



Dear Prospective Applicant:

Federal Agency Name: United States Agency for International Development (USAID), Bureau for Global Health (BGH), Office of Health, Infectious Disease and Nutrition (HIDN)

Funding Opportunity Title: Request for Application (RFA): Achieving Universal Diagnosis and Appropriate Case Management for Malaria

Announcement Type: Initial

Funding Opportunity Number: RFA-OAA-12-000014

Note: All specified times in this RFA are Washington, D.C. time.

RFA Issuance Date: May 7, 2012
RFA Questions Due: 5:00 pm May 14, 2012 Washington DC time
RFA Closing Date: 5:00 pm June 7, 2012 Washington DC time

Summary

The United States Government (USG), represented by the Agency for International Development (USAID), Bureau for Global Health (GH), Office of Health, Infectious Diseases, and Nutrition (HIDN), proposes to enter a Cooperative Agreement for the implementation of the Achieving Universal Diagnosis and Appropriate Case Management for Malaria activities specifically described in Section I of this RFA. USAID is seeking applications from eligible institutions as described in Section III.A of the RFA, Eligibility Criteria. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

General RFA Information

USAID intends to award one (1) Cooperative Agreement under this RFA up to the amount of \$50,000,000 for a period of five (5) years (FY2012-FY2017).

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 organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the Agreement. 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/or submission of an application.

DUE DATE: Applications shall be received no later than due date above stated above. Applications submitted via fax or email will not be accepted. Applicants should retain a copy of their application and accompanying enclosures for their records. Applications must be submitted via grants.gov.

QUESTIONS: Prospective Applicants who have questions concerning the contents of this RFA shall submit them in writing no later than the date above to Amy Wire (AWire@usaid.gov) and Boryana Boncheva (BBoncheva@usaid.gov) by

email ONLY. No questions will be answered over the telephone or prior to question closing date. Question answers will be posted via amendment through grants.gov. No questions after the closing date will be accepted.

The preferred method of distribution of USAID assistance information is via the Internet. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. This RFA contains all necessary information, web links, and materials to submit a complete, full application. Any additional information regarding this RFA will be furnished through an amendment(s) and will be communicated through Grants.gov. In order to apply to this RFA, an applicant organization must be registered on Grants.gov. Additionally, in order to submit an application, organizations must have a current registration in the Central Contractor Registry (CCR). If an organization is currently not registered in CCR, Applicants are advised to begin the registration process IMMEDIATELY upon the issuance of this RFA. For issues with registering contact the Agency POC at awire@usaid.gov. Instructions for grants.gov registration are in Appendix C. Contact RFA POC's if you have issues registering for grants.gov BEFORE the submission deadline. Any applications submitted after the deadline are not accepted!

Applicants must submit two separate applications: (a) technical and (b) cost or business application. Applications must contain name and address of the applicant and RFA # (referenced above). Applications that omit required submission information as specified in Section IV will be deemed non-responsive and will not be reviewed by the technical panel.

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 applications. Further, the Government reserves the right to reject any or all applications received. Applicants who come under consideration for an award that have never received USAID funding will be subject to a pre-award audit to determine fiscal responsibility, ensure adequacy of financial controls, and establish an indirect cost rate (if applicable). For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient;" and "Grant Officer" is synonymous with "Agreement Officer (AO)".

In addition, award of the agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential Applicants are hereby notified of these requirements and conditions for the award. The AO is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either a fully executed Agreement or a specific, written authorization from the AO.

Cost Share Minimum Amount:

5% of the total cooperative agreement amount shall be provided by the prime recipient.

Application Specifications

Please read the application specifications carefully.

Technical Application:

All applicants shall submit a Technical Application by the closing date of this RFA. Technical Applications shall not exceed twenty (20) pages excluding documents requested to be provided in an Appendix (e.g. resumes, references, dividers, acronym list and table of contents, etc). **Any pages in a Technical Application that exceed the specified number of pages for the application or attachments will not be reviewed or considered during evaluations.** Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the 20 page limit. The font used in tables and charts may be adjusted as appropriate but should be no smaller than 10 point.

2. Cost Application: Applicants shall submit a completed SF 424, SF424A and SF 424B form by the closing date of this RFA. Applicants under consideration for award that have never received funding from USAID will be subject to a pre-

award audit to determine fiscal responsibility, ensure adequacy of financial controls, and establish an indirect cost rate (if applicable).

1. No limit on the number of pages for the cost/business application.
2. The application must be submitted using SF-424 and SF 424A "Application for Federal Assistance." The form is downloadable on USAID's website at: http://www.usaid.gov/procurement_bus_opp/procurement/forms/. Applicants must also submit SF-424 B "Assurances - Non-Construction Programs." The form is downloadable on USAID's website at: <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>
3. The technical application shall be marked with the RFA number, the Applicant's name, and the title "Technical Application". No part of the cost/business application shall be included in Technical application.
4. The cost/business application shall be marked with the RFA number, the Applicant's name, and the title "Cost/Business Application". No part of the technical application shall be included in cost application.
5. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.
6. Applicants may only submit documents to be included in the Appendix as requested in the RFA directions below.

Additionally, pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allowable and allocable 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 organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the agreement.

3. **Past Performance Short Forms:** Applicants shall provide past performance references on the Past Performance Short Forms with the application as an Appendix to the Technical Application.

Points of Contact and Questions

The Agency points of contact for this RFA are as follows:

Primary Point of Contact:

Amy Wire, M/OAA/GH

Agreement Specialist

Awire@usaid.gov

Alternate Point of Contact:

Boryana Boncheva, M/OAA/GH

Agreement Officer

BBoncheva@usaid.gov

Thank you for your consideration of this USAID initiative. We look forward to your participation.

Sincerely,



Shanon Sheffield

Agreement Officer

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ABBREVIATIONS AND ACRONYMS

AOR	Agreement Officer's Representative
ACT	Artemisinin-based Combination Therapy
CDC	U.S. Centers for Disease Control and Prevention
FAR	Federal Acquisition Regulation
GH	Global Health Bureau (USAID)
GHI	Global Health Initiative
HIDN	Office of Health, Infectious Diseases, and Nutrition (USAID)
IEC	Information, Education, and Communication
IPTp	Intermittent Preventive Treatment in Pregnant Women
IRS	Indoor Residual Spraying
ITN	Insecticide Treated Bed Net
M&E	Monitoring and Evaluation
NMCP	National Malaria Control Program
NGO	Nongovernmental Organization
NTD	Neglected Tropical Disease
PMI	President's Malaria Initiative
RDT	Rapid Diagnostic Test
RFA	Request for Application
TB	Tuberculosis
TEC	Technical Evaluation Committee
USG	United States Government
USAID	U.S. Agency for International Development
WHO	World Health Organization

SECTION I: FUNDING OPPORTUNITY

A. INTRODUCTION

The United States Agency for International Development (USAID) and the President's Malaria Initiative (PMI) seek to award a five-year, \$50,000,000.00 Cooperative Agreement, Achieving Universal Diagnosis and Appropriate Case Management for Malaria. USAID intends to support countries to expand high quality diagnosis and appropriate case management of malaria and related childhood illnesses, and possibly other priority infectious diseases. This activity will provide USAID, the Bureau for Global Health (GH), and the PMI with assistance to build the capacity of malaria-affected countries to provide high-quality diagnostic and treatment services for malaria and related childhood illnesses, and possibly other infectious diseases, at all levels of the health system and to provide global technical leadership on malaria diagnosis and case management.

B. BACKGROUND

B.1 Introduction

B.1.1 Global Health Initiative & PMI

Malaria prevention and control are major foreign assistance objectives of the US Government. In May 2009, President Barack Obama announced the Global Health Initiative (GHI), a comprehensive effort to reduce the burden of disease and promote healthy communities and families around the world. Through the GHI, the United States will help partner countries improve health outcomes, with a particular focus on improving the health of women, newborns, and children. PMI is a core component of the GHI, along with health programs for HIV/AIDS and tuberculosis.

USAID through PMI has become a major supporter of the scale up of malaria control activities in 19 focus countries in sub-Saharan Africa and the Greater Mekong sub-region¹. Since 2006, PMI has provided more than \$1.2 billion in support for malaria prevention, case management activities, and monitoring and evaluation activities in its target countries. These investments have resulted in the successful scaling up of malaria control activities in a number of target countries, particularly of preventive activities including long-lasting insecticide-treated bed nets and Indoor Residual Spraying (IRS), resulting in significant reductions in all-cause under-five mortality in several countries. Based on the successes of PMI, support has been extended through FY 2013 with the passage of the 2008 Lantos-Hyde Act. Although there have been improvements in both the quality and availability of malaria diagnosis and case management services in many PMI countries, the scale-up of these interventions has lagged behind those of the preventive strategies.

B.1.2 USAID Forward

USAID has embarked on an ambitious reform effort, *USAID Forward*, to change the way the Agency does business—with new partnerships, an emphasis on innovation and a relentless focus on results. It gives USAID the opportunity to transform its agency and unleash its full potential to achieve high-impact development. Under the *USAID Forward* reform agenda – a set of policy reforms and initiatives aimed at advancing USAID's global leadership in international development – the agency is continuing to expand its support for and investments in innovation and pioneering scientific, technological, research-motivated, and innovative approaches to traditional development challenges along with an emphasis on implementation and procurement reform, rebuilding policy capacity and strengthening monitoring and evaluation. The Achieving Universal Diagnosis and Appropriate Case Management of Malaria program will advance *USAID Forward* goals as well as those of the GHI.

¹ A complete list of PMI countries and other information about PMI can be found at www.pmi.gov

B.2 USAID/PMI's Approach to Malaria Diagnosis and Case Management

USAID/PMI's support for malaria diagnosis and case management is aligned with the technical guidelines and policies of the World Health Organization (WHO). In 2010, WHO revised its guidance on malaria case management calling on countries to adopt policies that would require all persons with suspected malaria to undergo diagnostic testing, with either malaria microscopy or a Rapid Diagnostic Test (RDT), and that treatment only be provided to those with a positive diagnostic test. WHO recommends that those patients with malaria receive a full-course of a quality-assured Artemisinin-Based Combination Therapy (ACT). WHO also has published a multi-agency manual, which was developed with technical and financial support from USAID/PMI that outlines the essential components of a malaria diagnostics program. Almost all PMI countries have aligned their policies with WHO's new guidance, but implementation of these policies in all but a few countries has lagged. In addition, even in those countries where progress has been made on scaling-up diagnostic testing for malaria, the quality of diagnostic testing performance and the use of test results by clinicians have been less than optimal.

Several factors have contributed to limited progress on scaling-up malaria diagnosis and treatment. These include stock outs of essential drugs and commodities (including lab supplies and RDTs), caused by poor quantification of stock requirements, insufficient resources for procuring sufficient stocks of these commodities, and weak logistics management systems. Lack of access to public sector facilities and to laboratory services also has posed a major impediment to progress. In addition, most clinicians in the region continue to diagnose malaria solely on clinical grounds. Even when clinicians send a patient for diagnostic testing, they often exhibit a lack of faith in the results and treat the patient for malaria even when the diagnostic test is negative. The lack of regular, high-quality supervision and quality assurance schemes contributes greatly to the lack of confidence of test results by clinicians.

USAID/PMI provides comprehensive support to countries for strengthening malaria diagnosis and case management, though a variety of mechanisms, that includes:

- Procurement and distribution of essential malaria treatments, laboratory equipment and supplies, and RDTs;
- Quality testing of both medicines and RDTs;
- Training of health workers and laboratory staff in malaria diagnosis and case management;
- Supervision of health workers and laboratory staff;
- Quality assurance of diagnostic testing;
- M&E of malaria diagnosis and case management activities; and
- Operations research to address key implementation issues related to malaria diagnosis and case management.

Progress in scaling-up malaria diagnosis and case management activities varies across PMI countries. Even in countries that have made significant progress in scaling-up these activities, quality-assurance systems often lag behind, stock-outs of essential drugs and supplies are frequent, and clinicians resist changing their practices in line with revised policies and guidance.

B.3 USAID's Support to Countries for Malaria Diagnosis and Case Management

In its countries, PMI has led efforts to improve the quality and scale of malaria diagnosis and case management through a range of centrally-funded and bilateral mechanisms that provide technical assistance, capacity building, and implementation support to Ministries of Health and other in-country partners.

Core Principles of PMI

PMI's support to countries is based on the following core principles:

- Closely align activities with host government national malaria control strategies and plans;
- Support a comprehensive and integrated approach to control and prioritize strengthening national capacity;
- Coordinate with international and in-country partners, including other USAID/PMI-supported mechanisms;
- Fill gaps not covered by countries or other donors; and
- Transparency and accountability

USAID intends to continue to apply these core principles to the Recipient of this award by:

- Requiring the country work plans are developed in collaboration with the host government, PMI headquarters and country teams, and all other key country stakeholders;
- Ensuring that all components required for a comprehensive, high-quality malaria diagnosis and treatment program are addressed either by this project or by other partners;
- Sharing work plans and activity reports with all stakeholders and providing periodic updates on progress;
- Ensuring that the Recipient implement activities in their work plan in a timely and coordinated manner and provide periodic updates on progress towards the objectives of this project. In addition, redacted award documents and progress reports will be posted on the PMI website.

Continuum of Support

PMI-supported countries are at varying stages of scale-up of malaria diagnosis and case management services. Support for some aspects of this scale-up is provided by other USAID/PMI-funded mechanisms, including the USAID DELIVER and SIAPS Projects which provide procurement and technical support for essential malaria commodities. In addition, USAID already supports a number of bilateral mechanisms that may already provide, for example, clinical training and supervision of health workers. Therefore, the scope and scale of support required under this new cooperative agreement may vary from limited technical assistance to address a specific bottleneck to full-scale capacity development and implementation support for a national malaria diagnosis, and case management program. Assistance may be required in:

1. Policy and guidelines development, revision, and dissemination;
2. Development and dissemination of new tools and job aides;
3. Program assessment and planning;
4. Training and supervision support;
5. Capacity building of national and subnational staff;
6. Implementation support; and
7. M&E quality and progress towards scale-up.

Accordingly, USAID/PMI's support for malaria diagnosis and case management will be tailored to address specific gaps of each country. Since these gaps may include a wide range of activities, USAID offers a continuum of support to meet the anticipated range of needs of these countries. The Recipient will be expected to conduct a comprehensive needs assessment and gap analysis (or use previous ones) and develop a multi-year plan for

achieving the project objectives for each country, in consultation with the host government, PMI headquarters and country teams, and other key stakeholders.

Examples of activities supported by this cooperative agreement include but are not limited to:

1. Assisting countries to align their national malaria policies and guidelines, and related policies, with international standards.
2. Supporting the development or revision of training and supervision tools, job aides, and standard operating procedures consistent with national policy and international standards.
3. Assisting with the design and implementation of quality assurance systems for malaria diagnosis and case management.
4. Facilitating planning and implementation of training, supervision, and quality assurance activities and coordinating these activities with those of other partners.
5. Supporting the development, implementation, and maintenance of systems for monitoring progress in quality and scale-up of malaria diagnosis and case management activities.
6. Conducting targeted assessments and operations research to address program-specific needs.
7. Providing technical and coordination support to international and regional level forums developing updated technical and implementation guidance.
8. Documenting best practices for scaling-up malaria diagnosis and case management.

C. STRATEGIC INTENT

USAID plans to award one cooperative agreement under this RFA that will facilitate the provision of highly efficient and technically excellent support and capacity building to PMI focus and non-focus countries. Support will be focused on assisting countries to develop national scale, quality-assured malaria diagnosis and case management programs. USAID anticipates Applicants may indicate formal arrangements with partner organizations or with sub-awardees for implementing this activity in their application.

Under this RFA, USAID wishes to partner with an organization or consortium that has proven capability in supporting the implementation of high quality diagnostic testing for malaria and in the clinical management of fever and malaria, considerable technical expertise in methods for diagnosing malaria and other priority infectious diseases (including TB and NTDs) and case management of sick children, a history of supporting the programs of Ministries of Health in developing countries, and the ability to provide on-demand technical assistance. The partner(s) will have experience in global leadership, including the development of technical guidelines and standardized systems for ensuring quality program implementation.

The Recipient will need to host considerable technical depth within its team to assist with implementing programs led by Ministries and/or to support other USAID projects and partners requiring technical assistance to bolster implementation results and to contribute to the development of global and regional technical norms and standards.

It is *not* the intent of USAID to replace existing resources for malaria control – at country, regional, or global levels. Existing resources may include global and country level technical assistance, funding support for malaria control, and other types of support currently being provided by a wide range of donors and partners.

The cooperative agreement issued under this RFA will complement USAID's existing mechanisms of support for malaria diagnosis and case management, which are summarized below.

Current USAID Support for Malaria Control

Project/ Implementing Group	Area of Focus	Description	Timeframe
USAID DELIVER Project, malaria task orders	Procurement of essential commodities (including drugs, RDTs, lab supplies and equipment) and support for strengthening of country procurement and logistics management systems	This has been PMI's flagship project for procuring malaria treatments, bed nets, RDTs, and lab supplies and equipment. It also supports many PMI countries to assist in procurement of these commodities and in strengthening the logistics management systems in those countries, to ensure that PMI-supported commodities reach their target population.	
SIAPS	Support for strengthening of country procurement and logistics management systems		
Maternal Child Health Implementation Project (MCHIP)	Support for scaling-up preventive and curative approaches for improving maternal and child health	USAID's flagship program to support scale-up of high quality preventive and curative services for improving maternal and child health.	
Multiple bilateral project on maternal and child health	Provide technical and implementation support to improve management of sick children at facility and/or community level.		
U.S. Centers for Disease Control and Prevention (CDC)		CDC is a core partner of PMI and provides technical assistance particularly on improving the quality of diagnostic testing for malaria.	This support will continue through an inter-agency agreement.

Partner Collaboration

This project will collaborate closely with all the partners listed above, under the guidance of USAID. This Recipient is also expected to coordinate with a variety of other USG and non-USG implementing partners at the country level, under the guidance of USAID, in the following areas:

1. **Technical Assistance:** The provision of on-demand technical assistance upon request from countries, including support to partners supported under USAID's other mechanisms.
2. **Procurement of Laboratory Supplies and Equipment:** The Recipient will be required, upon request from USAID, to assist countries and other USAID-supported partners by providing technical specifications for laboratory supplies and equipment and assist with quantification of requirements for these commodities.

3. Country Program Transitions: The Recipient is expected to facilitate the smooth transfer of country programs from other USAID mechanisms to this cooperative agreement, as determined by USAID. This will entail rapid start up and efforts to ensure that there are no program interruptions at the country level. The Recipient also will be required to ensure a smooth transfer of country programs from this mechanism to other USAID mechanisms or to direct country management, as determined by USAID.

D. GOALS AND OBJECTIVES

The aim of this project is to support PMI focus and non-focus countries to scale-up high quality malaria diagnosis and case management services. The project will contribute to PMI's overall goal of reducing the burden of malaria by 50% in 70% of the at-risk population in sub-Saharan Africa. The geographic scope of the project is worldwide and may include countries in Africa, Asia, and Latin America, but will focus primarily on the PMI focus and non-focus countries in sub-Saharan Africa.

The project will enable USAID to support programs by focusing on the technical and support functions listed in section E, per the following four objectives:

1. To improve the accuracy of diagnostic testing for malaria to greater than 90%;
2. To improve the percentage of patients with suspected malaria or febrile illness to receive a diagnostic test;
3. To improve the percentage of patients to receive appropriate treatment for malaria or other related illness consistent with results of a diagnostic test; and
4. To strengthen laboratory systems at the country level for malaria and other infectious diseases as applicable.

The Cooperative Agreement awarded under this RFA will contribute to increasing the number and proportion of persons with suspected malaria who receive appropriate diagnosis and treatment services in the countries in which they are working.

E. TECHNICAL AND SUPPORT FUNCTIONS

Five major lines of work are requested in this RFA to support the Objectives outlined above: (1) Technical assistance to Ministries of Health and other key partners; (2) Implementation support for scaling malaria diagnosis and case management; (3) Capacity building on malaria diagnosis and case management programming; (4) Global technical leadership and policy development; and, (5) M&E of program scale-up and quality. Each of these lines of work is described in detail below.

1) Technical Assistance to Ministries of Health and other key partners in the designing and implementation of malaria diagnosis and case management programs. This includes providing countries with the most up-to-date guidance on malaria diagnosis and case management and best practices for scaling-up these activities. Technical support should be provided on all aspects of the program including policy and guidelines development, tools and standard operating procedures, training, supervision and quality assurance, and program M&E. The Recipient should be prepared to provide on-demand, timely technical assistance to any PMI country providing funding support to this agreement.

2) Implementation Support to Ministries of Health and other key partners for scaling-up malaria diagnosis and case management programs. Although PMI's approach is to develop capacity within Ministries of Health at national and sub-national levels to implement and manage malaria diagnosis and case management programs, financial and logistical support is often required to ensure the smooth and timely implementation of training, supervision, and quality assurance activities, organize meetings, and to produce documents and tools.

3) Building technical and managerial capacity in malaria diagnosis and case management programming. Limited technical and managerial capacity and infrastructure is a common challenge for malaria control programs throughout sub-Saharan Africa. This is particularly true for malaria diagnosis and case management programs, as the focus on clinical diagnosis of malaria for the last few decades led countries to sharply reduce national and sub-national programs for supervision and quality assurance for diagnostic testing for malaria. To respond to the updated policy guidance from WHO, countries must reconstitute the infrastructure and the technical and managerial capacity to ensure that front-line health workers receive the highest quality training and supervision, and that quality assurance systems function fully. USAID seeks to build the capacity of host country governments and other key partners to manage and oversee these programs. At the country level, the Recipient will be expected to identify capacity building needs related to technical and managerial expertise in malaria diagnosis and case management among host government programs and USAID implementing partners. For these areas of capacity development, the Recipient will be expected to take a pro-active approach to prioritizing and addressing country-level needs.

4) Global technical leadership and policy development on malaria diagnosis and case management. The Recipient will be expected to draw on its experiences during the implementation of this project across multiple countries to identify best practices for scaling up and achieving optimal quality, and common gaps and bottlenecks that require a global and/or regional response. The Recipient will contribute its country-level experiences and disease expertise to the establishment or updating of evidence-based international guidelines, norms and standards for malaria diagnosis and case management in collaboration with the WHO, Roll Back Malaria, and other international partners as needed. A description of all such activities and their outcomes should be included in the annual report.

5) M&E of project activities, as well as developing capacities of Ministries of Health to monitor and evaluate malaria diagnosis and case management activities. In order to monitor progress toward the goal of scaling-up, appropriate indicators must be selected and systems must be developed to collect and analyze progress on those indicators. Capacity must be developed in the appropriate departments of Ministries of Health to oversee collection of these data at peripheral levels and to collect, collate, and analyze the data. The results of this analysis should drive decision-making on policies, guidelines, and implementation approach and focus. These data are also needed by USAID/PMI to monitor progress of the Recipient. These activities should align with M&E activities of the National Malaria Control Program (NMCP) and the Ministry of Health in each country. The Recipient will be responsible for developing and implementing an M&E framework for this project, as well as supporting the host government with strengthening existing country monitoring systems to incorporate appropriate approaches to monitoring scale-up and quality of diagnostic testing and case management of malaria.

F. Gender Considerations

The ability to identify and address gender constraints is an important element in the design of appropriate and sustainable programs. USAID recognizes that gender plays an integral part in development and health outcomes, since men and women have different societal roles, behaviors, and expectations that may affect their access to health, information, education, and productive resources. As an Agency, USAID has a renewed focus on gender equality and female empowerment and is committed to:

1. Ensuring that USAID programs explicitly and deliberately seek to eliminate gaps between the status of males and females;
2. Ensuring that the different roles, responsibilities, and expertise of women and men are reflected in project design, implementation, and evaluation;
3. Ensuring that women and men are full and equal partners in consultation, planning, program and project design, and implementation and evaluation; and
4. Leveraging the expertise and leadership skills of women and girls

Although the risk of becoming infected with malaria is similar among men and women exposed to the same environmental conditions, women bear a much heavier burden from malaria. First, pregnant women, particularly those in their first pregnancy, are more susceptible to developing illness and severe disease from malaria due to decreased immunity during pregnancy. Malaria also causes anemia which can further complicate anemia from other causes in women of reproductive age in developing countries. Malaria during pregnancy also increases the risk of maternal anemia, premature delivery, low birth-weight infants, and stillbirth. In addition, women, as the primary caretakers of young children, bear the burden of care when their children get malaria.

Because women are especially vulnerable to malaria when pregnant, PMI considers gender, and other social inequities, seriously during programming and implementation. PMI's gender focus takes into account many factors that can exacerbate a woman's vulnerability to malaria, whether pregnant or not. PMI-funded activities are designed to contribute to minimizing gender inequities, including the following related activities:

1. Oversight of national malaria treatment guidelines ensures they address the treatment of clinical malaria during pregnancy and drug availability; and
2. Analysis of data from household surveys and health management information systems (HMIS) assesses potential gender differences in risk of Plasmodium infection and clinical malaria and access to prevention and treatment.

PMI has supported efforts and resources in all its countries to build capacity to provide services through antenatal clinics and move diagnosis and treatment services closer to affected communities, enabling women in those communities to more easily access these services. These will be among the steps taken under the project to mitigate the impact of malaria on women.

In addition, person-level data used for project activity monitoring will be gender-disaggregated where practicable. The Recipient will monitor equitable coverage of malaria diagnosis and case management strengthening activities for all countries supported under this cooperative agreement, and will explore ways to improve equality of services, if needed.

G. Geographic Focus

The authorized geographic code for procurement of services for this action is 937. The authorized geographic code for procurement of commodities for this action is 937.

{END OF SECTION I}

SECTION II. AWARD INFORMATION

A. Anticipated Award Schedule

It is anticipated that one (1) five-year, Cooperative Agreement will be awarded by September 30, 2012.

B. Estimate Funds Available and Type of Award

The estimated amount of funds available under the RFA is \$50,000,000.00, subject to availability of funds. This award can accept any type of USAID funds from any USAID operating unit including USAID Missions, Bureaus or offices.

C. USAID Management

The Agreement Officer's Representative (AOR) will serve as the primary contact between USAID and the Recipient of the Cooperative Agreement. The AOR and his/her technical team will be based in GH/HIDN and will assist the project in linking with other GH projects, Mission bilaterals, and other donors/foundations. In addition, technical input will be provided by Missions for management of activities supported by field support funds.

D. Substantial Involvement

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

1. Approval of the Recipient's annual work plans: This may include, including: planned activities for the following year, annual reports, international travel plans, planned expenditures, event planning and management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement. Substantial changes may require a formal modification by the Agreement Officer.
2. Approval of specified key personnel (assigned to the positions listed below): All changes thereto must be submitted for the approval by the AOR and the Agreement Officer.
Title: Project Director
Title: Technical Director
3. Agency and Recipient collaboration: USAID and Recipient collaboration or joint participation, which may include the selection of advisory committee members;
4. Approval of sub-award Recipients: This shall include USAID concurrence on the substantive provisions of the sub-awards. USAID approval is required for all sub-tier sub-awards. The term 'sub-awards' includes both sub-agreements and sub-contracts. All sub-awards not included and approved in the original Cooperative Agreement require approval as per 22 CFR 226.25(8); and,
5. Approval of the Recipient's Monitoring and Evaluation Plan: This approval shall also include other monitoring as described in 22 CFR 226, and shall include USAID involvement in monitoring progress toward the achievement of program objectives during the performance of the project, including written guidelines for the content of annual reports and final evaluations in accordance with 22 CFR 226.51.
6. Agency Authority to Immediately Halt a Construction Activity: The Agreement Officer may immediately halt a construction activity if identified specifications are not met.

[END SECTION II]

SECTION III: ELIGIBILITY INFORMATION

A. Eligibility Criteria

To be eligible for the Cooperative Agreement under this RFA, an organization must be a U.S.-based or non-U.S. based non-governmental institution, for-profit, non-profit or private voluntary organization or consortium of such organizations registered with USAID, including research organizations, universities, developing countries institutions and partners (particularly those that are Africa-based), and relevant special interest associations.

USAID welcomes applications from organizations which have not previously done business with USAID. Individuals are not eligible.

B. Pre-award Responsibility Determination

The recipient must be a responsible entity. Agency policy states a positive responsibility determination means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the assistance program to be funded, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. The Agreement Officer (AO) may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program.

C. Cost Share

USAID has established a cost share minimum of 5% of the USAID-funded or obligated amount projected up to the maximum ceiling for the Recipient award. Such funds may be mobilized from the Recipient, other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute sharing in grants and cooperative agreements, please see 22 CFR 226.23 at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=%2Findex.tpl> and search under Title 22 Foreign Relations.

[END SECTION III]

SECTION IV: APPLICATION AND SUBMISSION INFORMATION

A. Submission Instructions

The following are instructions to submit applications:

RFA Closing Date and Time: Applications shall be submitted on 5:00 PM Washington time June 7, 2012. Applicants must download application package from grants.gov to submit SF 424.A & B and Technical and Cost Application before closing date. NO hand carried submissions will be accepted. The applicant must ensure that they have access to grants.gov. Applications submitted electronically must have technical separate from cost. All documents must be properly labeled. Cost Application budget spreadsheet must be submitted in Excel form with unlocked cells with formulas visible. Applications submitted in any other format will not be accepted.

This RFA contains all necessary information, web links, and materials to submit a complete, full application. Any additional information regarding this RFA will be furnished through an amendment that is communicated through Grants.gov. This RFA and any future amendments can be downloaded from the World Wide Web Address at <http://www.grants.gov>. For instructions on how to register at Grants.Gov, see Appendix C. The date and time application packages are downloaded by the agency contact listed in section VIII Agency Contacts will be the determination for timeliness. Applications must be received by the RFA closing date and time via grants.gov for applications to be considered received in time.

B. General Application Instructions

The following are general instructions for what constitutes an application and how applications shall be formatted:

1. An application shall consist of a Technical application and a cost/business application.
2. All information shall be presented in the English language and shall be formatted in either Microsoft Word 2010 or Microsoft Excel 2010 with all formulas unlocked.
3. Cover page (**1 page – not included in the 20 page limit**): shall ONLY contain following information:
 - a. RFA number, Include proposed Project title, name of the organization(s) submitting the application, point of contact information for technical and cost application, telephone and fax numbers, email, address, TIN, DUNS, Cage code and the names of sub recipients.
4. The Technical application:
 - a. Shall be singled-spaced text, printed double-sided, minimum 12-point font, minimum one (1") margins on standard letter sized paper (8.5" x 11").
 - b. Shall not exceed twenty (**20**) pages excluding documents requested to be provided in an Appendix (e.g. resumes, references, dividers, acronym list and table of contents, etc). **Applications in excess of this limit will not be evaluated.**
 - c. Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the **20** page limit. The font used in tables and charts may be adjusted as appropriate but should be no smaller than 10 point.
 - d. **Shall include an Executive Summary (2 pages – not included in the 20 page limit):** Briefly describe how the Applicant proposes to meet the RFA design requirements, carry out the activity functions, and achieve the anticipated results. Briefly describe the technical and managerial resources of the applicant's organization and partners (if appropriate) and how the overall program will be managed.
5. Cost/business application:
 - a. No limit on the number of pages for the cost/business application.
 - b. The application must be submitted using SF-424 and SF 424A "Application for Federal Assistance." (downloadable at

http://www.usaid.gov/procurement_bus_opp/procurement/forms/) and SF-424 B “Assurances for Non-Construction Programs downloadable at <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>.

6. The technical application shall be marked with the RFA number, the Applicant’s name, and the title “Technical Application”. No part of the cost/business application shall be included in Technical application.
7. The cost/business application shall be marked with the RFA number, the Applicant’s name, and the title “Cost/Business Application”. No part of the technical application shall be included in cost application.
8. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.
9. Applicants may only submit documents to be included in the Appendix as requested in the RFA directions.

C. TECHNICAL APPLICATION GUIDELINES

This section represents the technical portion of the RFA. Applicants should present their technical approach and demonstrate their capabilities and expertise with respect to achieving the overall program objective and accomplishing the four specific objectives highlighted in Section I E, page 13 of this RFA. The application also should take into account the technical selection criteria and evaluation procedures found in Section IV. Technical Applications should be specific, complete and concise, and the format should include the information described below.

Technical Application shall not exceed twenty (20) pages excluding documents requested to be provided in an Appendix (e.g. resumes, references, dividers, acronym list and table of contents, etc). Applicants may choose the number of pages to devote to each section.

1. Technical Approach and Implementation

The Applicant shall present a proposed approach that demonstrates an overall understanding of issues relating to improving the capacity of countries to provide high-quality diagnostic and treatment services for malaria, and possibly other diseases, at all levels of the health system. Applicants will need to describe how they are going to assist countries to develop national-scale, quality-assured diagnosis and case management programs, that achieve the objective stated in this RFA. Applicants will need to specifically address the four objectives and five lines of work described in Section D, pages 12- 13.

a. Technical Approach

Applicants should include a description of the priority technical assistance needs that can be anticipated in malaria endemic countries and present a cost-effective and responsive strategy to address these needs. The approach should take into account the needs of both governments and USAID implementing partners at country-level as well as global technical assistance needs. Applicants must describe how needs and requests for technical assistance will be identified and prioritized. Applicants should describe how the composition of the team, and technical assistance structure, will ensure efficient technical support for malaria and other infectious diseases.

b. Implementation Support:

Applicants should include a description of the approach that would be taken to provide implementation support to scale-up systems to deliver quality-assured diagnostic testing and case management services for malaria and to develop the capacity with the Ministries of Health at national and sub-national levels

to implement and manage these programs. Areas of support may include implementation of training, supervision, quality assurance activities, as well as other areas such as financial and logistical support. In addition, the applicant should describe its approach to identifying and addressing bottlenecks to implementation.

In addition, the applicant should describe the approach that will be taken to build capacity within the appropriate Ministries of Health to monitor and evaluate malaria diagnosis and case management. The applicant should describe their approach to support host country governments with strengthening existing country monitoring systems and strengthening the use of data collected by the monitoring systems for decision making.

Applicants should propose an approach to gender that demonstrates the ability to identify and address gender constraints in the implementation of this project.

2. Monitoring and Evaluation Plan :

The Monitoring and Evaluation Plan section shall demonstrate the Applicant's understanding of monitoring and evaluating requirements with respect to the merit and feasibility of its approach to successfully undertake the project. Applicants should describe the modalities that will be employed to systematically capture data on the USAID-funded activities and to share results. A description of how the Applicant will translate lessons learned from data into more effective project implementation on an ongoing basis should be included. The applicant will describe the approach to performance monitoring.

The Monitoring and Evaluation Plan section shall include the following two sections:

- **Monitoring and Evaluation Plan**

The Monitoring and Evaluation Plan shall describe the following:

- Discussion on how the illustrative Performance Monitoring Plan will be designed and implemented by the beginning of the project
- Description of how USAID reporting requirements, as described in Section VI.B, will be met.
- Demonstrate how the illustrative Performance Monitoring Plan will document explicit links between project activities and expected results.

The Monitoring and Evaluation Plan section shall be consistent with USAID's Evaluation Policy (<http://www.usaid.gov/evaluation/>).

- **Performance Monitoring Plan (illustrative)**

The Performance Monitoring Plan shall describe the following:

- An illustrative chart for monitoring the performance of the Malaria Project
- Identify the indicators that will be used for the project purpose;
- Identify the data collection method, type, information source, and timeline of collection of the information to be collected,

3. Key Personnel & Staffing Qualifications

The applicant shall provide a brief narrative describing how the proposed skill set and personnel will achieve the five technical and support function listed in section E, pages 12-13.

Additionally, this section should:

1. Demonstrate that the proposed key personnel meet the requirements described below.

2. Provide evidence that the proposed key personnel candidate(s) has/have a proven technical and management track record in the successful execution of programs in developing countries and achievement of objectives similar to those described in the RFA.

a. *Key Personnel*

The Applicant shall designate 2 key personnel for the positions listed below. Together the 2 key personnel must possess the combination of leadership, have multi-country experience in managing complex health programs in malaria-affected countries, and supervisory skills and experience, as well as the technical expertise necessary for the successful implementation of projects of this size and scope

The Applicant should include in the body of the Technical Application a summary of key personnel (short bios, no more than half a page) and how these individuals fit into the overall staffing/management plan. In an appendix, the Applicant must provide the following information for each Key Personnel: name, position title, level of effort, resume (no more than 3 pages), a minimum of three references, signed letters of commitment, and the date the proposed individual is available to begin work. Discuss the capabilities and experience of the proposed candidate for the key personnel positions;

1) Project Director

The Applicant is required to specify a Project Director. The project director is considered “key personnel” and must meet or exceed the qualifications listed below. This individual will be responsible for reporting and meetings with the project AOR, or designated Activity Manager. The Project director will provide vision, direction, leadership, and management to the award.

At a minimum the Project Director must possess the following required experience and qualifications:

- Minimum of a master’s degree in public health, tropical medicine, epidemiology, health management, or related field;
- A minimum of 10 years’ experience working on international projects related to infectious diseases, preferably in malaria;
- A minimum of 5 years’ experience successfully leading international development projects similar in scope and complexity;
- Demonstrated management, leadership, decision making, and interpersonal skills;
- Full professional proficiency in English with excellent oral and written communications skills; and
- Demonstrated ability to create and maintain effective working relations with senior Government personnel, international organizations, NGO partners, host country governments, and U.S. Government Agencies.

2) Technical Director

The Applicant is required to specify a Technical Director. The Technical Director is considered “key personnel” and must meet or exceed the qualifications listed below. This individual will be responsible for providing technical leadership of the project and supporting the Project Director with his/her responsibilities.

The Technical Director must have the following experience and qualifications:

- A Doctoral level degree in medicine, public health, tropical medicine, epidemiology, health management or other health related field;
- A minimum of 10 years' experience working on international projects related to infectious diseases, preferably in malaria;
- At least 5 years of senior level experience providing technical support to developing countries on malaria diagnosis and/or case management ;
- Demonstrated international credibility as a leader on malaria diagnosis and/or case management;
- Experience in management of public health programming involved in the introduction and scale-up of technical interventions;
- Proven skill in working with senior-level representatives of developing country governments, international organizations, other bilateral donor and civil society organizations, and private sector organizations;
- Demonstrated management, leadership, decision-making, and interpersonal skills; and
- Full professional proficiency in English, with excellent oral and written communications skills

Staffing Plan and Qualifications

The application should include a detailed description and rationale for the applicant's proposed staffing and recruiting plan for the cooperative agreement as a whole. The staffing plan should describe how the project will maintain access to breadth of expertise relevant to achieving each of the objectives. In addition, the plan should address how expertise will be mobilized and technical assistance provided to countries that elect to use this project for other priority infectious diseases (e.g. TB and NTDs) described in Section I. The plan should distinguish between in-house expertise and expertise available through partners and consultants, and should similarly describe the technical depth needed to implement programs led by Ministries of Health and to support other USAID projects/partners.

In addition, the staffing plan should provide:

1. As part of the technical application: provide the titles and numbers of the positions, as well as job descriptions and responsibilities for the proposed positions. Names of individuals proposed for positions on the project staff should be provided, if known, and the institutional affiliation of each if not a direct hire employee.
2. In an Appendix: a matrix of all proposed staff summarizing relevant technical, administrative, and language skills, as well as field experience they bring to the performance of this program (may be in the form of biographical statement not to exceed more than one paragraph).

4. Management Approach

The Applicant should propose a management approach that addresses the breadth, depth, and technical skills required to successfully undertake this activity. This should include:

- a. Description of the proposed management and administrative arrangements for overall implementation of the program, including sub-award partners, personnel and financial management, and country program management. Key components:

- i. Management plans with an organizational chart that identifies lines of authority across all partners and between possible prime and sub-grantee award activities;
- ii. Description of how the program will operate a small and efficient home office;
- iii. Plan for ensuring rapid project start-up in the first year; and
- iv. Plan for providing country support.

5. Institutional Capacity

This section shall describe the applicant's institutional capability as well as capability of their sub-grantee and/or partners to implement activities as described in this RFA and demonstrate how their capability will enable successful public health outcomes. The applicant shall indicate the anticipated roles and responsibilities of each sub-grantee and/or partner related to their institutional capacity and the anticipated distribution of resources. Letters from sub-grantees and/or partners shall reference the "Achieving Universal Diagnosis and Appropriate Case Management for Malaria" specifically, and state what expertise they shall provide relevant to the program description in the RFA. These letters from sub-grantees and/or partners shall be included in an Appendix.

In describing this experience, the applicant shall:

- a. Describe the institutional capability of the proposed prime and partners to plan, implement, and support complex programming for the range of activities & skills outlined in the RFA;
 - b. Describe the prime's ability to work with multiple partners on issues relevant to the scope of this RFA, including experience in providing leadership to multi-partner collaborations or initiatives involving multiple donor agencies or foundations (or their partners), host governments, and private sector partners.
6. **Past performance** (note: all past performance material shall be provided in an Appendix and does not count toward the 20 page limit)

This section of the application provides information about the Applicant's relevant past performance record in developing and implementing similar programs.

Prime Applicant Past Performance requirement:

As an Appendix, please complete past performance information (see form **Appendix A**) for three (3) past performance references which describe any contracts, grants, cooperative agreements which the applicant organization has implemented involving similar or related programs over the past three years. Please include the following information: name and address of the organization for which the work was performed; name and current telephone number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date. It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

Please note that USAID reserves the right to obtain past performance information from other sources, including those not named in this application. If the applicant does not have any relevant past performance for themselves or sub recipients, the applicant must indicate in this fact in their application or they will be considered unresponsive and will not be considered.

Sub-awardees/partners Applicant Past Performance requirement:

Sub-grantees/sub-applicants that will be conducting more than 10% of the level of effort to the Achieving Universal Diagnosis and Appropriate Case Management for Malaria project shall also provide completed Past Performance Short Forms as described for the Prime. If applicable, the sub-grantees/sub-applicants shall provide (3) past performance Short Forms, as an Appendix.

If the case exists that the applicant possesses no relevant directly related or similar past performance, the applicant must state this directly. USAID shall determine the relevance of similar past performance information.

D. Cost/Business Application

USAID will evaluate the cost/business application separately for cost effectiveness and realism. While there is no page limit for this portion, Applicants are encouraged to be as concise as possible, but still provide the necessary details. USAID will require the following detailed information from the Applicant organization:

1. The cost/business application must be for the period of the proposed program and be completely separate from the Applicant's technical application, and submitted by using SF-424 B "Assurances - Non-Construction Programs." The form is downloadable on USAID's website at: <http://apply07.grants.gov/apply/forms/sample/SF424B-V1.1.pdf>

If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

2. The Applicant must provide a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and narrative that discusses the costs for each budget line item (preferably in Microsoft Word).

3. If the Applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document/s should include a full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement, identity of the applicant that will have accounting responsibility, how the applicant proposes to allocate effort under any cooperative agreement, and the express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other. Applicants must complete the required Representations and Certifications under Appendix B with the cost/business application.

4. The Applicant's proposed budget should provide estimates of the program based upon the total estimated costs for the Agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

The cost/business application should describe headquarters and field procedures for financial reporting and the management information procedure(s) to ensure accountability for the use of U.S. Government funds. Applicants must describe fully program budgeting, financial and related program reporting procedures.

Applicants must provide detailed budget notes or narrative for all costs, and explain how they derived costs, consistent with the following guidance on required information:

- A. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- B. According to each partner organization involved in the program;
- C. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- D. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
- E. Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
- F. Procurement plan for commodities if needed (although not required);
- G. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement; and
- H. All information should be "text accessible", meaning that cells shall not be hidden or password protected. All calculations must be visible. Information used that is NOT included will render the calculations of that information unusable, and that information will not be evaluated or used in the evaluation process. All data and information must be included and shall not be "implied." All reference data and information shall be made available for review.

Applicants must provide the following cost element details:

- A. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
- B. Fringe Benefits – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
- C. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. Applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.
- D. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
- E. Indirect Costs – The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Rate Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Reimbursement for indirect costs shall be at the lower of the negotiated final or predetermined rates, or the following ceiling rates:

(a) Description	Rate	Base	Type	Period
	%	1/	1/	1/
	%	2/	2/	2/

1/Base of Application:

Type of Rate:

Period:

Source:

2/Base of Application:

Type of Rate:

Period:

Source:

(b) The Government shall not be obligated to pay any additional amount should the final indirect cost rates exceed the negotiated ceiling rates. If the final indirect cost rates are less than the negotiated ceiling rates, the negotiated rates shall be reduced to conform to the lower rates.

(c) This advance understanding shall not change any monetary ceiling, obligation, or specific cost allowance or disallowance. Any changes in classifying or allocating indirect costs require the prior written approval of the AO.

(d) The recipient will make no change in its established method of classifying or allocating indirect costs without the prior written approval of the AO and OAA/CAS.

(e) This advance understanding shall not change any monetary ceiling, cost limitation, or obligation established in the contract.

(f) The distribution base for establishment of final overhead rates is ----- . The distribution base for establishment of final G&A rates is -----

NOTE: The AO shall determine a fair and reasonable indirect cost rate ceiling for each agreement awarded to a small business that does not have an established NICRA.

E. Certifications and Representations

All Certifications and Representations found under **Appendix B** must be completed and submitted with the cost application.

[END SECTION IV]

SECTION V: APPLICATION REVIEW INFORMATION

A. Technical Evaluation Criteria - Overview

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The criterion is presented with relative points (totaling 100 points) so Applicants will know which areas require emphasis in applications. The sub-criteria are weighted equally for Technical Approach, Implementation Approach, Key Personnel Qualifications and Staffing Capabilities, Management Plan, and Institutional Capability, and past performance.

Thereafter, the cost application of all applicants submitting a technically acceptable application will be evaluated for general reasonableness, allowability, and allocability. Award will be made to responsible applicants whose application offers the greatest value to the U.S. Government, technical, cost and other factors considered. In evaluating the different components of the technical proposals, the U.S. Government will examine the overall merit and feasibility of the applications, as well as examine specific criteria relevant to each component, as elaborated below. Applications will be evaluated on their technical criteria, however, USAID intends to award to the applicant which provides the greatest value to the Government. Applications who are most technically acceptable will be considered for award. However, some other determining factors could be used to determine the greatest value to the Government such as cost/business application, past performance, etc.

Each technical application submitted in response to this RFA will be evaluated in relation to the evaluation factors set forth in this solicitation and which have been tailored to the requirements of this RFA. Applicants must note that these criteria serve to: (a) identify the significant matters that applicants must address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their applications in the same order as the selection criteria.

The Government may evaluate applications and award an agreement without discussions with applicants; however, the Government reserves the right to conduct discussions if determined necessary by the AO. Therefore, each initial application should contain the applicant's best terms from a cost or price and technical standpoint.

The applicant's cost share contribution will be reviewed for cost effectiveness and realism and to verify that the applicant meets the standards set forth in 22 CFR 226.23 Cost Sharing or matching and the applicable Standard Provisions.

Technical Application Evaluation

The technical applications will be evaluated on the technical selection criteria and sub-criteria provided in the Technical Application Selection Criteria section below. Sub-criteria listed under each section will be equally weighted. To facilitate the review of applications, applicants should organize the narrative portions of their application in the same order as the broad selection criteria and should refer to the detailed instructions found in Section A, Technical Application Selection Criteria below. Applicant's technical application submitted in response to this RFA will be evaluated in relation to the criteria set forth. These criteria identify the significant areas that applicants should address in their applications and serve as the standard against which all applications will be evaluated. USAID will award the application determined to be most advantageous to the Government, based on these criteria.

Technical Application Selection Criteria

The Technical application will be evaluated on the basis of the following factors: technical approach and implementation, and M&E, key personnel and staffing qualifications; management approach; institutional capacity, and past performance. Applications shall present information on each of these factors. To facilitate the review of applications, applicants should organize the narrative portions of their application with reference to the format guidelines found in Section IV.B, Technical Application Guidelines.

Summary:

Technical Understanding and Approach	25 points
Monitoring and Evaluation Plan	10 points
Key Personnel and Staffing Qualifications	20 points
Management Approach	15 points
Institutional Capacity	20 points
Past Performance	10 points
Total	100 points

I. Technical Approach and Implementation (25 points)

A. Technical Approach (15 points)

- A. Demonstrates a clear knowledge of the state-of-the-art for malaria diagnosis and case management, including global recommendations for implementing such programs in malaria-affected countries.
- B. Possesses a clear understanding of the challenges and best practices for improving the capacity of countries to provide high-quality diagnostic and case management services for malaria and other infectious disease, at all levels of the health system. Provides a description of priority technical assistance needs that can be anticipated in malaria endemic countries and present a cost-effective and responsive strategy to address these needs.
- C. Describes an approach that is likely to achieve the project's stated goal and objectives. Describe how country needs and requests for technical assistance will be identified and prioritized.
- D. Possesses a clear understanding of biological, cultural and social factors that strongly influence disease prevention, care-seeking behavior and access to treatment.

B. Implementation Support (10 points)

- A. Proposed approach reflects an understanding of the common country implementation needs for malaria diagnosis and treatment programs and presents a cost effective and responsive strategy for prioritizing and addressing the needs of countries receiving support under this agreement as well as the needs of countries and partners supported under other USAID partners.

- B. Describes the cost-effective approach that would be taken to provide implementation support to scale-up systems to deliver quality-assured diagnostic testing and case management services for malaria and to develop the capacity with the Ministries of Health at national and sub-national levels to implement and manage these programs.
- C. Outlines the approach that will be taken to build capacity within the Ministries of Health to monitor and evaluate malaria diagnosis and case management. Describes their approach to support host country governments with strengthening existing country monitoring systems and strengthening the use of data collected by the monitoring systems for decision making.
- D. The extent to which the approach to gender demonstrates the ability to identify and address gender constraints in the implementation of this project

II. Monitoring and Evaluation Plan (10 points)

- A. The extent to which the Monitoring and Evaluation Plan is feasible and likely to capture data on the USAID-funded activities and to share results
- B. The extent to which the monitoring and evaluation plan will translate lessons learned from data into more effective project implementation on an ongoing basis should be included.
- C. Properly describes how USAID reporting requirements evaluation criterion will be met.
- D. Demonstrates how the illustrative Performance Monitoring Plan has documented explicit links between project activities and expected results.
- E. The extent to which the illustrative Performance Monitoring Plan identifies appropriate indicators that will be used for the project purpose;
- F. The extent to which the illustrative performance monitoring plan identifies a feasible, cost effectively, and appropriate data collection method, type, information source, and timeline of collection, of the information to be collected.

III. Key Personnel and Staffing Qualifications (20 points)

- A. Proposed Project Director meets or exceeds the minimum requirements set forth in Section IV.C.3 and reflects the ability to execute the project requirements.
- B. Proposed Technical Director meets or exceeds the minimum requirements set forth in Section IV.C.3 and reflects the ability to execute the project requirements.
- C. Other proposed personnel address the full range of experience in the technical priority areas outlined in Section IV.C.3.

IV. Management Approach (15 points)

- A. Proposed management and administrative arrangements will enable awardee to efficiently and effectively implement the program of work.

- B. Lines of authority are clear, logical, and appropriate for managing all project staff, including partners and consultants.
- C. Management plan feasible, efficient, and contains costs for accomplishing all aspects of project implementation; has the flexibility to respond to changing priorities and new opportunities.

V. Institutional Capacity (20 points)

- A. Depth and breadth of institutional capacity (by the prime applicant and partners) in priority technical areas demonstrated, similar to the program description.
- B. Anticipated roles for all partners clear and feasible and resources distributed based on their demonstrated institutional capacity.
- C. Demonstrated ability to work with multiple partners on issues relevant to the scope of this RFA, including experience in providing leadership to multi-partner collaborations or initiatives involving multiple donor agencies or foundations (or their partners), host governments, and private sector partners.

VI. Past Performance (10 points)

- A. Past performance involving similar or related programs in quality of product or service, cost control, timeliness, customer satisfaction and key personnel in previous and/or existing projects (10 points).

[END SECTION V]

SECTION VI: AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Reporting Requirements

The Recipient will adhere to all reporting requirements listed below. As required under Substantial Involvement, all reports shall be submitted by the due date for approval of the USAID AOR designated by GH. The Recipient will consult the AOR or designated Activity Manager on the format and expected content of reports prior to submission. In addition, as the PMI is a high level initiative with frequent requests for information from a variety of stakeholders, the AOR or activity manager may request additional information including trip reports, data, stories and other materials.

1) Financial Reports

Financial reporting requirements will be in accordance with 22 CFR 226. A copy of the SF-269 and updated GH baseline pipeline/burn rate monitoring form shall be submitted quarterly to the AOR. In addition, the applicant should be able to track and report on funds by core, country field support, and type of funds (e.g. malaria, TB).

2) Performance Monitoring and Reporting

The Recipient will submit reports to the AOR as described below. The exact format for preparation of and timing for submission of all reports will be determined in collaboration with the AOR or designated activity manager.

a. Annual Work Plan

Within 60 calendar days of signing the cooperative agreement, the Recipient will be required to submit work plans for the first year of activities following the requirements below. Individual annual work plans should be developed for each country in which project activities have been funded. In addition, an annual work plan should be developed for centrally-funded activities (i.e. those activities not funded by specific budgets, including global level activities). The work plans for subsequent years will be due to the AOR for approval 30 calendar days prior to the start of the new fiscal year. The work plan serves several purposes including a guide to program implementation, a demonstration of links between activities, strategic objectives and intended results, a basis for budget estimates and the foundation for the M&E plan for the activities under this agreement. The work plan, at a minimum, should include:

1. Brief situation analysis that details how the program contributes to national, regional, or global strategic plans and poverty reduction strategies in the context of what other donors and implementing partners and host-country governments are contributing;
2. Program goals;
3. Milestones towards achieving those results;
4. Activities to be accomplished that year related specifically toward achievement of milestones;
5. Level of effort required in terms of key staff and support staff time and financial resources; and
6. Partner involvement and contributions to achieving the results.

Work plans should be organized to clearly link activities to the goals and objectives. The work plan is negotiated with the AOR, in consultation with country program managers. The plan will outline key activities for the year including country-specific work. Work plan budgets should delineate an overall budget, budget by country, and budget per activity.

In addition, the work plan should include a performance monitoring plan. This plan will be negotiated and approved as part of the work plan.

b. Semi-Annual and Annual Performance Monitoring Reports

Throughout the life of the cooperative agreement, the Recipient will be required to submit two reports per fiscal year to the AOR. A semi-annual performance monitoring report covering activities carried out in the first six months of the fiscal year, should be submitted to the AOR within 45 days of the end of the first six months of the fiscal year. An annual performance monitoring reporting covering activities carried out during the entire fiscal year and should be submitted to the AOR within 45 days of the end of the fiscal year.

Reports should briefly document actual accomplishments toward the program objectives and annual work plan, intermediate results, and milestones. The performance monitoring report that occurs at the end of each project year should be a summation of the results and progress toward results made during that year and should be directly linked to the annual work plan. This will include information on activities in all countries and regions. The reports must include the following:

1. Description of quantifiable output of the programs in each country, including accomplishments, lessons learned, and indicators;
2. Description of the obstacles and their effect of meeting established goals, if appropriate, and remedies or actions undertaken or planned to address these obstacles;
3. Report on any global and cross-country activities, including outcomes and products developed as a result of those activities.
4. Analysis and explanation of costs including any overspending or high unit costs; and,
5. Outline the next steps for the next reporting period.

Notification must be given to the AOR in the case of problems, delays or adverse conditions which materially impair the ability to meet the reporting deadlines. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

c. Final Report

As USAID requires, 90 calendar days after the completion date of this agreement, the Recipient(s) shall submit a final report which includes: an executive summary of the Recipient's accomplishments in achieving results and conclusions about areas in need of future assistance; an overall description of the Recipient's activities and attainment of results by country or region, as appropriate, during the life of the Cooperative Agreement; and assessment of progress made toward accomplishing the Objective and Expected Results; significance of these activities; comments and recommendations; and a fiscal report that describes how the Recipient's funds were used per 22 CFR 226.51.

The Recipient(s) shall submit an original and one copy of the final report to the AOR and one copy to the USAID Development Experience Clearinghouse: E-mail (the preferred means of submission) is: docsubmit@dec.cdie.org.

d. Management Review and External Evaluations

The annual work plan, semi-annual reports, and periodic updates (including regular management meetings with the AOR and trip reports) will form the basis for ongoing management and technical review by USAID staff to review program directions, achievement of the prior year implementation plan objectives, and major management and implementation issues, and to make recommendations for any changes as appropriate. During the third year of the project, USAID may conduct an external mid-term evaluation. In project year five, USAID may conduct a final evaluation to review overall progress.

C. Standard Provisions

The applicant will be required to adhere to and govern itself under the Standard Provisions for U.S. NGO and Non-U.S. NGOs. Links to these Standard Provisions can be found under **Section VIII** of this RFA.

D. Branding & Marking Requirements

BRANDING & MARKING 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 brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to Recipients of USAID-funded grants or cooperative agreements or other assistance awards or sub awards.

(b) Submission

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

(c) Submission Requirements

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 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.

(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. 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 brand mark, 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 sub awards.

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, 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)(i)).

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)(ii)).

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)(iii)).

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)(iv)).

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)(v)).

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)(vi)).

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

(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.

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

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

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the Recipient will mark with the USAID Identity,

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

(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 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), 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 an 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), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv), 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), explain why marking would not be cost beneficial or practical.

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

(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 AOR 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 actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R.226.91 and ADS 303.3.6.3.f. 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.

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 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.

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.

Sub Recipient 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 sub Recipients, 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 USAID comprised of the USAID logo or seal and new brand mark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to Recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

(1) All Recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub award 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 AO 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 AO 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 AO may require a pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.

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

“As a condition of receipt of this sub award, marking with the USAID Identity of a size and prominence equivalent to or greater than the Recipient’s, sub Recipient’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 sub Recipient, USAID may, at its discretion, require marking by the sub Recipient 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:

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

(11) The Recipient will provide the AOR 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 45 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 AO after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the AO 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 AOR. 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 sub awards 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.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions 49

RFA Solicitation No: RFA-OAA-12-000014

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 brand mark, 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 sub awards.

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, 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)(i)).

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)(ii)).

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)(iii)).

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)(iv)).

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)(v)).

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)(vi)).

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

(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.

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

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

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

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

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the Recipient will mark with the USAID Identity,

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

(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 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 an exception.

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the AOR 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 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.

D. Environmental Considerations

1. Definitions:

a. 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 AO. The AO 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 AO must still obligate.

b. Initial Environmental Examination (IEE). An IEE is the first review of the reasonably foreseeable effects of a proposed action on the environment. Its function is to provide a brief statement of the factual basis for a Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement will be required.

c. Threshold Decision. A formal Agency decision which determines, based on an IEE, whether a proposed Agency action is a major action significantly affecting the environment.

d. Environmental Assessment. A detailed study of the reasonably foreseeable significant effects, both beneficial and adverse, of a proposed action on the environment of a foreign country or countries.

e. Environmental Impact Statement. A detailed study of the reasonably foreseeable environmental impacts, both positive and negative, of a proposed A.I.D. action and its reasonable alternatives on the United States, the global environment or areas outside the jurisdiction of any nation as described in 22 CFR 216.7 of these procedures. It is a specific document having a definite format and content, as provided in NEPA and the CEQ Regulations. The required form and content of an Environmental Impact Statement is further described in 22 CFR 216.7 infra.

2. 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) (http://www.usaid.gov/our_work/environment/compliance/22cfr216.htm) and in USAID's Automated Directives System (ADS) 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.

3. As such, no activity funded under this Cooperative Agreement will be implemented unless an initial environmental impact assessment and subsequent threshold determination, as defined by 22 CFR 216, and signed by the Bureau Environmental Officer (BEO) has been reached for that activity.

4. The Achieving Universal Diagnosis and Appropriate Case Management Project IEE evaluates the potential impacts of this program and has determined that a **Negative Determination with Conditions** is appropriate for the actions described in the program descriptions. If required, Supplemental IEEs (SIEE) will be executed for sub-awards to ensure and document compliance with agreed environmental mitigation. Any SIEE, or Environmental Assessment (EA), will be prepared by the activity manager or his/her designee in the operating unit and submitted to the mission/office director, the Mission Environmental Officer, and Regional and Global Health Environmental Officer for approval.

a. The Apparently Successful Applicant will be required to include as part of the initial Implementation Plan, and all subsequent Implementation Plans, all ongoing and planned activities under this Cooperative Agreement and the subsequent 22 CFR 216 documentation.

b. A complete Environmental Mitigation and Monitoring Plan (EMMP) or a project Mitigation and Monitoring (M&M) plan shall be prepared by the Recipient as part of the program implementation plan and integrated into each annual implementation plan.

i. This plan shall describe how the Recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award.

ii. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

iii. The results of the EMMP will be reported to the AOR and the BEO annually, NLT Oct 1 of each year.

[END SECTION VI]

SECTION VII: AGENCY CONTACTS

The applicant may contact the following USAID personnel in writing regarding this RFA:

Amy Wire
Agreement Specialist
USAID Office of Acquisition & Assistance
M/OAA/GH, Rm 549-S, SA-44
1300 Pennsylvania Ave., NW
Washington, D.C. 20523
(202) 567-4301
AWire@usaid.gov

Or

Boryana Boncheva
Agreement Officer
USAID Office of Acquisition & Assistance
M/OAA/GH, Rm 549-S, SA-44
1300 Pennsylvania Ave., NW
Washington, D.C. 20523
(202) 567-5036
BBoncheva@usaid.gov

[END SECTION VII]

SECTION VIII: OTHER INFORMATION

A. USAID Rights and Funding

The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.

B. Applicable Regulations & References

If awarded a cooperative agreement under this RFA, the Recipient shall adhere to and govern itself under the Mandatory Standard Provisions and the Required As Applicable Provisions for U.S. NGOs and Non-U.S. NGOs. Links to these Standard Provisions are below.

Additionally, if awarded a cooperative agreement under this RFA, the Recipient shall adhere to and govern itself under the Mandatory Standard Provisions and the Required As Applicable Provisions for U.S. NGOs and Non-U.S. NGOs as described in Subsection E below. In addition to the aforementioned Mandatory Standard Provisions, the following provision shall also apply and is therefore incorporated into all awards made under this RFA:

Mandatory Standard Provisions for U.S. Nongovernmental Recipients:

<http://www.usaid.gov/policy/ads/300/303maa.pdf>

Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients:

<http://www.usaid.gov/policy/ads/300/303mab.pdf>

In addition to the aforementioned Mandatory Standard Provisions, the following provision shall also apply and is therefore incorporated into all awards made under this RFA:

CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION (FEBRUARY 2012)

(a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—

(1) Shall not be required, as a condition of receiving such assistance—

(i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or

(ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

(2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

(b) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled “Notices” as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.

(c) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror's proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity (ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

(End of Provision)

Other Important References

22 CFR 226

http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

OMB Circular A-122

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

OMB Circular A-110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

SF-424 Downloads

<https://apply07.grants.gov/apply/FormsMenu?source=agency>

AAPD 12-04

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd12_04.pdf

[END SECTION VIII]

APPENDIX A

Past Performance Report – Short Form

PERFORMANCE REPORT - SHORT FORM	
PART I: Award Information (to be completed by Prime)	
1.	Name of Awarding Entity:
2.	Award Number:
3.	Award Type:
4.	Award Value (TEC): (if subagreement, subagreement value)
5.	Problems: (if problems encountered on this award, explain corrective action taken)
6.	Contacts: (Name, Telephone Number and E-mail address)
6a.	Agreement/Contract Officer:
6b.	Technical Officer (AOR/COTR):
6c.	Other:
7.	Recipient:
8.	Title/Brief Description of Product/Service Provided:
9.	Information Provided in Response to RFA/RFP No. :
PART II: Performance Assessment (to be completed by Agency)	
1.	How well Recipient/Contractor performed:
1a.	Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness in fixing problems. Comment:
1b.	Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
1c.	Timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
1d.	Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among sub awardees and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
1e.	Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:
2.	Specify instances of good or poor performance, especially in the most critical areas. Comment:

3. List significant achievements and/or problems. Comment:

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

APPENDIX B

CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

The following certifications, assurances and other statements from both U.S. and non-U.S. organizations (except as specified below). The required certifications, assurances and other statements follow,

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. 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 "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries is required in its entirety as detailed in **ADS 206.3.10**;
- d. A signed copy of the Certification Regarding Terrorist Funding in its entirety is required by the Internal Mandatory Reference **AAPD 04-14**;
- e. When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206**);
- f. When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206**);
- g. **Survey on Ensuring Equal Opportunity for Applicants**; and
- h. All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants**).

NOTE: 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, sub-grants, 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.treasury.gov/ofac/downloads/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one

or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

All applications must include the Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package.

This survey can be found at the following website:

<http://www.usaid.gov/forms/surveyeo.doc>

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

(a) **Applicability.** This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or subagreement) to a sub-grantee or subrecipient in support of the sub-grantee'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 AO, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the AO'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	PROBABLE	UNIT COST
COMPONENTS	COMPONENTS						
(Generic)			SOURCE		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 (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	INTENDED USE ORIGIN
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

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

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

APPENDIX C: INSTRUCTIONS ON HOW TO REGISTER ON GRANTS.GOV

Before submitting an application under this RFA, it is highly recommended that applicants read the entire Section IV, Application and Submission Information in this RFA. Reviewing these sections thoroughly will assist an applicant in submitting a complete, full application.

Register Online at Grants.gov

New Applicants Applying to Grants.gov:

It is **strongly encouraged** that new organizations immediately begin the 5-step Grants.gov registration process (listed below), while simultaneously completing the Application Package. The registration process may take up to two weeks to complete. USAID understands that delays in the registration process may be beyond your control. If an organization has begun the registration process but experiences delays that make it difficult for to meet the application deadline, contact the RFA POC(s) who will work with you to find a solution. If an organization is having difficulties, contact the Agency POC(s) listed in the RFA as soon as possible.

Register as an organization on Grants.gov if you are not already registered. All organizations must register. See below for a brief overview of the registration steps. Grants.gov is also available to lead you through the process.

STEP 1: Obtain a Data Universal Number (DUNS)

A DUNS number is a unique identifier that verifies the existence of a business entity globally. DUNS numbers are assigned for each physical location of a business.

Before requesting a new DUNS Number, check to see if your organization has one. Ask your organization's chief financial officer, grant administrator, or authorizing official to provide your organization's DUNS Number or search online by using the DUNS search.

For U.S. and foreign organizations: If your organization does *not* have an existing DUNS number, you will need to request one. You can request a DUNS Number here. See the Organization Registration User's Guide for a list of items you must have when requesting a DUNS Number:

For foreign organizations: If you request a DUNS number for your organization, you are not required to have a federal Tax Identification Number (**TIN**), also known as an Employer Identification Number (**EIN**) or to register with the Central Contractor Registration (**CCR**). Simply leave the TIN/EIN information blank when registering.

STEP 2: Register Your Organization with the Central Contractor Registration (CCR)

You must also register with CCR. The CCR is the primary registrant database for the U.S. Federal Government. CCR collects, validates, stores and disseminates data about the federal government's trading partners in support of the contract award, grants and the electronic payment processes.

This process alone can take three to five business days or up to two weeks. You cannot complete the application process without registering in CCR. Applications submitted without a valid or up to date

CCR registration will be automatically rejected by the Grants.gov system. If an organization is having difficulties, contact the Agency POC(s) listed in the RFA as soon as possible.

For U.S. and foreign organizations: Before completing the CCR, check to see if your organization is already registered. Ask your organization's chief financial officer, grant administrator, or authorizing official if your organization has registered with the CCR or search online by using the online search.

a. *If your organization is already registered*, take note of who is listed as your EBusiness Point of Contact (**E-Biz POC**). It is the E-Biz POC who is responsible for authorizing members of your organization as Authorized Organization Representatives (**AORs**) to submit applications through Grants.gov.

b. *If your organization is not registered*, visit CCR site to register. This process can take three to five business days or up to two weeks. Foreign companies must first obtain a North Atlantic Treaty Organization (**NATO**) CAGE (**NCAGE**) code. U.S. applicants will not need a Cage Code. One will be assigned.

NCAGE Code (Foreign Organizations only): If your foreign organization is not already registered with CCR, you must first obtain a North Atlantic Treaty Organization (NATO) CAGE (NCAGE) code. Use the NCAGE online form to obtain an NCAGE. If your country is not listed in block 2 of the form, utilize the non-NATO NCAGE tool.

STEP 3: Username and Password

If your organization's E-Business Point of Contact (E-Biz POC) has assigned you AOR rights, you are authorized to submit grant applications on behalf of your organization. AORs must create a username and password to serve as their "electronic signature" when submitting an application on behalf of their organization. To register as an AOR and create a username and password, go to: <https://apply07.grants.gov/apply/OrcRegister>

STEP 4: AOR Authorization

Your E-Biz POC must then login to Grants.gov (using the organization's DUNS number for the username and the "MPIN" password obtained in Step 2) and approve the AOR, thereby giving permission to submit applications. When an E-Biz POC approves an AOR, Grants.gov will send the AOR a confirmation email that includes the requesting AOR's name, e-mail address and phone number. In some cases the E-Biz POC can also be the AOR for an organization. If the E-Biz POC wishes to submit applications on behalf of their organization, he or she must also complete a separate AOR profile with username and password (Step 3 of the registration process) using a different email than the one used for their E-Biz POC registration. E-Biz POC Login: <https://apply07.grants.gov/apply/login.faces?userType=ebiz&cleanSession=1>

STEP 5: Track AOR Status

To verify that your organization's E-Biz POC has approved you as an AOR, please track your status. You cannot apply for grants without E-Biz POC approval.

For questions, please consult:

- **Organization Registration User Guide (for US Applicants)**
- **Foreign Organization Registration Guide (for non-US Applicants)**
- **Grants.gov Contact Center: 1-800-518-4726 or support@grants.gov. Hours of Operation: 24 hours a day, 7 days a week.**

If you are concerned that you will not finish your CCR registration in time to meet the overall application deadline, contact the RFA POC(s) who will work with you to find a solution. If an organization is having difficulties, contact the Agency POC(s) listed in the RFA as soon as possible.

APPENDIX D: IEE

**SUMMARY OF PROGRAMMATIC INITIAL ENVIRONMENTAL EXAMINATION (PIEE)
For
Achieving Universal Diagnosis and Appropriate Case Management for Malaria**

PROGRAM/ACTIVITY DATA

IEE Number: GH-12-020
Program/Project Number: RFA-OAA-12-000014.
Country: Global
Functional Objective: Investing in People
Program Area: Health
Program Elements: Malaria (primary), Tuberculosis, Neglected Tropical Diseases, HIV/AIDS
Funding Period: 2012-2017
Life of Activity Funding: Five (5) years

Life of PIEE: Five years from date of signing or at the time of any change/amendment to the Program.

PIEE Amendment: Yes _____ No X If yes, date of original IEE: _____

PIEE Prepared by: GH/HIDN/ID

Current date: March 27, 2012

ENVIRONMENTAL ACTION RECOMMENDED

Categorical Exclusion: _____
Negative Determination: _____
Negative Determination w/ Conditions: X
Positive Determination: _____

SUMMARY OF FINDINGS

The purpose of this Programmatic Initial Environmental Examination (PIEE) is to review the overall activities and the potential environmental impact that will be undertaken by the soon to be awarded Achieving Universal Diagnosis and Appropriate Case Management of Malaria program (henceforth called the program).

The purpose of this project is to provide technical and implementation support to the President's Malaria Initiative (PMI) focus and non-focus countries that need assistance scaling up diagnostic

testing and case management of malaria and other infectious diseases, such as tuberculosis (TB) and neglected tropical diseases (NTDs). The project will specifically:

- 1) Strengthen laboratory capacity to diagnose malaria and other priority infectious diseases;
- 2) Scale-up diagnostic testing for malaria in facilities without laboratories and at the community level; and
- 3) Strengthen the clinical case management of malaria.

The Program Programmatic Initial Environmental Examination (PIEE) evaluates the potential impacts of the Program activities and has determined that a **Negative Determination with Conditions** is appropriate for the actions described in the document. Other actions not described in the paper will require supplemental environmental analysis. For subsequent sub-awards, a supplemental IEE (SIEE) will be required. SIEEs will be executed for sub-awards to ensure and document country specific compliance with agreed environmental mitigation.

THRESHOLD ENVIRONMENTAL DETERMINATIONS

The overall environmental determination for the Achieving Universal Diagnosis and Appropriate Case Management of Malaria program is a **Negative Determination, with conditions**.

Pursuant to 22 CFR216.3(a)(2)(iii), a **Negative Determination with Conditions** is recommended for any program activities that have potential for negative impact on the environment in the following categories, as presented in Annex A in of this document:

- 1) Procurement, storage, management and disposal of public health commodities, including pharmaceutical drugs, immunizations and nutritional supplements, laboratory supplies and reagents.
- 2) Actions that directly or indirectly result in the generation and disposal of hazardous or highly hazardous medical waste (e.g., basic and emergency obstetric care techniques, administration of injectables, HIV or TB testing, disease diagnosis and treatment, etc).

SUMMARY OF MONITORING AND REPORTING MEASURES

1. **Agreement Officer Responsibilities:** USAID procurement should include consideration of the implementing partner's ability to perform the mandatory environmental compliance requirements as envisioned under the Program/ Project. The Agreements Officer (AO)/Contraction Officer (CO) shall include required environmental compliance and reporting language into each implementation instrument, and ensure that appropriate resources (budget), qualified staff, equipment, and reporting procedures are dedicated to this portion of the project.
2. **AOR Responsibilities:** The AOR and/or on-site manager or their representative of the Program/Project will undertake field visits, as possible, and consultations with implementing partners to jointly assess the environmental impacts of ongoing activities, and associated mitigation and monitoring conditions

- a. The AOR, in consultation with the mission activity managers and implementing partners, Mission Environmental Officers (MEO), Regional Environmental Officers (REO), and/or Bureau Environmental Officers as appropriate, will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this PIEE arise during implementation, and modify or end activities as appropriate. If additional activities are added at the primary award level that are not described in this document, an amended PIEE must be prepared.
3. **Supplemental Initial Environmental Examinations:** In the event that any new proposed activity differs substantially from the type or nature of activities described here, or requires different or additional mitigation measures beyond those described, an amendment to this PIEE will be prepared and the SIEE will reference the amended PIEE.
 4. **Environmental Mitigation and Monitoring Plans:** It is expected that subsequent funds will either be core or field support funds awarded at the bi-lateral or the core level. For each major core and country activity under this program, an Environmental Mitigation and Monitoring Plan (EMMP) will be completed by the implementing partner and submitted to the AOR, the Global Health Bureau Environmental Officer (BEO), and the Mission Environmental Officer or the Regional Environmental Officer for their review.
 - a. The EMMP must be completed prior to the start of activities during the annual workplanning process,
 - b. Implementing partners will provide an Environmental Mitigation and Monitoring Plan (EMMP) that covers core and country specific activities.
 - c. This EMMP will be a detailed implementation plan for the conditions prescribed in this document.
 - d. The EMMP will be submitted to the GH BEO prior to the commencement of activities that trigger mitigation measures. The GH BEO will have 10 days to provide comments on the EMMP. After 10 days, the EMMP will be considered final and approved. The mitigation measures and monitoring criteria found in the EMMP should be incorporated into pertinent Performance Monitoring Plans and Annual Work plans.
 - e. The implementing partners' Project Work Plan will identify those activities outlined in this PIEE that have potential impacts to the environment and discuss plans for environmental management, mitigation approaches, and monitoring measures. Implementing partners will be required to include Environmental Compliance Monitoring in their project work plan and monitoring and evaluation plan
 - f. An evaluation of the implementation of the EMMP must be part of the mid, and end of project evaluations, if conducted.
 - g. Operating Units will ensure that implementing partners have sufficient capacity to complete to implement mitigation and monitoring measures
 - h. The EMMP must be stored in project files

5. **Environmental Mitigation And Monitoring Report:** Implementing partners under this award will complete an annual environmental mitigation and monitoring report (EMMR) of all activities.
 - a. The environmental mitigation and monitoring report will be submitted to the AOR each year with the annual report.
 - b. The EMMR will record the environmental mitigation and monitoring measures outlined in the EMMP and will indicate the activities used to ensure that those measures were implemented.
 - c. Based on the process outlined in the Project Work Plan, the implementing partners' annual reports to USAID will include brief updates on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures. The EMMR will also identify issues and challenges associated with the implementation of the EMMP.
 - d. The EMMR must be stored in project files

6. **Sub-Agreements or Funds Transfers:** Any sub-agreements or fund transfers from the implementing partners to other organizations must incorporate provisions stipulating:
 - a. Any sub agreement or funds transfer must include provisions that stipulate the implementation of an EMMP
 - b. the completion of an annual environmental monitoring plan and report, and
 - c. Any activity to be undertaken will be within the scope of the environmental determinations and recommendations of this PIEE. This includes assurance that any mitigating measures required for those activities be followed.

7. Implementation will in all cases adhere to applicable host country environmental laws and policies.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

Recommended By:  4/11/12
 Elizabeth Fox, Office Director,
 GH/HIDN Date

Recommended By:  4/13/12
 Sonali Korde, AOR, GH/HIDN/ID
 Date

Concurrence:  4/17/12
 Teresa Bernhard Date
 Global Health Bureau Environmental Officer

Approved: 
 Disapproved: _____