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Date Issued: Thursday, March 12, 2010

Closing Date: Tuesday, April 26, 2010

Closing Time: 4:00 p.m.

Subject: Request for Application (RFA) No. USAID RFA-620-10-07, USAID/Nigeria

Dear Prospective Applicant:

The United States Government, represented by the Agency for International Development (USAID)/Nigeria, proposes to enter into a Cooperative Agreement for the implementation of the Malaria Action Program for States (MAPS) specifically described in Section I of this RFA.

To this end, USAID is seeking applications from eligible institutions as described in Section III of the RFA.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

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

This RFA is being issued in accordance with the established format outlined in ADS 303.3.5.2 and the Office of Federal Financial Management Policy Directive on Financial Assistance Program Announcements.

The preferred method of distribution of USAID RFA information is via the internet. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Organizations that are unable to retrieve the RFA from the Internet can request a hard copy or an electronic copy of the RFA by contacting Ms. Sandra R. Harrell via email at sharrell@usaid.gov.

Applications must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. No late applications will be accepted.

Applications submitted via mail or courier service shall be submitted in two separate parts and delivered in two separate envelopes (a) technical and (b) cost or business application. The technical application shall consist of one original, two copies and an electronic (CD-ROM) copy. The cost or business application shall also consist of one original, two copies and an electronic (CD-ROM) copy. Applications shall be submitted with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

By Mail

U.S. Agency for International Development
Attn: Sandra R. Harrell
Agreement Specialist
RRB 7.09-081, M/OAA/GH/OHA
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By Courier Service / Hand Delivery

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Please use the phone at the visitor's desk to contact: Ms. Sandra R. Harrell, Ext. 2-4522

Email

Sandra R. Harrell at sharrell@usaid.gov

DUE DATE: Applications shall be received by no later than April 26, 2010 at 4:00 PM EST.

Applications submitted via fax will not be accepted. Applicants should retain a copy of their application and accompany enclosures for their records.

QUESTIONS: Prospective applicants who have questions concerning the contents of this RFA should submit them in writing to Ms. Sandra R. Harrell at sharrell@usaid.gov by 10:00 AM EST Wednesday, March 25, 2010.

The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website, <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion process associated with electronic submissions. Instructions for submitting applications on-line can be found under Section IV, Application and Submission Instructions.

Applications should be submitted in sealed envelopes with the name and address of the applicant and the number of the RFA on the envelope; telegraphic or fax applications are not authorized for this RFA and will not be accepted.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of applications. Further, the Government reserves the right to reject any or all applications received.

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

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

Sincerely,



Sandra R. Harrell
Agreement Officer

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SECTION I. FUNDING OPPORTUNITY DESCRIPTION

INTRODUCTION

Through this Request for Applications (RFA), USAID/Nigeria plans to implement the Malaria Action Program for States (MAPS) a 5-year comprehensive malaria program to increase coverage and use of life-saving malaria interventions in support for the Nigeria National Malaria Strategic Plan and the National Malaria Control Program (NMCP). This project will complement USAID's new Target State High Impact Project (TSHIP) and begin efforts in three target states. The three initial states proposed for start up under this program are Cross River, Nassarawa and Zamfara. The project will expand to approximately four additional states over the life of the program. In each focus state the Recipient of this RFA will implement a comprehensive malaria control activity that will use an integrated approach in program implementation, aligned with international state-of-the-art malaria control and prevention technical standards appropriate to Nigeria. This project will function as the primary mechanism for USAID supported malaria interventions in Nigeria, exclusive of commodity procurement, and also exclusive of any indoor residual spraying program. USAID/Nigeria anticipates the award will be for \$65 million dollars over five years, subject to the availability of funds.

BACKGROUND

The US government is one of the largest donors to Nigeria with a portfolio of over \$500 million per year. Most of this is through the PEPFAR program for HIV/AIDS, which is funded mainly through USAID and US-CDC. There are also important USAID programs in peace, democracy and governance; economic growth and trade (with a focus on agriculture); education; and health population and nutrition.

General Health Context in Nigeria

Nigeria is the most populous country in Africa, with approximately 150 million people. It has been ranked 154 out of 179 countries in the 2006 United Nations Development Program, a combined index for overall quality of life (UNDP Human Development Index).

The health system has been neglected for the past two decades and while the 2008 Nigeria Demographic Health Survey (NDHS) shows some significant improvements, the situation is still dire. Under-five mortality has dropped significantly, from 201 per 1000 births in the 2003 NDHS to 157 per 1000 in the 2008 NDHS, however, this is still much higher than the median for sub-Saharan Africa. The fertility rate at 5.7 children per woman remains unchanged over this period, and in line with this, the use of modern contraceptive methods remains extremely low increasing slightly from 8.2% in 2003 (NDHS) to 9.7% in 2008 (NDHS). In the recent 2008 Report on the State of the World's Mothers¹, Nigeria ranked 70 out of 71 less developed countries as one of the worst places in the world to be a mother. Only 23% of children are fully vaccinated (2008 NDHS) and about one million Nigerian children die each year before their fifth birthday. Malaria remains largely unchecked and kills an estimated 300,000 children each year. These statistics suggest that the national healthcare system is largely ineffective and is struggling to meet the minimum standards.

Nigeria's health system

Nigeria operates through a three-tier health system.

The Federal Ministry of Health (FMOH) generally provides policy and technical guidance for the health sector and supports and manages tertiary level care, research, and academic "centers of excellence." The FMOH also contributes to human resource capacity development through the training of medical doctors, nurses, midwives, and community health officers at all levels. Along with other sectors, international donor aid to the health sector is overseen by the National Planning Commission.

¹ 2008 State of the World's Mothers, Save the Children, 2008

The Federal Ministry of Finance (FMOF) provides funds to the FMOH, the states, and the Local Government Authorities (LGAs) based on the National Revenue Allocation Formula. About half of all Federal revenues, which derive mostly from petroleum exports, are sent directly to states and local governments giving them considerable, albeit unstable, financial resources.

State Ministries of Health (SMOH) also have important policy setting and technical direction roles within their states. In addition, they fund and manage state hospitals, maternities, and teaching colleges. SMOHs also are responsible for the development of health manpower for secondary and primary health care, from midwives and nurses to Community Health Extension Workers (CHEWS). The FMOF channels funds to the LGAs through the states. State governments allocate funding to Local Government Areas (LGAs), generally in the form of non-earmarked grants that are meant to include funding for health services.

Local government is presently tasked with planning, managing, staffing, supporting, and implementing primary health care services. About 71 percent of Nigerians have access to a primary health care (PHC) facility that is within a five kilometers radius of their homes; however, many of these centers are not functional due to lack of equipment, essential supplies, and qualified staff. Up to 64 percent of the PHC facilities have not received any drugs from the government in the past two years. LGAs are made up of approximately ten wards. Each ward contains a collection of settlements or communities. Originally established for election purposes, with one councilor elected from each ward, wards do not have an official government function or offices. Wards and settlements generally have traditional leaders, sometimes on government payroll, who settle disputes, advocate for the ward and mobilize the community around issues, such as polio and other interventions.

The LGA level especially remains critical in making Nigeria's health system function. However, there is a fragmentation of responsibility (personnel managed by the State Ministry of Local Government, resources by the LGA) and limited numbers of qualified personnel that make the LGA level perhaps the weakest link in health service delivery.

In actual terms, the blurring of the roles of each of the three tiers contributes to overlapping and unclear (or contested) responsibilities or fragmented support for service delivery. The picture is further complicated by the roles of other government institutions. Most important among these is the National Primary Health Care Development Agency (NPHCDA). In 1992, prior to the latest Nigerian military dictatorship, the NPHCDA was established as a strong federal institution that was directly involved in establishing primary health care services nationwide. However, the NPHCDA waned in importance under the Abacha government. The lead role of the NPHCDA in primary health care was never fully re-established despite the return of non-military government in the late 1990s. However, NPHCDA works closely with the Ministry of Health on delivery of health care at the community level through the Ward Health System.

The National Malaria Control Program (NMCP) is a division within the Department of Public Health of the Federal Ministry of Health. It has technical offices for Programme Development & Administration; Integrated Vector Management; Case Management & Drug Policy; Procurement and Supply Management; Advocacy Communication & Social Mobilization; and Monitoring & Evaluation & Data Management. Working groups under each technical office, or for specific programs (e.g. LLIN campaigns) serve as a mechanism to coordinate government and donor input.

In terms of public sector facilities, there are 53 tertiary and specialized hospitals, 855 secondary health facilities in the 36 states and federal capital territory, and approximately 13,000 PHCs, of which a sizable proportion are not fully functional.

The GON's strategy for community level interventions is based on Village Health Workers (VHWs) and Traditional Birth Attendants (TBAs) who fall under the Village Health Committees (VHCs). The Chairman of VHCs are members of their respective Ward Health Committees (WHCs), which among other things is responsible for mobilizing local resources to meet health needs, including motivation for the VHWs². In only a

² Introduction to Ward Health System, NPHCD, April 2006

relatively small proportion of wards is this system functional, however, several non-government organizations have developed highly functional community-based delivery systems. Key among these has been the WHO African Program for Onchocerciasis Control and the Carter Center Global 2000 programs which have supported a community-directed intervention (CDI) approach to deliver ivermectin annually for onchocerciasis control using community-directed distributors (CDDs). In recent years these programs expanded their scope to deliver vitamin A, albendazole for lymphatic filariasis and intestinal worms, and ITNs for malaria and lymphatic filariasis.³ Collectively, these programs now cover all rural areas in Plateau and Nasarawa states. The WHO/TDR recently carried out operational research in three countries, including four sites in Nigeria, to assess the effectiveness of CDIs to address major health issues in Africa. In this study the CDDs were also responsible for treatment of malaria in children under five years of age. Results demonstrated significant increase in appropriate treatment of malaria in children under five with fever as compared with control areas.⁴

The private health care system consists of formal tertiary, secondary, PHC health facilities, pharmacies as well as informal patent medicine vendors (PMV) and drug sellers. The private sector comprising the not-for-profit and for-profit health facilities provides health care for a substantial proportion of the population. For example, it is estimated that 72% (n=2,147) of secondary health facilities and 35% (n=7,000) of PHC facilities are private. There are 2,751 registered pharmacies giving a ratio of 42,421 people per pharmacy and the informal private sector consists of about 36,000 PMVs (2002 estimates) and an unknown number of other drug sellers. Although the PMVs are known to deliver sub-standard care, because of misdiagnosis, delivery of low quality and/or inappropriate drugs, there is evidence that PMVs will significantly improve their delivery of appropriate antimalarials with motivation and training⁵

Malaria situation in Nigeria

Malaria is a major cause of morbidity and mortality in Nigeria, directly contributing to poverty, low productivity, and reduced school attendance. According to the “Strategic Plan for Malaria Control in Nigeria 2009-2013” there are a total of 70-110 million clinical cases and 300,000 (285,000-331,000) deaths among children under 5 years of age, accounting for about 30% of deaths in this age group. Malaria is also responsible for an estimated 11% of maternal mortality. The disease’s economic impact is enormous with about \$880 million lost to malaria annually in the forms of treatment costs, prevention, loss of labor hours etc.

There are three intervention areas, accepted globally for the control of malaria, particularly for children under five and pregnant women. These include: protection against mosquito bites, either through use of treated bednets (ITNs) or through indoor residual spraying; prompt treatment of malaria cases with effective therapy (usually ACT); and providing pregnant women with intermitted preventive therapy (with SP). The challenge in providing these interventions is illustrated in the table below that presents the results for standard malaria indicators from the 2007 MICS and the 2008 DHS. The low coverage achieved for ITNs argues against the approach used over the past few years, which focused on private sector marketing and mass distribution to limited areas within states rather than statewide coverage.

Recent Estimates of Malaria Indicators: 2007 Nigeria MICS; 2008 Nigeria DHS		
Indicator	MICS 2007	DHS 2008
Proportion of households with at least one insecticide-treated bed net (ITN)	4.0	8.0
Proportion of children under five years old who slept under	3.5	5.5

³ Blackburn BG et al. Successful integration of insecticide-treated bed net distribution with mass drug administration in central Nigeria. *Am J Trop Med Hyg* 75(4), 2006 pp 650-655

⁴ Community-directed interventions for major health problems in Africa: A multi-country study Final Report, WHO/TRD, 2008

⁵ Greer G et al. Improving management of childhood malaria in Nigeria and Uganda by improving practices of patent medicine vendors. *BASICS*. 2004 Jun. 66p. <http://www.basics.org/pdf/ImprovingMalariaMgmtPMVs.pdf>

an ITN the previous night		
Proportion of pregnant women who slept under an ITN the previous night	NA	4.8
Proportion of women who received two or more doses of Intermittent Preventative Treatment (IPTp) during their last pregnancy	2.9 (last 2 years)	6.5 (last 5 years)
Proportion of children under five years old with fever in the last two weeks who received treatment with any antimalarial within 24 hours of onset of fever	35.9	15.3
Proportion of children under five years old with fever in the last two weeks who received treatment with artemisinin-based combination therapy (ACTs) ^{††}	2.4	2.4

^{††}ACTs were adopted as first line therapy in 2005

Current Status of Malaria Control Interventions in Nigeria

1. Prevention

Insecticide-treated nets (ITNs)

Nigeria hosted and was one of the original signatories to the Abuja Declaration of 2000, which aimed to reach 60% coverage of African children under five sleeping under a treated bednet by 2005. Until recently, the main approach to reach this coverage has been the promotion of treated bednets in the private sector (with a recent switch from post-treatment ITNs to LLINs). This was supported by the USAID funded Netmark project. In the last few years there has also been an upsurge in mass distribution of LLINs to vulnerable groups (children under five and pregnant women), most often at the LGA level and usually in combination with immunization events. Overall, the results of such coverage at the national level have been disappointing. Although knowledge of LLINs appears to be high, market demand has been limited and mass distribution has been too sparse to make much large scale progress. The 2008 DHS, which was done in the rainy season (when nets are more likely to be used) showed only 8% of households nationally owned an ITN (17% owned any sort of net) and only 5% of children under five and pregnant women slept under an ITN (12% under any sort of net). While this is an improvement over levels in 2003, when only one percent of children slept under a treated net, it is far below the original Abuja Declaration target.

The largest scale targeted campaign took place in December 2008 in Cross River state supported by the Canadian Red Cross and USAID through Netmark. In 2009, with the availability of much larger supplies of LLINs through donors, the strategy has shifted to mass distribution of two LLINs to all households in the country. Kano (with USAID assistance through COMPASS) and Anambra state have been covered in May-August 2009, with approximately ten states to be covered in waves every six months until the end of 2010 (although funding of LLINs for the last five states is not yet available). USAID, through the DELIVER project is supporting the logistics stream of “state support teams” working under the NMCP to help with these campaigns. It is hoped that these campaigns will result in high rates of LLIN ownership and use nationally, but the results will only become clear over the next few years. Even if successful, mop-up, keep-up or periodic campaign activities of some sort will be needed indefinitely to attain and maintain high rates of utilization since the lifespan of the LLINs is limited to about three to five years and since it is not expected that everyone given nets will use them without additional interventions.

Indoor residual spraying (IRS)

Indoor residual spraying has not been a part of large scale malaria control activities in Nigeria. The NMCP is interested in the possibilities of this approach, and with assistance from WHO IRS pilot projects have been carried out in a number of sites. The NMCP would like to expand the IRS approach in Nigeria, but at this point the comparative cost-effectiveness of this versus an LLIN approach and the locations where IRS might be superior to LLINs in terms of successful coverage have not been defined. Also, with the current campaign to

cover every household in Nigeria with two LLINs, how to keep IRS from duplicating protection in the short to medium term remains unclear. In spite of these limitations continued experimentation with the IRS approach will continue and IRS may come to play a larger role in the Nigerian malaria control program in future years. USAID has not supported IRS in Nigeria and any future support would be part of a separate project.

Intermittent preventive treatment of pregnant women

The NMCP has adopted IPTp using sulfadoxine-pyrimethamine (SP). A number of projects and the global fund grants have purchased SP and trained providers in IPTp in a number of states. However overall coverage appears to remain low. One problem is that only 58% of pregnant Nigerian women make any ANC visits (unchanged in 2008 compared to 2003). The use of anti-malarials in pregnancy has increased, from 20% in the 2003 DHS survey to 34% in the 2008 survey. Unfortunately, women who clearly reported getting IPTp (two doses of SP on separate visits) only increased to 6% in 2008 from 1% previously. IPTp is a component of all donor funded malaria control programs that are now underway, so it is hoped that effective coverage of IPTp will increase more rapidly in coming years.

Case Management

Diagnosis

Although exact figures are not available, the bulk of all malaria cases are diagnosed clinically. Most peripheral facilities do not have adequate microscopy to provide a laboratory diagnosis and RDTs are not widely used. The Global Fund round eight grant includes substantial funds for improving microscopy and for purchase of RDTs. It is hoped that with this support laboratory diagnosis will become more widespread for patients age five years and older.

Treatment

Ensuring prompt, effective, and safe treatment with an artemisinin-based combination therapy (ACT) to $\geq 85\%$ of patients with confirmed or suspected cases of malaria will represent a major challenge in Nigeria. The NMCP views malaria case management as one of the major strategic areas in the improved control of malaria and adopted a new anti-malarial drug policy after studies had shown increasing treatment failure using the first-line drug, chloroquine as well as with SP. Artesunate-amodiaquine (AA) and Artemether-lumafantrine (AL) combination therapies were chosen as new first-line treatments of malaria in 2005.

Implementation of the new policy has faced numerous obstacles, including the high price of ACTs compared to chloroquine and SP, the availability of a number of artesunate monotherapies (which are somewhat cheaper than ACTs), the large number and high prices of branded ACTs and the limited reach and size of programs to provide free or low cost ACTs in the public and private sectors. The 2008 DHS survey showed that while 33% of children under five with a fever received antimalarial drugs, only 2.4% received an ACT. Chloroquine (19.2%) and SP (5.9%) were still the most common treatments provided in spite of their limited efficacy. Artesunate monotherapy also remains popular. Most studies find that private sector providers, in particular PMVs are the most common source of care for children with fever. Public sector facilities are often (or even usually) out of stock of ACTs. Nigeria has also suffered from widespread counterfeit and fake drugs, which has been especially common with chloroquine and SP, but which is also a danger with ACTs. Another issue has to do with delay in treatment. Although 33% of children with fever receive any antimalarial, only 15% do so within the recommended 24 hours of the start of symptoms.

Strengthening of the MOH antimalarial drug management system and promoting safe and effective use of ACTs in government health facilities through pre- and in-service training as well as supporting home based management of malaria with ACTs is a priority for the NMCP.

Since most malaria cases are managed outside of public sector facilities, engagement of private sector stakeholders is widely acknowledged to be crucial for improved case management in Nigeria. Private pharmacists, patent medicine vendors, and the more informal agents at the community level all have roles to play.

Monitoring and Evaluation

Monitoring and evaluation (M&E) remains weak in Nigeria, both for malaria programs and for the entire health sector. Although a national health information system and standard set of forms and reports has been developed, the adoption of this system varies by state and by facility within states, with many other systems still in place. Reporting from public sector facilities is incomplete and inconsistent, making even routine public sector statistics difficult to interpret. Most treatment occurs in the private sector which generally does not report on services. Finally, most malaria is diagnosed clinically, making accurate counts of cases all be impossible. There is no functioning logistic information system for malaria commodities, other than what is provided for various projects and donors and there is no consistent way to track stock supplies or identify stock outs.

The NMCP has established a network of fourteen teaching hospitals to carry out malaria surveillance, including routine drug efficacy monitoring. This system carried out drug efficacy studies in 2004 and plans a follow-up study in 2009-2010. However this is not a national system of malaria sentinel sites (other than what individual institutions or states may have arranged for themselves) and there is no tracking of national malaria trends through such sites.

With greatly increased investments in malaria control, there is a need to strengthen and harmonize sources of information to improve the availability of programmatically useful information. NMCP's ability to conduct surveillance on malaria morbidity and mortality and to monitor the status of implementation of prevention and control activities throughout the country needs to be strengthened. USAID is hoping to support the establishment of sentinel sites within its project states to provide a consistent source of data on malaria morbidity trends.

Monitoring of results is a key element of USAID programs. USAID will seek data and information to improve performance and effectiveness, as well as to inform planning and management decisions. Accurate and timely monitoring will enable the project to adapt to changing conditions and make mid-course corrections as necessary, resulting in a fluid, dynamic project capable of adapting to 'moving targets.' Data also must be available to demonstrate program impact.

Building NMCP and state capacity

Given the expanding malaria program resources and activities resulting from the two GFATM malaria grants, the World Bank Booster program and other donor support, strong and effective supervision at all levels of the program will be critical to the success of malaria control efforts in Nigeria. Substantial support to strengthen the NMCP comes from the DFID/SuNMaP program, the World Bank and USAID (in specific areas such as logistics). In the Nigerian setting, given the central role that states and LGAs have in program implementation, it is equally important to strengthen capacity at these levels. That is why a variety of donors are focusing efforts on building capacity in specific states to plan, conduct, supervise, monitor, and evaluate malaria prevention and control activities. Efforts are also being directed at strengthening coordination and communication among the NMCP and its various partners. A more complete list of Roll Back Malaria partners and programs is given in the Annex B. Please also see the annex for a listing of USAID supported projects that have a malaria component.

Overview of USAID Malaria Activities in Nigeria

In Nigeria the USAID HPN Team works closely with the NMCP, the State MOHs and other partners to support a comprehensive malaria control effort under the guidance of the national program. This program will help Nigeria to rapidly scale up three proven and effective malaria control methods. A more complete list of USAID supported malaria activities is given in the Annex B.

1) Insecticide-treated mosquito nets. USAID has been a long term supporter of the Netmark program, which has worked over the past seven years to improve public knowledge of and demand for insecticide treated nets, the retailing of nets through the private market, sometimes with subsidies through voucher programs, the branding and packaging of nets, the shift from periodic to one-time treatments to LLINs, and the local import and/or manufacture of bednets. This has linked to other USAID supported programs in terms of mass distribution (e.g. under the USAID Community Participation for Action in the Social Sector (COMPASS) project) and with outside partners (Canadian Red Cross in the Cross River State Integrated Measles Campaign). USAID has joined with other partners in supporting the current two year effort (2009-2010) to distribute two LLINs to all households in Nigeria. The key focus in years following this campaign will be on how to achieve “mop-up” and “keep-up” distribution of nets along with improving actual household usage of nets.

2) Indoor residual spraying campaigns. Although the NMCP has identified IRS as a major component of malaria control (with an eventual target of 20% of households nationally), only pilot programs have been carried out so far and the role of IRS compared to LLINs remains to be defined. USAID has not yet supported IRS in Nigeria and any support for IRS in the future would be under a separate project.

3) Intermittent preventive treatment for pregnant women (IPTp) has been supported by USG both as part of integrated maternal and child health/family planning (MCH/FP) services (under COMPASS and soon under TSHIP), as linked to preventing mother to child transmission (PMTCT)/HIV services (under the Global HIV/AIDS Initiative in Nigeria (GHAIN) project) and as part of behavioral change communication (BCC) efforts. IPT protects pregnant women and unborn children from serious illness episodes of malaria. Activities will help to educate mothers and communities regarding the risks of malaria during pregnancy and the importance of receiving two doses of IPTp, beginning in the fourth month of pregnancy.

4) Malaria Case Management. USAID has supported social marketing of improved malaria treatments in the private sector and will introduce a socially marketed child ACT in 2009. In the public sector USAID has supported the training of providers and promotion of ACT use in the general population (e.g. under COMPASS and soon under TSHIP). The USG program will continue to provide support to improve the diagnosis and treatment of malaria. In addition to encouraging the more widespread use of ACT therapy, the program will help improve the accuracy and speed of malaria laboratory tests at different levels of the health system through provision of equipment and training of laboratory technicians.

Other USAID/Nigeria assistance activities relevant to malaria

Besides other USAID supported malaria projects, there are other areas of USAID assistance where malaria investments may complement, and be complemented by other health and non-health investments. These should be pursued if they clearly work in ways that deliver “win-win” outcomes. These may include:

a. PEPFAR Malaria/HIV Integration:

There may be opportunities to strengthen the linkages between Malaria and HIV/PEPFAR programming within USAID and in collaboration with other donors and the Government. Key areas of potential collaboration include:

- PEPFAR support for PMTCT reaches a large number of women and may be a mechanism to improve IPTp therapy, as is already being piloted under the GHAIN project.
- HIV clinical services are a potential venue for bednet distribution and education on malaria prevention and treatment for HIV patients and their families.
- Community support programs for HIV patients and for OVCs have established links and activities both at the community level and at local health services. These might be used to help bring malaria services to the community level.

b. Governance:

Many of USAID/Nigeria's current health activities effectively involve a governance dimension through their involvement with communities and increasing government capacity and accountability for preventive and curative health services. The program being proposed under this RFA can potentially help to create partnerships between state governments, LGAs and communities for the betterment of health systems related to malaria.

PROGRAM OBJECTIVES/SPECIFIC PROGRAM ELEMENTS/PROGRAM PRINCIPLES/PROGRAM SCALE-UP

Program objectives:

The objective of the MAPS project is to increase the quality, access and uptake of malaria control interventions. The recipient will achieve the following:

1. Support the scale up of proven malaria interventions which will include five components:
 - a. Attain and maintain a high level of use of insecticide treated bednets (ITNs), particularly among vulnerable groups of pregnant women and children under 5 years of age in the states covered by the project.
 - b. Improve malaria case management at facility (including public and private) and community level to ensure prompt and appropriate treatment of malaria, particularly for children under 5 years of age.
 - c. Expanded use of diagnostics to ensure the appropriate use of ACTs, including microscopy and rapid diagnostic tests (RDTs).
 - d. Provide consistent delivery of intermittent preventive treatment to pregnant women (IPTp) using sulfadoxine-pyrimethamine as part of a integrated package of antenatal services.
 - e. Promote positive behaviors through information, education and communication (IEC) and behavior change communication (BCC) activities and interventions to facilitate community mobilization and individual acceptance of malaria control methods.
2. Strengthen management capacity of the State Ministry of Health and Local Government Area health personnel to provide oversight of malaria interventions.
3. Improve capacity of the focus states and the NMCP to monitor and evaluate malaria interventions and data to guide programmatic decisions, optimally at national, state and LGA levels.

Specific Program Elements:

This section provides descriptions of the program objectives listed above, level of effort, sample targets and illustrative activities.

1. Support the scale up of proven malaria interventions. (Approximate level of effort over life of project – 65%)⁶

The recipient shall:

- a. Attain and maintain at least 85% use of insecticide treated bednets (ITNs), particularly among vulnerable groups of pregnant women and children under 5 years of age in all states covered by the project.

⁶ Please note that this project is not expected to procure malaria-related commodities such as LLINs, ACTs, RDT. Procurement will be conducted through another mechanism.

Currently the vast majority of Nigerians do not use ITNs. There is now a funded national strategy to distribute two long-lasting insecticide treated bednets (LLINs) to every household and a schedule to complete all states by the end of 2010. Should the national LLIN campaign have not reached a project state prior to startup the Recipient will assist in its successful implementation principally through community mobilization and microplanning. Logistics and macroplanning for the campaigns will be carried out by the NMCP and other partners. These LLIN campaigns will undoubtedly greatly change the coverage and hopefully increase the use of ITNs.

To achieve and maintain high net use will require intense communication interventions to promote use. In addition, the project must implement “keep up” strategies that make nets available to those missed by the campaign and over the long term to new entries in to the population. This is essential given that LLINs need to be replaced every three to five years. There are several strategies to solve these problems which will be considered, e.g. special “hang-up” campaigns, giving free bednets during antenatal care, linking keep-up to periodic immunization campaigns, using community based distribution and promotion, increasing sales of bednets in the private sector (perhaps through voucher systems), etc. There is some limited experience with these approaches both internationally and in Nigeria, but not enough to give clear guidance as to which is the best way forward in all settings.

The new program shall address alternative strategies to increase LLIN usage as well as strategies for replacement. The three start up states for this project were chosen, in part, to allow exploration of alternative strategies. Cross River state is expected to have very high rates of coverage and use through the IFRC supported campaign in 2010, and is currently committed to keep-up through high rates of ANC service based distribution. Nasarawa state is one of two states in the country with a well functioning Community Directed Intervention system in all rural areas, and it also has experience in community-based distribution of bednets. Since its initial mass distribution is not scheduled until December 2010, it may be possible for the project to support a CDI approach even for the initial campaign in addition to a CDI approach to promoting use and to keep-up. Zamfara state has high coverage of neither of the above systems and so may wish to focus on periodic distribution and promotion combined with Child Health Weeks or immunization campaigns. All of these may be supplemented or integrated with private sector approaches. Experience in the states will provide evidence of which approach produces what results at what cost. Although this project will not provide support for IRS, the presence of any IRS in the project state will also need to be taken into account in planning for ITN coverage.

Illustrative Activities:

- Support the implementation of innovative strategies to increase demand for LLINs through community level approaches such as community-based BCC efforts, mass media etc.
 - Implement strategies to maintain the availability of LLINs such as routine distribution through ANC, voucher schemes, distribution at child health weeks or NTD mass drug administrations and/or private sector invigoration.
- b. Improve the quality of malaria case management with ACTs at facility (including public and private) and community level to ensure prompt and appropriate treatment of malaria, particularly for children under 5 years of age. By project end, the desired result is to achieve ACT available and appropriately used in at least 80% of facilities in focus states.

The Recipient shall ensure state-wide training and follow-up in the public and private sectors (including clinics, pharmacies and patent medicine vendors) coupled with assured supplies of needed commodities (from other donor projects or from other USAID projects as needed). At the facility-level, new national policies for evaluation and management of fever cases and malaria exist, including the adoption of ACTs as the first-line treatment, but so far training programs to promote these newer standards have not had the desired effect in either the public or private sector. This appears to be

largely due to limited supplies and the high prices of ACTs, but is also due to inadequate follow-up and reinforcement of training, difficulties changing ingrained practice habits, poor demand for correct therapy, and to the relatively small scale of these programs.

Community-based distribution using VHWs, home based treatment, or other means should be considered as an alternative approach in areas where a significant proportion of the rural population is not readily served by either public or private outlets. The program for improved management of malaria cases in the public sector or community needs to be well integrated with other sick child management programs (e.g. IMCI as supported by UNICEF and WHO, or the DFID/Norway MCH program that is active in Zamfara State).

Illustrative Activities:

- Training and supportive supervision for health care workers on malaria treatments as part of a package of maternal and child health interventions. This should include the provision of job aids, and other innovative techniques to influence improvements in provider behavior.
 - Work with other projects to ensure a consistent supply of ACTs at the facilities level.
 - Implement community case management of malaria as part of a package of child health activities. An integrated approach should be adopted that ensures community volunteers are trained on the signs and symptoms of malaria, pneumonia and diarrheal diseases and are supervised appropriately. This requires an adequate supply of ACTs to the community level.
- c. Expanded use of diagnostics to ensure the appropriate use of ACTs, including microscopy and rapid diagnostic tests (RDTs) for malaria diagnosis.

Improve the use and quality of microscopy in both public and private facilities with this capacity and establishing proficient use of RDTs in public health facilities that lack microscopes will help reduce unneeded treatment among older children and adults with relatively expensive ACTs. Children under five should continue to be treated in accordance with WHO guidelines, that is, presumptively in areas of high transmission, which at present is all of Nigeria.

As an implementing partner, the Recipient shall work closely with IMaD to rollout the implementation plan in the focus states. The centrally funded Improved Malaria Diagnostic (IMaD) project will work with the NMCP and partners to develop state-of-the-art materials and state-levels plans for training and supervision on the assurance of quality microscopy and use of RDTs. Care must be taken, however, to avoid expansion of poor quality diagnostics, or in situations where clinicians ignore test results, as this may produce increased costs with no clinical benefit. Also, given the potential for intermittent availability of diagnostics, clinicians must have the flexibility to be able to follow either presumptive or diagnostic approaches.

Illustrative Activities:

- Build on the work of IMaD to expand the use of RDTs to the facility levels, as described in the state level diagnostic plans. This may include using local institutions and university to training of health workers on the use of RDTs, support for the integration of RDTs in the supply chain, training of providers to ensure adherence to results, and supportive supervision.
- Build on IMaD's work to expand and improve the quality of malaria microscopy. This may include the provision of supplies, training of lab technicians, establishing linkages with national level laboratories to ensure quality, supportive supervision and training of providers to ensure results.

- d. Provide consistent delivery of intermittent preventive treatment to pregnant women (IPTp) using sulfadoxine-pyrimethamine as part of an integrated package of antenatal services. The desired outcome is to achieve that at least 85% of women receiving four or more ANC visits should receive IPT.

The coverage of intermittent preventive care in pregnancy is partly limited by the fact that only 58% of pregnant women receive any antenatal care (ANC)(NDHS 2008) and only a small fraction of those who attend antenatal care appear to receive appropriate therapy. The problem appears to be a combination of inadequate coverage and follow-up of training, of the failure to link training to supplies, and of inadequate public education regarding the need for this therapy.

Illustrative Activities:

- Collaborate with and leverage HIV/AIDS implementing partners to increase ANC attendance, using malaria treatment and prevention as key benefits for women who attend the clinics.
 - Training for antenatal care workers on a package of interventions including IPTp along with job aids such as gestational wheels, etc.
 - Provision of cups and water vessels to health facilities to ensure that directly observed IPTp treatment is possible.
- e. Promote positive behaviors through information, education and communication (IEC) and behavior change communication (BCC) activities and interventions to facilitate community mobilization and individual acceptance of malaria control methods.

The NMCP has developed a national strategy for IEC/BCC and significant investments are part of the Global Fund Round 8 proposal. Other partners are also aware of the need for culturally appropriate, integrated IEC/BCC to increase positive health behaviors and create knowledge about and demand for malaria prevention and treatment products. The centrally funded C-Change project will provide technical input to the NMCP and partners to strengthen state of the art communication approaches and materials.

As the implementing partner, the Recipient shall assist with the roll out of the NMCP communication strategy in the focus states. BCC activities are expected to result in establishing use of ITNs as a cultural and community norm; in increased awareness of the benefits of appropriate health practices related to malaria; and in early recognition and health care seeking behaviors for illnesses compatible with uncomplicated and severe malaria in children. The recipient shall dedicate a portion of its effort to building community ownership to ensure sustainability of continued access.

Illustrative Activities:

- Develop a state-level BCC campaign that includes both mass media and community level approaches to increase net use, and increase understanding of the importance of prompt treatment of malaria and regular ANC visits.
2. Strengthen management capacity of the State Ministry of Health and Local Government Area health personnel to provide oversight of malaria interventions. (Approximate level of effort 20% over life of project.)

The recipient shall work with the NMCP and partners in identifying major system deficiencies, policy, resource and program constraints, and opportunities for improved delivery of high impact malaria interventions and develop and implement a plan to strengthen the policy environment and management capacity within each focus state at each level. This includes the ability to plan, budget and implement all areas of the malaria program, including resource allocation, financial management, service organization,

personnel management, training, supervision, commodities, logistics, communications and monitoring/evaluation. This should extend, where needed and depending on the willingness of the state, to oversight of private providers, as well as public and community levels.

Linkages between health facilities and communities need to be strengthened with improved communication, community advocacy and oversight, support of community activities and referrals. The combined resource inputs of states, localities and donor projects for malaria control should be tracked, analyzed and reported, and states should be encouraged to take over more of the routine support needed for malaria control as the project progresses. Support for state capacity building needs to take into account the integrated nature of services. Coordination with complementary programs (e.g. IMCI, CDI) is encouraged and the project should avoid setting up separate systems.

Illustrative Activities:

- Specific medium term management training in the areas of financial planning, budgeting, fund allocations and disbursements.
 - Facilitation of coordination of activities within and between states.
3. Improve capacity of the focus states and the NMCP to monitor and evaluate malaria interventions and data to guide programmatic decisions, optimally at national, state and LGA levels. (Approximate level of effort 15% over life of project.)

The Recipient shall work with the NMCP and partners to develop appropriate monitoring and evaluation strategies to provide timely output and outcome data from malaria interventions and implement these in the focus states. This will increase the quality and use of information for decision-making at all levels. The propose strategy shall provide a clear vision on how data will be used to motivate and guide health care workers and the malaria interventions. Innovative data collection and management strategies are encouraged. Recipient shall explore creative and cost-effective ways of improving quality and availability of malaria related data at LGA and State.

The project shall provide annually periodic information from household surveys for programmatic decision-making and to track key outcomes. The project is not expected to carry out these surveys itself, but, for the most part, make use of national surveys that collect state specific information and which will take place during the project period (e.g. DHS, MIS, MICS). USAID may support household surveys as needed on years when there is no national survey from another mechanism. The project may occasionally need to provide limited support national surveys into order to obtain adequate state specific data.

Illustrative Activities:

- Technical assistance to develop a costed monitoring and evaluation plan at the State level.
- Development a state level database to track LLIN distributions.
- Technical assistance on how to use surveys and other data sources to guide resource allocation and decision making.
- Technical support to the NMCP on monitoring and evaluation techniques.

Should the Recipient find the need for subgrants using local organizations in any year of the project, a plan and budget showing how this will be organized will be provided. Approvals and concurrence for all subawards and subgrants will be in accordance with USAID Substantial Involvement outlined in Section II.E.

Program principles:

The Recipient must act in accordance with the following principles:

Maintain relationships with other USAID-funded malaria control partners

Three global projects will be funded by USAID/Nigeria to provide technical leadership and input at the national and state levels. C-Change is the USAID flagship project for IEC/BCC and will work with the NMCP and partners to refine and adapt as needed the national malaria communication strategy and materials. IMaD is the USAID flagship project for malaria diagnosis and will assess the diagnostics in each focus state and work with the NMCP and partners to refine and adapt standardized training materials and develop a training and supervision/quality assurance plan for each focus state. DELIVER will be working with NMCP to track national malaria logistics and will help design state level systems for logistics for both private and public sectors. The Recipient will work closely with these three partners in order to implement the strategies for IEC/BCC, improved diagnostics and logistics. In addition, USAID's new bilateral social marketing project may be substantially involved in social marketing of subsidized ACTs in the focus states, although this depends strongly on the evolution of non-USAID funded mechanisms.

Involve the FMOH and NMCP

The recipient shall:

- Adapt and apply relevant policy and strategy decisions for malaria made at the national level in the project states.
- Keep the national level informed of the project activities and participate in strategy and policy dialogue with federal and state decision makers.
- Contribute to national level learning about effective approaches and take learning from other states into account in planning project activities. This includes providing credible evidence through program experience, operations and evaluation research.
- Share findings and data from the project widely

Link with other implementing partners and donors

While efforts to improve the control of malaria in Nigeria have had relatively modest impact over the past 10 years, Nigeria has, over the past two years, been able to obtain much higher levels of donor assistance (mostly from the Global Fund, the World Bank and DFID/SuNMaP) which is allowing it to take a "Scaling Up For Impact (SUFI)" strategy. The increase in funding is not enough to pay for all high priority interventions, and additional USAID resources are both welcome and needed, however the Recipient shall plan carefully so as to complement the large amounts of assistance available from other sources.

The Recipient shall have knowledge about and coordinate with other projects and donors active in the same states that have complementary activities (e.g. IMCI).

The recipient shall depend on outside sources for all commodities and must provide adequate information on commodity receipt, distribution and use to allow these sources to plan for subsequent supplies.

The recipient shall keep FMOH/NMCP and other implementing partners and donors informed of project activities and findings, and the project shall take part in national level discussions which allow consensus building among all actors.

Contribute to scale-up

The project shall cover the entire selected states and maintain statewide coverage until the end. However, expenditures in a state will be sufficient to achieve and maintain high coverage of the key interventions, with the state or other projects taking on as much of ongoing expenses as possible. This may allow addition of more states as the project proceeds.

Build capacity

The recipient shall to the maximum extent possible promote the takeover of project functions by state and local authorities as quickly as they develop the capacity to carry them out. NGOs and community groups may be able to play a key role, once their capacity is built. Project staff will take as much a background role as is compatible with maintaining high rates of coverage of key interventions.

Gender Considerations

The program shall result in positive health benefits for both male and female children under five. The activity will have an additional focus on improved malaria interventions for pregnant women. A large proportion of health workers to be trained by the recipient will be female. The disaggregation of training and other specific results by gender will be necessary to enable the design and targeting of appropriate interventions to improve the health of both genders.

Program Scale-Up

The recipient shall begin program activities in three states, Cross River (where the project will work with the International Federation of the Red Cross to hand over their supported activities), Nasarawa and Zamfara.

In the second and third years of the project, subject to the availability of funds, the project shall expand to additional states. States will be selected with the assistance and concurrence of USAID and the NMCP based on the relative absence of other large scale donor activities in malaria, the interest and support of the state government and the ability of the state to serve as a model for others.

MANAGEMENT PLAN

1. Management Structure

The management and office structure will be cost effective and rely on local professional as well as support staff to the maximum extent possible.

The Applicant will propose a configuration of local and international, long-term, short term and home office technical, administrative, and logistical staff required for the effective implementation of this program. The application should describe technical qualifications and experience and position descriptions for key personnel and other staff proposed.

2. Key Personnel

The applicant shall propose a maximum of three (3) key personnel who will be identified by name and position. Each key personnel position requires USAID approval, as noted in substantial involvement provisions in ADS 303.3.11 (b).

The Chief of Party (COP) is deemed a Key Personnel and is a mandatory position. The COP will be authorized to represent the Recipient in all matters pertaining to the execution of all cooperative agreement activities, with the possible exception of agreement issues and amendments, for which authority shall be delegated according to the discretion of the Recipient.

The COP shall serve as the Recipient's representative in Nigeria for all purposes of the agreement, and shall be responsible for the activities of all long- and short-term personnel under the agreement. The COP shall work with the USAID Mission to respond to any questions and formal obligations relating to the agreement. The COP shall be responsible for the overall planning, implementation and management of the project and to establish the administrative framework to monitor and assure progress toward the achievement of the goals and objectives of the project.

The other two (2) Key Personnel positions include a Malaria Technical Advisor and a Financial Manager with 100% of their time allocated to the project. The Malaria Technical Advisor will provide the key technical inputs to guide implementation of the project. In addition to overall financial management and control, the Financial Manager will be responsible for designing, awarding and overseeing any sub-grants to local NGOs.

PERFORMANCE MONITORING

1. Annual Work plan

The Recipient is required to prepare and submit an annual work plan on a schedule established by the USAID/Nigeria Agreement Officer Technical Representative (AOTR) following the award. A first draft of the Year One work plan will be due within sixty (60) days of the award of the Cooperative Agreement. This work plan shall be reviewed and USAID written comments forwarded to the Recipient within one month of submission, and then finalized by the Recipient no later than two (2) weeks after Recipient's receipt of USAID's written comments.

2. Monitoring and Evaluation Plan

Within ninety (90) days of the award of the Cooperative Agreement, the Recipient shall submit a Monitoring and Evaluation Plan for the timeframe of the project to USAID/Nigeria. USAID expects that all performance measures will be part of a coherent system that will objectively assess the overall project progress and, to the extent possible, impacts of project activities with the ultimate goal of achieving the expected objective outlined in the program description. This monitoring and evaluation plan must include indicators pertinent to activity-level management and monitoring; baselines and/or a plan to establish any missing baselines within a three month period), and annual targets. The set of indicators should include the core PMI indicators provided above.

The Recipient must use effective and efficient mechanisms to monitor progress, impacts, and successes of their activities and performances at all levels. USAID expects that the Recipient will be innovative and creative in their efforts to capture, document, and report all the outcomes of USAID assistance and comply with the reporting requirements under the PMI, while strengthening and using relevant national, regional and district level reporting systems.

At any time during program implementation, USAID may conduct one or more evaluations to review overall progress, assess the continuing appropriateness of the project design, and identify any factors impeding effective implementation. USAID will utilize the results of the valuations to recommend any mid-course changes in strategy if needed and to help determine appropriate future directions. Site visits may be scheduled at a time convenient to both the Recipient and USAID.

REPORTING REQUIREMENTS

Quarterly and Annual Status Reports

On a quarterly basis following submission of the first work plan, and within thirty (30) days following the close of each three month period (based on the USG fiscal year), the Recipient shall prepare and submit to USAID/ Nigeria written status reports (Quarterly Reports) that:

- Identify and relate the benchmarks and achievements, as identified in the applicant's annual monitoring and evaluation workplan, of the three month period of the approved work plan;

- Provide status on relevant indicators identified in the performance monitoring plan;
- Identify key problems or issues encountered, how they were or will be resolved, and, if/as required, recommended Mission-level intervention to facilitate their timely resolution;
- Include a brief summary of achievements during the concluding quarter towards planned targets; and
- Present success stories that the Mission might use in reports to either the GON or USAID/Washington.

The final quarterly status report of the fiscal year will serve as the annual status report for the concluding year, and shall be submitted within thirty (30) days following the close of the fourth quarter (July-September). In addition to meeting the above requirements, the annual report shall include a discussion, supported with quantitative and qualitative evidence, (which evidence shall remain auditable under the terms of the agreement and USAID program implementation procedures), of impacts achieved to-date. This shall include clear identification of which impacts achieved were within the manageable interests of the Recipient and which were likely catalyzed by Recipient-supported initiatives, leading to substantial, sustained achievement of results. This discussion will be instrumental in helping the Mission to complete Annual Reports to USAID/Washington.

Quarterly Financial Reports

The Recipient must present a quarterly financial status report to USAID/Nigeria on activity implementation, including actual and accrued expenditures for the concluding period and planned expenditures for the subsequent quarter.

[END SECTION I]

SECTION II. AWARD INFORMATION

A. Anticipated Award Schedule

It is anticipated that a five-year, cooperative agreement will be awarded by July 2010.

B. Estimate Funds Available

The estimate amount of funds available under the RFA is \$65 million. Pending the availability of funds USAID/Nigeria expects to award one cooperative agreement as a result of this RFA.

C. USAID Management of the Activities

The Agreement Officer's Technical Representative (AOTR) will serve as the primary contact between USAID and the Recipient. The AOTR will be based in USAID/Nigeria and will assist the project in linking with other projects, Mission bilaterals, and other donors/foundations.

C. Type of Award

The award will be a cooperative agreement as USAID's desire to be substantially involved in the implementation of the selected program that is consistent with USAID policy contained in ADS Chapter 303 concerning non-governmental assistance activities: <http://www.usaid.gov/policy/ads/300/303.pdf>

E. Substantial Involvement

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

1. Approval of the recipient's annual work plans, including: planned activities for the following year, international travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement;
2. Approval of and any changes to specified key personnel;
3. Agency and recipient collaboration or joint participation, to include, selection of advisory committee members.
4. Approval of sub-award recipients, and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and
5. Approval of Monitoring and Evaluation Plan and other mentoring as described in 22 CFR 226.

[END SECTION II]

SECTION III – ELIGIBILITY INFORMATION

Eligibility Criteria

U.S.-based and international non-governmental organizations/private voluntary organizations and in-country non-governmental organizations are eligible to submit applications.

USAID welcomes applications from organizations new to USAID.

Applicants must have established financial management, monitoring and evaluation, internal control systems, and policies and procedures that comply with established U.S. Government standards, laws, and regulations. All potential awardees will be subject to a responsibility determination (pre-award audit) issued by a warranted Agreements Officer in USAID.

Any recipient must be a responsible entity. Details on USAID's pre-award responsibility determination policy and procedure can be found on our agency website, in its automated directive system (ADS) chapter 303, section 303.3.9: <http://www.usaid.gov/policy/ads/300/303.pdf>

Cost Share

There is no cost share requirement for applicants under this RFA; however USAID does encourage a cost share contribution from potential applicants which they would contribute from their own non-U.S. Government resources (cash or in-kind) to the total cost of the program.

[END SECTION III]

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

A. General Instructions

Applicants are required to submit an application which includes a technical application and a cost/business application. The technical application and the cost/business application should be submitted in two separate envelopes. The technical application will become the program description to be incorporated into the final cooperative agreement, if selected. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.

Applications should respond directly to the terms, conditions, specifications and clauses of this RFA (including all portions of the program description). Applications that do not meet the requirements of this RFA will not be considered for award.

The technical application should meet the following criteria:

1. Hard copy of applications shall be submitted in two separate envelopes: (a) technical and (b) cost or business application. Technical applications should be submitted in an original and two copies and on a CD-Rom in Word format. Cost applications should be submitted separately in an original and two copies and on a CD-ROM.
2. Technical applications must be written in the English language, and shall not exceed **30 pages** excluding attachments (e.g. resumes, work plan matrix, etc.). Technical applications that exceed that limit will not be evaluated. Applicants should avoid excessively elaborate presentations beyond those sufficient to present a complete and effective application in response to this RFA. The application should be easy to duplicate. The technical application should be singled-spaced text printed on one side of the page only, 12-point (minimum) font, with one (1") margins. Technical applications must be submitted in Microsoft Word format.
3. The cost/business application must be written in the English language and there is no limit on the number of pages for the cost/business application. The cost/business application must be submitted using the SF-424 series, which includes:
 - SF-424, Application for Federal Assistance
 - SF-424A, Budget Information, Non-construction Programs
 - SF-424B, Assurances, Non-construction Programs

Cost/business proposal must be submitted in Microsoft Excel format with all formulas unlocked and the detailed narrative in Microsoft Word.

These Standard Forms can be found under Annex E. A link to these forms can also be found at: http://www.grants.gov/agencies/approved_standard_forms.jsp#1

4. Applications should be submitted on or **before 10:00 a.m. EST on Tuesday, April 26, 2010** to:

Mailing Address:

USAID
ATTN: Sandra R. Harrell
M/OAA/GH/OHA, Rm. 7.09-081
1300 Pennsylvania Ave., NW
Washington, DC 20523-3700

Courier/Hand Delivery

USAID
1300 Pennsylvania Ave., NW
Ronald Reagan Building, 14th St
Washington, DC 20523-3700
Please use phone at the visitor's desk
to contact: **Ms. S. Harrell, ext. 2-4522**

5. The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions. If the online option is chosen, in order to be eligible for award the applicant must provide all required information in its application, including the requirements found in any attachments to the grants.gov opportunity posting. Applicants may or may not choose to utilize the on-line option.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. The date and time application packages are received in the possession of USAID RRB will be the determine timeliness. Late applications will not be considered for award.

USAID requests that applications provide all information required by following the general format described. Applicants may use additional appendices for relevant supplemental information such as key personnel resumes, biographical statements for other personnel, and past performance information. Resumes for proposed personnel shall not exceed three pages each.

Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the 30 page limit.

Not included in the technical application page limitation: Cover page, Executive summary, acronym list, dividers and table of contents.

B. Technical Application (Maximum 30 pages)

USAID Technical Evaluation Committee (TEC) will review and evaluate the written components of the application in accordance with the evaluation criteria. The applicant will not use any acronyms in the body of the technical application. A complete application shall address all items requested under the sections listed below. The technical application shall not exceed the maximum page limit of **30 pages**. Pages in excess of stated limitations will not be considered.

The following technical guidelines should be used to prepare an application in response to this RFA.

1. Cover Page

Include proposed project title, RFA Number, name of organization(s) submitting application, contact person, telephone and fax numbers, e-mail, and address. The Cover Page is not included in the Technical Application 30-Page Limit.

2. Executive Summary (Maximum 2 pages)

This section should be a succinct one-page summary and contain information that the Applicant believes best represents a summary of its proposed program and provides a justification and rationale for the project's scope of work. Briefly describe the proposed target states, the proposed start and end dates, specify the level of malaria funding requested for the project and the proposed cost share amount (if any), summary of proposed program, including: program objectives and summary of key activities and rationale for the proposed program, including a description of how the project will achieve its targets.

2. Technical Approach

The technical approach should be specific, complete and concise. The approach should demonstrate the Applicant's capabilities, their understanding and expertise with respect to achieving the goals of

this program. The approach shall identify key issues to implementation and proposed strategic approach for address issues identified in the RFA. Approach shall also identify partner organizations for this effort. The application should fully respond to the technical evaluation criteria. Detailed information should be presented only when required by specific RFA instructions.

3. Staffing and Key Personnel

This section of the application shall provide information about the applicant organization staffing and key personnel providing support under this program. This section shall address the level of effort, expertise and scope of the proposed key personnel.

Resumes and position description shall be provided for required key personnel. The applicant shall submit a signed letter of intention from all proposed key personnel stating that they understand that they have been proposed and that they intend to make themselves available to serve in the proposed position should the applicant be awarded. The position descriptions, resumes, and letters of intention shall be included in the Annex.

4. Management and Institutional Capacity

This section of the application provides information about the applicant organization and any sub-partners. It provides evidence that the applicant has the ability to carry out a large and complex project in a large number of Nigeria states. This includes a management plan that addresses the breadth, depth and technical skills required to successfully undertake this activity and a review of institutional capacity showing how the proposed institution(s) possess the array of skills needed.

5. Past Performance

Please complete past performance information (form attached Annex F) for three (3) past performance references which describe any contracts, grants, cooperative agreements which the applicant organization, as well as any substantive sub-grantee partners, has implemented involving similar or related programs over the past three years. Please provide these references in an attachment and include the following information: name and address of the organization for which the work was performed; current telephone number and email address of contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments/results achieved to date.

USAID reserves the right to obtain past performance information from other sources including those not named in this application.

C. Cost/Business Application

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

1. The cost/business application must be completely separate from the Applicant's technical application, and submitted by using SF-424 and SF-424A "Application for Federal Assistance." These forms can be found under Annex E and downloadable online at http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1
2. The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each

budget line item (preferably in Microsoft Word) on a CD-ROM. Calculations and formula shall be accessible and not hidden or protected by password.

3. The cost/business application must be for the period of the proposed program (five years) and use the budget format show in the SF-424A. The form is attached under Annex E and is downloadable online at http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1 . If the applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

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

5. Applicants must complete the required Representations and Certifications under Annex C with the cost/business application.

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

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

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

- a. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- b. The breakdown of all costs according to each partner organization involved in the program;
- c. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
- e. Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
- f. The costs proposed for "training" and "sub-grants" must be itemized within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget;
- g. Procurement plan for commodities if needed (although not encouraged); and
- h. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.

9. Applicants must provide the following cost element details:

- a. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;

- b. Fringe Benefits – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
- c. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.
- d. Contractual – Any goods and services being procured through a contract mechanism;
- e. Equipment and Supplies – Estimated equipment (i.e. model number, cost per unit, quantity) and office supplies and other related supply items;
- f. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant’s fringe benefits), equipment, office rent, etc.;
- g. Indirect Costs – The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.). If applicant does not have a NICRA, the following shall be included, as applicable:
 - Audited (by a certified public accountant or other auditor satisfactory to USAID) financial statements for the past three years;
 - Projected budget, cash flow and organizational chart; and
 - Organization chart, by-laws, constitution, and articles of incorporation, if applicable; and
 - Copies of the Applicant’s personnel, expatriate and local (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel, and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. Provide the name, address, and phone number of the cognizant reviewing official or with sufficient information to determine the reasonableness of the rates.

D. Special Considerations

1. All Certifications and Representations found under Annex C must be completed and submitted with the application.

[END SECTION IV]

SECTION V. APPLICATION REVIEW INFORMATION

A. Overview

The criteria listed below are presented by major category in order of descending importance, so that Applicants will know which areas require emphasis in applications. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

The technical applications will be evaluated on the overall merit (creativity, clarity, analytical depth, state-of-the-art technical knowledge, and responsiveness) and feasibility of the strategies proposed to achieve the program's objective.

These technical evaluation criteria have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application(s). These criteria: a) identify the significant areas that Applicants should address in their applications; and b) serve as the standard against which the Technical Evaluation Committee (TEC) shall evaluate all applications. USAID will award to the Applicant(s) whose application(s) best meet(s) the program description and represent(s) the greatest value to the Government, all things considered.

The Government intends to evaluate applications and award a cooperative agreement without discussions with Applicants. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. Therefore, each initial offer should contain the Applicant's best terms from a cost or price and technical standpoint.

B. Acceptability of Proposed Non-Price Terms and Conditions

An offer is acceptable when it manifests the Applicant's assent, without exception, to the terms and conditions of the RFA, including attachments, and provides a complete and responsive proposal without taking exception to the terms and conditions of the RFA. If an Applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its offer to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so. USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the source selection decision.

C. Adjectival Rating

Applications for the activity will be evaluated based on adjectival ranking for overall application and each section of the application, respectively. The following adjectives will be used in assessing the criteria set forth:

Outstanding: The application exceeds the fullest expectations of the Government. The Applicant has convincingly demonstrated that the requirements have been analyzed, evaluated, and should result in an outstanding, effective, efficient, and economical performance under the agreement. An assigned rating within "outstanding" indicates that the application demonstrates an "outstanding" capacity, and exceeds the fullest expectations of the Government.

Very Good: The application demonstrates a level of effort that fully meets the RFA's requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial to achievement of the strategic objective and intermediate results. The proposal may or may not have any weaknesses. Fulfilling the definition of "very good" indicates that, in terms of the overall application and/or specific application sections, the application demonstrates a level of effort that fully meets the evaluation's requirements and that this effort has produced, or could produce, results which should prove to be substantially beneficial.

Good: The application meets the requirements. The application may contain weaknesses and/or significant weaknesses that are correctable but no deficiencies. An assigned rating of "good" indicates that, in terms of the overall application and/or specific sections, the application demonstrates a "good" understanding and ability to fulfill the requirements.

If any weaknesses and/or significant weaknesses are noted, they should not seriously affect the Applicant's performance.

Marginal: The application demonstrates a shallow understanding of the requirements and approach and marginally meets the minimum evaluation standard. The application contains weaknesses and/or significant

weaknesses and may contain deficiencies. If deficiencies exist, they may be correctable. A rating of "marginal" indicates that, in terms of the overall application and/or specific sections the application marginally meets the standard for minimal but acceptable performance. The Applicant may address the strategic objective and intermediate results; however there is at least a moderate risk that the Applicant will not be successful.

Unacceptable: The application fails to meet a minimum requirement or contains a major deficiency or major deficiencies. The proposal is incomplete, vague, incompatible, incomprehensible, or so incorrect as to be unacceptable. The Evaluator thinks that the deficiency or deficiencies is/are uncorrectable without a major revision of the application.

The assignment of a rating within the bounds of "unacceptable" indicates that in terms of the overall application and/or specific application sections the application fails to meet performance or capacity standards.

D. Technical Proposal Evaluation Criteria

The Technical application will be evaluated on the basis of the following factors: technical approach; staffing and key personnel; management and institutional capability; past performance and branding strategy and marketing plan.

1. Technical Approach:

The scoring of the technical approach is based on the overall quality of proposed strategies, approaches, and capabilities, as follows:

- Proposed technical and programmatic quality of approaches to achieve the objectives and intended results of this activity to increase use of high impact Malaria interventions in the three target states.
- Familiarity with national systems, funding mechanisms, programs, policies, strategies, and guidelines, and how the proposed program fits within these.
- Proposed coordination with other USAID cooperating agencies and USG programs, the FMOH, State MOH initiatives, other donor-funded programs, and state and local authorities, as well as indigenous and local partners, in implementing activities.
- Proposed mechanisms and approaches to control costs and improve the cost-effectiveness of the program.
- Proposed illustrative Implementation Plan and First Year Annual Work Plan. Plan for rapid start up of the project, including the first year plan of activities and timeline.

2. Staffing and Key Personnel

- The three (3) proposed key personnel shall have requisite experience and expertise that meets or exceeds the requirements specified in Section I. Key personnel must have breadth and depth in technical expertise and experience in management, design and implantation of complex programs.
- The proposed key personnel, individually and collectively, must show evidence of the ability to build collaborative relationships with the Government of Nigeria and other donors currently working in the target states.

Other Proposed Core Technical Personnel

- Propose a staffing pattern including the number and type of positions responsive to the technical requirement with the most optimal configuration for efficiency and cost containment. Technical staff shall possess practical technical skills necessary to accomplish the objectives outlined.

- Propose personnel which include qualified locals (Nigerians) for leadership, technical and managerial positions.

3. *Management and Institutional Capacity*

- Illustrate management and administrative structure, policies, and practices for overall implementation of the program to ensure optimal efficiency and effectiveness to properly manage technical and financial resources.
- Identify the roles and the proposed level of effort for staff supporting program functions.
- Demonstrate ability to work with local partners, other donor programs and implementing organizations to achieve results.
- Demonstration of the Applicant’s institutional capacity, organizational systems and competence to creatively plan, implement, monitor and report on the range of activities outlined in this RFA.

4. *Past Performance*

- The applicant and each constituent organization that is proposed to implement at least 15% of the value of the project demonstrates a proven track record of developing and implementing effective solutions that achieve results in working a project of this magnitude.

In evaluating past performance, USAID may contact any or all of the references provided by the Applicant or/and other sources of information, including but not limited to, other USAID missions and government agencies, better business bureaus, published media. USAID will not evaluate an Applicant’s organizational past performance on the basis of personal past performance of the Applicant’s key personnel.

5. *Branding strategy and Marking Plan*

The apparent successful applicant will be requested to propose a branding strategy and marking plan which provides for appropriate acknowledgment of USAID support, and which will be required as a material element of the agreement. Information on USAID’s branding and marking policy can be found in ADS Chapter 320. ADS Chapter 320 sections concerning “assistance” applies to this RFA. ADS Chapter 320 sections ADS concerning “acquisition” do not apply to this RFA. ADS Chapter 320 can be found on USAID website:

<http://www.usaid.gov/policy/ads/300/320.pdf>.

Selection Process:

Application(s) which are deemed to offer the greatest value and meet USAID objectives will be selected for award. A panel will evaluate the technical/programmatic merit of each application as measured against the evaluation factors.

The proposed budget must be reasonable and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer “greater value” than those with higher costs.

Once an apparent successful applicant is identified, additional information and discussion may occur between the applicant and USAID Agreement Officer before the Agreement Officer makes the final funding decision. Award may be made without discussions.

[END OF SECTION V]

SECTION VI. AWARD AND ADMINISTRATION INFORMATION

Authority to Obligate the Government

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

Standard Provisions

The applicant will be required to adhere and govern itself under the Standard Provisions for U.S. NGO and Non-U.S. NGOs can be found under Annex D, as applicable. The following Standard Provisions are provided below in full text:

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

A. MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

(a) Definitions

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

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. For global programs managed from Washington but executed across many countries, such as disaster relief and assistance to internally displaced persons, humanitarian emergencies or immediate post conflict and political crisis response, the cognizant Principal Officer may be an Office Director, for example, the Directors of USAID/W/Office of Foreign Disaster Assistance and Office of Transition Initiatives. For non-presence countries, the cognizant Principal Officer is the Senior USAID officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

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

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

“As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient’s, subrecipient’s, other donor’s or third party’s is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity.”

(10) Any ‘public communications’, as defined in 22 C.F.R. 226.2, funded by USAID, in which the content has not been approved by USAID, must contain the following disclaimer:

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

(11) The recipient will provide the Cognizant Technical Officer (CTO) or other USAID personnel designated in the grant or cooperative agreement with two copies of all program and communications materials produced under the award. In addition, the recipient will submit one electronic or one hard copy of all final documents to USAID’s Development Experience Clearinghouse.

(c) Implementation of marking requirements.

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 45 days after the effective date of this provision. The plan will include:

(i) A description of the program deliverables specified in paragraph (b) of this provision that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity.

(ii) The type of marking and what materials the applicant uses to mark the program deliverables with the USAID Identity,

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

(3) The recipient may request program deliverables not be marked with the USAID Identity by identifying the program deliverables and providing a rationale for not marking these program deliverables. Program deliverables may be exempted from USAID marking requirements when:

(i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;

(ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

(iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service

announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;

- (iv) USAID marking requirements would impair the functionality of an item;
- (v) USAID marking requirements would incur substantial costs or be impractical;
- (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
- (vii) USAID marking requirements would conflict with international law.

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

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

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

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

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

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

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

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

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

C. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

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

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

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

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

The applicant may contact the following USAID personnel with all questions regarding the MAPS RFA in writing:

Sandra R. Harrell
Agreement Specialist
M/OAA/GH/OHA, Rm. 7.09-081
1300 Pennsylvania Ave, RRB
Washington, DC 20523
Email: sharrell@usaid.gov

Alternate Point of Contact:

Robert Combs
Agreement Specialist
M/OAA/GH/OHA, Rm. 7.09-060
1300 Pennsylvania Ave., RRB
Washington, DC 20523
Email: rcombs@usaid.gov

[END SECTION VII]

SECTION VIII – OTHER INFORMATION

A. USAID Rights and Funding

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

B. Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- OMB Circular A-122
<http://www.whitehouse.gov/omb/circulars/a122/a122.html>
- OMB Circular A-110
<http://www.whitehouse.gov/omb/circulars/a110/a110.html>
- ADS Series 300 Acquisition and Assistance
<http://www.usaid.gov/pubs/ads/>
- SF-424 Downloads
http://www.grants.gov/agencies/aapproved_standard_forms.jsp

[END SECTION VIII]

List of Acronyms

AA	Artesunate-Amodiaquine
ACCESS	Access to Clinical and Community Health Services
ACT	Artemisinin Combination Therapy
ACQUIRE	Access, Quality and Use in Reproductive Health
ANC	Antenatal Care
AL	Artemether-Lumafantrine
AMFM	Affordable Medicines Facility for Malaria
AOTR	Agreement Officer Technical Representative
BCC	Behavior Change And Communication
CCP	Central Contraceptive Procurement
CDD	Community Directed Distributors
CDI	Community Directed Intervention
CRC	Canadian Red Cross
CRF	Code of Federal Regulations
CHEW	Community Health Extension Worker
COMPASS	Community Participation for Action in the Social Sector
COP	Chief of Party
DFID	Department for International Development
DHS	Demographic and Health Survey
ENHANSE	Enabling Environment, HIV/AIDS and Social Sector Services
FMOF	Federal Ministry of Finance
FMOH	Federal Ministry of Health
FP	Family Planning
FY	Fiscal Year
GFATM	Global Fund for AIDS, Tuberculosis and Malaria
GHAIN	Global HIV/AIDS Initiative in Nigeria
GON	Government of Nigeria
HIV	Human Immunodeficiency Virus
HPN	Health, Population and Nutrition
IEC	Information, Education and Communication
IEE	Initial Environmental Examination
IFRC	International Federation of the Red Cross
IMaD	Improved Malaria Diagnostics
IMCI	Integrated Management of Childhood Illness
IPTp	Intermittent Preventive Therapy in Pregnancy
IRHIN	Integrated Reproductive Health in Nigeria
ITN	Insecticide Treated Bednet
IRS	Indoor Residual Spraying
LGA	Local Government Authority
LLIN	Long Lasting Insecticidal Net
MCH	Maternal and Child Health
M&E	Monitoring and Evaluation
MICS	Multiple Indicator Cluster Survey
MIS	Malaria Indicator Survey
MOH	Ministry of Health
MOP	Malaria Operational Plan
NDHS	Nigeria Demographic and Health Survey
NGO	Non Governmental Organization
NMCP	National Malaria Control Program

NPHCDA	National Primary Health Care Development Agency
OVCs	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
PHC	Primary Health Care Center
PMI	President's Malaria Initiative
PMTCT	Prevention of Mother to Child Transmission
PMV	Patent Medicine Vendor
PPT	Prepackaged Treatment
PSP	Private Sector Project
RDT	Rapid Diagnostic Test
RH	Reproductive Health
RFA	Request for Application
SMOH	State Ministry of Health
SP	Sulfadoxine-Pyrimethamine
SUFI	Scaling Up For Impact
SuNMAP	Support for the National Malaria Program
TBA	Traditional Birth Attendant
TDR	Tropical Disease Research
TSHIP	Targeted States High Impact Project
UNDP	United Nations Development Fund
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
US-CDC	United States Center for Disease Control
USG	United States Government
VHC	Village Health Committee
VHW	Village Health Worker
VOA	Voice of America
WHC	Ward Health Committee
WHO	World Health Organization

Additional information on USAID programs and key malaria control partners in Nigeria.

Current USAID-Supported Activities for Malaria Control in Nigeria

Among the USG-funded projects conducting malaria control activities in Nigeria, several will be especially relevant to the Recipient. These include TSHIP, C-Change, IMAD, DELIVER and one or more social marketing projects as detailed below. Each fills a crucial niche with respect to FY08 work and FY09 work plans.

Target State High Impact Project (TSHIP) (JSI Research and Training Institute, Inc.). This project is starting work in Bauchi and Sokoto states and will be fully operational by the start of 2010. It will support statewide improvement of a range of maternal/child health, reproductive health and family planning interventions in the public sector. This will include substantial support for improved malaria services. The recipient will coordinate closely with TSHIP to share approaches to malaria control and lessons learned.

C-Change Project (Academy for Educational Development). Website: <http://www.c-changeprogram.org>. This project will assist the NMCP and relevant partners in the development of the full range of appropriate BCC materials, both in terms of media and interpersonal approaches. It is expected that these materials will be used by other USAID supported malaria programs including TSHIP and the recipient.

Improved Malaria Diagnostics (IMaD) Project (Medical Care for Development International) Website: <http://www.mcdi.mcd.org/imad.htm>. This project will partner with the NMCP to review and improve malaria diagnostics. It is expected that this will include partnering with the TSHIP project and the recipient for improved malaria diagnostics in the project states.

DELIVER Project GPO-I-03-06-00007 TO3 for Malaria (John Snow International)
Website: <http://deliver.jsi.com/dhome/taskorder/tomalalaria>. The DELIVER project, another centrally funded mechanism, has provided support in Nigeria for the procurement of LLINs and ACTs. Its role in the coming years will expand to include technical support for the logistic aspects of both the LLIN campaigns and improved logistics for routine malaria programs. Both TSHIP and the recipient are expected to work closely with DELIVER to improve malaria logistics in the target states, whether the commodities are procured through DELIVER or other means. DELIVER also coordinates commodity procurement in other areas of USAID health programming, such as contraceptives.

Prepackaged Treatment (PPT) (11/2004-11/2010) (Society for Family Health): This project has provided subsidized private sector provision of prepackaged anti-malarial treatment. In 2009 they will introduce Kid ACT, a prepackaged ACT for children which will be supplied to private sector providers in selected states (potentially including USAID malaria project states).

NetMark (2004-2009): NetMark supported reduction of malaria associated morbidity and mortality by increasing the use of insecticide treated nets (ITNs), particularly by pregnant women and children under-five. Key activities included: Support to local net manufacturers to increase quality, quantity, sale, and distribution of a variety of local ITNs; and mass awareness campaigns, demand creation and adoption of long lasting insecticidal net (LLIN) technology. NetMark ended in 2009. USAID will provide limited funding to the follow-on global LLIN social marketing project (Networks). This new project may play a role in further promotion and/or distribution of LLINs to the private or public sector or in the evaluation of LLIN campaigns.

ENHANSE (ended 2009). This project focused on improving policies for health and education programs at the national level, including several key malaria policies. A follow-on project that will include a malaria component is under design.

IFRC (International Federation of the Red Cross). USAID will support the IFRC in a conversion LLIN campaign in Cross River state (following the vulnerable group campaign in late 2008). The IFRC will work closely with the Cross River government and communities to achieve a high rate of ownership and use of LLINs, with a round of distribution planned for the first half of 2010. The Recipient will work with the IFRC to take over ongoing support for malaria control activities in Cross River state during 2010.

Measure Evaluation. This project supported a malaria post-LLIN Campaign survey in Kano in 2009 and may be involved in malaria evaluation activities in future years.

Voice of America (VOA) Hausa Services: Radio listenership is high in northern Nigeria, especially among men. VOA is contracted to reach radio listeners with key health messages including on malaria.

MCHIP (formerly ACCESS) and GHAIN-RH projects cooperated in 2008 and 2009 for malaria in pregnancy. ACCESS developed a curriculum for malaria management in pregnancy and GHAIN-RH, which runs PMTCT services, piloted the curriculum in a small number of sites in Cross River state. These may provide a basis for further development of malaria in pregnancy services under the new project.

Key Malaria Control Partners Including Global and Bilateral Organizations

1. National Malaria Control Program

The National Malaria Control Program (NMCP) is the lead agency for malaria control in Nigeria. It sets national policy and standards for prevention and care and oversees all malaria control activities carried out with donor support. All donors are expected to be members of the Roll Back Malaria partnership and to coordinate their activities with NMCP and each other. Although NMCP has a leadership position in malaria, each state is able, to some extent, to adopt its own malaria policies and implement its malaria programs according to local preferences.

2. Other Development Partners

The following organizations or groups provide significant support for malaria control efforts in Nigeria:

Global Fund to Fight AIDS, Tuberculosis, and Malaria (GFATM) Nigeria has received grants for malaria from the global fund in rounds two and four and has been awarded a large round eight grant. The round four grant is still being dispersed through two principle recipients (Yakubu Gowan Center for public sector activities and Society for Family Health for private sector activities). The main remaining activity under this grant is provision of child ACTs to eighteen states (public and private sectors). This should be completed by 2010.

Nigeria's large round eight malaria grant (approximately \$500 million) covers a number of areas including provision of enough LLINs to allow for a universal coverage strategy, when combined with contributions of others, in all but five states. It will also support ACTs for all age groups covering public and private sector for the entire country (about 56 million treatments in phase one to arrive in 2010), substantial supplies of diagnostic materials and support for implementation of improved malaria services. It is hoped that this grant will meet the bulk of needs for LLINs and ACTs for the country in 2010, but actual coverage remains to be seen. It is expected that ACT distribution to the private sector will occur through the Society for Family Health (as principle recipient) using an expansion of the system currently used for Global Fund round four and by the USAID funded PPT project. Public sector activities are divided between two principle recipients, the Yakubu Gowan Center (YGC) and the National Malaria Control Program (NMCP), each of which will cover 18 states.

Affordable Medicines Facility for Malaria (AMFM). Nigeria is one of the pilot countries for this facility, which is being managed through the Global Fund. An application was submitted in July 2009, and has been approved. This mechanism is meant to provide universal coverage of highly subsidized ACTs, which may start arriving in late 2010. The total quantity of drugs that would be available through this mechanism and whether there would be remaining gaps is not currently known.

The World Bank Malaria Control Booster Project. This program provides support for the full range of malaria program activities at the national level and in seven states (Akwa Ibom, Anambra, Bauchi, Gombe, Jigawa, Kano and Rivers). The initial credit was for \$180 million equivalent with an effectiveness date of May 2007. Nigeria has obtained additional financing of \$100 million in 2009 (focused on the same states). There is a possibility of an additional \$200 million program in 2011 or 2012 which would go to additional states, but this remains uncertain. The World Bank purchases both LLINs and ACTs for its states.

UK Department for International Development (DFID) started a five year \$80 million equivalent program called Support for the National Malaria Program (SuNMaP) in 2008. SuNMaP provides support to both the national level malaria control program and to up to seven states (currently Lagos, Ogun, Anambra, Kano, Katsina, Niger) in both the public and private sectors. SuNMaP will purchase LLINs but does not expect to purchase ACTs.

UNICEF supports malaria control activities as part of Integrated Management of Childhood Illness (IMCI) training, with a special focus on selected states. UNICEF also coordinates donations of LLINs through UNITAID.

World Health Organization provides technical leadership in malaria control through the Roll Back Malaria mechanism and supports selected trainings.

NGO and private organizations. A variety of non-governmental and private organizations are active in malaria control in Nigeria. These include local partners of donor projects, which support implementation of control measures at the grass roots, national advocacy organizations, such as the newly established Nigeria Interfaith Action Association for Malaria, which works to incorporate faith based organizations in planning and support of malaria control activities, private companies who manufacture, distribute and sell malaria related products (particularly bednets and treatments) and the media, which has a keen interest in malaria control.

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

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

- a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;
- b. A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see **22 CFR 227**);
- c. A signed copy of the “Prohibition on Assistance to Drug Traffickers” for covered assistance in covered countries is required in its entirety as detailed in **ADS 206.3.10**;
- d. A signed copy of the Certification Regarding Terrorist Funding in its entirety is required by the Internal Mandatory Reference **AAPD 04-14**;
- e. When applicable, a signed copy of “Key Individual Certification Narcotics Offenses and Drug Trafficking” (See **ADS 206**);
- f. When applicable, a signed copy of “Participant Certification Narcotics Offenses and Drug Trafficking” (See **ADS 206**);
- h. **Survey on Ensuring Equal Opportunity for Applicants**; and
- i. All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants**).

NOTE: The term "Grant" means "Cooperative Agreement".

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

- 1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
- 2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

This survey can be found at the following website:

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

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
------	-------	---------------	---------------

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a sub-grant or subagreement) to a sub-grantee or subrecipient in support of the sub-grantee's or subrecipient's

program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

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

\$ _____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the 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 SOURCE	PROBABLE GOODS COMPONENTS ORIGIN	PROBABLE
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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	INTENDED USE ORIGIN
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(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as

necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION NATIONALITY (Generic)	QUANTITY RATIONALE	ESTIMATED UNIT COST (Non-US Only)	PROBABLE SUPPLIER 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 RFA.

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

ANNEX D

STANDARD PROVISIONS FOR U.S. NGO

1. Mandatory Standard Provisions for U.S. NGO Recipients:

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

STANDARD PROVISIONS FOR NON-U.S. NGO

1. Mandatory Standard Provisions for Non-U.S. NGO Recipients

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

ANNEX E

SF424 Forms

SF-424, Application for Federal Assistance

SF-424A, Budget Information, Non-construction Programs

SF-424B, Assurances, Non-construction Programs

SF 424 Forms

Standard Form 424

OMB Approval No.
0348-0043

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	Applicant Identifier NA
1. TYPE OF SUBMISSION:		3. DATE RECEIVED BY STATE	State Application Identifier
Application ____ Construction	Reapplication NA ____ Construction	NA	NA
<input checked="" type="checkbox"/> Non-Construction	____ Non-Construction	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier NA
5. APPLICATION INFORMATION			
Legal Name:		<i>Organizational Unit</i>	
Address (give only county, state, and zip code):		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN):		7. TYPE OF APPLICATION: (enter appropriate letter in box)	<input type="text" value="M"/>
8. TYPE OF APPLICATION		A. State	H. Independent School Dist
<input checked="" type="checkbox"/> New ____ Continuation ____ Revision		B. County	I. State Controlled Institution of Higher Learning
If Revision, enter appropriate letter(s) in box(es)		C. Municipal	J. Indian Tribe
A. Increase Award D. Decrease Duration		D. Township	K. Individual
B. Decrease Award E. Other (specify):		E. Interstate	L. Profit Organization
C. Increase Duration		F. Inter-municipal	M. Other (specify)
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:		9. NAME OF FEDERAL AGENCY	
NA		USAID/GH/HIDN	
TITLE:		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:	
12. AREAS AFFECTED (Cities, Counties, States, etc.):			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:	
START DATE	END DATE	a. Applicant	b. Project
		NA	NA
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON: DATE b. NO. ____ PROGRAM IS NOT COVERED BY E.O. 12372 ____ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b Applicant	\$		
c. State	\$ NA		
d. Local	\$ NA		
e. Other	\$		
f. Program Income	\$		
g. TOTAL	\$		
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?		____ Yes If "Yes", attach an explanation ____ No	

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Type Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

Standard Form 424 (REV 4-92); Prescribed By OMB Circular A-102

INSTRUCTIONS FOR THE SF 424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry: |
|--|---|
| 1. Self-explanatory. | - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable). | - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |
| 3. State use only (if applicable). | 9. Name of Federal agency from which assistance is being requested with this application. |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank. | 10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested. |
| 5. Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application. | Item: Entry: |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service. | 11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project. |
| 7. Enter the appropriate letter in the space provided. | 12. List only the largest political entities affected (e.g., State, counties, cities). |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided: | 13. Self-explanatory. |
| - "New" means a new assistance award. | |

14. List the applicant's Congressional District and any District(s) affected by the program or project.

15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter government review process.

17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.

18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

SF 424 Back (Rev. 4-92)

Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$	\$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$	\$
SECTION B – BUDGET CATEGORIES						
6. Object Class Categories		USAID PROGRAM		RECIPIENT FUNDS		Total {5}
		(1) Federal	(2) Non-Federal	{3}	{4}	
a. Personnel (1)		\$	\$	\$ NA	\$ NA	\$
b. Fringe Benefits (1)				NA	NA	
c. Travel (1)				NA	NA	
d. Equipment (3)				NA	NA	
e. Supplies (3)				NA	NA	
f. Contractual (3)				NA	NA	
g. Construction N/A				NA	NA	
h. Other (1), (2) (see notes)				NA	NA	
i. Total Direct Charges (sum of 6a-6h)				NA	NA	
j. Indirect Charges (4)				NA	NA	
k. TOTALS (sum of 6i and 6j)		\$	\$	\$	\$	\$
7. Program Income		\$	\$	\$	\$	\$

STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Headquarters	\$	\$ NA	\$	\$	
9. Field		NA			
10. NA	NA	NA	NA		
11. NA	NA	NA	NA		
12. TOTAL (sum of lines 8-11)	\$	\$ NA	\$	\$	
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2 nd Quarter	3rd Quarter	4th quarter
	\$	\$	\$	\$	\$
14. Non-Federal					

15. TOTAL (sum of lines 13 and 14)				
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	Future Funding Periods			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. Headquarters	\$	\$	\$	\$
17. Field				
18. NA	NA	NA	NA	NA
19. NA	NA	NA	NA	NA
20. TOTAL (sum of lines 16-19)	\$	\$	\$	\$
SECTION F - OTHER BUDGET INFORMATION				
21. Direct Charges:	22. Indirect Charges:			
23. Remarks:				

Authorized for Local Reproduction Standard Form 424 A (Rev. 4-92) Page 2

Standard Form 424A (cont'd.)
INSTRUCTIONS FOR THE SF 424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines, which prescribe how, and whether budgeted amounts should be separately show for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary Lines 1-4
Columns (a) and (b)**

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions

or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line Entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave

these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

Line 5 - Show the totals for all columns used.

SF 424A (Rev. 4-92) Page 3

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

In the column headings (1) enter Federal, and (2) enter Non-Federal. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-i - Show the totals of Lines 6a to 6h in each column.

Line 6j - Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

Section C. Non-Federal Resources

Lines 8-11 - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the contribution to be made by the applicant.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants who are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) - Enter totals of Columns (b), (c), and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

Line 20 - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 - Provide any other explanations or comments deemed necessary.

The following object class categories are those required on USAID Form 424A (Section B - Budget Categories):

a. **Personnel**

The category includes the salary of each long-term and short-term, paid position for the total estimated life-of-project, except consultants, and the projected cost-of-living or bonus/merit increase for each position.

b. **Fringe Benefits**

This category includes the amount and percentage of fringe benefits for each headquarters and field personnel identified above. Include here all allowances such as housing, schooling, leave benefits, and other items.

c. **Travel**

This category includes all projected travel, per diem and other related costs for personnel **except** consultants. Include the method by which airfare costs were determined; i.e. quotes for coach and if per-diems are based on established policies.

d. **Equipment**

In accordance with 22 CFR 226, 'equipment' means tangible non-expendable personal property, including exempt property charged directly to the award having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. Information should be included in the application on how pricing was determined for each piece of the equipment.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs/NGOs may obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads>.

e. **Supplies**

In accordance with 22 CFR 226, 'supplies' means all personal property excluding equipment, intangible property, debt instruments and interventions.

There are statutory constraints relating to the purchase of agricultural commodities, motor vehicles, pharmaceuticals, pesticides, rubber compounding chemicals and plasticizers, used equipment and fertilizer with USAID project funds. PVOs/NGOs can obtain specific information on these regulations on USAID Web Site at <http://www.usaid.gov/pubs/ads/300/312/htm>.

f. **Contractual Services**

This category is for all subcontracts with organizations, which will provide services to the project and any short- or long-term consultant cost including fees, travel and per diem. This category is not to be used for sub-grants, which should be included in other.

g. **Construction**

N/A

h. **Other**

PVOs/NGOs are to identify all costs associated with training of project personnel.

PVOs/NGOs planning to use USAID funds to send project staff or local counterparts for training in the U.S. or a country other than the host country, will be required to follow the guidance on USAID Participant Training Regulations, which may be found on the USAID Web Site <http://www.usaid.gov/pubs/ads>.

The PVO/NGO should provide information on any costs attributed to the project not associated above; i.e. communications, facilities, fuel vehicles, repair, maintenance and insurance.

Include in this budget class category all sub-grants.

i. **Indirect Charges**

Include a copy of the PVO's/NGO's most recent negotiated indirect cost rate agreement (NICRA) from the cognizant audit agency showing the overhead and/or general administrative rate.

USAID Form 424A, Section C should reflect the PVO's/NGO's and other sources' cash contribution to this program. A cash match means that funds are used to support the budget elements discussed above. This does not include volunteer labor from U.S. or host country sources. The cash value of donated equipment or supplies must be documented.

A narrative that justifies the costs as appropriate and necessary for the successful completion of the program should be attached to USAID Form 424.

The Cooperative Agreement Budget generally has four (4) different categories called Budget Cost Elements: Program, Training, Procurement, and Indirect Costs. A sample Agreement Budget is included below. On Standard Form 424A, Section B–Budget Categories, all eleven Object Class Categories have a footnote number next to them. The footnote numbers next to the Object Class Categories correspond to one of the four Cost Elements of the Cooperative Agreement Budget. The 11 Object Class Categories fit within the four Cost Elements of the Cooperative Agreement Budget. For this application, submit only the Standard Form 424 and 424A, with the corresponding eleven (11) Object Class Categories, supported by a detailed narrative. Do **NOT** use the four **Cost Elements of the Cooperative Agreement Budget shown below.**

SAMPLE COOPERATIVE AGREEMENT BUDGET

SF 424, Sec.B, Item 6

<u>Budget Cost Element</u>	<u>Object Class Category</u>	<u>Budget Amount</u>
Program	Line a, b, c, and h	\$ _____
Training	Line h	\$ _____
Procurement	Line d, e and f	\$ _____
Indirect Costs	Line j	\$ _____

Program's Total Budget

\$ _____

Funding arrangement:

Total USAID Amount

\$ _____

Recipient's Cost Share

\$ _____

Total Program Funding

\$ _____

ANNEX F

PAST PERFORMANCE INFORMATION

PERFORMANCE REPORT - SHORT FORM
PART I: Award Information (to be completed by Applicant)
1. Name and Address of Organization for which the work was performed:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if subagreement, subagreement value)
5. Contacts: (Name, Telephone Number and E-mail address)
6. Period of Performance:
7. Title/Brief Description of Product/Service Provided/ Results Achieved to Date:
8. Problems: (if problems encountered on this award, explain corrective action taken)
<i>PART II: Performance Assessment (to be completed by USAID—DO NOT COMPLETE)</i>
1. <i>Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:</i>
2. <i>Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:</i>
3. <i>Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:</i>
4. <i>Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:</i>
5. <i>Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:</i>