

**USAID/MALAWI
ANNUAL PROGRAM STATEMENT (APS)
Solicitation Number 674-09-068**

**PUBLIC PRIVATE ALLIANCES
IN
A) EDUCATION AND WORKFORCE PREPARATION
B) CARE AND SUPPORT FOR ORPHANS AND VULNERABLE CHILDREN
C) AGRICULTURAL DEVELOPMENT**

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Issuance Date:	September 10, 2009
Deadline for Receipt of Questions:	October 9, 2009
Closing Date for Round 1 Concept Paper Submission:	November 30, 2009
Closing Date for Annual Program Statement (APS):	September 7, 2010

This program is authorized in accordance with Part I of the Foreign Assistance Act of 1961 as amended.

Ladies/Gentlemen:

USAID seeks to expand its use of more strategic alliances with the private and non-governmental sectors in order to further increase sustainable development impact and foster increased private sector-led growth in the developing world. We seek to increase the overall strategic value of our alliances for fostering sustainable development in the developing world.

The USAID/Malawi mission invites interest from prospective local and international partner organizations to form Global Development Alliances to carry out activities in support of USAID/Malawi's development objectives. Alliance partners are expected to bring significant new resources, ideas, technologies, and/or partners to address development problems that USAID/Malawi is currently working to address. Successful applications will bring at least a 1:1 resource leveraging to priority development activities within USAID/Malawi's strategic focus areas.

USAID/Malawi has cultivated more than 22 public-private alliances over the last 8 years with a combined public-private resource value of \$140 million. Through our Global Development Alliances, USAID/Malawi can facilitate access to broader financing options, assist in skill and knowledge development, and apply its extensive knowledge in Malawi to help strengthen and complement private development resources. This solicitation is encouraging and creating the competitive environment for new alliances to be created in FY10.

1 BACKGROUND

USAID is committed to improving the way we implement our foreign assistance mandate through broader collaboration with others. No longer are governments, international organizations, and multilateral development banks the only source of development assistance.

Rather, over the past 30 years, non-governmental organizations (NGOs)/private voluntary organizations (PVOs), cooperatives, faith-based organizations, foundations, corporations, the higher education community, and even individuals (including remittances from immigrants), now provide a greater portion of the total resources that contribute to development.

As a result, the U.S. Government recognizes an exciting opportunity to enhance the impact of development assistance by improving and extending its collaboration with other partners.

USAID has successfully developed strategic alliances in the past with an extensive range of partners, notably NGOs, U.S. universities and colleges, and bilateral and multilateral donor agencies. In 2001, USAID launched the Global Development Alliance (GDA) business model to extend this concept further by, first, increasing the range of prospective partners to include private businesses, foundations, and other private-sector organizations, and, second, seeking alliances with partners that leverage significant resources and technologies, to address international development issues.

USAID is reorienting how it sees itself in the context of international development assistance, how it relates to traditional partners, and how it seeks out alliances with new partners. USAID uses its resources and expertise to assist strategic partners in their investment decisions and stimulates new investments by bringing new actors and ideas to the overseas development arena. While the Agency will continue to deploy resources where private funding is not available and where the governmental role is clear and preeminent (as in promoting policy change), it hopes, through the use of public-private alliances where appropriate, to stimulate new investment and new practices.

USAID has much to offer with its unique mandate within the U.S. Government and long-term experience with, and access to, host-country governments. The Agency is able to capitalize on its extensive field presence, network of local development partners and technical expertise to catalyze, integrate, coordinate, and facilitate public-private alliances among development assistance actors. USAID recognizes that effective alliances will marry common interests and will require time and careful planning. However, such alliances have the potential for not only mobilizing additional resources for development assistance programs worldwide, but also promoting greater effectiveness of those programs, and hence greater impact on the problems of poverty, disease, inadequate education, depletion of natural resources, and limited economic opportunity throughout the developing world.

In developing public-private alliances congruent with the GDA business model, USAID/Malawi uses the following precepts:

- Alliances are expected to bring significant new resources, ideas, technologies and/or partners to address development problems in Malawi.
- Alliances should demonstrate a minimum of one-to-one leverage ratio of resources. At least some portion of the leverage must be in the form of cash. In addition to monetary contributions, in-kind resources such as services, property, volunteer time, equipment, and supplies are also valuable contributions. Alliance applications must clearly specify what each party is contributing and indicate the cash value of in-kind support. (See

Section 3.4. *Leverage* for a more complete discussion of leverage and in-kind contributions.)

- While alliance applications must specify what each party is contributing at the outset, it is also recognized that lasting alliances are dynamic and changing. Some alliances will start small and expand over time as the alliance matures and succeeds, trust is built, and the benefits to the partners and beneficiaries become clearer.
- In general, alliances must fit within the strategic objectives of USAID/Malawi.
- Alliances must clearly establish up front how the interests and objectives of each party converge. This expression of interests and objectives should then lead to an operational plan that, if successfully implemented, will produce clearly defined, measurable and attributable development results.
- Alliances should not simply be matching grants nor should they be grants to organizations that have expressed an intention to seek third party partnerships that are not yet formed. The Global Development Alliance business model seeks relationships and resources beyond traditional norms.
- It is important to exercise due diligence before entering into alliance arrangements with partners. To ensure that the interests of all alliance partners are protected, the offeror should conduct adequate due diligence on all funding partners to ensure that track record, objectives, financial, social and environmental practices, and reputations of all alliance partners are satisfactory.
- There is no pre-defined minimum or maximum number of partners; each alliance will be different. There are many categories of potential alliance partners.
- Fairness and transparency are overarching principles in forming alliances. Exploration of possible alliances should take place in a transparent manner and should involve wide consultation with possible partners.
- Like all development investments, alliance activities in Malawi that actively involve local leadership and local beneficiaries (this includes women and men) in design and implementation are the ones most likely to be successful and sustainable. Local ownership, leadership and beneficiary participation are still keys to success.
- All USAID-financed programs and activities must comply with USAID's environmental procedures set forth at 22 CFR 216.

Please refer to the USAID website at www.usaid.gov/gda for more information about the history and objectives of this initiative. The web site also provides examples of recent alliances worldwide.

2 SECTOR-SPECIFIC GUIDANCE

This APS is inviting potential partners to submit GDA concept papers for partnerships in Education and Workforce Preparation; Care and support for orphans and vulnerable children; and, Agricultural Development. The following information provides guidance to potential partners on the areas of intervention that we are targeting, though partners may also propose innovative ideas outside of what is listed below for consideration. In addition, concept papers that link one or more of the sectors below are also permitted.

2.1 Education and Workforce Preparation

The USAID/Malawi Education team is interested in building strong alliances to prepare the next generation of Malawian citizens in the workforce. Proposed activities should be responsive to the National Education Sector Plan goals and targets and should help promote knowledge, skills and self-reliance of in and out of school children and youth. Activities could include clarifying and strengthening the supply and demand linkages between the education system and the private sector or labor market, providing support to relevant institutions to ensure linkages are clear and established, building dialogue, linkages and synergies between educational institutions (including technical/vocational training institutions) and the public and private sector and bridging in or out of school children and youth education including non-formal education with the private sector. Innovative ideas to strengthen primary and secondary education to build vocational and technical skills are also of interest. Partnerships are strongly encouraged to any or all of the following: Malawian, regional and U.S.-based education institutions, the public and private sector, and other interested parties. Partnerships are strongly encouraged to include Malawian, regional and U.S.-based education institutions, the public and private sector, and other interested parties. All activities must be linked to the Basic Education Program Element/Education Systems Program Sub-Element and the Workforce Development Program Element and Workforce Readiness Program Sub-Element and Technical/Vocational Training for Employment Program Sub-Element in the Foreign Assistance Framework. See Annex A for the Definition of the Basic Education and Workforce Development Program Elements, Education Systems, Workforce Readiness, and Technical/Vocational Training for Employment Sub-Elements, and illustrative indicators.

2.2 Agriculture

The USAID/Malawi Economic Growth team is interested in initiating new alliances to strengthen the agribusiness sector. Potential activities should support the growth of small and medium sized agro-enterprises, including producer organizations, which are engaged in producing, marketing, or adding value (e.g. processing and quality enhancement) to crop, livestock, forestry, and/or fishery products. Additional activities may focus on the agro-processing, irrigation, and agricultural production. All activities must be linked to the Agricultural Sector Capacity Program Element/Agribusiness and Producer Organizations Program Sub-Element in the Foreign Assistance Framework. See Annex A for the Definition of the Agricultural Sector Capacity Program Element/ Agribusiness and Producer Organizations Program Sub-Element, and indicative indicators.

2.3 Orphans and Vulnerable Children

The USAID/Malawi Health team is interested initiating new public-private partnerships to strengthen care for orphans and vulnerable children in HIV-affected communities in Malawi. This APS seeks concept papers that are innovative and propose to pilot new strategies or scale up tested strategies that show promise in addressing strengthening family and community capacity to care, support and protect vulnerable children, as well as improve their access to essential services. Potential partnerships should be in line with the Malawi HIV and AIDS National Action Framework and the Malawi National Plan of Action for Orphans and Vulnerable Children and focused on expanding implementation of a comprehensive package of high quality

interventions for orphans and vulnerable children (which may include care and shelter, food and nutrition, education and vocational skills training, health care – including care for children living with HIV, protection, psychosocial support and household economic strengthening).

All activities must be linked to the HIV/AIDS Program Element and Orphans and Vulnerable Children Sub-Element in the Foreign Assistance Framework. See Annex A for the Definition of the HIV/AIDS Program Element and Orphans and Vulnerable Children Sub-Element, and indicative indicators.

Applications seeking OVC funding are preferred that also include elements that address USAID/Malawi Economic Growth and USAID/Malawi Education Team priorities above. While PEPFAR resources awarded under this APS must specifically target children affected or made vulnerable by HIV, private resources used for leverage under this APS do not necessarily need to be exclusively focused on OVC and could involve a wide range of activities targeting other groups than OVC and their families in different sectors including education, agricultural development, food and nutrition, primary health care, microfinance, women's empowerment. If reasonable, applications that address all three technical sectors listed above are possible

3 FUNDING AMOUNTS, TIMING, AND ELIGIBILITY REQUIREMENTS

3.1 Funding Amounts and Timing

USAID/Malawi reserves the right to make multiple grants, cooperative agreements, collaboration agreements or no awards at all through this APS. *This APS seeks public-private alliance applications for funding in Fiscal Year FY 2010, although applications should contemplate an alliance that continues beyond FY 2010.* The actual number of awards under this APS is subject to the availability of funds and the interests and requirements of USAID/Malawi as well as viability of applications received.

It is expected that programs may last from 12 to 36 months. Priority will be given to applications that can be launched rapidly. There will be a minimum grant size of \$50,000 and a maximum grant size of \$2,000,000 for each sector made available either to one grantee, multiple grantees, or no grantees depending on the quality of the applications. HIV/AIDS funding can be requested as part of a solely OVC focused grant or preferably as part of a more comprehensive agriculture and/or education grant, in which case an amount of up to \$2,000,000 in HIV/AIDS funding can be requested in addition to the total \$2,000,000 maximum amount of the agriculture or education grants. Applications must have a 1:1 resource match, and higher resources matches will be given priority. One or more awards may be made in each sector depending on the quality of applications received. USAID will not provide funds under this APS for products and services that would be purchased through a contract.

Proposed alliances should be consistent with USAID legal and policy restrictions including those set forth in USAID's Automated Directives System (ADS) and in the Foreign Assistance Act of 1961. Please refer to www.usaid.gov/policy/ads/300/303.pdf for governing regulations, standard provisions, and required certifications that will need to be submitted by applicants at the time of award.

3.2 Partner Eligibility Criteria

This Annual Program Statement focuses on establishing public-private alliances to define a need and its solution, and to combine resources to achieve far-reaching, mutually agreed upon results. *The following list of potential partners is for illustrative purposes because our eligibility criteria are wide. We welcome other new types of partners.* Potential partners include foundations, U.S. and non-U.S. NGOs, faith-based organizations, U.S. and non-U.S. private businesses, business and trade associations, international organizations, U.S. and non-U.S. colleges and universities, U.S. cities and states, other U.S. Government agencies, civic groups, other donor governments, host country governments, regional organizations, host country parastatals, philanthropic leaders including venture capitalists, public figures, advocacy groups, pension funds and employee-welfare plans, etc.

It is important to note that NGOs do not need to be registered Private Voluntary Organizations to submit an application. **Potential for-profit applicants should note that USAID policy prohibits the payment of fee/profit to the prime recipient under assistance instruments. Forgone profit does not qualify as cost-sharing or leveraging.**

In addition, all prospective partners must be organizations with a reputation for integrity and the highest standard of conduct, and a proven track record in their particular areas of expertise. They should be able to demonstrate a respect for human rights, gender sensitivity, integration of people with disabilities and other vulnerable groups, decent work conditions, environmental protection, and community involvement in their operational practices. They should also be able to provide evidence of a strong commitment to the proposed alliance and, ideally, experience in working in partnership with others. Past applicants are welcome to apply. Alliance partners that were funded under previous public private alliance APS's and RFA/APS's are also eligible to apply.

3.3 Program Eligibility Criteria

The purpose of this APS is to foster innovation and involvement of new actors in development solutions. It seeks to leverage market forces, new technologies, and new approaches to development. It seeks to encourage applicants to re-define the development challenge in terms of a wider range of actors and interests. To be considered for funding under this APS, proposed programs must meet the following requirements:

- a. Alliance applications must have clearly-defined objectives that have been agreed to by the partners.
- b. Alliance applications are expected to demonstrate significant new, non-federal resources – whether money, ideas, technologies, experience and expertise – to address international development problems.
- c. Alliance applications must address the development needs of Malawi.
- d. Alliance applications must contribute to one or more of the Agency's high priority sectoral and programmatic objectives.

- e. Alliance applications must offer promise of significant development impact, as measured, for example, by the number of direct and indirect beneficiaries of the program, and/or by the potential for replication or scaling-up over time.
- f. Alliance applications must appear feasible from a technical, economic, financial, and social perspective.

3.4 Leverage¹

GDA alliances are expected to bring significant new, non-public resources – whether money, ideas, technologies, experience or expertise – to address Malawi’s development problems. ***To qualify for USAID funding under this APS, an alliance must demonstrate that partners are able and willing to collectively contribute significant resources to the proposed program that are at least equal to the level of resources sought from USAID: A minimum 1:1 leveraging is a minimum condition for concept/proposal consideration.*** At least some portion of the leveraging should be in cash.

Alliances in which non-USAID resources have a more clearly defined cash component are generally more competitive. However, various types of in-kind contributions can play an important role in funding alliances. Examples of in-kind contributions that USAID seeks under alliances include:

- a. Commodities such as drugs, food stuffs or equipment
- b. Use of training or other purpose-specific facilities necessary to a program’s implementation
- c. Value of time donated by technical consultants necessary to a project
- d. Value of salaries for staff dedicated to a project
- e. Innovative technology, communications and capital assets.

Further, it must be shown that these resources, in combination with the support sought from USAID/Malawi, will provide the alliance with a comparative advantage in meeting the goals and objectives of the proposed program in a sustainable fashion. It is this expectation of significant leverage of non-public resources, in combination with joint planning and of sharing risks and benefits, that defines the public-private alliances under the GDA as distinct and different from those activities USAID has previously supported.

¹ USAID traditionally defines cash or in-kind resource contributions as “cost-share or matching.” A definition of items that constitute “cost share or matching” can be found at 22 CFR 226.23 (see <http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/cfr_2002/aprqr/22cfr226.23.htm>). Cost-share or matching is reported on a periodic basis on payment forms, and USAID has the right to reduce its share of funding if the cost-share reported is less than the agreed upon percentage or amount contained in the award. Finally, if a difference remains after an award has expired; the difference shall be refunded to USAID. The contributions being proposed in an application do not have to be proposed under the above “cost-share or matching” definition and provision; they can be proposed as “leveraging,” as discussed above. Applicants should indicate whether they are proposing the contributions as “cost-share or matching” or as “leveraging.” If proposing as “leveraging,” applicants should be prepared to provide annual benchmarks that include proposed results to be accomplished with USAID funds and the additional leveraging, and should be prepared to provide annual timelines that include percentages or amounts. The benchmarks and timelines will be included in the terms of any agreement awarded under this solicitation.

4 APPLICATION COMPETITION

USAID/Malawi requests interested parties to adhere to the following guidelines for the APS competition process.

4.1 Criteria for Award Selection

Concept papers and applications shall be evaluated by a USAID/Malawi Technical Evaluation Committee (TEC). The TEC panel shall evaluate the applications and rate each applicant based on the criteria outlined in **Section 5.5 and Annex B** below. Additional discussions with applicants may take place if the applications submitted do not adequately describe the activities to be funded and/or there are one or more points to be clarified or modified based on the recommendations of the TEC. The actual number of awards under this APS is subject to the availability of funds and the viability of applications received.

This APS does not commit USAID/Malawi to award an agreement or to pay any costs incurred in the submission of concept papers or applications or costs incurred in the preparation thereof, or to procure or contract for services or supplies. USAID/Malawi reserves the right to reject any or all concepts or applications, to negotiate with any applicant(s) considered qualified, or to make award without further applicant discussions.

4.2 Evaluation Process

Concept papers or applications received in response to an APS shall be collected until a reasonable number can be competed and evaluated in accordance with the APS evaluation criteria. If USAID/Malawi establishes a specific time frame for review of concepts or applications, e.g. quarterly reviews, and only one concept paper or application has been received during that time, it may be considered to be a reasonable number. If the solicitation becomes irrelevant for any reason or funding is unavailable, USAID/Malawi reserves the right to close the solicitation.

USAID/Malawi will review concept papers or applications on an ongoing basis until the cut off date as stated in section 4.3 below, and select those that it intends to fund, and will proceed to negotiate an award with each successful applicant subject to the availability of funding. Once the initial awards are made, if funding is still available, more awards may be considered. The final decision for funding will be based on both a technical review and the availability of USAID funding. USAID reserves the right to fund one or more or none of the applications which may be submitted.

4.3 APS Timing and Limitations

This APS will be open for the period of one year from **September 10, 2009 to September 7, 2010**. The initial cutoff date for submission of concept papers is **November 30, 2009**. **At that time, all concept papers received will be considered to be a reasonable number, even if it is just one.** Concept papers submitted after this initial due date will be reviewed but awards will be pending the availability of funding.

Note that all applicants may be subject to a pre-award financial and management review and must demonstrate that they have a rigorous financial and monitoring system in place that will ensure auditable systems and records.

4.4 Deadline for Submission of Questions

Interested applicants may submit questions related to the APS by e-mail to nmfune@usaid.gov and cfrost@usaid.gov through **October 9, 2009**. Responses to queries and questions will be posted on the website at <http://www.grants.gov>. No requests for meetings or phone calls with any USG officials will be accepted during the application process.

5 INSTRUCTIONS TO APPLICANTS

Applicants are reminded that applications that are: (i) aligned with the goals of USAID/Malawi; (ii) feasible; (iii) innovative; and (iv) bringing leveraging of a minimum one-to-one ratio (with at least some portion in cash) will receive consideration. For information about specific mission and operating unit goals and objectives you may consult: <http://www.usaid.gov/policy/budget/cbj2009/>

Issuance of this APS does not constitute an award or commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application.

The submission process will include two steps: 1) submission of a concept paper; and, 2) if instructed by USAID/Malawi, submission of a full-blown application. **All submissions must be in English.** Please see below for more information on the evaluation criteria for the concept papers and full-blown applications.

5.1 Phase One, Preparation of Concept Papers

Before submitting a concept paper, interested applicants are strongly encouraged to speak with key staff involved in the USAID/Malawi program. These staff can discuss with you the extent to which your idea is appropriate and aligned with USAID's goals. The contact person is Patrick Wesner, Program Officer, pwesner@usaid.gov, and he will connect you to others, as appropriate, for your questions.

Concept papers must be strictly limited to no more than five pages in length using 12- point font. Concept papers should be sharply focused, technically sound, and demonstrate a clear sense of the applicant's key objectives and ability to carry out the program. The concept paper shall include:

a. Cover Page/Introduction:

- 1) Name and address of organization;
- 2) Type of organization (e.g., for-profit, non-profit, university, etc.);

- 3) Contact point (lead contact name; relevant telephone, and e-mail information). Regional or multi-country applications should provide the name of at least one local partner for each country targeted in the program;
- 4) Names of other organizations (federal and non-federal as well as any other USAID offices) to whom you are/have submitted the application and/or are funding the proposed activity; and
- 5). Signature of authorized representative of the applicant.

b. Technical Information:

- 1) Concise title and objective of proposed activity;
- 2) Discussion of the objectives, the method of approach, the amount of effort to be employed, the anticipated results, and how the work will help accomplish USAID/Malawi's specific strategic results within the field mission's timeframe; and
- 3) Type of support the applicant requests from USAID (e.g., funds, facilities, equipment, materials, personnel resources, etc.).

c. Supporting Information:

- 1) Proposed estimated cost;
- 2) Brief cost breakdown (e.g., salaries, travel, etc.);
- 3) Proposed amount of the applicant's financial as well as in-kind participation;
- 4) Proposed amount of prospective or existing partner's (or partners') financial as well as in-kind participation;
- 5) Proposed duration of the activity; and
- 6) Brief description of applicant's, as well as prospective or existing partner's (or partners'), previous work and experience.

5.2 Submission of Concept Papers

Applicants requested submit concept papers electronically to Nyembezi Mfuné, Acquisition and Assistance Specialist, at nmfune@usaid.gov with a copy to Beatrice Lumande, Acquisition and Assistance Specialist, at blumande@usaid.gov. All concept papers submitted should quote APS number and title as referenced above.

5.3 Phase Two, Preparation of Full Applications

A favorable evaluation of the concept paper in the tier one review does not automatically imply USAID funding. The applicant will be asked to then submit a more detailed submission limited to 25 pages single-spaced using 12-point font. Full applications will undergo a comprehensive evaluation using the factors described below, including the submission of the following information, as well as any additional requirements specifically requested by USAID/Malawi. The alliance will be notified of specific requirements, in addition to those listed below in the invitation to submit a full application. Invitations for full applications will be sent 30 days after the deadline for receiving concept papers.

a. Technical Application

The length of the technical application should not exceed the following page limits:

- 1) Executive Summary: 2 pages
- 2) Body of Application: 25 pages
- 3) All Attachments/Annexes: 15 pages

The body of the application should include the following information:

- 1) Table of Contents listing all page numbers and attachments
- 2) Executive Summary
- 3) Program Description
- 4) Goal and Objectives
- 5) Background/Problem Statement
- 6) Explanation of partners and their expected roles, including partner and other resources brought to bear (leveraging)
- 7) Proposed Interventions/Technical Approach
- 8) Expected Impact
- 9) Duration of Activity
- 10) Role of USAID (e.g., facilities, equipment, material, or personnel resources)
- 11) Statement outlining gender and disability integration issues and how the applicant proposes to address the issues
- 12) Implementation Schedule

b. Attachments/Annexes

In addition to the technical narrative described above, the application should include as attachments/annexes the following documents: Note: Attachments/annexes should be lettered (e.g. Attachment/Annex A).

- 1) A draft letter of intent from resource partners.
- 2) A draft Memorandum of Understanding, which describes roles, responsibilities and contributions of each alliance partner including USAID. This can also include documentation of intent to participate by other partners. USAID/Malawi will determine whether a finalized MOU is or is not required prior to the award being made.
- 3) Resumes/Curriculum vitae for key staff;
- 4) An environmental mitigation and monitoring plan;
- 5) Performance Monitoring Plan;
- 6) Relevant past performance information including recipient and key partner organizations;
- 7) Branding/Marking Plan, if applicable (Not required for the initial full application submission - only required after an apparently successful applicant(s) has been identified and notified).

Please note excessive documentation submitted under the attachments/annexes is neither necessary nor wanted.

c. Financial/Cost Application

The applicant shall be requested to submit a financial application (budget) as part of the full technical application. There is no page limitation on the Financial Application, but applicants are encouraged to be concise. The financial application must include the following:

- 1) **Standard Forms:** Applicants shall complete and submit the following required forms: (a) SF 424 Application for Federal Assistance, (b) SF 424A Budget Information and (c) SF 424B, Assurances - Non-Construction Programs. The forms may be downloaded from USAID's website: <http://www.usaid.gov/forms/sf424.pdf>.
- 2) **Certifications, Assurances and Other Statements of the Recipient:** In addition to the certifications that are included in the Standard Form 424, applicants (both U.S. and non-U.S. organizations) must submit certifications, assurances and other statements as follows:
 - a) For U.S. organizations, a signed copy of [Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs](#). This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
 - b) A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see [22 CFR 227](#));
 - c) A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference [AAPD 04-14](#);

NOTE: A copy of the certifications is provided in **Annex D** of this APS.

- 3) **Financial Plan/Detailed Budget:** The financial plan should be fully supported by adequate cost data to establish the reasonableness of proposed program costs. At a minimum, the financial plan shall contain the following:
 - a) A summary budget page of total costs;
 - b) A detailed budget by line item;
 - c) A detailed budget breaking out different program elements (activities) such as Environment (natural resource/biodiversity), Agriculture, Micro-enterprise Development, Financial Services, Health, Education; etc;
 - d) Global Development Alliance partners and contributions and/or other donor funding;
 - e) The budget should contain the following line items at a minimum:
 - Home office direct labor (if applicable), number of units and costs.
 - Local office direct labor, number of units and cost.
 - Consultants, number if units and costs
 - Subcontractor / sub-awardees labor, number of units and cost.
 - Equipment and supplies.

- Travel (destinations, no. trips, approx. cost) and associated per diem.
- Grants under the grant award and cost, if any.
- Other related costs (explain in general terms related to the activity or task and give estimates-these may vary by task).

The detailed budget notes and supporting justification of all proposed budget line items should include the following, as applicable:

- a) The name, annual salary, fringe benefits and expected level of effort of each position charged directly to the program, including consultants.
 - b) Details of all home office support to be provided.
 - c) Fringe Benefits. If charged as a percentage, please provide a breakdown. If not included in the indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employee, and all benefits covered by the rate.
 - d) Allowances, expatriate and local, which should be broken down by specific type and by person and must be in accordance with the applicants' policies. All salaries, benefits and allowances must be based on written compensation policies of the employer organization.
 - e) Travel, per diem and other transportation expenses should be detailed in the financial plan to include number of international trips, from where to where, number of per diem days and rates. Per Diem and other travel allowances must be based on written travel policies of the employer organization.
 - f) Other direct costs: Provided a breakdown of proposed workshop expenses, training, visas, passports, equipment, and supplier and other general costs. Explain basis for cost, number of units, etc.
 - g) Cost-Share: While cost-sharing is not a requirement under this APS, it is encouraged by the mission as a means of leveraging project funding, and applicants who do propose a cost sharing arrangement should provide narrative information, in addition to the percentage and total dollar amount of the proposed cost-share contribution. Cost share, once accepted becomes a condition of payment of the federal share.
 - h) Indirect Costs: Applicants must provide a copy of the most recent indirect cost rate agreement negotiated with its cognizant U.S. Government agency, if applicable. Non US applicants not possessing a NICRA that plan to levy an administrative fee are requested to provide the basis of that fee in accordance with the "Guidelines for Financial Audits Contracted by Foreign Recipients" found at the following website: <http://www.usaid.gov/policy/ads/300/>
- 4) Firms with no previous experience with USAID Programs will be requested to submit evidence of financial capacity which shall consist of financial audits for the past three years; personnel, travel, purchasing, and property management policies; and past performance references (at least three).
 - 5) The apparently successful applicant(s) must provide a Data Universal Numbering System (DUNS) Number.

5.4 Submission of Full Applications

USAID/Malawi will provide detailed application instructions, including where to send their applications and when they are due. *Note: An invitation to submit a full application does not constitute an award; USAID may choose to not fund applications even after they have been requested.*

5.5 Eligibility and Evaluation Criteria for Concept Papers

USAID's review of concept papers will focus on assessing the likelihood that the proposed alliance program would be successful in achieving its development objectives based on the general criteria points listed below. The eligibility and evaluation criteria to be considered include the following:

- a. At least 1 to 1 resource match
- b. Clearly defined objectives agreed to by all partners
- c. Demonstrated knowledge of the country and sector(s)
- d. Demonstrated significant new, non-federal resources – whether money, ideas, technologies, experience and expertise.
- e. Contributes to one or more of the APS high priority sectoral and programmatic objectives.
- f. Feasibility of proposed results
- g. Offers promise of significant development impact, as measured, for example, by the number of direct and indirect beneficiaries of the program, and/or by the potential for replication or scaling-up over time
- h. Feasible from a technical, economic, financial, and social perspective
- i. Objectives, the method of approach, the amount of effort to be employed, and the anticipated results clearly defined.
- j. Organizational purpose
- k. Level of experience in carrying out development programs
- l. How well the Applicant performed in the past
- m. The relevancy of the Applicant's program work to the program being proposed
- n. Any indications of excellent or exceptional performance

5.6 Evaluation Criteria for Full Applications

Full applications shall be evaluated in accordance with the evaluation criteria set forth in **Annex B**.

6 SPECIAL CONSIDERATIONS

6.1 Environmental Compliance

Compliance with USAID Environmental Procedures (22 CFR 216), including appropriate environmental assessment, mitigation and monitoring measures, should be considered an integral part of all activity development and implementation under this APS.

- a. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's

Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ADS/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this APS.

- b. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.
- c. No activity funded under the resulting awards under this APS 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.”)
- d. USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. If requested to submit full applications, respondents to the APS should therefore include as part of their application their approach to achieving environmental compliance and management, to include:
 - (i) The respondent’s approach to developing and implementing an [IEE or EA or environmental review process for a grant fund and/or an EMMP or M&M Plan]
 - (ii) The respondent’s approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.
 - (iii) The respondent’s illustrative budget for implementing the environmental compliance activities. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.
- e. As part of its initial Work Plan, and all Annual Work Plans thereafter, the awardee, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under their award to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- f. If the awardee plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

- g. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.
- h. When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:
 - (i) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
 - (ii) Integrate a completed EMMP or M&M Plan into the initial work plan.
 - (iii) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

6.2 Substantial Involvement

Should a cooperative agreement be awarded instead of a grant, USAID may be substantially involved in the award in the following ways:

- a. Approval of the recipient's Implementation Plans.
- b. Approval of specified key personnel.
- c. USAID and recipient collaboration or joint program implementation.

Please refer to USAID ADS 303.3.11 for more information regarding substantial involvement.

Where there are specific elements in the proposed program for which USAID's technical knowledge would benefit the recipient's successful accomplishment of stated program objectives, the direct provision of USAID expertise and ongoing USAID participation in the program could be authorized. If a grant is awarded instead of a cooperative agreement, the grantee may be invited to utilize U.S. Government and other expertise.

6.3 Gender Considerations

In accordance with USAID's recognition that gender issues are important considerations in development, and in keeping with the program planning guidance outlined in USAID regulations ADS 201.3.9.3 and ADS 303.3.6.3 (available at <http://www.usaid.gov/policy/ads/>), please outline the most significant gender issues that will be considered during activity planning and implementation. These should reflect consideration of the following two questions:

- a. How will both women and men be incorporated in the proposed activities?
- b. How might men and women be differently affected by the proposed activities?
- c. How will potential gender problems or tensions created by the proposed activities be addressed and/or mitigated?

USAID requires applications to provide a brief statement describing the country context for gender issues, and information about the inclusion of both men and women in the proposed activities.

7 ADMINISTRATION OF AWARDS

The awards will be negotiated and administered by the Regional Agreement Officer responsible for USAID/Malawi, but based at USAID/South Africa. USAID/Malawi will manage the implementation of the activities under the resulting awards.

This APS does not commit USAID/Malawi to award an agreement, or to pay any costs incurred in the preparation or submission of applications, or to procure or contract for services or supplies. USAID/Malawi reserves the right to reject any or all proposals, to negotiate with any applicant(s) considered qualified or to make award without further applicant negotiations.

7.1 Reporting Requirements

Successful applicants shall adhere to various program performance reporting requirements as outlined in their respective awards. The report shall also present information on the efforts of the recipient to leverage resources and the total value of these resources. Additional guidance on the format and content of quarterly reports is contained in **Annex C**.

7.2 Branding and Marking Requirements

Applicants that will be requested to submit full applications shall comply with the "Branding and Marking" policy directives and required procedures outlined in USAID Automated Directives System (ADS) 320.3.2 at <http://www.usaid.gov/policy/ads/300/320.pdf>; and USAID "Graphic Standards Manual" available at www.usaid.gov/branding, or any successor branding policy.

In developing the Branding Strategy and Marking Plan, each full application must include a plug figure in the Application Budget for USAID's Branding Strategy and Marking Plan requirements pursuant to the policy directives stated above. Should your application be recommended for award under this APS, the cognizant Mission or Regional Agreement Officer will request your organization to submit (1) a Branding Strategy that describes how the program, project, or activity is named and positioned, how it is promoted and communicated to beneficiaries and cooperating country citizens, and identifies all donors and explains how they will be acknowledged; and (2) a Marking Plan that will detail the public communications, commodities, and program materials intended to visibly bear the USAID identity together with a negotiable budget for each. Once submitted, the Branding Strategy and Marking Plan and their costs, must be negotiated and approved by the USAID Mission and the Regional Agreement Officer prior to award. **The Branding Strategy and Marking Plan only have to be submitted if you are selected for award.**

8. ANNEXES

ANNEX A: FOREIGN ASSISTANCE FRAMEWORK DEFINITIONS AND INDICATORS

I. WORKFORCE PREPARATION COMPONENT

Program Element 3.2.1: Basic Education

Definition: Improve early childhood education, primary education, and secondary education, delivered in formal or non-formal settings, which includes literacy, numeracy, and other basic skills programs for youth and adults.

Sub-Element 3.2.1.7: Education Systems

Definition: Contribute to sustained improvements in education quality, efficiency, and equity through strengthened education policy, governance, financing, facilities, human resources, public information, and management of education services. A range of activities may target the national, regional, district, and community levels of the education system; pre-primary, primary, lower-secondary, upper secondary, and non-formal education; and public or private education.

Illustrative Indicators

- Number of adult learners enrolled in USG-supported schools or equivalent non-school-based settings.
- Number of teachers/educators trained in what? with USG support.
- Number of administrators and officials trained in what?.
- Number of institutions with improved Management Information Systems, as a result of USG Assistance.
- Number of learners enrolled in USG-supported secondary schools or equivalent non-school-based settings.
- Number of local organizations provided with technical assistance for strategic information activities.
- Number of Parent-Teacher Association or similar ‘school’ governance structures supported.
- Number of textbooks and other teaching and learning materials provided with USG assistance.

Program Element 3.2.1: Workforce Development

Definition: Assist youth and adults in acquiring knowledge and developing skills beyond basic literacy and numeracy which are part of the basic education element, attitudes, and behaviors to find legitimate jobs, establish viable self employment ventures, and stay employed and productive in a changing economy. Create policies, programs, and systems that respond to labor market demands in the formal and informal sectors.

Sub-Element 4.6.3.3: Workforce Readiness

Definition: Create and sustain pre-employment and employability programs for male and female youth and men and women in formal and non-formal settings. These programs develop foundational (pre-requisite or threshold) skills that are adaptable and necessary for entrance into the labor force, vocational training programs, and career-oriented higher education; skills such as critical thinking, teamwork, and communication. Workforce readiness programs may target out-of-school and marginalized youth and adults, or students in general education systems. Programs include labor market and social support services, and linkages with further technical skills development and career opportunities for both young men and women.

Sub-Element 4.6.3.4: Technical/Vocational Training for Employment

Definition: Create and sustain career-enhancing education and training programs that are responsive to the current and future labor needs of local, regional, and international employers, both formal and nonformal. Generally, these programs certify competence of male and female learners in accordance with industry standards and provide labor market and social support services. In contexts where the private sector is weak, technical/vocational training may be oriented towards self-employment.

Illustrative Indicators

- Number of workforce development initiatives created through USG assisted public-private partnerships.
- Number of new or improved workforce development policies drafted through USG assistance.
- Number of people gaining employment or more remunerative employment as a result of participation in USG-funded workforce development programs.
- Number of people transitioning to further education and training as a result of participation in USG-funded workforce development programs.
- Number of persons completing USG-funded workforce development programs.
- Number of persons participating in USG-funded workforce development programs.

II. AGRICULTURE COMPONENT

Program Element 4.5.2: Agricultural Sector Capacity

Definition: Sustain the productivity of the agricultural sector through investments that foster increasing returns to land, labor, and capital. Targeted interventions to male and female producers provide improvements in technology and management practices, expanded access to markets and credit, increased organizational and market efficiency, and restoration and protection of resiliency in production and livelihood systems.

Sub-Element 4.5.2.4: Agribusiness and Producer Organizations

Definition: Support the growth of small and medium agro-enterprises, including producer organizations/associations, which are engaged in producing, marketing, or adding value (e.g.

processing and quality enhancement) to crop, livestock, forestry, and fishery products. Support addresses the needs and capacities of both men and women producers and includes such areas as adoption of technology and technical processes, businesses and human resources management, environmental regulatory compliance, and organizational governance.

Illustrative Indicators

- Number of additional hectares under improved technologies or management practices as a result of USG assistance.
- Number of agriculture-related firms benefiting directly from USG supported interventions.
- Number of farmers, processors, and others who have adopted new technologies or management practices as a result of USG assistance.
- Number of individuals who have received USG supported long term agricultural sector productivity training.
- Number of individuals who have received USG supported short term agricultural sector productivity training.
- Number of new technologies or management practices made available for transfer as a result of USG assistance.
- Number of rural households benefiting directly from USG interventions.
- Number of producers organizations, water users associations, trade and business associations, and community based organizations (CBOs) receiving USG assistance.
- Number of vulnerable households benefiting directly from USG assistance.
- Percent change in value of purchases from smallholders of targeted commodities.
- Percent change in value of purchases from smallholders of targeted commodities as a result of USG assistance.

III. ORPHANS AND VULNERABLE CHILDREN COMPONENT

Program Element 3.1.1: HIV/AIDS

Definition: Reduce the transmission and impact of HIV/AIDS through support for prevention, care and treatment programs.

Sub-Element 3.1.1.8: Orphans and Vulnerable Children

Definition: Improve the lives of orphans and other vulnerable children and families affected by HIV/AIDS. Strengthen communities to meet the needs of orphans and other vulnerable children affected by HIV/AIDS, supporting community-based responses, helping children and adolescents to meet their own needs, creating a supportive social and policy environment. Activities could include training caregivers, increasing access to education, economic support, targeted food and nutrition support, and legal aid. Institutional responses would also be included. ARV treatment of children is excluded from this category and should be coded under Sub-Element 1.1.10 (HIV/AIDS Treatment and Anti- Retroviral Drugs) and Sub-Element 1.1.11 (HIV/AIDS Treatment and Anti-Retroviral Services). Palliative care, including basic health care and support and TB/HIV prevention, management and treatment, as well as their related

laboratory services and pharmaceuticals, when delivered within programs for orphans and other vulnerable children affected by HIV/AIDS, should be coded under this aspect. Other health care associated with the continuum of HIV/AIDS illness, including HIV/TB services, when delivered outside a program for orphans and other vulnerable children affected by HIV/AIDS, should be coded under Sub-Element 1.1.6 (Basic Health Care and Support) or Sub-Element 1.1.7 (TB/HIV).

Illustrative Indicators:

- Number of providers/caretakers trained in caring for OVC.
- Number of OVC served by OVC programs.
- Number of individuals who received counseling and testing for HIV and received their test results.
- Number of individuals trained to promote HIV/AIDS prevention through other behavior change beyond abstinence and/or being faithful.
- Number of individuals trained in HIV-related stigma and discrimination reduction.
- Number of individuals trained in HIV-related community mobilization for prevention care and/or treatment.
- Number of individuals reached through community outreach that promotes HIV/AIDS prevention through abstinence and/or being faithful.
- Total number of individuals trained to provide HIV palliative care (including TB/HIV).
- Number of service outlets providing counseling and testing according to national and international standards.

ANNEX B: FULL APPLICATION EVALUATION CRITERIA

Technical applications received in response to this Annual Program Statement will be evaluated against the following considerations:

A. Partnerships: 25 points

Programs should focus on the development or enhancement of strong public-private partnerships. The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

- Applicants must bring at least a one to one resource match. Leverage of greater than two to one may receive additional points.
- Applicants must demonstrate how programs will facilitate innovative, strategic partnerships for successful impacts.
- Activities must be collaborative, and where possible encourage work with partners whose main objective and core technical expertise is in the targeted sector.
- Programs should build capacity of local or non-traditional partner groups to engage in such collaborations.
- Proposals should include a draft letter of intent from resource partners and a draft Memorandum of Understanding, which describes roles, responsibilities and contributions of each alliance partner including USAID. (USAID/Malawi will determine whether a finalized MOU is or is not required prior to the award being made)

B. Technical Approach and Impact: 35 points

Applicant should demonstrate how activities would contribute to the targeted sector. The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

- Programs must have clear and measurable objectives and goals and must demonstrate an understanding of the Malawian context.
- Programs must address the distinct challenges and/or opportunities in the targeted sector.
- Programs should be results-oriented, clearly demonstrating realistic short, medium and long-term gains expected, including program impacts and targets.
- Programs should demonstrate a solid understanding of the current context and challenges in the targeted sector as well as clearly identify the interventions that will be implemented to respond to those challenges.
- Linkage to other cross-sector activities such as sustainable agriculture, economic growth, enterprise development, trade, education, financial services, health, etc.
- Programs should be feasible from a technical, economic, financial, and social perspective
- Programs must include a clear implementation schedule.

C. Management and Sustainability: 15 points

Programs should follow best practices of sustainability, participation, learning and management. The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

- Programs should foster sustainability, emphasizing how partnerships, impacts and appropriate activities will be sustained beyond the end of the agreement, including aspects of financial and social sustainability.
- Programs should be participatory and incorporate equitable and active involvement of appropriate stakeholders while mainstreaming gender issues and include, where appropriate, traditionally marginalized stakeholders.
- Programs should integrate learning into program design and on-going management including relevant monitoring and evaluation activities.

D. Institutional Capacity: 7 points

The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

The Applicant must demonstrate the ability to support field-based operations, to work in partnerships, to design, implement and monitor successful programs and to meet all USAID financial and programmatic reporting requirements. Curriculum vitas of key staff should be included.

E. Past Performance: 8 points

The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

The applicant shall include a minimum of 3 (three) past performance examples for the past 3 (three) years for current public or private sector type awards for efforts similar to this requirement (i.e. examples should be where the recipient provided a significant contribution to the overall objective). Describe relevance as it relates to **1 Purpose and Activity Description**. The reference information shall include the location, current telephone number, e-mail addresses, and point of contact, award number, dollar value, and brief description of work performed.

Three past performance references are required for any sub-awardee who will receive the greater of \$500,000 (five hundred thousand dollars) or 25% of the total award.

Firms lacking relevant past performance history shall be given a “neutral” past performance rating that neither rewards nor penalizes those applicants. USAID reserves the right to have USAID Missions provides feedback prior to any award.

F. Gender Inclusion: 5 points

The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

Applicants should outline the most significant gender issues that will be considered during activity planning and implementation. These should reflect consideration of the following two questions:

1. How will both women and men be incorporated in the proposed activities?
2. How might men and women be differently affected by the proposed activities?
3. How will potential gender problems or tensions created by the proposed activities be addressed and/or mitigated?

USAID requires applications to provide a brief statement describing the country context for gender issues, and information about the inclusion of both men and women in the proposed activities.

G. Environmental Compliance: 5 Points

The following considerations may be, but are not required to be, considered in the evaluation of this criterion:

Compliance with USAID Environmental Procedures (22 CFR 216), including appropriate environmental assessment, mitigation and monitoring measures, should be considered an integral part of all activity development and implementation under this APS. Applicants should clearly demonstrate and articulate an awareness of potential environmental impacts of their proposed activities and a plan to mitigate those potential risks, if applicable.

Evaluation Criteria for Cost Applications

Cost is of significantly less importance than the technical evaluation criteria. However, where proposals are considered essentially equal, cost may be the determining factor. The overall standard for judging cost will be whether the cost proposal presents the best value for the cost. The cost proposal will be judged on: (i) whether it is realistic and consistent with the technical proposal; and (ii) overall cost control (avoidance of excessive salaries, excessive home office visits, and other costs in excess of reasonable requirements).

ANNEX C: QUARTERLY REPORT GUIDELINES AND TEMPLATE

- Most grants, contracts, and cooperative agreements require implementing partners to submit quarterly reports. However, the format and content of these reports is not always detailed. The Mission, therefore, provides the following guidelines on technical quarterly reports for implementing partners.
- Each implementing partner should submit quarterly progress reports in line with the US fiscal year. Quarterly progress reports are due 30 days after end of each quarter. Quarterly periods are from October 1 –December 31; January 1- March 31; April 1 – June 30; and, July 1 – September 31. Thus, quarterly reports are due on: January 31, April 30, and July 31, while the annual report is should be submitted by October 31.
- Implementing partners are requested to submit short quarterly progress reports (including annexes) to USAID for monitoring and management purposes. We would expect that you supply at least the information requested in the quarterly report format below.
- The quarterly report should consist primarily of narrative. If the partner wants to provide extensive tables, these should be attached in annex.
- Implementing partners should understand that their 2nd quarter (January-March) due on April 30 also serves as their semi-annual report to be used for USAID Strategic Objective Performance Implementation Reviews (SOPIRs). In addition to discussing the achievements of the project, challenges and potential solutions, it should present semi-annual results (October – March) on the USAID indicators against the targets for that year. This should also include explanation for any indicator values falling above and below target.
- Each implementing partner should understand that their 4th quarter report also serves as their annual report to USAID. The annual report should contain more information than a simple quarterly report. USAID needs the information to write its own Annual Report in November. In addition to the regular information (listed below), the 4th quarter report/annual report can be longer and more detailed. It should discuss the achievements of the entire year and should contain a table displaying the indicators the partner is responsible for reporting on and the indicator values for the year, along with prior year values and future year targets. It should also include explanations for any indicator values falling above or below target. Please see the award document for additional guidance on what is requested for the annual report.
- USAID Partners should submit an updated inventory list with their final report that is ends September 30 of each year.
- Each implementing partner should submit copies of each quarterly progress to the CTO for the program with copies to the Monitoring & Evaluation Specialist (achinkunda@usaid.gov).

USAID/Malawi
Quarterly Progress Report Format

Project Name:
Reporting Period:
Obligation Funding Amount:
Project Duration:
Evaluation Dates:
Person Responsible for Drafting this Report:
Project Objectives: (Taken from your project document)

- I. Overall Progress of the Project for the Quarter
Briefly describe key activities and progress achieved during the reporting period as per the work plan. Partner should indicate how the quarter’s activities compare with what had been planned for the quarter (this can be summarized in table format to show what activities had been planned and which were actually accomplished). Comment on to what extent the project is achieving its objectives and reaching targets. Comment on sustainability efforts.
- II. Challenges, Solutions and Actions taken
Describe the current and potential challenges, problems and potential solutions identified. For example, explain why scheduled activities were delayed or not carried out (this can be summarized in table format to show challenges and solutions/actions taken). These may include those related to partners or stakeholders, or other external factors.
- III. Lessons, Best Practices and Recommendations
If applicable: very brief, no more than one page
- IV. Success stories
If applicable: very brief, no more than one page
- V. Management Issues
Provide any key management, budget, personnel, or administrative issues that need to be relayed to USAID. If applicable, partners should also report any environmental mitigation activities.
- VI. Update of the PMP
Briefly discuss of the monitoring and evaluation activities conducted during the reporting period including dates and results of any evaluations undertaken. In addition, partners should include information regarding achievement of project goals and objectives, and where necessary, why those goals and objectives are not being met.
- VI. Planned Activities for Next Quarter

Provide a list and timeline for major activities, events, and interventions for the next quarter. Please also indicate whether you expect that USAID and/or U.S. Embassy participation may be requested.

Note: The 2nd and 4th quarter reports should contain more information as described in the guidelines above.

**ANNEX D: CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS
OF RECIPIENT**

(to be submitted with full application only)

**REPRESENTATIONS/CERTIFICATIONS REQUIRED FOR COOPERATIVE AGREEMENT
TO U.S. NGO**

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to

such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file

the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. “Terrorist act” means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, (3) the Prohibition on Assistance to Drug

Traffickers for Covered Countries and Individuals (ADS 206) and (4) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED “CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING.”

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

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

APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry, which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through

manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items do not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods, which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

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

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

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

(a) If the recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

**REPRESENTATIONS/CERTIFICATIONS REQUIRED FOR COOPERATIVE AGREEMENT
TO NON-U.S. NGO**

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

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

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

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

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

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

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

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RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

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I hereby certify that within the last ten years:

- 1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
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- 3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

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

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

APS No. _____

Date of Application _____

Name of Applicant/Subgrantee _____

Typed Name and Title _____

Signature _____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

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

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

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

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

TYPE/DESCRIPTION (Generic)	QTY	EST UNIT COST	PROPOSED DISPOSITION
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6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

(a) If the recipient is a U.S. entity, it operates as a corporation incorporated under the laws of the State of, an individual, a partnership, a nongovernmental nonprofit organization, a state or local governmental organization, a private college or university, a public college or university, an international organization, or a joint venture; or

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

ANNEX E: REFERENCE DOCUMENTS AND LINKAGES

USAID Standard Provisions - Foreign Service Act, 1961 and OMB Circulars will apply, refer to: <http://www.usaid.gov/policy/ads/300/303maa.pdf> for U.S. non-government organizations and for non-government organizations see: <http://www.usaid.gov/policy/ads/300/303mab.pdf>.

Branding Policy:

The link to download AAPD 05-11 is:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf

The link to download 22 CFR 226.91 is:

http://www.access.gpo.gov/nara/cfr/waisidx_07/22cfr226_07.html

Standard Forms: Applicants must complete and submit (a) SF 424 Application for Federal Assistance (b) SF 424A Budget Information (c) SF 424B, Assurances - Non-Construction Programs. Download from: <http://www.usaid.gov/forms/sf424.pdf>

Indirect Costs: “Guidelines for Financial Audits Contracted by Foreign Recipients” found at the following website: <http://www.usaid.gov/policy/ads/300/303.pdf>

For basic information about USAID Environmental Procedures visit the “IEE Assistant” at [/www.encapafrika.org/assistant.htm](http://www.encapafrika.org/assistant.htm)