



USAID | TANZANIA

FROM THE AMERICAN PEOPLE

Issuance Date: Thursday May 12, 2011
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Closing Time: 5pm East African Time

Subject: Request for Applications Number USAID-Tanzania-11-005-RFA

Improving Nutrition in Tanzania

This is a Request for Applications (RFA) posted by the United States Agency for International Development (USAID) in Tanzania for external consultation. The RFA reflects the comments and feedback received from the Government of Tanzania, non-governmental organizations (NGOs) and development partners during an external three week consultation process in April 2011 on a draft version of the RFA that was posted on www.grants.gov. A summary of the comments and questions received and related answers on the draft RFA is being posted together with this RFA for review by all potential applicants.

USAID is now seeking applications for an Assistance Agreement for funding a program for Improving Nutrition in Tanzania. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective of Improving Nutrition in Tanzania. Please refer to the Program Description for a complete statement of goals and expected results.

The successful application will align its plans to advance the Government of Tanzania's plans and priorities for reducing maternal and child under-nutrition as outlined in key policy and planning documents such as the MKUKUTA II, the Health Sector Strategic Plan III (HSSP 2009-2015), the Roadmap Strategic Plan to Accelerate the Reduction of Maternal and Child Deaths (2009-2015), the draft National Nutrition Strategy (2009-2015) and the Comprehensive Africa Agriculture Development Plan (2010-2015).

Programs must also be aligned designed in accordance with USAID's Feed the Future (FTF) and Global Health Initiative (GHI) goals and principles, and should deliberately work with other USAID supported projects and programs in agriculture, health, HIV/AIDS, behavior change communication, gender, and water and sanitation. Details on the program are covered in Program Description, for which the period of any applicant's proposal may not exceed five years from the date of the award to the applicant; subject to the conditions stated herein.

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

Subject to the availability of funds, USAID intends to provide approximately **\$35,000,000** in total USAID funding to be allocated over the **five years** period. USAID reserves the right to fund any or none of the applications submitted.

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

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D – Certifications, Assurances, and other Statements of Recipient
5. Annexes

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".

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 at the place designated below for receipt of applications. Applications and modifications thereof shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

Agreement Officer
USAID/Tanzania
686 Old Bagamoyo Road
P.O. Box 9130
Dar es Salaam, TANZANIA

Applications should also be sent as email attachments to Kenneth P. LuePhang, Agreement Officer (kluephang@usaid.gov) with a copy to Samuel S. Kiranga, Acquisition Specialist (skiranga@usaid.gov) and Gaitan J, Banzi, Acquisition Specialist (gbanzi@usaid.gov) **OR** submitted through www.grants.gov as explained below.

The federal grant process is now web-enabled, allowing for applications to be received on-line. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. Hard copy applications must be submitted. Applicants are requested to submit both technical and cost portions of their applications in separate volumes. 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. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant 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.

Beginning November 1, 2005, the preferred method of distribution of USAID RFA's and submission/receipt of applications is electronically via Grants.gov which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.grants.gov> . In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-472 or via e-mail at support@grants.gov for technical assistance. It is the responsibility of the recipient of the application document to ensure that it has been received from Fedgrants.gov in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

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

Any questions concerning this RFA should be submitted in writing to Kenneth P. LuePhang, Agreement Officer, (kluephang@usaid.gov) with a copy to Samuel S. Kiranga (skiranga@usaid.gov) and Gaitan J, Banzi, (gbanzi@usaid.gov). The latest date for receiving questions is **June 1, 2011**. Applicants should retain for their records one copy of all enclosures, which accompany their application.

Sincerely,

<signed>
Kenneth P. LuePhang
Agreement Officer
USAID/Tanzania

Table of Contents

Section A – GRANT APPLICATION FORMAT	5
Section B – SELECTION CRITERIA	12
Section C – PROGRAM DESCRIPTION.....	13
SECTION D – CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF RECIPIENT	24
ANNEXES TO PROGRAM DESCRIPTION.....	25
Annex 1: OVERVIEW GLOBAL NUTRITION INITIATIVES	25
Annex 2: USAID/TANZANIA FEED THE FUTURE PROGRAMS FOR SMART INTEGRATION TO IMPROVE NUTRITION OUTCOMES	26
Annex 3: USAID/TANZANIA GLOBAL HEALTH INITIATIVE PROGRAMS FOR SMART INTEGRATION TO IMPROVE NUTRITION OUTCOMES.....	28
Annex 4: USAID BRANDING STRATEGY (December 2005).....	32
Annex 5: USAID MARKING PLAN (December 2005).....	34
Annex 6: CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010).....	40
Annex 7: REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)	42
Annex 8: TRAFFICKING IN PERSONS (OCTOBER 2010).....	45

SECTION A – GRANT APPLICATION FORMAT

1. Preparation guidelines

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section A.2 below addresses the technical application format for the applications. Late or incomplete applications will not be considered for award.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in original and two copies, and cost portions of applications in original and two copies.

USAID/Tanzania invites partners to submit applications that demonstrate an innovative and sustainable approach to improving nutrition at the household level. Activities must be designed to achieve the three intermediate results (IRs) and overall objectives outlined herein, and be focused in the specified geographic target areas.

2. Technical application format

The technical application should be specific, complete and presented concisely. The application should demonstrate the capabilities and expertise of the partners involved with respect to achieving the goals of this program. The application should take into account the technical evaluation criteria found in Section B.

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

Cost and technical proposals must reflect IEE or EA preparation costs and approaches. If awarded, the successful recipient will be expected to comply with all conditions specified in the approved IEE or EA. If an IEE, as developed by the recipient and approved by USAID, includes a Positive Determination for one or more activities, the recipient will be required to develop and submit an EA addressing these activities.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

The Concept papers must be written in English and formatted on standard 8 ½ x 11” paper, with single space, 12 point font Times New Roman or similar font with margins no less than one inch on each border, double sided, with each page numbered consecutively. The overall page limitation for the Technical Application Body, excluding the Cover Page, is 40 pages and shall include the following sections:

a. Cover Page (1 page)

The Cover Page must include the RFA number, the names of the organizations involved (with the name of the lead or primary applicant clearly identified), and title of the application. In addition, the Cover Page should provide a contact person for the primary applicant, including the individual's name, title or position with the organization, mailing address, email address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the applicant, or, if not, the contact information for the appropriate person with authority to negotiate. The cover page should also include a short executive summary of the application.

b. Technical Understanding and Approach (suggested 15-20 pages)

The Technical Understanding and Approach shall demonstrate the applicant's understanding and expertise with respect to achieving the objective and intermediate results of the program.

- Goals – describe the goals of the program.
- Define the problem/issue and provide analysis of the context that demonstrates understanding of the needs, the complexity of the current situation, and the challenges of transitioning cost-effective services to local partners in the identified geographic focus regions.
- Partnership structure – Identify the partner organization(s), proposed local sub-awardees or local partnership structures, and evolving roles and responsibilities of each local organization over the life of the project.
- Technical approach – Describe the technical approach to be used to achieve the goals, types and scale of activities, geographic spread, and general sequencing. Explain how or why the proposed approach will be more successful or effective than other development approaches. Proposals should specify reasons for the selection of the activity sites.
- Gender considerations – Describe how the technical approach will be used in identifying and addressing relevant gender issues, women empowerment and constructive men's engagement.
- Sustainability – Describe how ownership, leadership and program management will be built and transitioned to more cost-effective and rational local responses that will be more sustainable, post-USAID funding, than current structures.
- Expected Results – Outline the expected results and how results will be measured – including mechanisms of measurement – for progress, benchmark achievement and greater sustainability. Results must be measurable on an annual basis and over the life of the award.
- Administrative Capabilities – Describe technical, management and capacity-building experience and capabilities of each consortium partner, identify lead organizations or areas of leadership for each consortium partner; clearly articulate how the different partners will work together (roles and responsibilities) and gender considerations to achieve objectives and goals.
- Programmatic coverage – Given the unclear environment for fiscal reform within the USG at present, applicants are requested to describe the basic platform or model for the proposed program and then outline two scenarios for programmatic coverage based on a high (\$35M over five years) and then a moderate budget scenario (\$15M over five years). For both funding scenarios, applicants should be clear about the number of children under five and pregnant women to be reached with specific activities and their costs, anticipated staffing and program management costs, and results envisaged.

c. Key personnel (suggested 5 pages)

Overall Personnel: The applicant shall provide a brief narrative describing how all proposed personnel (key personnel and non-key personnel) offer an appropriate balance of skills sufficient to achieve the objective and sub-objectives of the Program.

Key Personnel: The applicant shall propose four key personnel as described in Section C. The applicant shall include a matrix summarizing the following information about each key personnel:

- Name, and proposed position title and level of effort, and date the proposed individual is available to begin work
- Description of major duties and responsibilities
- Description of experience and qualifications including a general understanding of relevant gender issues and how to address them

Additionally in an annex, the applicant shall provide all the following information for each Key Personnel: resume (each resume is not to exceed three pages), a minimum of three references for each Key Personnel (provide name and contact information of each reference), and signed letter of commitment which include the date the proposed Key Personnel is available to begin work.

Non-key Personnel:

In addition to the Key Personnel, the applicant shall propose individuals as Non-key Personnel. The applicant shall provide a matrix summarizing the following information about all Non-key Personnel: name, proposed title, description of major duties and responsibilities, percent of time each person would work on the program, the organization from which each person comes, the person's current position title, and area(s) of expertise. In an annex, the applicant shall provide a resume (each resume is not to exceed three pages) for each Non-key Personnel proposed to work 50% or greater time on the program.

d. Monitoring and Evaluation Plan (Suggested 4 pages)

The Monitoring and Evaluation Plan shall: (1) address the overall program objective and intermediate results; (2) have measurable, achievable and time-phased results for each of the outcomes; (3) focus on programmatic outcome/impact; (4) specify how often evaluation will be conducted; (5) specify who will be responsible for leading monitoring & evaluation efforts; and (6) discuss how the results of the evaluation and lessons learned will be used on an on-going basis during project implementation. Evaluation should be designed and implemented at the beginning of the project and occur throughout the project. An indicator table with illustrative and gender responsive mid-project and end-of-project targets should be included in an annex. The plan should be consistent with USAID's Evaluation Policy: (<http://www.usaid.gov/evaluation/>).

e. Management Plan (suggested 5 pages)

The successful applicant's partnership may take a form, such as: (1) a small consortium of technical partners working with sub-awardees; or (2) a single partner working with selected sub-awardees.

The successful application must establish technical cooperation and provide technical assistance to achieve the results prescribed herein. Consortium or individual prime partners will outline how organizations will work together and build on each other's technical and capacity building strengths and value-added to transition planning, management and quality service delivery to local institutions, entities or partners over the life of the award. Increased local ownership and program sustainability, including a handover of activities from international partners to Government and indigenous NGOs, must be measured along the way with clear annual benchmarks and a full hand-over and sustainability strategy with indigenous NGOs and government by the end of the award.

The applicant shall propose a Management Plan to address the breadth, depth and technical areas required to successfully undertake the program. Where more than one partner is presented in the applications, the management plan shall address the definition of the relationships among the partners, whether as sub-awardees of the prime applicant or in another arrangement.

The management plan and organization chart that shows:

- The roles and responsibilities and manner in which external communication with USAID, other donors and stakeholders (e.g. other USG agencies, private foundations, international organizations, development partners), and other USAID-supported activities will be conducted.
- The roles and responsibilities and lines of authority and reporting for the program including both technical and administrative.

A corresponding narrative that will:

- Discuss how responsibilities will be assigned and managed across all operational units that will contribute to the Program, including both those within the overall organizational structure of the applicant as well as any named sub-Awardees, addressing how each will be utilized to take advantage of – and in the case of government entities and indigenous NGOs, build - their strengths.
- Specify the management and administrative arrangements for overall implementation of the Program, including lines of authority, communications, and reporting.
- Describe lines of communication and liaison with USAID.
- Describe how the applicant will coordinate with other organizations, as well as other USG agencies, international organizations, and development partners that are working in subject area of the Program.

- Describe effective and efficient management practices, including approaches to cost containment, avoidance of duplication of effort, and use of technology.

A partnership engagement plan that will:

- Describe a plan for engaging local organizations in implementation of the program, including specification of agreed roles. Signed letters acknowledging intent to collaborate and their roles shall be provided in an annex.
- Outline assistance to be provided to the Program partners and describe the nature of this assistance (technical, managerial, financial etc.)
- Outline assistance to be provided to relevant GOT personnel and ministries
- Include a transition plan that describes the eventual transfer of activities to local and GOT partners

f. Institutional Capacity (suggested 3 pages)

The applicant shall provide information on Institutional Capability, as follows:

- Demonstrate how the applicant (and proposed partners or sub-Awardees) possess the array of skills needed to effectively and efficiently implement the program, address the issues within the scope of the Program in terms of producing results to improve nutritional status for women and children in Tanzania
- Demonstrate the ability of the applicant (and proposed partners or sub-Awardees) to work with multiple partner organizations
- Demonstrate the ability of the applicant (and proposed partners or sub-Awardees) to work with multiple GOT ministries and policy makers
- Demonstrate the ability of the applicant to conduct gender responsive capacity strengthening activities that result in transition of accountability to local organizations

g. Past Performance (note: all material to be provided in an annex and does not count toward the 40 page limit)

This section of the application provides information about the applicant's past performance record in implementing similar programs. In an annex, provide past performance information for three (3) references which describe any contracts, grants, or cooperative agreements which the applicant organization, as well as any substantive sub-recipient partners, has implemented involving similar or related programs over the past three years. Provide three (3) past performance references each for the prime and for any substantive sub-recipient partners if applicable. In this RFA, a substantive sub-recipient is defined as one that would be allocated at least 20% of the total proposed budget of the project. Include the following information for each reference: name and address of the organization for which the work was performed; name and current telephone number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date. It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested. Please note that USAID reserves the right to obtain past performance information from other sources including those not named in this application.

3. Cost Application Format

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for a Grant 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.

While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

- A copy of the program description that was detailed in the applicant's program description, on a CDROM, formatted in MS WORD, and a budget in MS EXCEL
- Include budgets for both the high and the moderate scenarios with accompanying budget narratives, which provide in detail the total costs for implementation of the program your organization is proposing. The budgets must be submitted using Standard Form 424 and 424A, which can be downloaded from the USAID web site, <http://www.usaid.gov/forms/sf424.pdf>
- The breakdown of all costs associated with the program according to costs of, if applicable, headquarters and/or country offices
- The breakdown of all costs according to each partner organization involved in the program
- The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance
- The breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement
- Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement
- Your procurement plan for commodities (e.g., iron-folate supplements)
- A current Negotiated Indirect Cost Rate Agreement
- Required certifications and representations
- Cost share will not be considered for any points in the cost application
- Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
 - 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
 - Projected budget, cash flow and organizational chart;
 - A copy of the organization's accounting manual.
- Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the applicant:
 - Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
 - Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
 - 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.
 - Has a satisfactory record of integrity and business ethics; and
 - Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- 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. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.
- Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

- **Submission of Applications:**
 - Applications and modifications thereof shall be submitted in sealed envelopes or packages, **and** by email or by electronic submission through the Grant.gov website (1) addressed to the office specified in the Cover Letter of this RFA, and (2) showing the time specified for receipt, the RFA number, and the name and address of the applicant.
 - Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.
- **Preparation of Applications:**
 - 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.
 - Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.
 - Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:
 - Mark the 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 sheets ; and
 - 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."
- **Explanation to Prospective Applicants -** Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

Grant Award:

- The Government may award one Grant resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the greatest value (see also Section B of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.
- The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.
- Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).
- **Authority to Obligate the Government -** The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.

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 contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

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

4. Branding Strategy and Marking Plan

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.

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 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.

Additional information on the Branding Strategy and Marking Plan requirements are described in Annexes 4 and 5.

5. USAID Disability Policy (December 2004)

(a) The objectives of the USAID Disability Policy are (i) 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; (ii) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (iii) 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 (iv) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: <http://www.usaid.gov/about/disability/DISABPOL.FIN.html>.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this 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."

SECTION B – SELECTION CRITERIA

USAID/Tanzania will establish a Technical Evaluation Committee to review and evaluate all Applications received before the deadline. The Applications will be competitively evaluated against the following criteria in descending order of importance:

- Technical quality and innovation of the Application, including clear (program and transition) objectives and goals, and impact potential **(*30 points)**
- Technical approach presented to engage private sector entities in the implementation of the program. **(*5 points)**
- Technical understanding of relevant gender issues and how to address them **(*5 points)**
- Demonstrated experience and track record of the applicants in the proposed area of work and feasibility of working in an effective manner with key partners, particularly Government and indigenous NGOs **(*20 points)**
- Technical and administrative capacity to manage the proposed program, to ensure an evidence-based, cost-effective approach to planning the priority activities for the program, and plan for transitioning over to local organizations to ensure greater sustainability over time **(*25 points)**
- Results to be achieved, sequencing of annual results, including building local capacity and increasing programming and financial sustainability **(*15 points)**

TOTAL = 100 points

SECTION C – PROGRAM DESCRIPTION

1. Background

While some important progress has been made in areas such as increasing coverage of vitamin A supplementation and insecticide-treated mosquito nets for malaria prevention, results from the 2009/10 Demographic and Health Survey in Tanzania show that rates of both chronic undernutrition (low height for age) and underweight have decreased only slightly from 2004/05 levels. Less than half of infants below six months of age are exclusively breastfed and the introduction of solid foods is often too early or too late, or poor quality. New figures for maternal and child anemia are not yet available, but 2004/05 prevalence rates are 58% and 72% respectively – among the highest in Africa.

The sustained high levels of chronic undernutrition and micronutrient deficiencies in Tanzania result in millions of children under-five who succumb needlessly to infectious diseases every year, and who also suffer from cognitive impairments that make them less likely to succeed in school. As adults, their work productivity is limited by poor educational achievement and stunting, often combined with a poor diet and anemia that makes them tired and weak. There is clear evidence globally about the interventions that can be most effective at reducing child and maternal undernutrition¹. Scaling up access to these interventions in Tanzania could have a very positive impact on health, education, work productivity, and overall economic growth and development of the population.

There are many causes of undernutrition. Children become undernourished if they suffer from diseases that cause undernutrition or if they are unable to eat sufficient nutritious food. These two causes – diseases and inadequate dietary intake – often occur together and are caused by multiple underlying factors including inadequate access to food and health services, an unhealthy environment and inadequate caring practices. More basic causes include poverty, illiteracy, social norms and behaviors².

The health sector, through antenatal, postnatal care programs and community-based integrated management of childhood illnesses (cIMCI), is currently the main platform used for the delivery of nutrition services. However, there are often missed opportunities due to the limited number of staff with up-to-date training and their limited access to job aids and audience-appropriate social and behavior change communication (SBCC) materials. In addition to health sector services – education, training, extension and community outreach services managed under the agriculture, community development, water, livestock and fisheries and education sectors have the potential to serve as important platforms for the delivery of nutrition education and SBCC messages to promote good nutrition practices, including appropriate infant and young child feeding practices and the importance of dietary diversity – particularly consumption of more micronutrient-rich foods.

As the Government of Tanzania's (GoT's) and partners carry out important work to scale up agriculture production under "Kilimo Kwanza" and the Tanzania Agriculture and Food Security Implementation Plan (TAFSIP) over the next five years– there is need to work very closely with farmer households to ensure that increased incomes and access to food translate into improved nutrition outcomes at the household level. This will be achieved in part through re-examining the types of foods that are promoted by agriculture extension workers for households to grow and also how foods are prepared/preserved, as well as addressing the key household gender and nutrition issues such as the intra-household distribution of food, socio-cultural practices that influence childcare and feeding practices, and the nutrition content of staple and non-staple foods consumed, among other issues.

¹ Lancet Series on Child Undernutrition (2008): <http://www.thelancet.com/series/maternal-and-child-undernutrition>

² Investing in nutrition for national growth and prosperity in Tanzania. Development Partners Group on Nutrition, February 2010.

2. Government of Tanzania Policy Framework for Nutrition

Nutrition has recently made some important in-roads at the national policy level in Tanzania. The MKUKUTA II and MKUZA II (National Poverty Reduction Strategy for Tanzania Mainland and Zanzibar) now contain nutrition-related operational targets under Cluster I (Growth for reduction of income poverty) and Cluster II (Improvement of quality of life and social well-being). A Multi-sectoral Technical Working Group (TWG) on Nutrition was established under the Technical Committee of the Health Sector Wide Approach, co-chaired by the Tanzania Food and Nutrition Centre (TFNC) and the Ministry of Agriculture, Food Security and Cooperatives (MOAFSC), and national food fortification standards have been established for cooking oil, wheat and maize flour.

A strong Roadmap for the Reduction of Maternal and Neonatal Mortality and Morbidity and a National Nutrition Strategy (NNS) have also been developed, setting the stage for the Government and development partners to work together on a common agenda for improving maternal and child nutrition between 2009-2015. A set of nutrition outcomes and activities are also being developed by the MOAFSC the new draft TAFSIP, opening a window for greater cooperation and collaboration between the health and agriculture sectors to improve nutrition.

A key challenge ahead for the GoT and its development partners will be to ensure that nutrition activities are well integrated within broader maternal, newborn and child health, agriculture development, HIV/AIDS, education, community development, livestock and fisheries, and water-sector programs. Another key issue will be to strengthen capacity for the planning, budgeting, implementation, supervision and management of nutrition programs and services at the regional, district, ward, facility and community levels, recognizing that currently less than 8% of districts budget for nutrition activities beyond vitamin A supplementation activities³. The enhanced engagement of relevant government ministries from all of the above-mentioned programmatic areas on nutrition will also be critical moving forward. For example, looking at nutrition education could be mainstreamed into various government and NGO-led programs across the country.

At the sub-national level, local Government Authorities (LGAs) have already been given approval from central government to move forward to hire nutritionists at the district level, and an official government milestone has been set to ensure coverage of 25% of districts by August 2011. The new regional and district-level nutrition focal persons are viewed as an important opportunity to help raise the profile of nutrition at the district level, strengthen coordination and to build the capacity of other health and agriculture sector staff.

A top priority for development partners, including USAID, is to support district and community level implementation of the government's NNS and the CAADP/TAFSIP. A copy of the draft NNS should be requested from:

Tanzania Food and Nutrition Centre
22 Ocean Road, P.O. Box 977, Dar es Salaam, Tanzania.
Tel: +255-22-2118137/9
Fax: +255-22-2116713

Or by email info@tfnc.or.tz

Details on Tanzania's CAADP/TAFSIP can be found at: <http://www.caadp.net/pdf/Investment%20plan%20-%20tanzania.pdf>.

3. Key barriers and priorities for scaling up nutrition in Tanzania

Addressing the significant burden of undernutrition in Tanzania, will require all partners to work together, across sectors, to overcome some of the significant socio-cultural norms and practices that unintentionally negatively influence how very young children are fed and cared for, the types of foods that women consume during pregnancy and lactation, as well as the role of men in child rearing and intra-household food distribution.

³ District Budget Allocations for Nutrition Activities. A Review of Comprehensive Council Health Plans 2010/11; Helen Keller International, March 2011.

A large number of studies published internationally and locally have documented key determinants that impact positively or negatively on child and maternal nutrition outcomes in Tanzania. Scaling up SBCC, with a primary focus on interpersonal communication at the facility and community levels, engaging both men and women, is recommended by most studies - and in the NNS - as a priority way to enable impact and achieving the national nutrition goals.

International partners have conducted numerous studies on the effectiveness of SBCC programs. Common elements of success emerge from these studies that should be incorporated into behavioral interventions, some of these include:

- A combination of approaches delivered with adequate coverage, intensity and duration.
- Mutually reinforcing messages and approaches in multiple communication channels.
- Intervention, messages, and targeting address the main underlying causes – including socio-cultural practices – of maternal and child under-nutrition and also the role of both men and women on improved child and maternal nutrition.
- The intervention addresses specific circumstances and needs of the target population.
- Strong bolstering by community engagement and political support
- The intervention aims to influence many determinates of individual behavior including:
 - Individual factors (awareness, risk perception, self-efficacy, skills, poverty etc.)
 - Interpersonal relationships
 - Societal norms, including gender issues

Other key ingredients for success include a sound SBCC strategy for nutrition, the integration of gender responsive social research into program planning and implementation, and the use of information systems to monitor the effect of interventions. It is clear that SBCC for improving nutrition outcomes cannot be developed and implemented in a silo fashion. Rather nutrition should guide agriculture, health, education and community development and other relevant programs in order to be effective and sustainable.

4. Objectives

This Program Description describes what will be the main nutrition program⁴ funded by USAID/Tanzania between 2011-2016 and will directly support the objectives and implementation of the GOT's NNS, as well as the nutrition component of the CAADP/TAFSIP. The program will emphasize strengthening the capacity of Tanzanian systems at all levels and across sectors to provide critical nutrition services and education. It will also embrace an implementation research approach and a robust learning-by-doing agenda that will contribute to the future scaling up of nutrition programs and services across the entire country.

The overall goal of the program is to improve the nutritional status of children and pregnant and lactating women in Tanzania. The program's objectives are:

- To reduce the prevalence of low height for age (stunting) among children under-five years of age by 20% over the next 5 years in target regions.
- To reduce maternal anemia (as measured by blood haemoglobin concentration) by 20% over the next 5 years in target regions.

USAID therefore seeks to award a five-year cooperative agreement under this RFA to a successful applicant that will work to:

- Strengthen the institutional capacity of government and indigenous NGOs working at the national level to develop, implement and sustain a national nutrition education and communication program;

⁴ Under Feed the Future and the Global Health Initiative, including PEPFAR. For additional information on these initiatives in Tanzania please refer to Annexes 2 and 3.

- Support the GoT and indigenous NGOs working at the district, ward, facility and community levels to improve nutrition-related behaviors within households through the promotion of evidence-based nutrition interventions⁵; and
- Document innovative strategies for nutrition focused development to enable a “learning by doing” approach whereby lessons learned from components one and two (listed above) can be fed back into other new and ongoing programs supported by government, USAID and/or other development partners. This component should also include innovative operational research and monitoring and evaluation efforts designed to assess and measure the interaction and impact of the nutrition program on other key investments supported under GHI and FTF.

5. Geographic focus and project scope

The regions of focus for the Program will be Dodoma, Manyara and Morogoro, which are also focus regions for USAID’s FTF, and operational areas for a number of USAID supported HIV/AIDS, maternal and child health programs (see annexes 2 & 3). Dodoma also has the highest prevalence of child stunting and underweight in the country. Preference will be given to applications that show capacity to support implementation at scale in the regions rather than in small pilot districts. Applications must demonstrate how synergies will be built through the course of the program – particularly with other ongoing and new investments in health, agriculture, HIV/AIDS, behavior change communication, water, gender equity and women empowerment, in the target regions. The geographic scope of the project may expand pending performance of the project and availability of funds.

As outlined in the Technical Understanding and Approach section, applicants are requested to describe the basic platform for the proposed program and then outline two options for geographic coverage and results to be achieved, based on a high (e.g., US\$35M over five years) and then a moderate budget scenario (e.g., US\$15M over five years). For both scenarios, applicants should clearly define for the target geographic areas prioritized, the number of children under five and pregnant women, men, community leaders and others to be reached by the program with key interventions, the number of indigenous NGOs that will directly benefit from management capacity strengthening efforts and under what timeframe, anticipated costs, anticipated staffing, program management costs, and the results envisaged.

6. Program components and intermediate results

It is expected that the program will result in measurable improvements in terms of (a) the quality and sustainability of nutrition service delivery district, ward, facility and community levels; (b) nutrition behaviors and related caring practices by both women and men; and (c) nutrition outcomes. In addition to measuring improvements in key nutrition indicators, the performance of the successful applicant will also be measured on its ability to effectively build and strengthen the capacity of Tanzanian government entities and indigenous NGOs to plan, budget for, manage, monitor and evaluate gender-responsive nutrition programs at the district, facility and community levels.

The successful application will demonstrate alignment with the NNS indicators, as well as those for USAID’s FTF and GHI (<http://www.feedthefuture.gov/monitoringevaluation.html>)⁶. The information below provides an overview of the technical approach envisaged, and three areas of focus or intermediate results (IRs).

⁵ For additional information on the evidence-based package of nutrition interventions, refer to: the Lancet Series on Child Undernutrition (2008); Scaling Up Nutrition. What will it Cost? (2009); Repositioning Nutrition (2006, World Bank); Scaling Up Nutrition. A Framework for Action (2010).

⁶ Note that nutrition indicators for USAID’s GHI results framework are aligned with those for FTF results framework.

IR1 - Strengthened institutional capacity of government and indigenous NGOs working at the national levels to develop and manage a multi-year, national nutrition education and communication program.

IR1 will focus on “upstream” work, strengthening capacity at the national level.

Under IR1, in years 1-2, it is envisaged that the main focus of the partner(s) should be to provide technical assistance to Government and NGOs in areas such as, but not limited to:

- Develop a multi-year government-led national nutrition education and communication strategy, or similar plan of work, to guide national, multi-sectoral SBCC efforts for improving nutrition⁷⁸.
- Where appropriate, work to strengthen existing and/or develop and disseminate new guidelines, job aids and other technical tools for improving nutrition, engaging all appropriate sectors.
- Develop and roll-out nutrition advocacy, education and SBCC materials for use at the regional, district, ward and community levels targeting government and NGO staff, and men and women at the community level.
- Develop and roll-out training materials, tools and plans to improve the knowledge, skills and competencies of service providers at all levels to give adequate support in nutrition (e.g., pre-service and in-service curricula and training materials for service providers, supportive supervision, etc.).
- Engage private sector partners where appropriate to assist with implementation of efforts.

In years 3-5, it is envisaged that the international partner(s) will continue to provide technical assistance and support, as needed, by Government and indigenous NGOs to sustain national-level leadership and management of the program and to also leverage continued funding for the program beyond 2016.

The successful application will stress the need to garner ownership and participation by Government and Indigenous NGOs from the start in the development of all strategies and associated materials. It should also demonstrate how upstream capacity building efforts will be coordinated with and engage the technical expertise of appropriate non-governmental partners, including the United Nations Children’s Fund (UNICEF), the World Health Organization (WHO)⁹ and the World Bank.

Under the technical approach section for this IR, the successful application should demonstrate intimate knowledge of existing Government nutrition policies, guidelines, training materials, job aids and technical tools being used. It should also demonstrate familiarity with ongoing education and SBCC programs, advocacy efforts, and training activities already underway at the national, regional, district and community levels.

The successful applicant will also be required to work closely with the USAID-funded Tanzania Capacity and Communications Project (TCCP) and the Communication and Malaria Initiative in Tanzania (COMMIT) programs, in order to coordinate efforts and to build upon existing capacity building plans, results achieved and lessons learned already in this area. TCCP and COMMIT are already working in partnership with the Ministry of Health and Social Welfare (MOHSW), the National AIDS Control Program for AIDS, the National Malaria Control Program, Population Services International (PSI), and the Research Triangle Institute (RTI) in Tanzania to deliver evidence-based, coordinated SBCC initiatives at scale, to reinforce systems for coordinating and delivering social and behavior change communication and to transfer social and behavior change communication skills to Tanzanian institutions, organizations and individuals.

USAID resources under this RFA will support the development of the national nutrition education and SBCC platform, as well as the implementation of related activities at the sub-national level in the geographic regions of

⁷ The lead NGO(s) on this Program would be expected to work close partnership, and with the technical guidance of UNICEF, building on recent communications strategies that have been developed by the Government of Tanzania, UNICEF and others.

⁸ The successful applicant will be required to coordinate and work closely with USAID-funded programs funded under FTF, GHI and the Natural Resources Management and Economic Growth (NRM-EG) Program.

⁹ See the United Nations Development Assistance Programme (UNDAP) for Tanzania for additional details about the work of the UN partners on nutrition in Tanzania.

focus. Other government and donor resources will need to be identified to support implementation in other regions of the country.

IR2 - Improved nutrition behaviors through evidence-based nutrition interventions at the district and community levels

IR2 will focus on the “downstream” SBCC work at the district, facility and community levels – with the aim of reducing child stunting and maternal anemia. Where feasible, initial selection of districts should prioritize those where other FTF programs are already operational¹⁰ in the three target regions.

It is envisaged that the main focus of the Program efforts under IR2 will be to:

- Build capacity and garner ownership and participation of LGAs and indigenous NGOs to lead in the implementation, monitoring and evaluation of a multi-sectoral nutrition SBCC program¹¹.
- Provide financial and technical assistance as needed by LGAs and indigenous NGOs working across sectors to be able to manage, monitor and evaluate nutrition programs at the district, facility, ward and community levels.
- Build the capacity of regional and district nutritionists, and ensure that supportive supervision of health facilities and extension services in health, agriculture, community development, water, livestock and fisheries, and education by regional and council managers includes nutrition.
- Ensure that both human and financial resources for sector-appropriate staff trainings, SBCC tools and materials for nutrition are included in annual council plans and budgets (for health, agriculture, community development, water and education).
- Develop the capacity of one or more lead indigenous NGO(s) to be able to manage a small grants-type program for nutrition that LGAs and other indigenous NGOs could apply to at the sub-national level¹².
- Develop a transition plan whereby activities developed under the Program are handed over to LGAs and indigenous NGO(s) before the completion of the award, with progressively reduced levels of technical support being provided by the international partner(s).
- Engage private sector partners where appropriate to assist with implementation of efforts.

Note that the overall financial management responsibility for this Program will remain with the successful applicant for life of this program. The budget proposed in the application however should clearly reflect decreasing budget levels over time to the international partners, and increasing budget levels over time to local partners.

IR2 should constitute no less than 50% of the level of effort, with the expectation that the overall level of effort will be more heavily skewed toward IR1 in the first two years and toward IR2 beyond the second year. A successful application will demonstrate an understanding of this transition and will propose an adequate balance of both human and financial resources over the life of the project.

Program efforts supported under this component should engage the active participation of key decision makers, management staff, supervisors, policy makers, and working-level staff at the regional, district, council, ward and community levels - from both Government and civil society. Nutrition education and SBCC messages should reach out to both men and women caregivers and leaders at the community and household level. Applications should demonstrate a strong understanding of the interventions to address gender issues, including women’s empowerment and constructive men’s engagement, as well as intra-household and cultural factors that affect child and maternal nutrition - and propose programming strategies that address these factors.

¹⁰ See annex 2 for more information on FTF.

¹¹ During the consultation process on the draft RFA, some districts raised the idea of developing a type of memorandum of understanding between LGAs and NGOs to clarify roles and responsibilities for nutrition.

¹² As part of IR1, USAID may award a separate cooperative agreement directly to one or more indigenous NGOs in year 3 or 4. It is envisaged that this NGO would be responsible for administering a small grants program for LGAs and NGOs working on nutrition.

In the technical approach, the successful applicant will emphasize the importance of focusing SBCC messages around the evidence-based and cost-effective package of interventions¹³ in order to directly address the high burden of child stunting and underweight in the country. Examples of activities should include, for example, the promotion of:

- Appropriate infant and young child care and feeding practices focusing on children under two years;
- Appropriate nutrition during pregnancy and lactation;
- Consumption of a more diverse and balanced diet, using locally available and affordable foods, as well as fortified foods;
- Utilization of health and nutrition care services, including micronutrient supplementation and deworming;
- Appropriate home-based care for childhood illnesses;
- Appropriate hygienic practices at household level, including appropriate hand-washing, utensils and food handling; and
- Appropriate nutrition knowledge and practices at the household level.

Within the technical approach, the successful application should also describe how the progress made to date with vitamin A supplementation, is maintained and further strengthened, while at the same time ensuring that other key nutrition programs are also given the appropriate budgetary and implementation support that they need in order to achieve reductions in child stunting and maternal anemia.

A comprehensive approach to reducing maternal anemia: In addition to the above, applications should include as part of their main platform for the program, a strong maternal anemia component, to be rolled out in the geographic focus areas of Dodoma, Morogoro and Manyara. Applications should also demonstrate how by the end of year two, the Program will leverage other platforms (government, USG or other donor funded) to extend the reach, and replicate the methods and approach developed for the maternal anemia component, into other high prevalence areas of the country, such as the Lake Zone. Selection of the additional regions and districts for expansion will be discussed with and approved by the USAID mission prior to expansion.

The successful applicant will demonstrate a plan to work directly through government NGOs and faith-based health facilities and staff – leveraging existing antenatal care platforms where appropriate. The approach also should build the capacity of the District Nutritionists to serve as advocates and coordination leads to scale up maternal anemia prevention activities at the district level.

The main US Government partner for antenatal care is JHPIEGO/Maisha (see annex 3 for further information). Through this program, JHPIEGO has been working with the MOHSW and district level partners and facilities to strengthen antenatal care standards, supervision and training, to address key barriers to service delivery, such as ensuring availability of commodities like intermittent presumptive treatment for malaria during pregnancy, and to disseminate best practices across the country.

The successful applicant will outline a strategy to overcome the major barriers to preventing and treating maternal anemia by working in collaboration with government and NGO programs, such as malaria prevention efforts. For example, stock outs at the health facility level of iron-folate are recognized as a key barrier that prevents women from taking supplements during pregnancy. The successful applicant will outline a sustainable approach, working with relevant government and non-government partners, to overcome issues such as this, and make the necessary linkages so that other key services are also provided for women to prevent and treat maternal anemia.

The successful applicant should take into consideration the results of recent formative research in Tanzania on maternal anemia, and build on lessons learned from past anemia control efforts globally. Support and technical

¹³ For additional information on the evidence-based package of nutrition interventions, refer to: the Lancet Series on Child Undernutrition (2008); Scaling Up Nutrition. What will it Cost? (2009); Repositioning Nutrition (2006, World Bank); Scaling Up Nutrition. A Framework for Action (2010).

assistance for quality services should be coordinated with antenatal care, malaria and anti-helminth activities supported by government, USAID/Tanzania and other partners.

IR3: Document strategies for nutrition focused development

For this component, the successful applicant will define an innovative approach whereby lessons learned from components one and two (listed above) can be fed back into other new and ongoing programs supported by GOT, USG and/or other development partners. This component should also include innovative operational research and monitoring efforts designed to assess and measure the interaction and impact of the nutrition program on other health and agriculture investments, particularly those supported by GHI and FTF.

Potential areas for innovation and operations research could include, for example (but not limited to):

- Collection of baseline and follow-up data on the immediate and underlying causes of undernutrition in Tanzania.
- How can nutrition and gender interventions be incorporated into agriculture value chain programs (e.g., horticulture) to reduce child stunting and anemia?
- What are the most effective means of strengthening capacity for nutrition at different levels to build sustainability, ownership and results?
- How do SBCC efforts influence how household resources are used for choices related to feeding children and pregnant women?
- What are the most effective strategies for controlling iron deficiency and anemia in regions where malaria transmission is intense and the prevalence of infection high?
- What are the main cultural traditions and gender equity issues that adversely affect child and maternal nutrition and how can they be overcome to improve outcomes?
- How can private sector partners be leveraged to improve nutrition in Tanzania?

Innovation and operational research - including monitoring and evaluation - funding should represent approximately 15% of the total program budget and should be closely linked to the implementation plans outlined in IR2 rather than a stand-alone research agenda.

7. Personnel

The personnel section of the successful Application will include an appropriate balance of skills sufficient to achieve its objective and sub-objectives while also considering gender equity and women empowerment. The program should employ a decentralized approach by positioning key personnel within appropriate Tanzanian institutions that are responsible for achieving overall program objectives, where appropriate. 1-2 key personnel may work directly within the government or an indigenous NGO. Key personnel for the program should include:

1. Project Director
2. Deputy Director for Institutional Strengthening
3. Deputy Director for Program Implementation
4. Operational Research / Monitoring and Evaluation Specialist

In conjunction with the capacity strengthening priorities of this agreement, the successful awardee will identify qualified Tanzanian key personnel.

Non-key Personnel: In addition to the Key Personnel, the successful Application will have sufficient other personnel to help implement the overall program, and to be available for short-, medium-, and long-term assignments. The successful Application will also include sufficient staffing to address technical and administrative aspects that may include but not be limited to the following areas of expertise: gender responsive approaches, community mobilization, institutional and human resource development, private sector partnerships, monitoring and evaluation, health systems strengthening, and other skill areas required for implementation.

8. Expected outcomes

Whereas the project will start in three target regions of Dodoma, Manyara and Morogoro, it is expected that a replicable model will be developed here that can be scaled up to other regions as they are identified and as funds are available. The applicant must develop and build the capacity of Government and indigenous NGOs to implement a successful model for scaling up a nutrition education and communication program across sectors; the applicant must demonstrate the scalability and effectiveness of the model over the first 2-4 years so that it can be scaled up to other regions. The Program will aim to reduce stunting among children under five and maternal anemia by 20% in geographic focus regions. The grantee will also directly and measurably contribute to the objectives by identifying a set of illustrative indicators for each IR. Some illustrative indicators are listed below:

IR1 illustrative indicators:

- Multi-year, nutrition education and SBCC strategy developed and launched at the national level - and at the regional, district and community levels in Manyara, Morogoro and Manyara;
- Number of sector-specific materials (e.g., guidelines, training materials, job aids and other technical tools for nutrition SBCC) developed, printed and disseminated at the regional, district and community levels with appropriate follow-on training, supervision and facilitation;
- Plan for national oversight to ensure sustainability of the nutrition education and SBCC strategy implementation, trainings and materials production, printing and dissemination developed within appropriate government ministries and institutions, and NGOs;
- Number of government ministries and institutions involved in the nutrition education and SBCC strategy implementation with defined roles and responsibilities at the national level;
- Number of indigenous NGOs involved in implementation of the nutrition education and SBCC strategy with defined roles and responsibilities at the national level;
- The above indicators may be modified and other indicators may be included as appropriate.

IR2 illustrative indicators:

- Prevalence of exclusive breastfeeding under six months increased in target regions.
- Prevalence of appropriate infant and young child feeding practices from 6-23 months increased.
- Increase in the minimum acceptable diet.
- Prevalence of maternal anemia decreased.
- Proportion of women taking iron folic acid for at least 90+ days increased.
- Number of NGOs supported by the program capable of receiving and effectively managing funding directly from USAID or other donors by year.
- Number of LGAs in target regions with nutrition focal points budgeted and in place.
- Number of workers from different sectors trained in costed priority nutrition interventions.
- Number of facilities (health) and districts (agriculture and other sectors) where supportive supervision was conducted by management teams using accepted tools for monitoring nutrition services and providing feedback and follow up.
- Health facility received at least one supervisory visit that included observation of case management during the previous six months (IMCI)
- Number of district level sectoral plans in which funds for nutrition were allocated.
- Number of NGOs per district trained in the minimum package of high impact nutrition services.
- Number of NGOs with annual budgets that include resources for high impact nutrition services.
- The above indicators may be modified and other indicators may be included as appropriate.

IR3 illustrative indicators:

- Number of special studies on nutrition and food security integration conducted that informed program implementation within IR2 (implementation) or within FTF or GHI supported programs.
- Number of new nutrition integration tools, technologies, or approaches tested for monitoring, implementation and operations research.
- The above indicators may be modified and other indicators may be included as appropriate.

The proposal must describe the types of baseline assessments, studies, or surveys that will be carried out. Include baseline organizational assessments of public, NGO and local partner capacity, health facility assessments, qualitative and population-based assessments. This information must also be reflected in the budget. Proposal must also describe the current data collection systems that exist in the project area, how/if the project's data collection will complement or be different from the existing system, and how they will link to each other and to broader monitoring and evaluation efforts undertaken by Government and by FTF and GHI.

9. Reports and monitoring and evaluation

All programs falling within FTF and the GHI will be expected to develop rigorous monitoring and evaluation (M&E) systems building on existing M&E platforms wherever possible. To the extent possible, examples of participatory methodologies built into program implementation, to engage beneficiaries in knowledge sharing, learning and potential behavior change opportunities is encouraged. In addition to the standard reporting requirements, the successful applicant may also be required to participate in developing and undertaking baseline and other survey/assessment work to contribute to the larger monitoring and evaluation framework under FTF and the GHI for USAID. The successful applicant will be expected to participate annually in the expanded Strategic Objective Team (SO Team) meetings which may include implementing partners for FTF, GHI USAID staff, international CSOs, indigenous CSOs, and Government of Tanzania representatives from relevant ministries. For more information on the FTF results framework visit:

<http://www.feedthefuture.gov/monitoringevaluation.html>.

The successful applicant is expected to participate in USAID/Tanzania Implementing Partner Reporting System (IPRS). IPRS is a web application developed to manage and control data gathered and reported by USAID/Tanzania implementing partners. Implementing Partners report quarterly, semi-annually and annually on indicators in this system.

The successful applicant will be required to provide USAID with the following reports:

- a) Project Performance Management Plan
- b) Annual Work Plans
- c) Quarterly Performance Reports
- d) Annual Performance Reports
- e) Final project report

10. Eligibility

USAID is seeking applications from non-governmental organizations (NGO), including any non-profit, for-profit not charging a fee, or voluntary organizations, organized on a local, national or international level. Applications must meet the following criteria:

- Demonstrate experience in the technical areas being proposed in achieving measurable results, beyond a sequence of activities, and must contribute toward a significant development impact and be clearly articulated in the application.
- Provide innovative ideas regarding how nutrition services and programs will be integrated into health and agriculture (and other) sector endeavors in order to maximize impact and cost-savings. Such evidence might include, for example, a plan that details how activities and funding under the award will be coupled with other endeavors and resources that contribute to the targeted development impact.
- Provide convincing evidence that the programs developed and implemented with USAID funding will be continued and sustained beyond the term of the award.
- Demonstrate a feasible plan for managing activities, including capacity development of local partners, a common monitoring & evaluation framework, and evidence of willingness of all partners to collaborate.
- Demonstrate experience with implementing programs of similar scope and complexity with USAID or a similar donor agency, including a successful history of capacity building for and/or knowledge transfer to local institutions/entities and partners.
- Provide evidence of intimate knowledge of the Tanzanian context and ability to work in support of the government of Tanzania's priorities.

Demonstrate sound knowledge of Government of Tanzania, US government and other donor-supported programs in the target regions

11. Anticipated funding

USAID anticipates awarding one cooperative agreement to a successful applicant in FY 2011. Agreement is expected to be for a maximum of **five (5)** years. USAID/Tanzania anticipates obligating up to **US\$4,000,000** in the first year to the successful partnership pending availability of funds. Funds for this activity are provided through FTF and GHI.

In Tanzania, FTF and GHI are being implemented by several USG agencies including: USAID; USDA; the US Centers for Disease Control and Prevention (CDC); the US Department of Defense; the US Department of State; and the Peace Corps.

As with all USAID cooperative agreements, support is contingent on the availability of funding. The issuance of this draft Request for Applications does not constitute an award commitment on the part of the USG, nor does it commit the USG to pay costs incurred in the preparation and submission of any application. USAID reserves the right to fund any or none of the applications submitted and to negotiate separately with an applicant if such an action is considered to be in the interest of the USG. Funding will be approved for the initial year activities and will be subject to the available funding for each subsequent requested year of support. As specified under the Technical Application Format under coverage, given the unclear environment for fiscal reform within the US Government at present, Applicants are requested to describe the basic platform or model for the proposed program and then outline two scenarios for programmatic coverage based on a high (e.g., US\$35 million over five years) and then a moderate budget scenario (e.g., US\$15M over five years). For both scenarios, applicants should be clear about the number of children under five and pregnant women to be reached to the program with the evidence-based package of interventions, anticipated costs, anticipated staffing and program management costs, and the results envisaged.

SECTION D – CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF RECIPIENT

Please, fill-in the provided certifications which have been uploaded separately. Part IV of the Certification is no longer applicable as provided in AAPD 05-04 Amendment 3.

ANNEXES TO PROGRAM DESCRIPTION

Annex 1: OVERVIEW GLOBAL NUTRITION INITIATIVES

The global community has galvanized around the Millennium Development Goals (MDGs) to make progress against a number of critical development issues. MDG 1 focuses on poverty and hunger, and has as one of its targets to reduce the prevalence of underweight by half. Improving nutrition is central to development and the achievement of MDGs for education, child health, maternal health, and infectious diseases are all dependent on progress in improving nutrition. USAID is scaling up its efforts and strengthening its focus on nutrition through the following:

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

SUN: Thousand Days Effort¹⁴:

Maternal and child nutrition during the 1,000 days of pregnancy through age two shapes a child's future. In the critical window of opportunity between pregnancy and age two, nutrition has a measureable, lasting impact on growth, brain development, incidence of disabilities and susceptibility to disease or infection. The full long-term effects reach beyond health. Poor, early nutrition can lead to limited educational achievement and decrease lifelong economic opportunity. The 1,000 days effort recognizes that preventing and reducing malnutrition of all types supports individuals and nations seeking to break the cycle of poverty and its effects on development. Investing in nutrition can increase a country's GDP by an estimated 2-3 percent annually. The effects are long lasting. Improving infant and young child nutrition supports the growth and development of the next generation that will drive the nation's growth. The 1,000 days movement is meant to jumpstart implementation of SUN.

SUN: Renewed Efforts to End Child Hunger (REACH)¹⁵ - REACH is a UN-led partnership that seeks to transform the way governments and donors approach investment in nutrition to leverage existing investments most effectively and systematically identify priorities for additional investments needed to scale-up. REACH efforts may be geared to provide:

- Expert facilitated action planning process
- Identification of clear synergies between operations and delivery mechanisms
- Development of a sound investment case and country cases disseminated as best practice models through REACH knowledge sharing service

¹⁴1,000 Days, <http://www.thousanddays.org/about/> and for SUN: http://www.unscn.org/files/Announcements/Scaling_Up_Nutrition-A_Framework_for_Action.pdf

¹⁵ www.reach-partnership.org

Annex 2: USAID/TANZANIA FEED THE FUTURE PROGRAMS FOR SMART INTEGRATION TO IMPROVE NUTRITION OUTCOMES

The Feed the Future Initiative (FTF): [www.feedthefuture.gov]

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

1. NAFKA - Staples Value Chain Development [Rice and Maize]

Description: This program will facilitate the competitiveness of the smallholder-based rice value chain, and balance these impacts on growth with broader efforts to reduce poverty through investments aimed at improving the competitiveness and productivity of the maize value chain. This includes support to the Morogoro and Arusha-based Agricultural Research Station and National Seed Laboratory. Specific activities will:

- Improve the competitiveness and productivity of maize and rice value chains;
- Facilitate improved domestic and regional trade;
- Expand the warehouse receipts program in Tanzania;
- Expand the depth and breadth of benefits from the growth of the maize and rice subsectors, including increased benefits to women and youth;
- Enhance rural household nutrition by promoting consumption of a nutritious basket of fortified foods that include but are not limited to staple crops.

Expected outcomes:

- Improved competitiveness and trade of the maize and rice value chains
- Improved value chain productivity

2. Market-Based Solutions to Reduce Poverty and Improve Nutrition

Description: The purpose of this project is to strengthen the capabilities of the agro-processors operating in the FTF target geographic areas for the staple grains of rice and maize and a range of horticultural products to build sustainable enterprises and expand and diversify the production and marketing of nutritious processed foods. This will include an array of support to processors of different scales of operations, farmers, public sector institutions involved in food technology and safety, agribusinesses, and traders.

Expected outcomes:

- Increased competitiveness of the agro-processing sector to take advantage of marketing and trade opportunities.
- Improved agro-processor access to information and training on improved processing technologies, finance, food safety standards, and business management practices.
- Enhanced commercial linkages and partnerships between processors and small farmers for supplies of commodities.
- Increased access to and consumption of high quality nutritious food.
- Strengthened institutions and industry groups supporting the agro-processing sector, particularly small and medium size food processors/maize millers.

3. Sustainable Horticulture for Income and Food Security in Tanzania (SHIFT) [Horticulture]

Description: Sustainable agriculture program that will increase demand by expanding market opportunities for smallholder horticultural producers and processors in domestic, regional and international markets, and work with farmers to build supply by introducing sustainable agricultural practices, increasing productivity, and reducing post-harvest losses. Activities will include farmer association capability building, nutrition education,

and developing market hubs. The geographic focus is in the southern regions, and falls within the Southern Agricultural Growth Corridor of Tanzania (SAGCOT).

Expected outcomes:

- Farmer gross income increased by 100%
- Increased farmer capacity to operate commercially through two farmer-owned Market Service Centers built to achieve economies of scale in post-harvest handling, marketing and distribution
- Increased demand for smallholder production

4. Tanzania Agriculture Productivity Programme (TAPP) [Horticulture]

Description: Increase smallholder farmer incomes through enhanced productivity and improved domestic and export marketing of agricultural products. This program provides business services to associations in six target zones in the northern regions (Arusha, Moshi/ Hai, Lushoto, Morogoro, Coast and Zanzibar) to at least 10,000 farmers. The activities include management training, marketing tools, business lobbying skills, and technical assistance for developing and marketing policy reforms. In implementing these activities, the program focuses on strengthening producer associations and preparing them to graduate from TAPP support and sustain their activities. The program strengthens market linkages by expanding domestic and export market outgrower schemes.

Expected outcomes:

- Increase in household income for participants of targeted intervention, thereby contributing to the MDG goal of halving the number of people below the poverty line.
- Increase in number of farmers, men and women engaged in environmentally sustainable horticulture to 10,000.
- Increase in export revenue from direct agricultural trade in horticulture products in target areas
- Improve the access and control of income and decision-making power of women in the production and marketing process.
- Promote strengthening of local institutions and their participation in the production and marketing processes as well as strengthened collaboration with Local Government Authorities for sustainability.



FEED THE FUTURE (FTF)

Key Objectives:

Reduce poverty and hunger through equitable agricultural growth and improved nutrition by:

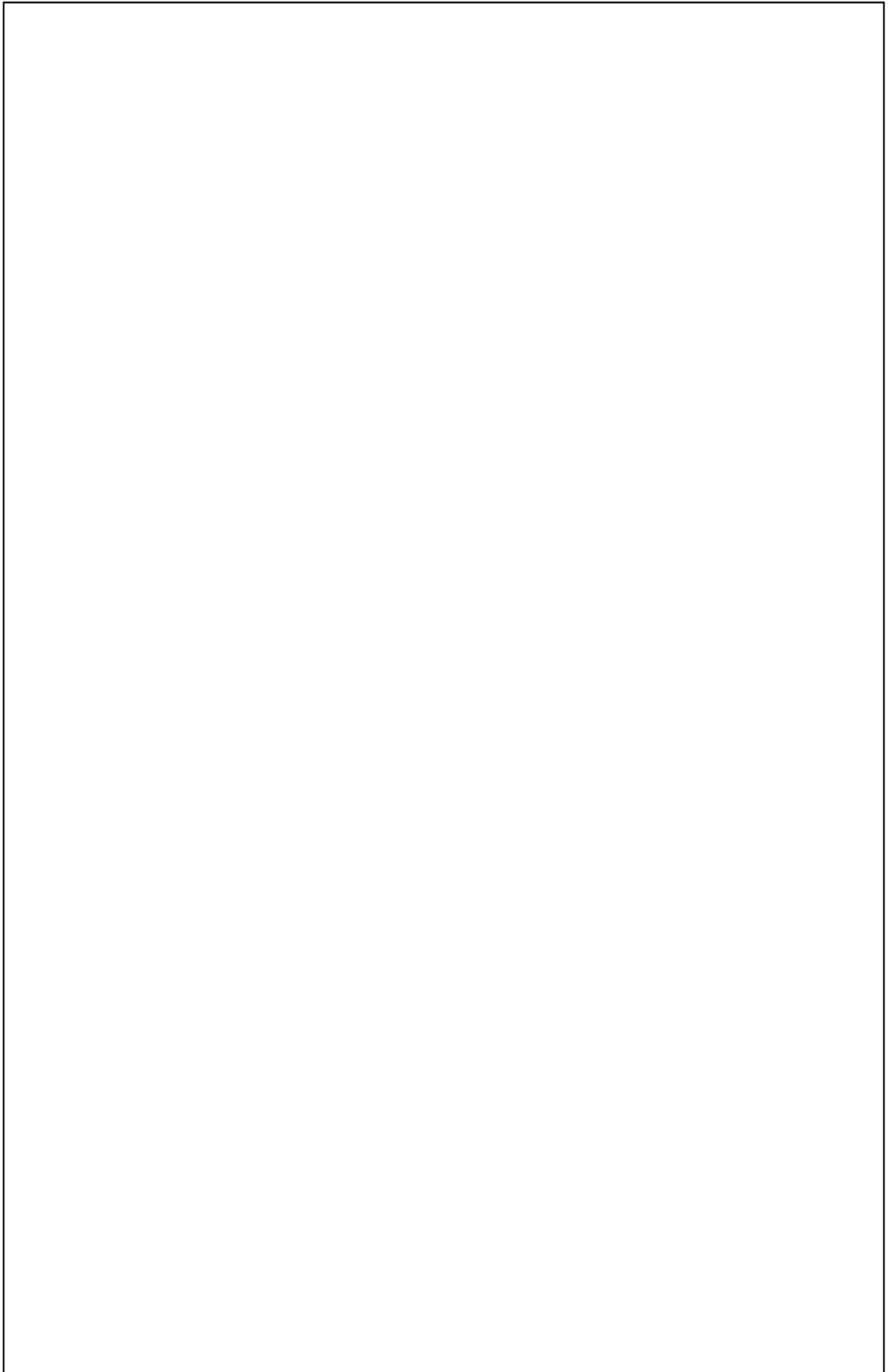
1. Increasing food availability, access, stability, and utilization
2. Engaging in broad-based partnerships to support country-owned and private sector led growth strategies

Geographic Focus:

Areas with high agricultural potential bordering chronically food insecure districts. High potential areas include Zanzibar, Morogoro, Dodoma, Manyara, and highland areas of northern and southern Tanzania. Nutrition interventions will be focused in areas with high chronic malnutrition, such as Dodoma region.

USAID Contact:

Tomas Hobgood
Feed the Future Team Leader
Email: thobgood@usaid.gov



[Annex 3: USAID/TANZANIA GLOBAL HEALTH INITIATIVE PROGRAMS FOR SMART INTEGRATION TO IMPROVE NUTRITION OUTCOMES](#)

The Global Health Initiative (GHI): [<http://www.ghi.gov>]

Through the Global Health Initiative (GHI) the United States will help partner countries improve health outcomes through strengthened health systems - with a particular focus on improving the health of women, newborns, and children through programs including infectious disease, nutrition, maternal and child health, and safe water. The GHI aims to maximize the sustainable health impact the United States achieves for every dollar invested. The GHI will deliver on that commitment through a business model based on: implementing a woman- and girl-centered approach; increasing impact and efficiency through strategic coordination and integration; strengthening and leveraging key partnerships, multilateral organizations, and private contributions; encouraging country ownership and investing in country-led plans; improving metrics, monitoring and evaluation; and promoting research and innovation.

GHI - The United States President's Emergency Plan for AIDS Relief:

Launched in 2003 by President George W. Bush, and reauthorized by the US Government in 2008, PEPFAR¹⁶ is the largest effort by any nation to combat a single disease, as well as the US Government's biggest bilateral health assistance program. In 2006, PEPFAR outlined the approach of the USG to addressing the food and nutrition needs of People Living with HIV/AIDS (PLWH) in the *Report on Food and Nutrition for People living with HIV/AIDS*. Policy guidance to operationalize this approach was issued by Office of the Global Aids Coordinator the same year, setting guidance targets for food support to priority groups, including: orphans and vulnerable children born to an HIV infected parent (regardless of the child's HIV and nutritional status); HIV-positive pregnant and lactating women in programs to prevent the transmission of HIV to their children (PMTCT); and adult patients in anti-retroviral therapy and care programs with Body Mass Index initially set at less than 16 and now set at 18.5. [<http://www.pepfar.gov/countries/tanzania/index.htm>]

The core principles of the GHI approach include the following:

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

GHI PROGRAMS IN TANZANIA:

1. **JHPIEGO/MAISHA Program:** MAISHA is assisting the MoHSW to strengthen the platform of Basic Emergency Obstetric and Neonatal Care (BEmONC) for addressing the prevention and treatment of postpartum hemorrhage and other key contributors to maternal mortality, and essential newborn care (ENC) including newborn resuscitation, treatment of sepsis and immediate warming and drying. MAISHA is supporting the MoHSW in developing national and district resources (guidelines, training package, trainers, supervision tools) for BEmONC and in advocating and coordinating with district health management teams, donors and other key stakeholders to ensure funding is allocated for training service providers at district level (using the resources developed at national and district levels) throughout the country. MAISHA is also strengthening the platform of prevention of mother to child transmission (PMTCT) of HIV/AIDS to address gaps in integrating MNH services for HIV positive women and children – this program component includes work in cervical cancer prevention, infection prevention and control, community outreach and facility linkages for HIV+ women and preservice education for doctors and nurse/midwives.

¹⁶ The United States President's Emergency Plan for AIDS Relief, Office of the U.S. Global AIDS Coordinator and the Bureau of Public Affairs, U.S. State Department, available at: <http://www.pepfar.gov/>.

MAISHA is working in all districts of Tanzania (2008-2013) to strengthen the regional hospital as a service delivery and clinical training site for BEmONC and kangaroo mother care. MAISHA is also supporting improvements in BEmONC service delivery in two to three health centers or dispensaries in each district with high delivery caseloads, by supporting the training of providers, the provision of equipment and supplies, and strengthening the processes of coaching/mentoring and supportive supervision at the district level.

2. **The President's Malaria Initiative (PMI)**

[http://www.fightingmalaria.gov/countries/profiles/tanzania_profile.pdf]: Tanzania is one of the 15 original countries benefiting from PMI, which was launched in 2005 and is led by USAID and implemented together with the Centers for Disease Control and Prevention. As a key component of President Obama's Global Health Initiative and with the Lantos-Hyde Act of 2008, PMI's funding has been extended through fiscal year (FY) 2014, and a new six-year malaria strategy has been developed. Under the new strategy, the goal of PMI is to work with partners to halve the burden of malaria in 70 percent of the at-risk populations in sub-Saharan Africa (approximately 450 million residents), thereby removing malaria as a major public health problem and promoting development throughout the African region. In Tanzania, PMI works with national malaria control programs and coordinates its activities with national and international partners, including the Roll Back Malaria Partnership; The Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the World Bank; Malaria No More; the Bill and Melinda Gates Foundation; nongovernmental organizations, including faith-based and community groups; and the private sector.

Key Interventions in line with Tanzania's national malaria control strategy, PMI supports four key interventions to prevent and treat malaria:

- **Insecticide-treated mosquito nets (ITNs):** Sleeping under a long-lasting ITN provides protection from malaria-carrying mosquitoes. The nets are nontoxic to humans, but can repel and kill mosquitoes for up to three years.
- **Indoor residual spraying (IRS):** IRS involves the coordinated, timely spraying of the inside walls of houses with insecticides. Mosquitoes are killed when they land on these sprayed walls, reducing malaria transmission.
- **Intermittent preventive treatment for pregnant women (IPTp):** IPTp is a highly effective means of reducing the serious consequences of malaria in both the pregnant woman and her unborn child, including maternal anemia and low birthweight babies. IPTp consists of the administration of at least two doses of the antimalarial drug sulfadoxine-pyrimethamine given not less than one month apart during the second and third trimesters of pregnancy.
- **Diagnosis and treatment:** Effective case management of malaria depends on early, accurate diagnosis with microscopy or rapid diagnostic tests (RDTs) and prompt treatment with an effective drug. Artemisinin-based combination therapies (ACTs) are the recommended first-line treatment for uncomplicated *Plasmodium falciparum* malaria in Tanzania.

3. **HIV/AIDS Care, Prevention and Treatment program:**

- **Care:** USAID helped to support the creation and implementation of the National Plan of Action for Orphans and Vulnerable Children and is working with the National AIDS Control Programme to prepare a coordinated framework of care for people living with HIV/AIDS.
- **Prevention:** USAID promotes and facilitates long-term behavior change to prevent the further spread of HIV. Targeting youth, prevention partners have helped delay sexual debut and improved knowledge of risk factors. The program also targets higher risk groups in high-risk venues and addresses critical underlying factors such as social and gender norms, and poverty. Access to Counseling and Testing through mobile, facility, static and home-based service delivery models has increased dramatically and more than 850,000 individuals have been tested, received results and counseling on their HIV status and options. Over 547,000 pregnant women

have accessed Prevention of Mother to Child Transmission services and USAID is also leading an innovative, interagency male circumcision initiative.

- **Treatment:** By supporting Care and Treatment in Singida, Iringa, Morogoro and Dodoma regions, USAID is increasing access to quality treatment services. More than 45,000 individuals are receiving ART through USAID-supported facilities.
- **Economic Strengthening:** The Economic Strengthening program interventions by PEPFAR community partners is aligned with the FtF geographical regions, aiming to protect and increase household assets 2) increase use of self-insurance mechanism 3) stabilize and expand household income and consumption and 4) Improve management of household cash flows and provide a more strategic linkages with the FtF program and other development programs.

4. Capacity Building and SBCC:

- **Wajibika Program:** The objective is improved governance for strengthened programmatic and fiscal accountability at District Level; ensure that PMORALG and the MOHSW support decentralized management, effective optimization of resources from various sources, performance-based financing, and the critical need for stronger management controls; and develop a plan with PMORALG to expand interventions to other districts to ensure that priority programs (i.e., HIV/AIDS, PMTCT, MCH, OVC) are implemented in an integrated and accountable way.
- **Tanzania Capacity and Communication Project:**
[<http://www.jhuccp.org/sites/all/files/TCCP%20Brief%20Updated.pdf>]
TCCP is working in partnership with the Ministry of Health and Social Welfare - National AIDS Control Program for AIDS in Tanzania. The objectives are 1) To execute evidence-based, coordinated social and behavior change communication initiatives at scale 2. Reinforce systems for coordinating and delivering social and behavior change communication and 3) Transfer social and behavior change communication skills to Tanzanian institutions, organizations and individuals.
- **Communication and Malaria Initiative in Tanzania (COMMIT):**
A four year project funded by USAID and the President's Malaria Initiative (PMI). CCP leads COMMIT in partnership with Jhpiego, Population Services International (PSI), the Research Triangle Institute (RTI), PMI and the Tanzania Ministry of Health and National Malaria Control Program (NMCP). The program is implementing a comprehensive strategy for behavior change and communication in the prevention and case management of malaria in mainland Tanzania. Specifically, COMMIT supports the NMCP Communication Strategy objectives of (1) influencing positive behavior change among target audiences through a comprehensive approach, (2) improving the flow of information to key target audiences, and (3) advocacy to raise the profile of malaria.

Annex 4: USAID BRANDING STRATEGY (December 2005)

a. Definitions

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

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

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

b. Submission

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

c. Submission Requirements

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

- **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.

d. 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.

e. 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 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.

f. 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.

Annex 5: USAID MARKING PLAN (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.

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 (#1). 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 (#2). 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 (#3). 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 (#4). 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 (#5). 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 (#6). 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 (#7). 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:

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

- program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;
- technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;
- events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and
- 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.

(ii) A table specifying:

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

(iii) A table specifying:

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

d. Presumptive Exceptions

The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical 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.

Specific guidelines for addressing each Presumptive Exception are:

- For Presumptive Exception (#1), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking an exception.
- For Presumptive Exception (#2), 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.
- For Presumptive Exception (#3), 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.
- For Presumptive Exception (#4), 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.
- For Presumptive Exception (#5), explain why marking would not be costbeneficial or practical.
- For Presumptive Exception (#6), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

- For Presumptive Exception (#7), identify the applicable international law violated by marking.

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.

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 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 sub-agreement.

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative.

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.

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

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

USAID Identity (Identity) means the official marking for USAID, comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is "from the American people." The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without

royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

b. Marking of Program Deliverables

- All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- Sub-recipients. To ensure that the marking requirements "flow down" to sub-recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows: "As a condition of receipt of this sub-award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, sub-recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the sub-recipient, USAID may, at its discretion, require marking by the sub-recipient with the USAID Identity."
- 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."
- 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.

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.

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

- A description of the program deliverables that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.
- The type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity.

When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking,

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:

- 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;
- USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
- 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;
- USAID marking requirements would impair the functionality of an item;
- USAID marking requirements would incur substantial costs or be impractical;
- USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
- USAID marking requirements would conflict with international law.

The proposed plan for implementing the requirements of this provision, including any proposed exemptions, will be negotiated within the time specified by the Agreement Officer after receipt of the proposed plan. Failure to negotiate an approved plan with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

d. Waivers

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.

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.

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

Approved waivers “flow down” to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

e. Non-retroactivity

The requirements of this provision do not apply to any materials, events, or commodities produced prior to January 2, 2006. The requirements of this provision do not apply to program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) where the construction and implementation of these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

Annex 6: CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

- a. **Requirement for Central Contractor Registration (CCR).** Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.
- b. **Requirement for Data Universal Numbering System (DUNS) numbers.** If you are authorized to make subawards under this award, you:
- (1) Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
 - (2) May not make a subaward to an entity unless the entity has provided its DUNS number to you.
- c. **Definitions.** For purposes of this award term:
- (1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
 - (2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
 - (3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
 - (i) Governmental organization, which is a State, local government, or Indian tribe;
 - (ii) A foreign public entity;
 - (iii) A domestic or foreign nonprofit organization;
 - (iv) A domestic or foreign for-profit organization; and
 - (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity
 - (4) Subaward:
 - (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
 - (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A-133, –Audits of States, Local Governments, and Non-Profit Organizations||).
 - (iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
 - (5) Subrecipient means an entity that:

- (i) Receives a subaward from you under this award; and
- (ii) Is accountable to you for the use of the Federal funds provided by the subaward.

[END OF PROVISION]

Annex 7: REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)**a. Reporting of first-tier subawards.**

(1) Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e of this award term).

(2) Where and when to report.

- (i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.
- (ii) For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

(3) What to report. You must report the information about each obligating action that the submission instructions posted at www.fsrs.gov specify.

b. Reporting Total Compensation of Recipient Executives.

(1) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

- (i) the total Federal funding authorized to date under this award is \$25,000 or more;
- (ii) in the preceding fiscal year, you received—
 - A. 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - B. \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
- (iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

(2) Where and when to report. You must report executive total compensation described in paragraph b.(1) of this award term:

- (i) As part of your registration profile at www.ccr.gov.
- (ii) By the end of the month following the month in which this award is made, and annually thereafter.

c. Reporting of Total Compensation of Subrecipient Executives.

(1) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if –

- (i) in the subrecipient's preceding fiscal year, the subrecipient received—
 - (A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - (B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and
- ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>)

(2) Where and when to report. You must report subrecipient executive total compensation described in paragraph c.(1) of this award term:

- (ii) To the recipient.
- (iii) By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

- (1) subawards, and
- (2) the total compensation of the five most highly compensated executives of any subrecipient.

e. Definitions. For purposes of this award term:

(1) Entity means all of the following, as defined in 2 CFR part 25:

- (i) A Governmental organization, which is a State, local government, or Indian tribe;
- (ii) A foreign public entity;
- (iii) A domestic or foreign nonprofit organization;
- (iv) A domestic or foreign for-profit organization;
- (v) A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

(2) Executive means officers, managing partners, or any other employees in management positions.

(3) Subaward:

- (i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.
- (ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations).
- (iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(4) Subrecipient means an entity that:

- i. Receives a subaward from you (the recipient) under this award; and
- ii. Is accountable to you for the use of the Federal funds provided by the subaward.

(5) Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

- (i) Salary and bonus.
- (ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
- (iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.
- (iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
- (v) Above-market earnings on deferred compensation which is not tax-qualified.
- (vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.

[END OF PROVISION

Annex 8: TRAFFICKING IN PERSONS (OCTOBER 2010)**a. Provisions applicable to a recipient that is a private entity.**

- (1) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—
- (i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
 - (ii) Procure a commercial sex act during the period of time that the award is in effect; or
 - (iii) Use forced labor in the performance of the award or subawards under the award.

(2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

- (i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
- (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.

(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity—

- (iv) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or
- (v) (ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—
 - (A) Associated with performance under this award; or
 - (B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),“ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

c. Provisions applicable to any recipient.

- (1) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.
- (2) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:
- (i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and
 - (ii) Is in addition to all other remedies for noncompliance that are available to us under this award.
- (3) You must include the requirements of paragraph a. (1) of this award term in any subaward you make to a private entity.

d. Definitions. For purposes of this provision:

- (1) Employee means either:
 - (i) An individual employed by you or a subrecipient who is engaged in the performance of the project or program under this award; or
 - (ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.
- (2) Forced labor means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.
- (3) Private entity:
 - (i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).
 - (ii) Includes:
 - A. A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).
 - B. A for-profit organization.
- (4) Severe forms of trafficking in persons, commercial sex act, and coercion have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

END OF PROVISIONS