Generation” indicators and quality of other outcome indicators proposed;

##### *2. Implementation Effectiveness (10 points)*

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

- The extent to which technical approach illustrates timelines for the effective implementation of project components and demonstrates the applicant's ability to reach stated program objectives within the required time period of performance, including a front-loaded plan for rapid launch of project activities;
- The extent to which technical approach reflects understanding of and experience in developing potential opportunities for private sector engagement, including innovative ideas for partnerships that contribute to sustainable development;
- The extent to which technical approach provides for sustained results beyond the life of the project;
- The extent to which application includes strategies for developing local capacity and transferring skills and responsibilities to local organizations in a concrete manner within the lifetime of the project.
- The extent to which technical approach includes a comprehensive plan for private sector engagement
- Applicant's proposed target ratio for resource leverage.

### *3. Gender Appropriateness (15 points)*

The strength of the analysis of gender issues presented in the application will be evaluated under this sub-factor. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points is associated with these considerations and their relative importance will vary given the circumstances:

- The extent to which application demonstrates a solid gender analysis in which relevant gender issues are identified and addressed;
- The extent to which proposed activities limit women's and children's vulnerability to sexual abuse, HIV infection and exploitation;
- The extent to which proposed activities address the inequitable burden of care carried by women and girls to serve as care-givers for family/community members with HIV/AIDS;
- The extent to which technical approach includes innovative strategies for engaging men in program activities.

### **b. Management & Staffing (15 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 relate to the evaluation of this sub-factor, though no specific amount of points is associated with these considerations and their relative importance will vary given the circumstances:

- The extent to which the proposed management plan addresses management of the program, including meeting technical, organizational, M&E and finance and administrative staffing requirements. The capacity to manage relationship with host country, capacity to manage sub-granting relationships with local and indigenous implementing partners including possible public private partnerships.

- The extent to which the proposed management plan demonstrates that the Chief of Party's experience, skills, and abilities are in line with the requirements discussed in Section IV of this RFA.
- A well-articulated staffing pattern reflecting the maximum proportion of locally engaged staff management and technical officers to manage and implement the program. Expatriate residential staff, if proposed, possesses strengths and skills that cannot be found among available Swazi professionals.
- The degree to which the proposed staff have demonstrated success in delivering technical assistance, in working in collaboration with host country governments and partner organizations, and demonstrated expertise in managing the administrative and financial aspects of a complex program.
- Clarity of the roles and responsibilities of partners and demonstration of appropriate delegation of authority. This includes the feasibility of proposed lines of communication, responsibilities and planned procedures to ensure the highest quality coordination and collaboration with the federal, regional, local governments and communities.
- Evidence of planning, mobilization and potential use of highly skilled United States volunteers.

**c. Monitoring & Evaluation (M&E) (10 Points)**

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

- The extent to which the proposed monitoring and evaluation plan is responsive to the need to assess progress towards targets and indicators outlined in the program description.
- Knowledge of the PEPFAR "Next Generation" indicators that this program will address and appropriateness of other higher level outcome indicators proposed by applicant.
- The extent to which M&E plan proposes a realistic and achievable timeline for reaching targets.
- The extent to which application demonstrates data reliability, validity and effectiveness in data collection and analytical approach for quantifying program progress and impact.
- The extent to which application explains how M&E activities will integrate with and support building local capacity for evidence-based decision making and programming.

**d. Institutional Capacity & Experience (15 Points)**

This factor focuses on the existing capabilities of the applicant and its actual experience in providing similar services to those required under the program description. The following considerations relate to the evaluation of this sub-factor, though no specific amount of points

is associated with these considerations and their relative importance will vary given the circumstances:

- The organizational knowledge, capability, experience of the lead applicant and other proposed team members (sub-contractors and/or grantees) in managing similar programs and activities related to livelihoods and economic strengthening, gender, child welfare, HIV/AIDS and organizational capacity building.
- Demonstrated experience in building beneficial relationships and collaboration with donors, host country governments, private sector partners and international and local NGOs.
- Level of experience in supporting and sustaining new knowledge and skills of local staff beyond program end.
- Level of 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)**

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 and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

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.

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.

The applicant's performance information determined to be relevant will be evaluated in accordance with the elements below:

- Quality of product or service, including consistency in meeting goals and targets;
- Timeliness of performance, including adherence to contract schedules and other time-sensitive 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.

*Note:* The USG will assign a neutral rating to an application which through no fault of its own has no past experience history (e.g. new business).

## **B. Cost/Business Application**

### **Cost Effectiveness and Cost Realism (10 points)**

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

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

## **2. BRNADING 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 20%** of the total estimated amount. If the applicant proposes a cost share of less than **20%**, 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 USAID employees, other U.S. Government representatives and host country experts.

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

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

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

## **SECTION VI – AWARD AND ADMINISTRATION INFORMATION**

### **1. NOTIFICATION TO APPLICANTS**

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

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

### **2. DEVIATIONS**

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

### **3. GENERAL INFORMATION ON REPORTING REQUIREMENTS**

The following reports and related requirements will be included in the cooperative agreement issued as a result of this RFA: A) Monitoring and Evaluation Plan; B) Annual Implementation Plans; C) Quarterly Progress Reports; D) Quarterly Financial Reports; E) Annual/Semi-Annual Performance Reports (APR & S/APR); F) Final Agreement Completion Report; and G) Miscellaneous Documents.

#### **A. Monitoring and Evaluation Plan**

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

Outcomes will be measured;

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

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

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

## B. Annual Implementation Plans

The recipient will submit annual implementation plans by country and region to the Agreement Officer's Technical Representative (AOTR). The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID/RHAP during the first 30 days following the awarding of the agreement. Subsequent 12-month implementation plans through the end of the agreement will be prepared on a 12-month fiscal year basis (October 1 – September 30) and submitted to the AOTR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOTR.

### *1. Contents*

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

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

### *2. Distribution*

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

### *3. Revisions*

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

C. Quarterly Progress Reports

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

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

D. Quarterly Financial Reports

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

Quarterly financial reports should contain, at a minimum:

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

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

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

F. Final Agreement Completion Report

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

G. Miscellaneous Documents

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

4. **ENVIRONMENTAL COMPLIANCE**

A. General

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

B. Compliance with the IEE

An Initial Environmental Examination (IEE) has been approved for the Activity funding the cooperative agreement expected as a result of this RFA. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that categorical exclusion applies to one or more of the proposed activities. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under

this cooperative agreement. Applicants can access the approved IEE for USAID/RHAP activities on grants.gov which is posted as part of the RFA package.

**C. Implementation Plans**

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

**5. USAID DISABILITY POLICY**

*The following provision is incorporated into this RFA.*

**USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)**

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

**[http://pdf.dec.org/pdf\\_docs/PDABQ631.pdf](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  
Box 43, Groenkloof, 0027  
Pretoria, South Africa  
+27 (012)452-2170  
[lsasinkova@usaid.gov](mailto:lsasinkova@usaid.gov)

**The Acquisition and Assistance Specialist for this Award is:**

Yvonne Habulembe  
Acquisition and Assistance Specialist  
USAID /Southern Africa  
Box 43, Groenkloof, 0027  
Pretoria, South Africa  
+27 (012)452-2367  
[yhabulembe@usaid.gov](mailto:yhabulembe@usaid.gov)

**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 landmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the 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](http://www.usaid.gov/branding) and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

*ATTACHMENTS*

The following attachments and annexes are provided:

1. SF-424 Forms;
  2. Lift Swaziland Assessment Report
  3. Certifications, Assurances and Other Statements;
- 
1. The SF-424 forms referenced in Section IV.2 above can be found at:  
[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)
  2. Lift Swaziland Assessment Report can be located on [www.grants.gov](http://www.grants.gov); it has been uploaded as a separate attachment but is part of the RFA No. 674-11-0042 package.

**USAID/Southern Africa  
Request for Applications (RFA) No. 674-11-0042  
Community Based Livelihood Development (C-BLD) for Women and Children in Swaziland**

**CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF  
THE RECIPIENT**

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

**PART I - CERTIFICATIONS AND ASSURANCES**

**1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS  
GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED  
PROGRAMS**

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

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

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

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

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

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

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

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

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which was approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## **2. CERTIFICATION REGARDING LOBBYING**

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

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

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

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### **Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**3. PROHIBITION ON ASSISTANCE TO DRUG TRAFFICKERS FOR COVERED COUNTRIES AND INDIVIDUALS (ADS 206)**

USAID reserves the right to terminate this Agreement, to demand a refund or take other appropriate measures if the Grantee is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certifications are required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

**4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224**

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
  - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.

3. For purposes of this Certification-

- a. "Material support and resources" means currency or monetary instruments or

financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.”

b. “Terrorist act” means-

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

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by sub national groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

**5. CERTIFICATION OF RECIPIENT**

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

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

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

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

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.

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

**PART III - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

**PART IV - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

TIN: \_\_\_\_\_

**3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

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

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

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

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

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

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

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

**5. PROCUREMENT INFORMATION**

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ \_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

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

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

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

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

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

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

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

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

**6. PAST PERFORMANCE REFERENCES**

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

**7. TYPE OF ORGANIZATION**

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

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a

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state or local governmental organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or

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

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

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

[END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS]

[END OF RFA 674-11-0042]