



USAID | RWANDA

FROM THE AMERICAN PEOPLE

Issuance Date: Friday, January 18, 2008
Closing Date: Tuesday, February 19, 2008
Closing Time: 3:00 p.m. (Kigali Time)

Subject: Request for Applications (RFA) No. USAID-RWANDA-696-08-004-RFA
Food and Nutrition Interventions for People Living with HIV/AIDS

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding a program for the implementation of “*the Food and Nutrition Interventions for People Living with HIV/AIDS*” Program in Rwanda. The main objective is to integrate the nutrition activities of the food distributing organizations that are already distributing food to malnourished Rwandans with the goal of assisting those living with HIV/AIDS. It is anticipated that **organizations wishing to apply must have significant food resources available for distribution in Rwanda.** The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended.

This new activity will reflect common objectives necessary to achieve the President’s Emergency Plan for AIDS Relief (PEPFAR) strategy in Rwanda through assistance to community-based associations of People Living with HIV/AIDS (PLWHA), Orphans and Other Vulnerable Children (OVC) and their caregivers that are currently receiving food assistance, to improve HIV/AIDS prevention, care, and treatment.

The Recipient will be responsible for ensuring achievement of the program objective as described in the program description. Please refer to the Program Description (RFA Section C) for a complete statement of goals and expected results.

Subject to the availability of funds, USAID anticipates awarding up to three Cooperative Agreements with a combined total estimated cost of US\$16 million to support these activities over an approximate five year period split into two phases - 18 months (Phase I) and 42 months (Phase II). However, the duration and continuation of Phase II will depend on the availability of funds and the effectiveness of the program during the first 18 months. The recipient will make a presentation by the end of the 17th month of the activity. The recipient will be required to submit to the Agreement Officer a written non-competitive continuation application for review and approval for the Phase II. The approval of the Phase II will be made no later than 19 months after initial award.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Award will be made subject to the availability of funds.

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.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee; and

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".

This RFA and any future amendments can be downloaded from <http://www.grants.gov> .

Applications must be submitted electronically via e-mail or on Compact Disk(s) in two separate parts: (a) technical and (b) cost or business application. Applications submitted via email must be sent to Aster Kebede, Sr. A&A Specialist, at askebede@usaid.gov with a copy to the Regional Agreement Officer, Marcus A. Johnson, Jr. at marcusjohnson@usaid.gov.

If you decide to submit an application, it should be received by the closing date and time indicated at the top of this cover letter. Applicants are responsible to ensure that applications are received at USAID in Kigali by the due date and time specified above. Since the USAID/Rwanda Mission office is physically moving, those planning to deliver their application on CD(s) must contact Ms. Kebede prior to submission and the Closing Date for specific delivery instructions.

The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website, <http://www.grants.gov> . USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with Grants.gov electronic submissions. Hard copies are not required in addition to on-line applications.

To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to the Grants.gov opportunity. It is the responsibility of the recipient of the application document to ensure that it has been received from <http://www.grants.gov> in its entirety.

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

Any questions concerning this RFA should be submitted in writing, via e-mail to askebede@usaid.gov with a copy to marcusjohnson@usaid.gov. The deadline for submitting questions is **Tuesday, January 29, 2008, 3:00 p.m. Kigali time. No questions will be responded to after this date.** Any additional information regarding this RFA will be furnished through an amendment to this RFA.

In the event of any inconsistency between the sections comprising this RFA, it shall be resolved by the following order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Application Format;
- (c) Section C - Program Description; and
- (d) This Cover Letter.

Sincerely,

Marcus A. Johnson, Jr.
Regional Agreement Officer
USAID/East Africa Regional Mission

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SECTION A - APPLICATION FORMAT

PREPARATION GUIDELINES

- a. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the guidelines herein. Section B addresses the evaluation procedures for the applications. Applications shall be submitted by e-mail in two separate parts: (a) technical, and (b) cost or business application as described in the cover letter of this RFA.
- b. Applications must be received no later than the date and time indicated on the cover page of this RFA, to the location stated in the cover letter accompanying this RFA. Applications which are received late or are incomplete run the risk of not being considered in the review process. Such late or incomplete applications will be considered in USAID's sole discretion depending on the status of USAID's application review process as of the time of receipt or the quality of other applications received.
- c. Technical applications should be specific, complete and presented concisely. A lengthy application does not in and of itself constitute a well thought out proposal. Applications shall demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Applications should take into account the evaluation criteria found in Section B.
- d. Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the e-mail address(es) set forth in the RFA cover letter. The questions and answers (Q&A) will be posted as an amendment to the RFA on www.grants.gov. **The deadline for receipt of questions is Tuesday, January 29, 2008, at 3:00 p.m. Kigali time.** Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective recipient concerning this RFA will also be furnished to all other prospective recipients as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective recipients.
- e. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. To facilitate the competitive review of the applications, applications should conform to the format prescribed below.
- f. Submission of Applications by E-mail: Software for e-mail attachments: Microsoft Word (for narrative text) or Excel (for tables). Please convert your documents to one of these software programs before sending them to USAID. Zipped files cannot be accepted due to firewall restrictions; however, PDF files (for all files except budgets) are acceptable. Applicants are responsible for confirming that their complete applications were received electronically by USAID.
- g. Telegraphic or fax applications will not be considered.
- h. Preparation of Applications:
 1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and certifications and print or type its name on the Cover Page of the technical and cost applications.

3. Applicants which include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes should:

(a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages____."; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

I. TECHNICAL APPLICATION FORMAT

Technical applications are limited to a maximum of 50 single sided pages. Any page **OVER 50 WILL NOT BE EVALUATED**. The technical application shall be written in English, using Microsoft Word, Arial, 11 point font on A4 paper (8.27" x 11.69"), single spaced, 10 characters per inch with each page numbered consecutively, and no less than 1" margins on all sides. A proposed application outline (technical and cost) is provided below as follows:

1. Cover page (separate page not included in page limit)

- Name of organization(s) submitting application
- Name and title of contact person
- Telephone and fax numbers
- Postal and physical addresses
- E-mail address (if available)

2. Executive summary (2 pages maximum)

3. Technical approach: (25 pages maximum)

4. Monitoring and evaluation plan: (5 pages maximum)

5. Timeline: (2 pages maximum)

6. Personnel: (10 pages maximum)

Applicants should submit short CVs for key personnel of two to three page maximum per individual. There will be no more than 5 individuals holding positions designated as "key personnel" positions.

7. Institutional Capacity and Past Performance: (6 pages maximum)

8. Annexes: Maps of the Activity Area, relevant letters of support, timeline, and relevant assessments may be included and will not count towards the page limit (i.e. a letter of support from a local government or community organization, a letter from a partnering organization expressing their intention to engage in a partnership, or a letter from a public or private donor making a funding commitment). Letters of support from key partners are required.

II. COST APPLICATION FORMAT

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

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for the cost proposal, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Applicants must submit budgets using Standard Form 424 and 424A which can be downloaded from the USAID web site, <http://www.usaid.gov/policy/ads/300/303.pdf> (303.4.3 Mandatory Forms). In addition, applicants must submit an accompanying budget narrative which provides in detail the total proposed costs for implementation of the proposed program. The budget shall discuss and support the components of each SF-424 budget element, such as:

- a) The breakdown of all costs according to each partner organization (or sub-awardee) involved in the program, in the format described herein.
- b) The costs associated with home office, expatriate, and local in-country labor, i.e. identification of positions, daily or hourly compensation, hours/days to be worked, etc.
- c) A breakdown of all other direct costs to include cost elements (communications, office supplies, printer, vehicle, office rent, etc), unit of measure (monthly estimate, cost per unit), number of units, basis of the estimate and programmatic need for the expenditure.
- d) Details of travel, per diem and other transportation expenses to include number of international trips, expected itineraries, cost of travel, number of per diem days and per diem rates.
- e) Copies of your organization's most recent Negotiated Indirect Cost Rate Agreement (NICRA) issued by your organization's cognizant audit agency or information to support any non-direct costs recovered by a percentage method.
- f) Contributions offered by or expected to be sought from other sources should be noted.

If your organization intends to use subcontractors or sub-grantees, indicate the extent intended, the method of identifying subcontractors and sub-grantees, the extent to which competition will be utilized, and a complete cost breakdown, as well as all of the information required for the applicant. Include the technical resources and expertise of proposed subcontract or sub-grantee organizations and of their professional personnel proposed, to include the role of each worker to be involved in the project, and the amount of time each will devote to the project.

The above explanation of the proposed costs/prices must identify the factors upon which the estimate is based and show the arithmetic in reaching the cost figure. The cost proposal shall also include a description of the relationship between your organization and the proposed personnel including a certification as to whether the individual is a full-time employee, intermittent employee, or a consultant.

- B.** Required certifications and representations (as attached in section D of this RFA):
- C.** Cost Sharing: Applicants are required to provide some amount cost-share or in-kind contribution toward the total program cost from non-U.S. Federal sources in order to be eligible. There is no maximum or minimum amount or percentage set by USAID.
- D.** Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant audit agency (USAID or another agency of the US federal government) shall also submit the following information:
1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
 2. Projected budget, cash flow and organizational chart;
 3. A copy of the organization's accounting manual.
- E.** Applicants shall submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial, management and personnel resources and systems or the ability to obtain such resources as required during the performance of the award.
 2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
 3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
 4. Has a satisfactory record of integrity and business ethics; and
 5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- F.** Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual, personnel policies, travel policies, and procurement policies, and audits received for the past three years. If this material has already been submitted to the U.S. Government, the applicant should advise which Federal Agency has a copy.
- G.** Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA, formerly known as M/OP).

III. COOPERATIVE AGREEMENT AWARD

The Government may award the resulting cooperative agreement(s) on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint. As part of its evaluation process, however,

USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with award selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting cooperative agreement unless explicitly stated otherwise in the agreement.

To be eligible for award of a cooperative agreement, in addition to other conditions of this RFA, organizations must have a politically neutral humanitarian mandate, a commitment to non-discrimination with respect to beneficiaries and adherence to equal opportunity employment practices. Non-discrimination includes equal treatment without regard to race, religion, ethnicity, gender, and political affiliation.

Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

IV. AUTHORITY TO OBLIGATE THE GOVERNMENT

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

V. REFERENCES

Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 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>

- ADS Series 300 Acquisition and Assistance

<http://www.usaid.gov/pubs/ads/>

- SF-424 Downloads

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

VI. SPECIAL CONSIDERATIONS

The Standard Provisions for U.S. NGOs and Non-U.S. NGOs referenced above under Section V, are required to be used when applicable. The following Standard Provisions are provided below in full text:

- Marking Under Assistance Instruments
- Executive Order on Terrorist Financing
- Anti-Trafficking Activities
- USAID Disability Policy

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new 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 subawards.

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

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

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new 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 subawards.

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)(1)).

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

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

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

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

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

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

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

will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

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

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

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

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

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

(2) A table specifying:

(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 technical proposal 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 ‘inherently neutral.’ Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

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

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, 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 Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

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

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may

be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new 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 subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:
- "As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."*
- (10) Any 'public communications', as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:
- "This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International 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 Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID's Development Experience Clearinghouse.

(c) Implementation of marking requirements.

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 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 Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements of this provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity,

or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient's own identity/logo or that of a third party on materials that will be subject to the waiver.

(3) Approved waivers are not limited in duration but are subject to Principal Officer review at any time, due to changed circumstances.

(4) Approved waivers "flow down" to recipients of subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

(5) Determinations regarding waiver requests are subject to appeal to the Principal Officer's cognizant Assistant Administrator. The recipient may appeal by submitting a written request to reconsider the Principal Officer's waiver determination to the cognizant Assistant Administrator.

(e) Non-retroactivity. The requirements of this provision do 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.

IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

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

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

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

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SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the evaluation criteria set forth below. USAID reserves the right to determine the resulting level of funding for the agreement award.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The cost/business applications of all applicants submitting a technically acceptable application will be evaluated by the Agreement Officer for general reasonableness, cost realism, allowability and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

A. TECHNICAL EVALUATION CRITERIA (100 POINTS)

TECHNICAL APPROACH (75 POINTS)

Background knowledge (10 points): The applicant demonstrates a clear understanding of the Rwandan context, past approaches and new state-of-the-art approaches for community based services for PLWHA, including but not limited to food and nutrition, and support for community associations.

Overall strategy (25 points): The applicant demonstrates technical knowledge, analytical depth, and a logical, results-based approach in order to meet the objectives of the program. The approach is feasible and realistic within the situational and temporal context. The approach includes a plan for monitoring activities, explicit performance targets, and evaluation the results.

Collaboration and Leveraged Resources (25 points): The approach includes a proposed plan of collaboration with other USAID activities, other United States Government (USG) agencies, other donors and organizations.

Capacity building (10 points): The approach clearly capitalizes on existing Rwandan capacity to implement activities and as appropriate, defines how the capacity of the local Rwandan organizations will be developed over the term of this agreement.

Gender (5 points): The applicant clearly identifies gender issues, innovative strategies and specific activities to address these issues, and mainstreams these activities throughout the program design.

MANAGEMENT AND STAFFING (25 POINTS)

Management and Implementation (15 points): The overall plan for the management and implementation of the project is feasible, includes a sound management and organizational structure, demonstrates coordination with existing food aid staffing and management and all relevant stakeholders.

Key Personnel (10 points): The key personnel proposed convey the appropriate breadth and depth of expertise to manage and implement the proposed approach.

COST EVALUATION:

Cost has not been assigned a score but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness and realism, adequacy of budget detail and financial feasibility and cost sharing. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. The percentage of funds spent on programming versus administrative costs will be taken into consideration, i.e. the cost of staff salaries, equipment, and facilities vs. costs of field activities and interventions that directly impact the target beneficiaries. Applications providing the best value to the Government, including cost share, will be more favorably considered for award.

Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding for each agreement being selected for award.

SECTION C – PROGRAM DESCRIPTION

FOOD AND NUTRITION INTERVENTIONS FOR PEOPLE LIVING WITH HIV/AIDS

1. Purpose

The purpose of this Request is to obtain applications from **organizations already distributing food to malnourished Rwandans** (food distributing organizations, hereafter called “FDOs”) for a cooperative agreement(s) (CA) which would integrate the nutrition activities these organizations are already performing with the goal of assisting those living with HIV/AIDS. **Organizations wishing to apply must have significant food resources available for distribution in Rwanda.**

This new activity will reflect common objectives necessary to achieve the **President’s Emergency Plan for AIDS Relief (PEPFAR)** strategy in Rwanda through assistance to community-based associations of People Living with HIV/AIDS (PLWHA), Orphans and Other Vulnerable Children (OVC) and their caregivers that are currently receiving food assistance, to improve HIV/AIDS prevention, care, and treatment.

Subject to the availability of funds, USAID anticipates awarding up to three Cooperative Agreements (CAs) with a total estimated cost of US\$16 million to support these activities over an approximate five year period split into two phases **broken down as: 18 months (Phase I) and 3-1/2 years (Phase II).** **The duration and continuation of Phase II will depend on the availability of funds and the effectiveness of the program during the first 18 months. An evaluation will be conducted at the end of the eighteen months of the activity and the recipient will be required to submit to the Agreement Officer a written non-competitive continuation application for review and approval for the second phase. The approval of the second phase will be made no later than 22 months after award.** Phase I would last until approximately September 30, 2009 with no more than \$3,500,000 available for this Phase.¹ Phase II, if approved, would start the day after Phase I and end by September 30, 2012. Phase II will be funded at a higher level subject to: i) continued satisfactory achievement of milestones and targets; ii) approval of proposed plans by the State/Global AIDS Coordinator (OGAC); iii) availability of funds; and iv) mutual agreement to proceed.

Primary beneficiaries for these activities include but are not limited to:

- OVC affected by HIV/AIDS (irrespective of nutritional status)
- HIV+ pregnant and lactating women, according to Government of Rwanda (GOR) Policy – weaning foods will be procured for infants between 6-18 months
- Clinically malnourished PLWHA patients in care and treatment programs
- HIV/AIDS affected families

Target areas should include those districts with high food insecurity ratings as per the World Food Program’s 2007 Comprehensive Food Security and Vulnerability Analysis (CFSVA) - especially where these areas overlap with existing projects utilizing food aid to support PLWHA and other target groups (so-called “PEPFAR districts”).

The five districts with the highest WFP food insecurity ratings in the 2007 CFSVA in Rwanda are:

¹ An additional \$1.7 million has also been set aside to purchase weaning foods for a PMTCT food aid program (in Year 2).

- West Province: Ngororero, Rutsiro, and Karongi Districts
- East Province: Bugesera District
- South Province: Nyamagabe District

These districts also have ongoing PEPFAR funded activities in place. New and existing partners should coordinate all activities.

2. Background

HIV and AIDS, Food and Nutrition

According to the 2005 Demographic and Health Survey (RDHS-III), HIV seroprevalence is 3.1% among the general population 15 – 49 years in Rwanda. This prevalence is higher in urban areas (7.3%) than rural areas (2.2%) and is also higher among women (3.6%) than men (2.2%). Since HIV and AIDS have the greatest impact on the most productive members of society, economic development and household food security are also affected. This situation is aggravated by poverty, which affects 60% of the population, and a high prevalence of malnutrition (45.3% of children under five were classified as chronically malnourished per the RDHS-III).

In addition, the RDHS-III found that of children (under 18) surveyed, 20.5% were considered orphans (with one or both parents dead) and 10.8% were considered vulnerable. 28.6% were considered orphans or vulnerable children (OVC). Although the DHS did not measure the extent of OVC due to AIDS, UNICEF estimated that there were 264,000 children orphaned by AIDS living in Rwanda in 2001.

Rwanda, among the least developed countries in the world, ranks 161 out of 177 in the United Nations Development Program's 2007 Human Development Index. It is also classified as a Low-Income Food Deficient Country² and is currently receiving USG Title II food aid support.

USG and GOR Response

PEPFAR is a \$15 billion, 5-year unified government initiative, directed by the Office of the Global AIDS Coordinator in the Department of State (OGAC), and implemented in collaboration with the U.S. Department of State (DOS), the U.S. Agency for International Development (USAID), the Department of Health and Human Services (HHS), the Department of Defense (DOD), and other U.S. Government Agencies. Fourteen countries were initially selected to be part of the initiative based on high HIV burden, available country resources, and host government and civil society commitment to fighting the HIV epidemic. Rwanda is one of those countries. USG agencies operating in Rwanda include DOS (Embassy), USAID, the DOD, and HHS, as represented in Rwanda by the U.S. Centers for Disease Control and Prevention (CDC).

The goals of PEPFAR worldwide are to:

- Prevent 7 million new HIV infections;
- Treat at least 2 million HIV-infected people; and
- Care for 10 million HIV-affected individuals and orphans and vulnerable children affected by HIV and AIDS

² <http://www.fao.org/countryprofiles/lifdc.asp?lang=en>

The objectives and parameters of PEPFAR are found in H.R.1298, United States Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003 which can be accessed through www.thomas.loc.gov. The most current information on PEPFAR is found www.state.gov/s/gac Guidance and information on PEPFAR programs can also be found at www.pepfar.gov.

The Government of Rwanda (GOR) has demonstrated a strong response to the HIV/AIDS epidemic through collaborative national program planning and monitoring. The Strategic Framework to Combat HIV/AIDS, 2002–2007 is in place and a national monitoring and evaluation (M&E) plan has been developed collaboratively by GOR, the USG and other major donors, including the World Bank, United Nations' agencies, the European Union (EU), German Aid (GTZ), Belgian Technical Cooperation, and the Royal Embassy of the Netherlands. The HIV/AIDS Cluster, a committee of GOR and donor partners, is charged with coordinating all HIV/AIDS-related donor activities. The USG co-chairs the HIV/AIDS Cluster and is also a voting member in Rwanda's Country Coordinating Mechanism (CCM) for the Global Fund to Fight AIDS Tuberculosis and Malaria ("Global Fund"). On the CCM and under PEPFAR, the USG collaborates with numerous key GOR partners, including the National AIDS Control Commission or Commission Nationale de Lutte Contre le SIDA (CNLS) and its district (CDLS) counterparts, and the Ministry of Health (MINISANTE) at the national level – notably through the Minister of State for HIV/AIDS, the Policy Development and Coordination Unit (UPDC) and the Treatment and Research AIDS Center (TRAC) – and Rwanda's 30 Health District Networks and over 400 public sector facilities.

These actors form a PEPFAR Steering Committee that includes representatives of CNLS, the office of Minister of State for HIV/AIDS, the Decentralization Taskforce, TRAC, the Ministry of Economic Development and Finance (MINECOFIN), the Ministry of Gender and Promotion of the Family (MIGEPROF), the Ministry of Education (MINEDUC), and the *Centrale d'Achat des Medicaments Essentiels de Rwanda* (CAMERWA). The PEPFAR Steering Committee has, in turn, formed seven technical working groups to focus on results: medical prevention, non-medical prevention, treatment and clinical care, non-clinical care and support, OVC, USG/GOR co-management, and M&E including epidemiological surveillance.

PEPFAR funding is subject to annual appropriation by the U.S. Congress to the DOS, and is outside of USAID's normal planning and budgeting process. Overall country planning is undertaken jointly by USG participating agencies in close consultation with the GOR. FY 2008 PEPFAR funding for Rwanda is approximately \$123 million, including all management costs. It is assumed that annual funding for HIV/AIDS for the period FY 2009 – 2011 will be at similar levels.

Background literature on Rwanda, the Government of Rwanda, USG, and PEPFAR programs may be found at www.usaid-rwanda.rw/procure.html. Additional background on USAID activities in Rwanda over the past 40 years that may be of interest is available under "Rwanda" in USAID's Development Experience System (DEXS) at www.dec.org. Useful resources on prevention, care, and treatment programs for HIV and AIDS can be found at www.usaid.gov, "Our Work", "Health", "HIV/AIDS", and "Publications".

Current Food Activities in Rwanda

In addition to ongoing HIV efforts, the USG, through the **Title II "Food for Peace"** program is currently (starting from October 2004) providing supplementary monthly food rations to HIV/AIDS affected households in order to improve their nutritional needs in 15 districts of Rwanda (Nyaruguru, Nyamagabe, Gisagara, Huye and Nyanza in the Southern Province; Gakenke, Musanze, Burera and Gicumbi in the Northern Province; Karongi and Ngororero in the Western Province; Bugesera, Kayonza, Gatsibo and Nyagatare in the Eastern Province). Additional resources from PEPFAR will allow the Title II partners

and other partners distributing food (FDOs) to provide enhanced support beyond food rations to these recipients. With this increased funding, FDOs will be able to expand the support they are *currently* providing to PLWHA associations to include nutrition counseling, home gardening techniques, income generating and microfinance activities, training for home based care, psychosocial support, prevention messages, promotion of VCT and PMTCT, adherence counseling, legal support, and/or spiritual support. It is anticipated that FDOs use these resources to expand and better target the package of services to existing partner PLWHA associations receiving food before attempting to serve additional associations which are not currently benefiting from operational food distribution programs.

USAID/Rwanda's Title II food partners are currently providing food to over 8,500 individuals living with HIV and AIDS. The food provided is a family ration so the families of the PLWHA also benefit. This support is provided through over 100 community-based associations with nearly 15,000 total members. By providing additional support to these associations and other associations receiving food assistance through other donors (via training in HIV prevention, income generating activities (IGA), vocational training, gardening support, etc.) the USG will be able to expand its support for communities affected by HIV.

The **World Food Program (WFP)** is another supporter of food assistance in Rwanda. WFP's activities are split between their "Protracted Relief and Recovery Operations" (or PRRO) and their Country Program. The PRRO consists of five major components. The first component is feeding and caring for over 45,000 refugees in Rwanda, mainly from the Democratic Republic of Congo. The second part of the PRRO is to provide multi-month rations to Rwandese returning to their country working closely with UNHCR. The third component involves providing therapeutic and supplementary feeding at over 100 nutrition centers in Rwanda. "Food for Work" and "Food for Training" comprise the fourth and fifth areas of intervention. Finally, WFP's PRRO includes institutional feeding at over 30 hospitals and health centers.

WFP/Rwanda's Country Program has two major activities. The school feeding program benefits almost 300,000 Rwandese students in 300 schools while the HIV/AIDS program assists over 12,000 households affected by HIV/AIDS with household food rations. In total, in 2006 over half a million Rwandans benefited from WFP's programs.

A series of WFP fact sheets for more background on WFP and the issue of Food and HIV may be found here: http://www.wfp.org/food_aid/food_for_hiv/learnmore.asp?section=12&sub_section=2

The **Global Fund to Fight AIDS Tuberculosis and Malaria** (or "Global Fund") Round 7 proposal includes a number of food and HIV related activities. Nutritional support will be given to HIV+ pregnant mothers and exclusive breastfeeding promoted, as well as weaning food supplementation to prevent malnutrition in the children of HIV+ mothers. This support could be channelled through local PLWHA associations and production of food supplement by a local enterprise encouraged and subsidised. Support of local enterprises for production of nutritional supplement and weaning aliments is also envisioned. A local private enterprise will be contracted to produce supplemental food adapted to the needs of HIV+ patients.

Specific activities include:

1. Support of local enterprises for production of nutritional supplement and weaning aliments.
2. Provision of nutritional support through IGA with PLWHA associations (supervised by facilitating NGOs and CDLS) and promotion of exclusive breastfeeding.
3. Funding of microfinance proposals through districts and sectors, with priority given to those proposals that incorporate BCC/IEC on comprehensive reproductive health, including gender-based and sexual violence against women and children.

4. Technical assistance to local associations for planning, management and evaluation of IGA by supervising NGOs
5. Subcontracting of local enterprises for production and marketing of supplementation food products for HIV+ patients.

Organizations listed above providing food assistance are illustrative examples of the type of food resources that this RFA would like to leverage. The listed organizations are by no means exhaustive, but any new project should be aware of them and plan to avoid any duplication of effort by coordination and joint planning with these and other existing projects.

3. Program Description/Technical Approach

Efforts under this Request will improve the quality and quantity of services provided by local associations, and address some of the challenges Rwandan community associations face in confronting HIV and AIDS. Primarily, the Recipient(s) is (are) expected to provide assistance to community-based associations of PLWHA and their caregivers, which are currently recipients of food assistance, in order to improve the “package” of services available to association members and thereby increase the number of PLWHA receiving more comprehensive palliative care and support. Depending on the association and the community structures already in place, FDOs may also need to 1) strengthen the capacity of the associations they are currently working with; 2) develop other services, commodities or appropriate components of a community based palliative care model and, 3) improve /strengthen the linkages between these community-based associations and the clinical sites, in order to achieve their primary objective.

It is important to note that PEPFAR is currently supporting a large, community-based program – Community HIV and AIDS Mobilization Project (CHAMP). CHAMP is working towards the same three goals as outlined above in the 22 PEPFAR districts. However, CHAMP is not able to provide exhaustive coverage in all districts. This request will allow organizations providing food assistance to increase PEPFAR coverage for community-based activities in those areas where they are active. These activities should be in accordance with GOR policy. For example, GOR has a minimum package for OVCs that include at least three of the following services: **health** including PMTE, ARV for children infected by HIV/AIDS, education, VCT/CT; **nutrition** including food assistance, nutrition education, therapeutic feeding for malnourished infants and those on ARV; **formal and informal education; protection** including the prevention of violence and abuse and legal assistance; **psychosocial support** such as counseling; and **socioeconomic support**. The GOR also has guidelines on support to PLWHA that should be consulted and followed in the implementation of activities related to palliative care and income generation. It will be important that the Recipient(s) work closely with the USG PEPFAR Team and CHAMP in order to avoid duplication of efforts and to benefit from training materials, curricula, standards, tools, etc. that have already been developed by CHAMP to support community based associations.

USG PEPFAR in Rwanda is focused in 22 districts. Current PEPFAR partner organizations providing food assistance should propose additional support to the associations they are supporting in these 22 districts. Organizations that are not part of current PEPFAR funding but are providing food assistance should detail how additional support to existing program partners would be carried out with funding from PEPFAR. The recipient of this grant should use funding to work in PEPFAR, food insecure districts.

Note: PEPFAR defines “Palliative Care” broadly, as “All clinic-based *and* home/community-based activities aimed at optimizing quality of life of HIV-infected (diagnosed or presumed) clients and their families throughout the continuum of care by means of symptom diagnosis and relief; psychological and spiritual support; clinical monitoring and management of opportunistic infections including TB and malaria and other HIV/AIDS-related complications; culturally-appropriate end-of-life care; social and

material support, such as nutrition support, legal aid, and housing; and training and support for caregivers.” The Recipient(s) will focus primarily on the home/community-based activities, but will necessarily work with health centers/clinics in the community catchment area to assure appropriate partnerships and interactions are developed and/or strengthened.

Applying practical clinical methods to targeting beneficiaries and measuring impact of programs is of utmost importance in this cooperative agreement. Applicants should show an understanding of best practices in measuring nutrition impact and sustainable development in moving off feeding programs. For example, USAID expects to see some or all of the following methodologies/indicators proposed:

- Food by prescription;
- Body Mass Index;
- Upper Arm Circumference;
- Weight before and after feeding program; and
- Measures to ensure that weight / health improvements as a result of feeding program are maintained after the food distribution ends.

Primary beneficiaries for these activities include but are not limited to:

- OVC affected by HIV/AIDS (irrespective of nutritional status)
- HIV+ pregnant and lactating women, according to GOR Policy – weaning foods will be procured for infants between 6-18 months
- Clinically malnourished PLWHA patients in care and treatment programs
- HIV/AIDS affected families

Component 1: (65% level of effort - LOE)

Improve the Services (Quantity and Quality) Available to PLWHAs receiving food

This will be the primary focus of this request. More specifically, the Recipient(s) will be expected to provide technical, skills, and informational assistance to associations and clinics already benefiting from food aid that are also operating in communities in catchment areas of USG-assisted facilities, to help them increase the number of PLWHA receiving palliative care and support.

The Recipient will be one of several PEPFAR partners helping to achieve the “Palliative Care” targets (non-CT). PEPFAR indicators on which the program must report include:

- Number of individuals provided with general HIV-related palliative care
- Number of individuals trained to provide general HIV-related palliative care
- Number of OVCs receiving food and nutritional supplementation through OVC programs
- Number of individuals receiving ART with evidence of severe malnutrition who are receiving food and nutritional supplementation during the reporting period

Applicants MUST propose yearly targets for these indicators in their applications, disaggregated by district.

Illustrative strategies and activities to help achieve PEPFAR Program Outcome targets for Care might include, but not be limited to those outlined below. Please note that given the short time frame and the limited funding in Phase I, USAID would like to see a concentration of efforts in particular areas. In Phase II, these efforts should be continued, expanded and complimented by additional activities as illustrated below. The activities below are illustrative but applicants may suggest a different arrangement of activities in their proposals.

Phase I

- Priority: TA, training, material and media dissemination, and operating costs for micro-credit, income-generating activities (like demonstration gardens), and other palliative care support services for PLWHA and their families (such as symptom alleviation; emotional, spiritual and physical support; pain relief; assistance with personal hygiene and eating; personal care commodities; food; clean water; mosquito nets; nutritional information; clean water; and other commodities) which improve the health of PLWHAs and ART patients at all stages of the illness and sustain gains made while receiving food assistance.
- Additional activities could include nutrition counseling, home visits by community health workers, cooking demonstrations, kitchen garden demonstrations, water and sanitation education (hand washing, using latrines, etc.)
- TA and other support to foster partnerships between health facilities (PMTCT, ART, VCT, and pediatric HIV services) and community home-based care, PLWHA, OVC and other community-based care and support associations to assure effective cross-referrals, coordination, communication and clinical (including psychological) monitoring and tracking between health facilities and communities and back.

Phase II (illustrative activities)

- Recruitment and training of expert, clinical nutritionists as needed.
- Support to expand the current number of trained nutritionists in Rwanda
- Quality training for clinicians (MDs, staff) and community associations in comprehensive care and support, such as mandatory nutrition assessment training, psychological support, adherence counseling for ART and OI treatments, HIV counseling and testing, counseling on positive living, nutritional counseling (including instruction on the use of food aid and supplemental diet), integrated management of childhood and adult illnesses (IMCI, IMAI) and recognition of need for referrals, etc.
- Outreach to homes/families of HIV/AIDS patients at USG health sites
- Use and/or local production of RuTF (Ready to use Therapeutic Food) (i.e.- Plumpy'nut production in Uganda)
- Equipment purchase for nutrition units (scales, measures, charts, materials for demonstration kitchens and gardens)
- Nutrition surveillance system

Component 2 (approximately 15% of LOE)

Strengthen Capacity of PLWHA and OVC Associations

As appropriate and as needed to ensure a successful program, food distributing organizations (FDOs) should provide organizational and administrative management, technical assistance and training to the associations they are currently working with, to help them expand their coverage as well as diversify their resource base for a future “non-project” situation. In Phase I, this will not be the primary support provided by FDOs, however, partners may find that associations they are working with need some of this organizational and administrative support in order to ensure the provision of quality and sustainable services. Again, CHAMP is also working to strengthen the organizational and administrative management of local organizations and associations. Tools and trainings already developed by CHAMP can and should be used by FDOs to achieve this same objective. The LOE for this component could be increased in Phase II.

Illustrative activities might include, but not be limited to:

- Development of recommended personnel staffing patterns and position descriptions to deliver the “fixed menu” and development of training materials for such positions.
- TA and training to develop procedures and practices to enhance transparency and accountability and improve constituent outreach.
- TA and training in financial systems development and institutional quality control (personnel policies and supervision, administrative systems and controls, program monitoring and evaluation).
- TA and training in development of institutional sustainability strategies, including, but not limited to, assessment of alternative sources of funding, e.g. development of specific financial projections, identification of diversified clients and activities, development of income-generation schemes, identification of appropriate external funding agencies, etc.
- Work with informal associations, at their request, in needs identification. Where indicated, facilitate linkages between informal associations and recognized NGOs/CSOs that will enhance the growth of each.
- TA, training, and other support for CSO capacity building in HIV/AIDS advocacy, prevention, stigma reduction, and OVC issues.
- Organizational development for PLWHA associations that are undertaking home-based care programs and want to undertake some advocacy activities.

Component 3 (approximately 20% LOE)

Counseling on infant feeding and procurement of limited quantities of locally fortified weaning foods for PMTCT programs

Given the expertise of some organizations in the provision and distribution of food, USAID will use this mechanism to procure food for PMTCT programs in accordance with GOR and USG standards. One partner will be selected to locally or regionally procure and distribute nutritional supplements to all PEPFAR PMTCT partners. This will be coordinated with ongoing food assistance for PMTCT programs currently being provided by the WFP.

This activity will benefit pregnant and breastfeeding women and communicate clear messages on breastfeeding at the district level. PEPFAR clinical partners will build the capacity of providers in high quality nutrition assessment and counseling, and will develop the IEC materials and nutritional assessment tools for providers. The recipient(s) of this grant will work with PEPFAR partners to whatever extent using existing and approved GOR tools to advance this activity. Nurses will be trained to measure height and weight, and charts will be provided for determination of BMI. Mid-upper arm circumference will also be measured for pregnant and breastfeeding women. Nurses and, where active, lay counselors, will be trained in providing counseling and education on nutritional care practices and on preparation and consumption of the foods provided.

Phase I will include only the procurement and distribution of food to existing clinical services site PMTCT programs.

4. Expected Results

NOTE: USAID will, to the extent possible, work with Recipient(s) to develop reporting formats that will meet the reporting requirements for this award as well as their other food distribution reporting requirements (Title II, etc.).

The program deliverables and results package, at a minimum include:

Food and nutrition interventions integrated in HIV/AIDS prevention, care and treatment programs by

districts, CBOs and USG implementing partners.

Illustrative indicators include:

1. Impact of income generating activities on household wellbeing and individual health.
2. Development of guidelines for linking food and nutrition to care and treatment programs.
3. Developing the training curriculum for targeting special population groups and integrating food and nutrition in HIV/AIDS services.
4. Number of healthcare providers and carers trained in nutritional assessment, care and management of malnourished PLWHAs
5. HIV/AIDS service providers that carry out nutritional assessments.
6. HIV/AIDS service providers that provide nutritional counseling and care
7. HIV/AIDS service providers that provide nutritional supplements
8. Number of HIV-positive patients with moderate malnutrition receiving food and nutritional supplementation

PEPFAR indicators on which the **program must report include:**

- Number of individuals provided with general HIV-related palliative care
- Number of individuals trained to provide general HIV-related palliative care
- Number of OVCs receiving food and nutritional supplementation through OVC programs
- Number of individuals receiving ART with evidence of severe malnutrition who are receiving food and nutritional supplementation during the reporting period

Applicants MUST propose yearly targets for these indicators in their applications, disaggregated by district.

5. Implementation Activities

a. Substantial Involvement

USAID, acting through a USAID Cognizant Technical Officer (CTO) and a USAID Agreement Officer (AO), shall be substantially involved during the implementation of this Agreement in the following areas:

- 1. Approval of the Recipients' Annual Work Plan**
- 2. Approval of Specified Key Personnel** – USAID may designate as key personnel only positions that are essential to the successful implementation of the award. USAID's policy is to limit this to a reasonable number of positions, generally no more than five positions, or five percent of recipient employees working under the award, whichever is greater.
- 3. USAID and Recipient Collaboration or Joint Participation** – specifically, concurrence on the substantive provisions of sub-awards and the approval of recipient's monitoring and evaluation plans.

b. Annual Work plans

The applicant shall develop the first Annual Work Plan within two months of award date. The plan will be reviewed and approved by the CTO within two weeks of submission. Within one month prior to the end of each activity year, the applicant shall submit to the CTO an annual work plan for the following year. The annual work plans shall describe the activities and interventions required to meet the award outputs. The plans will include proposed activities for the given year, time frame for implementation of

annual activities, projected annual budget. The workplan format will be agreed upon by the recipient(s) and USAID and will follow the established CNLS format.

c. Performance Monitoring Plan (PMP)

Within 45 days of the signing of the award, the applicant shall submit a Performance Monitoring Plan (PMP) for Phase I of the activity that derives from the activities outlined in the program description. The Performance Monitoring Plan will outline key program activities, indicators of achievement, which should support the achievement of the President's Emergency Plan targets and USAID/Rwanda's intermediate results. This Performance Monitoring Plan will be reviewed and approved by the CTO.

d. Progress Reporting

Quarterly Reports: The Recipient shall submit quarterly performance reports. These reports will indicate progress achieved towards benchmarks, highlight tangible results, identify any problems encountered in implementation, and propose remedial actions as appropriate. Quarterly reports should report on the previous three months activities and are due within 30 days of the end of each fiscal year quarter. Quarterly reports will cover the three-month periods ending in September, December, March and June. These will be reviewed by the CTO for monitoring purposes. *It is currently expected that PEPFAR reporting will be on a semi-annual basis. This means that in every other quarterly report, the Recipient would also need to include reporting on required PEPFAR indicators.*

Annual Reports: Annual reports will be submitted within 30 days of the end of the fiscal year. The first Annual Performance Report will cover the period TBD, and subsequent reports will cover the twelve-month periods ending in September. Reports will cover activities completed during the preceding 12 months as well as cumulative performance results since the start of the agreement. This will be submitted to and reviewed by the CTO.

End of Activity Report: Within 60 days after the completion of the agreement, the Recipient will submit a final project report on results measured against the PMP, lessons learned, and project successes and failures. The report should indicate the outputs and impact the program is having on the target beneficiaries. Anecdotal and case studies, pictures and any other information that gives insight into the success of the program should be included. Within the last month of the program, the applicant shall submit to USAID/Rwanda an end-of activity report, summarizing the major achievements, impact and issues generated by the activity. The report should also indicate the contextual opportunities remaining that could easily be harnessed to sustain the results of the program.

Note: All reports shall be submitted electronically.

6. Cross-cutting Issues

Considering that women are the most affected people by the HIV/AIDS pandemic in Rwanda, Recipient(s) should target women headed households, girl headed households that are affected by HIV/AIDS or households containing girls orphaned by the disease.

7. Monitoring and Evaluation Requirements

The Recipient(s) must provide comprehensive plans for monitoring and evaluating on achievements and impact. The progress of the program will be monitored in accordance with the Performance Monitoring Plan. In executing the monitoring and evaluation functions under this program, the applicant shall collaborate and coordinate with the USAID/Rwanda's Health, Rural Economic Growth and Program

offices as necessary. USAID/Rwanda may request special evaluation studies if deemed necessary to improve the quality of the services.

Specific data required are of three types: i) those that report on progress toward Recipient-proposed milestones and targets under the CA; ii) those to measure PEPFAR HIV/AIDS indicators; iii) additional data as may be requested by TRAC+, MINISANTE, and/or CNLS.

All data should be sex-disaggregated.

The first type of data should include reporting on the Recipient(s)'s contribution toward a selected number of milestones and targets toward which the Recipient(s) is working. Those chosen by the Recipient(s) to gauge its progress, and establishment of timing and/or coverage targets related to each, shall be elaborated in the Recipient(s) proposal and verified/revised as part of initial work plan development. They shall be reported on in quarterly reports.

Roles and Relationships

The Recipient is expected to work closely with the key Rwandan, American, and international partners of the USG working on HIV and AIDS to assure that all activities are collaboratively programmed.

The Recipient(s) will be encouraged to work closely with agencies of the GOR and members of relevant Cluster Groups, Networks, Technical Working Groups, and other relevant collaborative fora, including NGOs, international organizations, CBOs, FBOs, and other partners (Recipients/grantees) receiving PEPFAR funds from, or otherwise collaborating with, the Rwanda PEPFAR Team to assure improved coordination of Rwandan, American, and international partners in delivery of resources, and program-related monitoring and evaluation of impact.

The Recipient(s) will also be encouraged to work closely with the PEPFAR Partners and the key Rwandan and international agencies implementing HIV/AIDS programs to assure that all activities are collaboratively programmed as part of an expanded team mode of operation. Over the past five years, USAID and CDC (individually and jointly) have held periodic meetings of implementing partners to foster the exchange of ideas and to discuss and coordinate activities. Participants have included all implementing partners getting direct USG funding (Field Support and/or bilateral). The PEPFAR team intends that the partner forum will serve as an effective means of integrating plans and activities to assure the integration necessary to achieve results becomes a reality.

SECTION D - CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS

U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT
CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANTS [1][2]

[To be submitted as part of an Applicant's cost application. To be signed by an authorized agent of the applicant at the end of this Section D.]

The following certifications, assurances and other statements are required 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, as detailed in **ADS 206.3.10**;
- d.** A signed copy of the Certification Regarding Terrorist Funding 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**);
- h.** All RFAs must include the **Survey on Ensuring Equal Opportunity for Applicants**; and
- i.** All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants**).

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

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

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, 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 II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - 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 assister, 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 - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED "CONDOMS" AND "PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING."

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

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PART VI - 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 subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

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

\$ _____

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

TYPE/DESCRIPTION(Generic) _____
 QUANTITY _____
 ESTIMATED UNIT COST _____

(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 (Generic _____
 UNIT COST _____
 COMPONENTS _____
 SOURCE _____
 COMPONENTS _____
 ORIGIN _____

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

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

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

TYPE/DESCRIPTION	_____
QUANTITY	_____
ESTIMATED	_____
PROBABLE SUPPLIER	_____
NATIONALITY	_____
RATIONALE (Generic)	_____
UNIT COST (Non-US Only)	_____
FOR NON-US	_____

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

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

6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ **CFDA Number:** _____

1. Does the applicant have 501(c)(3) status?

Yes No

2. How many full-time equivalent employees does the applicant have? (Check only one box).

3 or Fewer 15-50
 4-5 51-100
 6-12 over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

Less than \$150,000
 \$150,000 - \$299,999
 \$300,000 - \$499,999
 \$500,000 - \$999,999
 \$1,000,000 - \$4,999,999
 \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

Yes No

5. Is the applicant a non-religious community based organization?

Yes No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

Yes No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

Yes No

8. Is the applicant a local affiliate of a national organization?

Yes No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money our organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.