



Regional Acquisition and Assistance Office

| | |
|----------------------------------|---|
| Issuance Date: | May 4, 2012 |
| Concept Paper Closing Date/Time: | May 24, 2012 |
| Questions Due Date/Time: | May 11, 2012 |
| Pre-award Conference: | May 14, 2012 |
| Full Application Closing Date: | 30 days after Full Application Request Date (Targeting early July) |

Subject: Request for Applications (RFA) Number RFA-674-12-000005 Comprehensive District-Based Support for Better HIV/TB Patient Outcomes

Ladies and Gentlemen:

The United States Government, as represented by the United States Agency for International Development (USAID) Mission to Southern Africa, is seeking applications from organizations interested in implementing a five-year comprehensive district-based HIV-related services support program for better patient outcomes, as fully described in this Request for Applications (RFA).

The purpose of this program is to strengthen SAG systems in order to improve patient outcomes and prevent HIV by supporting comprehensive clinic-based HIV-related services in select districts. All support will be in line with SAG national, provincial and district policies, standards, guidelines, and implementation plans as well as the Partnership Framework between the USG and SAG. The program will build and capitalize on the accomplishments and lessons learned since the national ARV rollout began in 2004. It will focus on institutionalization of routine and consistent use of systems designed to improve efficiencies in district and sub-district management that ultimately improve patient and public health outcomes.

This program represents a joint collaboration between USAID and CDC to strengthen comprehensive HIV/TB care and treatment in 10 districts. The CDC partner will be designated as the "Facility Support Partner" and the USAID partner will be designated as the "District Health Team Support Partner." There will need to be high levels of collaboration between the two partners in order to maximize both the health impact on the population in the district (patient outcomes) and the strengthening and sustainability of the district health system.

USAID plan to hold a pre-application conference to ensure understanding of this RFA. Please see Attachment IV for further information.

It is USAID policy not to award profit under assistance instruments; however, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (OMB Circular A-122 for non-

profit organizations, 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 and consists of this cover letter and the following:

1. Section I, Funding Opportunity Description;
2. Section II, Award Information;
3. Section III, Eligibility Information;
4. Section IV, Application and Submission Information;
5. Section V, Application Review Information;
6. Section VI, Award and Administration Information;
7. Section VII, Agency Contacts;
8. Section VIII, Other Information; and
9. Attachments.

Subject to the availability of funds, USAID intends to provide approximately \$75,000,000 to be allocated over the 5-year period. USAID anticipates awarding multiple cooperative agreements as a result of this solicitation. USAID reserves the right to fund any or none of the applications submitted.

Applications must be received by the closing date and time indicated at the top of this cover letter and pursuant to the instructions contained in the RFA. Any questions concerning this RFA must be submitted in writing **via email** to Beatrice Lumande at applications4@usaid.gov (include RFA number in email subject line) on or before the deadline for receipt of questions stated on the cover letter of this RFA.

If it is determined that the answers to any question(s) are of sufficient importance to warrant notification to all prospective recipients, a Questions and Answers document, and/or if needed, an amendment to the RFA, will be issued.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes, and in separate electronic and hard copy attachments/annexes. *Awards will be made to the responsible applicants whose applications offer the best value to the U.S. Government.*

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

Sincerely,



Dana H. Rose
Agreement Officer

TABLE OF CONTENTS

SECTION I - FUNDING OPPORTUNITY DESCRIPTION..... 1

SECTION II – AWARD INFORMATION..... 12

SECTION III – ELIGIBILITY INFORMATION..... 13

SECTION IV – APPLICATION AND SUBMISSION INFORMATION 15

SECTION V - APPLICATION REVIEW INFORMATION..... 29

SECTION VI – AWARD AND ADMINISTRATIVE INFORMATION..... 33

SECTION VII – AGENCY CONTACTS 39

SECTION VIII – OTHER INFORMATION40

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

1. GENERAL DESCRIPTION OF FUNDING OPPORTUNITY

The description of the proposed program is set forth below, covering a. Background; b. Objective; and c. Program Description.

a) BACKGROUND

Health in South Africa

The South African Government (SAG) has set the goal of “A long and healthy life for all South Africans” as a primary outcome of the National Medium Term Strategic Framework and has shown leadership and commitment in health to tackle this enormous task. One of 22 countries globally with a high burden of disease, South Africa (SA) has the highest per capita health burden of any middle-income country. The country faces explosive HIV and Tuberculosis (TB) epidemics, a high burden of chronic illness, mental health disorders, and injury and violence-related deaths as well as high levels of maternal, neonatal, and child mortality. The health care system is substantially overstressed due to growing demands on limited resources.

With a population of approximately 50 million people (0.7% of the world’s population), SA accounts for 17% (6.7 million people) of the global burden of disease related to HIV infection. The HIV burden has a negative impact on progress towards several Millennium Development Goals (MDGs) (*Progress Report on Millennium Development Goals, 2010*), particularly MDGs 4 and 5 related to child and maternal mortality. HIV also explains a significant portion of the reduction in life expectancy over the past 15 years, which is now 53.5 years for men and 57.2 years for women. The maternal mortality ratio is 625 per 100,000 live births with 43.7% of deaths related to HIV disease. HIV accounts for 35% of the under 5 mortality, which increased from 59 in 1998 to 104 per 1,000 live births in 2007. SA now has the second highest global per capita TB incidence (948 cases /100,000 population) with 73% of these cases positive for HIV. In addition, SA has the fourth highest number of multi- and extensively-drug resistant TB (MDR- and XDR-TB) cases globally. The mortality rate for TB in HIV co-infected people is five times that of HIV uninfected people with TB.

The disease burden is set on the backdrop of a public health system that has several major challenges including: 1) serious human resource challenges reflected in severe staff shortages and inadequate capacity of existing staff; 2) reliance on hospital- and facility-based delivery models with little capacity at the primary care level; 3) coordination challenges among the different levels of the public health system (national, provincial, district, and sub-district) and between SAG, civil society, and non-governmental organizations that deliver health services and promote community systems to improve health; 4) weaknesses in physical infrastructure and supply chain management driven by inadequate health management information systems (HMIS), budget forecasting, and strategic planning; 5) weak infection control at the facility level; and 6) inadequate information management for decision-making, particularly at the clinic level. To support the health care and social needs of a country with the world’s largest HIV burden and a worsening TB epidemic, SA will require additional investments in financial management, human capacity development, and managerial competence across sub-district, district, provincial, and national levels.

HIV prevalence among people > 2 years old has stabilized at 10.9% while it has increased slightly for those aged 15-49 and is currently 16.9%. Prevalence among 2-14 year olds has declined over this period from 5.6% in 2005 to 2.5% in 2008. Women and girls bear 60% of the disease burden. Young women are more vulnerable than men with higher prevalence rates in youth aged 15-24 (13.9% in women compared to 3.6% in men), a peak prevalence of 32.7% in 25-29 year olds, and a 25.8% prevalence in women 30-34 years old, the highest since 2002. For males, prevalence has reached a new peak of 29.1% among those aged 30-34.

In FY 2010, the SAG renewed its commitment to scale up the national HIV response. The National HIV Counseling and Testing (HCT) Strategy not only expanded provider initiated counseling and testing (PICT) at all primary health centers, but also included a massive HCT campaign launched in all health facilities to reach 15 million individuals (30% of the total population) across all districts and provinces by July 2011. The private sector has contributed to this target by testing 2 million insured and uninsured individuals. As of July 2011, approximately 13.7 million people have been tested for HIV through the HCT campaign. As part of the testing protocol for HCT, TB screening is included, albeit with varying levels of success. The HCT campaign is coupled with an anti-retroviral (ARV) scale-up campaign and efforts to shift initiation of antiretroviral treatment (ART) from the hospital setting to more accessible primary health care (PHC) clinics and to raise ART eligibility to a CD4 count of 350 cells/mm³. Additionally, PEPFAR is strongly supporting nurse initiation and management of ART (NIMART). This includes training, mentoring, and referral network improvement. The SAG HIV and AIDS response is primarily funded by conditional grants and equitable share from the National Treasury to the National Departments of Health (NDOH), Social Development (DSD), and Basic Education (DBE). The majority of funding flows through the NDOH to the provincial departments of health. Through the Medium Term Expenditure Framework, planned national funding for the HIV and AIDS response is \$859 million for FY 2010/11 (April 2010 to March 2011), \$1.1 billion for FY 2011/12, and \$1.3 billion for FY 2012/13. Approximately 80% of the funding is spent on the ART program.

A recent study by the HIV Prevention Trials Network (HPTN Study 052) demonstrated that initiation of ART by HIV-infected individuals substantially protected their HIV-uninfected sexual partners from acquiring HIV infection, with a 96 percent reduction in risk of HIV transmission. These findings provide compelling evidence for a new HIV prevention approach through expanded treatment coverage and improved adherence. The study also demonstrated that HIV-infected partners in the early treatment group had a 41 percent lower risk of experiencing a clinical event, the most common being tuberculosis. There was an 84 percent reduction in the incidence of extra pulmonary TB between the immediate and delayed treatment arms. These findings speak to the importance of strengthening health systems to test for HIV and to link with care and treatment for better patient outcomes as well as prevention of new infections.

Outcomes toward “A Healthy Life for All South Africans” constitute the core of the Health Sector’s Negotiated Service Delivery Agreement (NSDA) between the Minister of Health and the President and are consistent with the Millennium Development Goals. The NSDA, signed October 22, 2010, defines the key SAG health outputs through 2014: 1) increasing life expectancy; 2) reducing maternal and child mortality; 3) combating HIV and AIDS and decreasing the burden of disease from TB; and 4) strengthening health system effectiveness.

The SAG recently released the National Strategic Plan (NSP) on HIV, STIs and TB, 2012 to 2016. The NSP is the strategic guide for the national response to HIV, STIs and TB for the next five years and informs national, provincial, district, and community-level stakeholders on strategic directions to be taken into consideration as implementation plans are developed. The plan includes four strategic objectives that form the basis of the SAG response:

1. Address social and structural barriers to HIV, STI and TB prevention, care and impact;
2. Prevent new HIV, STI and TB infections;
3. Sustain health and wellness; and
4. Increase protection of human rights to improve access to justice.

Following the NSP, provinces are developing Provincial Strategic Plans to guide the local response. The NSP has been costed at approximately R32.25 billion over five years and the costing of provincial implementation plans will be undertaken by March 2012.

PEPFAR in South Africa: Focus on sustainability

The US government, in partnership with the SAG, has supported the massive scale up of ART-related services in South Africa. The challenges and needs for maintaining and expanding quality ART, PMTCT, and HIV/TB services continue to be demanding. This program will build upon previous PEPFAR support under the USAID HIV clinical services and antiretroviral treatment program to ensure continuing capacity building to the South African National Department of Health (NDOH) to improve and expand comprehensive HIV/AIDS and TB services to existing and future clients receiving HIV/AIDS care, support and treatment. This program will provide funding to South African organizations to assist the SAG to strengthen comprehensive HIV/TB care and treatment services and to support PEPFAR's transition from direct service delivery to capacity building across HIV/TB prevention, care, quality laboratory services and antiretroviral treatment (ART) programs in selected districts.

In March 2010, PEPFAR initiated the process of negotiating a Partnership Framework (PF) (See Attachment 3) and Implementation Plan (PFIP) with the SAG. The purpose of this five year PF (2012–2017) is to improve the effectiveness and the sustainability of the SA national HIV and TB response. The PF lays the foundation for PEPFAR/SA operations to move from an emergency response to a more sustainable approach characterized by financial and technical support for service delivery, performance management, and systems strengthening priorities. The SAG's HIV and AIDS priorities, to which the PF will be aligned, are based on the SA Minister of Health's NSDA. The PF was signed in December 2010 and the PFIP is expected to be completed by March 2012.

Since 2004, USAID has supported HIV-related clinic-based services, including HCT/PICT; PMTCT; adult and pediatric treatment, care, and support; HIV/TB; prevention with positives; and nutrition services. During the past five years, USAID has promoted an integrated, comprehensive approach to service delivery for these interventions and maternal, child, and reproductive health services. Currently, PEPFAR supports over 1.1 million patients on ART in South Africa, 816,115 of whom are supported by USAID. Since 2010, PEPFAR has provided 12,133,085 people with testing and counseling services and has initiated 572,296 pregnant women on ART or AZT for PMTCT.

As USAID and PEPFAR move forward with the transition from direct service delivery to a capacity building and health systems strengthening approach, the program will build upon lessons learned and in-depth experience in clinical services. PEPFAR/SA will continue to work closely with the SAG on issues of task-shifting and development of new cadres of health professionals as part of a HSS effort.

PEPFAR/SA continues to support activities at the national, provincial, district, and sub-district levels to improve human resource policy, planning and management, and capacity in the health workforce. One area of particular focus is to increase the SAG's ability to absorb PEPFAR/SA-supported staff into the government system. Improved HR management maximizes staff retention and reduces costs from attrition and repeated recruitment. Further, supporting implementation of task shifting/task sharing makes greater use of various cadres within the health system. In particular, this program continues to strengthen Nurse Initiation and Management of ART (NIMART) and links from PHC clinics to the new SAG cadre of community health workers (CHWs).

PEPFAR/SA support improves the capacity of the SAG to financially manage and budget the HIV national response. PEPFAR/SA is focusing on assisting the government with costing the NSP and the NSDA; building greater financial management capacity with special emphasis on the procurement and tendering process; and assisting the SAG to enhance resource mobilization in the private sector, civil society, and with other donors.

PEPFAR/SA is also supporting the expanded use of costing and expenditure analysis for country-level planning and to assist in identifying and achieving efficiencies in treatment provision.

In the area of Strategic Information (SI), PEPFAR/SA is aligning PEPFAR-supported data management, reporting and indicator systems with those of the SAG. The SI strategy enhances the availability of quality data at all levels of activity through a more unified approach aligned with the SAG's systems.

PEPFAR Provincial Liaisons (PPLs) have been hired in each of the nine provinces to support collaboration between PEPFAR/SA and provincial and district SAG departments. The liaisons are improving communication between the PEPFAR/SA team, implementing partners, and provincial government to enable strategic planning and coordination, reduce duplication, support alignment, and address service delivery gaps. Recipients will keep PPLs informed of their activities to ensure effective coordination of activities and will work with them to develop memorandums of understanding (MOUs) with provincial leadership prior to implementation.

Focus on Health Systems Strengthening: A Joint Collaboration between USAID and CDC

This program represents a joint collaboration between USAID and CDC to strengthen comprehensive HIV/TB care and treatment in 10 districts. These districts were identified through a collaborative USG process in consultation with the NDOH and the relevant provincial DOH. This USAID announcement is complementary to a Funding Opportunity Announcement (FOA) advertised by CDC (www.grants.gov, reference CDC-RFA-GH12-1257). The USAID awardee(s) will serve as District Health Team Support Partners and will work closely with the CDC recipient(s) that will serve as facility-based partner(s). While the USAID partner for this program will focus on strengthening district management team(s), the CDC partner will focus on

building capacity at the facility level. To provide an understanding of the complementarity of the USAID and CDC partners, please see the corresponding FOA referenced above.

In the selected districts, USAID and CDC will collaborate through this program to strengthen district and sub-district leadership to effectively manage health care and improve engagement with communities and civil society in the design and delivery of primary health care in line with the new NSP. This approach will expand coverage of ART, identification of TB and HIV cases, and capacity for patient follow-up and will improve the continuum of care within the PHC system. It will also better position the PEPFAR platform to be leveraged to address broader health care priorities through integration efforts, as detailed in the Global Health Initiative (GHI) strategy (<http://www.usaid.gov/ghi/>).

Currently, district and sub-district health management is supported by PEPFAR/SA implementing partners who are designated district and/or sub-district support partners. Through this program, the USAID recipient(s) will be designated as a “District Health Team Support Partner” and will work closely with a CDC partner designated as the “Facility Support Partner” to focus on strengthening health systems and South Africa’s comprehensive HIV/TB care and treatment program. In each selected district, District Health Team Support Partners and Facility Support Partners will work together to strengthen the health care system to improve patient outcomes by ensuring coverage of HIV and TB care and treatment and laboratory services, increasing access to HIV and TB care and treatment services through community linkages, and strengthening and improving quality of primary health care services as part of PHC Re-engineering. Awardees should outline a transition plan to full government leadership of comprehensive HIV and TB care and treatment and laboratory activities at the district level by the end of the five-year project period.

This program will support the SAG priorities outlined in the new NSP and the NSDA as well as the capacity building necessary for a responsible transition of PEPFAR/SA programs to the SAG and local implementing partners. Although there are significant activities in all areas of systems strengthening, PEPFAR/SA has targeted six elements for HSS, including: (1) service delivery, (2) health workforce, (3) information, (4) medical products and technologies, (5) financing, and (6) leadership and governance. This support aligns with the WHO “six pillar” framework for health systems strengthening (see http://www.who.int/healthsystems/strategy/everybodys_business).

The USAID District Health Team Support Partner will provide support for these elements at the district level. Recipients of this award and CDC recipients for this program will work collaboratively to ensure that these six HSS elements are fully supported at district, sub-district, and facility levels, including continuous quality improvement, monitoring and evaluation, training of clinical and ancillary staff, and ensuring adherence to National Care and Treatment guidelines.

b) OBJECTIVES

There are four overall objectives of this joint USAID/CDC program:

1. Improve HIV-related population outcomes by strengthening health and patient management systems at both the facility and district levels;

2. Build the capacity of facility and district management teams and management systems in coordination with the respective provinces to support HIV/TB-related services and overall health system strengthening;
3. Provide support to the district and/or sub-district health facilities in identifying and setting up policies and programs to improve the district's response to providing HIV/TB care, treatment, laboratory and prevention services; and
4. Support transition to a sustainable national comprehensive HIV/TB care and treatment program that also supports two key priorities of the SAG: Primary Health Care Re-engineering and National Health Insurance.

Given that the USAID recipient(s) for this program will function as District Health Team Support Partner(s), they will be directly responsible for the following 4 objectives, refined from those above to reflect the needs at the district level. It will be essential for award recipients to collaborate closely with the CDC facility-based partner(s) for this program and district authorities to ensure the comprehensive objectives above are successfully achieved.

1. Improve HIV-related population outcomes by strengthening health and patient management systems at the district level;
2. Build the capacity of district management teams and management systems in coordination with the respective provinces to support HIV/TB-related services and overall health system strengthening;
3. Provide support to the district and/or sub-district to identify and implement policies and programs that guide facilities' response to providing HIV/TB care, treatment, and prevention services; and
4. Support transition to a sustainable national comprehensive HIV/TB care and treatment program that supports two key priorities of the SAG: Primary Health Care Re-engineering and National Health Insurance

c) **PROGRAM DESCRIPTION**

The purpose of this program is to strengthen SAG systems in order to improve patient outcomes and prevent HIV by supporting comprehensive HIV-related services in select districts. All support will be in line with SAG national, provincial and district policies, standards, guidelines, and implementation plans as well as the PF between the USG and SAG. The program will build and capitalize on the accomplishments and lessons learned since the national ARV rollout began in 2004. It will focus on institutionalization of routine and consistent use of systems designed to improve efficiencies in district and sub-district management that ultimately improve patient and public health outcomes. For example, quality improvement methods (e.g. the use of evidence based interventions, links with other services and sites, direct community involvement, the minimizing of paper work while maximizing information use) have demonstrated that service delivery can improve even without new resources by better organizing the process of care.

For the purposes of this model there will be a USAID awardee and a CDC awardee functioning in each participating district in support of comprehensive HIV/TB care and treatment services

and health systems strengthening. The CDC partner will be designated as the “Facility Support Partner” and the USAID partner will be designated as the “District Health Team Support Partner”. There will need to be high levels of collaboration between the two partners in order to maximize both the health impact on the population in the district (patient outcomes) and the strengthening and sustainability of the district health system.

Activities will take place in ten districts:

| | |
|-----------------|---|
| Northwest: | Bojanala; Ngaka Modiri-Molema |
| Eastern Cape: | Nelson Mandela Bay; Cacadu; Buffalo City; Amatole |
| Gauteng: | Ekurhuleni |
| Kwa Zulu Natal: | Sisonke |
| Limpopo: | Greater Sekhukhune |
| Western Cape: | West Coast |

Applicants may apply to work in up to 10 districts. The awardee(s) will work in conjunction with the complementary CDC Facility Support Partner to achieve district level health targets. Applicants must adhere to guidelines set forth by the SAG and support Primary Health Care Re-engineering at the district and community-level.

Recipients will demonstrate a strong capacity for integration of policy, technical approaches, and programs as well as collaboration and coordination with other partners and stakeholders. Recipients should create linkages and synergies with other partners working across prevention, OVC, treatment, and care and support programs at the community level in the same geographic area to foster continuity of services and support. This may include PEPFAR and non-PEPFAR partners. Gender considerations should be integrated into the program to ensure quality, demand, and access of services to both men and women. The program should remain flexible to respond to SAG priorities and emerging evidence-based developments.

1. General Program Activities

This program will continue to support PEPFAR’s transition from direct service provision to strengthening sub-district and district health systems in coordination with provinces. Applicants should propose a plan and timeline to transition activities to the SAG as well as metrics that will be used to measure capacity that has been developed. This plan should include an exit strategy that explains how skills will be transitioned progressively throughout the five years of the program. Progress towards a successful transition and exit will be assessed by the USG and the SAG at the end of three years to determine implementation plans in the final two years.

The focus of activities will be placed on institutionalizing routine and consistent use of systems designed to improve efficiencies, program monitoring and evaluation, and monitoring of quality of care. By working at the sub-district and district level, this program will better support improved management systems at all levels to ensure high quality and efficient services. Recipients’ capacity and resources at the sub-district and district level will:

- i. Facilitate the effective roll-out of ART and related services to PHC clinics;
- ii. Provide a framework for efficient training, mentorship, supervision to service providers, particularly nurses;
- iii. Allow for strategic collaboration and coordination with provincial, district, and sub-district managers responsible for the management and delivery of HIV-related services at these facilities; and

iv. Enhance local ownership and sustainability of facility-based HIV interventions, in line with the NDOH priorities and the PEPFAR PF.

Support to district and sub-districts will include, but will not be limited to, transition of essential staff to SAG, mentorship, training, monitoring and evaluation, health management information systems (HMIS), and systems strengthening for the routine use of standardized quality improvement/assurance practices. The program will include continued strengthening of tier one and two data systems as described by the NDOH and will support the use of the District Health Information System (DHIS). Additionally, this program will require measurement of patient outcomes to inform the improved delivery of ART and related services at the sub-district level. Recipients will support, as needed and requested, the district specialized team as part of district roll out of the SAG's PHC Re-engineering Plan. This plan calls for district specialized teams that are composed of principal obstetricians & gynecologists, pediatricians, family physicians, advanced midwives, and primary health care nurses.

Recipients will utilize evidence-based and measured better practices to inform activities necessary to achieve the objectives specified above. In addition, following award, recipients will develop detailed implementation plans that define the specific activities that will be conducted under this program to achieve the objectives. All implementation plans will be finalized in concert with the District as well as the designated CDC Facility Support Partner.

Recipients will be responsible for providing support, according to need and as requested from sub-district and district management teams, for the planning and scale-up of HIV-related services and improved patient outcomes. Recipients' activities will improve management systems by:

- i. Enhancing the ability of the district to formulate and implement comprehensive district and provincial work plans, including business plans and budgets;
- ii. Assisting sub-districts and districts to coordinate reporting, utilization, and analysis of data to improve policy implementation and strengthen decision-making;
- iii. Assisting sub-districts and districts in coordination with provinces to plan multi-year, costed strategies for responding to capacity needs related to training, facilities management, staff planning, commodity and pharmaceutical supply, procurement, and infrastructure.

The recipients will assist the District to strengthen health systems at the district and sub-district level. USAID District Health Team Support Partners will continue to provide comprehensive support to districts to strengthen implementation of the district operational plan. Recipients will assist the district to improve the management, supervision, and quality of the following interventions:

- Adult care and support
- Adult treatment services
- Pediatric and adolescent care and support
- Pediatric treatment services
- Prevention of mother to child transmission (PMTCT)
- Integration of TB/HIV
- Provider initiated counseling and testing (PICT)
- NIMART
- Integration of HIV with STI, MCH, sexual and reproductive health, and nutrition services

- Prevention with positives
- Cervical cancer screening
- Cryptococcal meningitis screening

The recipients will assist the districts to improve the management and supervision of the following processes to strengthen health systems:

- Continuous quality improvement
- Data systems and M&E
- Training and mentorship
- Implementation of policies on task-shifting
- Human Resources for Health (HRH) activities and, if necessary, secondments of personnel at the district level
- Pharmacy systems
- Accountability and financial management, including district-level budgeting
- Supply chain systems
- Analysis and utilization of cost-effectiveness reports to support district decision-making
- Linkages and synergies with PEPFAR and other partners in the same geographic area in prevention, care, treatment, OVC, and HCT

With negotiated focus and intensity as required and identified by district needs, USAID District Health Team Support partners will support the overarching USAID/CDC program objectives in the 10 focus districts through the following functions at the district level:

- Service delivery
- Health workforce
- Information
- Medical products and technologies
- Financing
- Leadership and governance

2. Program Indicators

Applicants should propose relevant indicators relating to health systems strengthening at the district level. The following resources are recommended to identify indicators that support monitoring and evaluation of program activities and demonstrate results of health systems strengthening activities over time.

- WHO: Monitoring the Building Blocks of Health Systems: A Handbook of Indicators and their Measurement Strategies. 2010:
http://www.who.int/healthinfo/systems/WHO_MBHSS_2010_full_web.pdf
 - South African Government: National Core Standards: See Attachment 4.
 - Health Systems Assessment Approach Manual:
<http://www.healthsystems2020.org/content/resource/detail/528/>
 - Assessing Financing, Education, Management and Policy Context for Strategic Planning of Human Resources: http://www.who.int/hrh/tools/assessing_financing.pdf
- Monitoring and Evaluation of health systems strengthening: An Operational Framework:
http://www.who.int/healthinfo/HSS_MandE_framework_Oct_2010.pdf

3. *Statement of Objectives and Sub-objectives*

Objectives

Objective 1: Improve HIV-related population outcomes by strengthening health and patient management systems at the district level

Objective 2: Build the capacity of district management teams and management systems in coordination with the respective provinces to support HIV/TB-related services and overall health system strengthening

Objective 3: Provide support to the district and/or sub-district to identify and implement policies and programs that guide facilities' response to providing HIV/TB care, treatment, and prevention services

Objective 4: Support transition to a sustainable national comprehensive HIV/TB care and treatment program that supports two key priorities of the SA government: Primary health care re-engineering and national health insurance

Sub-objectives may include, but are not limited to, the following:

- a. Strengthen monitoring and evaluation systems, including quality and utilization of DHIS and the three Tier system
- b. Capacitate district health teams to improve utilization of data for program strengthening, including supervision and mentorship to facility management
- c. Strengthen district capacity to support referral networks and tracking/tracing systems to address loss to follow-up and loss to initiation, in coordination with facility management teams
- d. Conduct baseline and intermittent surveys for HIV-related program outcomes utilizing current district and government data systems

- a. Strengthen coordination of HIV/TB programs to ensure integrated provision of comprehensive services, including MCH, nutrition, and SRH including linkages to MMC and provision of PEP
- b. Enhance ability of district management team to ensure a high quality, continuous and uninterrupted supply of essential drugs and supplies
- c. Ensure that districts are capacitated to provide technical oversight and mentorship to facility management teams at all levels within the district, including at PHC clinics
- d. Strengthen district capacity to implement effective quality assurance and improvement systems
- e. Strengthen district capacity to support referral networks and tracking/tracing systems to address loss to follow-up and loss to initiation, in coordination with facility management teams
- f. Ensure that in each district there is at least one high quality site (PHC clinics, CHCs, hospitals) to serve as a model for service delivery and

- a. Strengthen capacity of districts for strategic planning (e.g. development and operationalization of costed workplans), specifically in human resources and financial planning
- b. Support the implementation of new policies based on new HIV and TB-related research
- c. Strengthen districts' role as the conduit for dissemination of national and provincial health directives and guidelines
- d. Collaborate with key SAG ministries, donors, and technical groups at provincial, district, and sub-district levels to ensure the effective implementation of the SAG national strategic plan (NSP) and other relevant plans and strategies.

- a. Support specialized district support teams in the rollout of PHC reengineering, including training and mentorship
- b. Transition and ensure retention of PEPFAR-supported staff, as appropriate, into the SAG system over a negotiated timeframe with provincial and district departments of health

2. AUTHORIZING LEGISLATION AND AWARD ADMINISTRATION

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. The 22 CFR 226 will apply to subawards to U.S. institutions of higher education, hospitals and other non-profit organizations, and to U.S. commercial organizations.

3. PROGRAM ELIGIBILITY REQUIREMENTS

Any local South African non-governmental organization (NGO) and for-profit organization meeting the criteria in section III is eligible to apply under this RFA.

4. AWARD ADMINISTRATION

For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* and the applicable cost principles (OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations) will apply.

- OMB Circulars; <http://www.whitehouse.gov/omb/circulars/index.html>
- Standard Provisions for U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303maa.pdf>
- Standard Provisions for Non-U.S., Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- Standard Provisions Public International Organizations:
<http://www.usaid.gov/policy/ads/300/308mab.pdf>
- FAR Part 31 <https://www.acquisition.gov/far/html/FARTOCP31.html>

SECTION II – AWARD INFORMATION

1. ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, an estimated \$75,000,000 is available for awards pursuant to this RFA. USAID expects to award an estimated two to four Cooperative Agreements, ranging from an estimated \$7 to \$20 million for a 5 year activity. However, in exceptional circumstances, these amounts may be adjusted depending on the grant timeframe, the applicant's institutional capacity, the geographic scope of the proposed program, and the type and extent of partnership or other teaming arrangements that are proposed USAID reserves the right to fund any one or none of the applications submitted.

2. START DATE AND PERIOD OF PERFORMANCE

Activities pursuant to this RFA will be for a 5 year period. The estimated start date is on or about October 1, 2012.

3. TYPE OF AWARD

USAID plans award Cooperative Agreements pursuant to this RFA. A Cooperative Agreement allows "substantial involvement" by USAID (active involvement by USAID in certain programmatic elements during performance of the activity). Anticipated substantial involvement elements for this award are listed below:

- Review and approval of key personnel and changes in key personnel;
- Approval of annual implementation plans;
- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to SAG priorities and guidance as well as interrelationships with other programs;
- Approval of the Monitoring and Evaluation (M&E) Plan;

The Recipient will work in consultation with the Agreement Officer's Representative (AOR) and other PEPFAR/Southern Africa staff to develop and execute a final M&E plan including establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with USAID/Southern Africa;

- Appropriate review and approval of subawards.

SECTION III – ELIGIBILITY INFORMATION

1. APPLICANTS

Any local (defined below) non-governmental organizations (NGOs), private voluntary organizations (PVOs), Faith-based and community organizations, and for-profit companies willing to forego profit will be eligible for award under this RFA. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners.

a) LOCAL PARTNER DEFINITION

A “local partner” may be an individual or sole proprietorship or a legal entity of any type. To be considered an eligible local partner for the purposes of the intended RFA, the partner must meet the following criteria:

1. Is organized under the laws of the recipient country;
2. Has its principal place of business in the recipient country;
3. Is not less than 51 percent legally and beneficially owned by one or more resident citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
4. Is not controlled by a foreign entity or by one or more individuals who are not resident citizens or lawful permanent residents of the cooperating country.

The term “controlled by”, in 4 above, means a majority ownership or beneficiary interest as defined at (3) above, or the power, with directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means, e.g., ownership, contract operation of law.

Local NGOs are not required to register with USAID. Local NGO applicants may be non-profit or for-profit organizations. It is USAID policy not to award profit under assistance instruments, therefore, no profit will be allowed under this award. Additionally, when considering making an award to an NGO with **limited or no previous USAID experience**, USAID may conduct a pre-award survey to determine the organization's capabilities to implement the proposed activities.

2. LIMITATION ON SUB-AWARDS

Regardless of who the recipient is, no more than 10% of the total estimated value of any agreement may be sub-awarded to organizations that do not meet the definition of local partner set forth above.

3. COST SHARE/ RESOURCE LEVERAGING

a) COST SHARING

Cost sharing under the proposed award is required to be **at least 10%** of the total estimated amount. Cost sharing is defined in “Required, As Applicable, Standard Provision for non-US Nongovernmental Recipients” #20 and may consist of cash or in-kind contributions but, by definition, may not include USG funds or USG-funded in-kind contributions. Cost-sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles (see OMB Circular A-110). Information regarding the proposed cost share, if any, should be included in the SF 424 and the Budget as indicated on those documents. The cost sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the program.

b) RESOURCE LEVERAGING

This RFA further encourages applicants to leverage additional resources from the private sector in this program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives. In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a project. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

1. AGENCY POINTS OF CONTACT

Agreement Officer:

Dana Rose
Regional Agreement Officer
USAID /Southern Africa
Box 43, Groenkloof, 0027
Pretoria, South Africa
+27 (012) 452-2170

The Acquisition and Assistance Specialist:

Beatrice Lumande
Regional Acquisition and Assistance Specialist
USAID /Southern Africa
Box 43, Groenkloof, 0027
Pretoria, South Africa
+27 (012) 452-2377
Applications4@usaid.gov

2. REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

- **SF-424, Application for Federal Assistance** - (included in the application package available on grants.gov posted with this RFA):
- **SF-424A, Budget Information - Nonconstruction Programs** - (included in the application package available on grants.gov posted with this RFA):
- **SF-424B, Assurances - Nonconstruction Programs** - (included in the application package available on grants.gov posted with this RFA):

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to non-construction activities should be included on the SF-424A. Copies of these forms are included as part of the application package posted with this RFA on Grants.gov.

3. PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, non-U.S. organizations (except as specified below) must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements may be found as an attachment 1 to this RFA.

- 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-US organizations if any part of the program will be undertaken in the United States.
- b) A signed copy of the certification and disclosure forms for “Restrictions on Lobbying” (see 22 CFR 227);
- c) A signed copy of the “Certification Regarding Terrorist Funding” required by AAPD 04-14;
- d) Survey on Ensuring Equal Opportunity for Applicants; and
- e) Submission of a Data Universal Numbering System (DUNS) Number. DUNS number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by internet at www.dnb.com.
 1. Access the web page: <http://www.dnb.com>;
 2. Click on D&B D-U-N-S Number;
 3. Click on “Are you a government contractor, vendor, or grant recipient?;
 4. Click on “Click here to request your D-U-N-S Number via the web”;
 5. Follow the instructions. Questions should be directed to Dun and Bradstreet.
- f) Registered in Central Contractor Registration (CCR) unless exempt under 2 CFR 25.110. Central Contractor Registration (CCR) is the U.S. Government Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>). Organizations that apply and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding. See Attachment 2 entitled "Reporting Subawards and Executive Compensation."

4. APPLICATION FORMAT GUIDELINES AND ASSUMPTIONS

For the purposes of this RFA, the term “applicant” is used to refer to the prime. The application received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Applications that are incomplete or not directly responsive to the terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration.

The application shall be submitted in two separate volumes: (a) technical and (b) cost or business application. The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date indicated as the deadline for the submission of applications in this RFA, to the location indicated on the cover letter accompanying this RFA.

Applications shall be prepared in English. Applications in any other language shall be treated as non-responsive and eliminated from further consideration.

The application should be specific, complete, and concise. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program.

Applicant should retain for its records a copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application.

a) **STEP ONE - CONCEPT PAPER APPLICATION FORMAT**

Eligible organizations interested in applying for an award in response to this RFA are invited to submit a program concept paper via e-mail to applications4@usaid.gov. In developing the concept paper submission, the applicant should carefully consider all information contained in this RFA and must be within the parameters described in the Program Description section above, including the geographic areas. USAID/Southern Africa may opt to exclude from further consideration any submission which is not within these parameters. USAID reserves the right to fund any or none of the applications received. Specifically, the concept paper must conform to the following page limitations and content:

Cover Page (1 page) with full contact information including phone, fax, e-mail and contact person.

Program Concept Paper (not to exceed 8 pages) including:

1. Strategy - Explain the specific problem to be addressed, the expected goals to be achieved, how this program supports the areas of interest in this RFA, and a short description of the strategy to be used to achieve the proposed goals.
2. Development Plan and Activity Description - Include a short description of the activities that will be undertaken to achieve the proposed objectives, and provide a general time line of activities and the transition plan to the SAG.
3. Beneficiary Population, Geographic Coverage of the Program, and Gender – Include a description of targeted beneficiaries; list the preferred sub-districts in which to implement the proposed activity, and the sub-districts where willing to be considered in event the stated preference cannot be met; and address gender.
4. Expected Impact - Outline expected results and impacts and the mechanisms proposed to measure and monitor progress, achievement and sustainability.

Concept Paper Budget Summary (not to exceed 1 page): Provide a one-page budget summary which includes, at a minimum, the total funding requested broken down per year and the cost share contribution (e.g. in cash, in-kind), if any, that may be contributed by the applicant from its own resources or other non-U.S. government sources. Budgets should be in US dollars (US\$) using an exchange rate of R 7.1/USD 1.

Technical / Administrative Capabilities in Proposed Work Area (not to exceed 2 pages):

Describe your organization's technical and administrative capabilities and past experience in conducting programs similar to the one proposed. List all contracts, grants, or cooperative agreements involving relevant (similar or related) programs conducted by the applicant (or consortium partners) over the past three years and include a brief statement of work performed. These other programs can be funded by any entity, public or private, and do not need to be USAID-funded programs.

Note: If any sections of the submitted concept paper exceed the designated page limit, USAID reserves the right in its sole discretion to take any appropriate action, including, but not limited to, excluding the pages in excess of the limit and eliminating the applicant from the competition..

b) STEP TWO: FULL APPLICATION FORMAT

If initial review by USAID/Southern Africa indicates the concept paper merits further consideration for funding, USAID will request a full application. The full application must be in English. The full application should reflect full consideration of all the information provided in this RFA. A full application consists of a Technical Application and Cost Application, as described below. Please note that a request for a full application does not represent a USAID funding commitment. Once notified, the applicant shall submit a Technical Application and a Cost/Business application.

1. Technical Application Format:

The technical application (not to exceed 30 pages) shall include: (1) a Cover Page; (2) a Program Description; and (3) Attachments/Annexes (Resumes and Letters of Commitments). Page limitations are specified below for each section; applications must be on A4 or Letter size 8-1/2 by 11 inch paper, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

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

- i) Mark the title page with the following legend:

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

- ii) Mark each sheet of data it wishes to restrict with the following legend:

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

A more detailed description of the full application is as follows:

Cover Page: The Cover Page should include information about a contact person for the prime applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, e-mail address, and telephone and fax numbers. Also state whether the contact person is the person with authority to contract for the applicant, and if not, that person should also be listed. In addition, include a Table of Contents listing all page numbers and attachments/annexes; and the names of the organizations/institutions involved in the proposed application. This does not count against the page total for technical application.

Program Description: The Program Description will contain the main parts of the technical application and shall include the following sections:

A. Technical approach and estimated program timeline (including monitoring and evaluation plan)

This subsection should describe in detail the proposed technical strategy and approach and comprehensively address how the applicant will achieve the objectives outlined in the Program Description over the 5-year life of the project. This section must also set forth in sufficient detail the conceptual approach, methodology, and techniques for the implementation and evaluation of program activities and should demonstrate responsiveness to the South African context. It should further include a description of a preliminary transition plan with existing activities and staff and how current strategies and methodologies will be transitioned to the applicant's technical approach and a plan for promoting sustainability through capacity building and hand-over of decision making to NDOH clinical staff.

The application must name the districts in which the applicant prefers to work (among the ten districts listed in this RFA), and should include an explanation of the applicant's competitive advantage in this geographic area, why the applicant thinks it is most capable in this geographic area, and any other interests to support work in the named geographic area. In addition, the applicant must list the geographic areas in which it is willing to work. (In event that an applicant's preference for specified geographic areas cannot be met or efficiencies in coverage require additional geographic areas, USAID/Southern Africa may negotiate with the applicant for coverage of geographic areas in which willingness to work was listed). See attached list for districts that will included in the agreements resulting from this RFA.

Applicants should propose a plan and timeline to transition capacity to the SAG. This plan should include an exit strategy that explains how capacity will be transitioned in all five years of the program. Progress towards a successful transition and exit will be assessed at the end of three years to determine implementation plans in the final two years.

How any gender issues will be addressed - In this subsection, the Applicant should address the considerations related to the evaluation criterion specified in Section V.1.b)1. The Applicant should specifically discuss how gender concerns will be incorporated into the overall approach to the program and propose tailored programs that mitigate the gender disparity of the impact of HIV.

In addition, the applicant should identify indicators included in the Program Description section of this RFA that its program activities will address. This should be done by discussing indicators selected from recommended resources in this sub-section of the Technical Application Body and should not include development of parallel information systems.

B. Implementation effectiveness

An implementation plan for achieving the expected program results should be discussed in this sub-section. The implementation plan should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the program results.

Applicants will be expected to reflect their understanding of the health and HIV and AIDS initiatives already being conducted in-country by the SAG, USG, other implementing partners, and other donors. This section must include a plan for promoting sustainability through capacity building and hand-over of decision-making to relevant SAG decision-makers. Applicants will be expected to describe how they will work with District Management and Specialist Teams and other managers in districts, sub-districts, and facilities.

Applications should describe in detail implementation plans related to the methodologies included in the program description, showing the phasing or dates by which planned activities would be carried out as well as proposed indicators to assess the progress of the program. The implementation plan should include a description of all planned activities with sufficient detail including:

- Sequence of activities;
- Timeframes for implementing each activity;
- Outcome of each activity;
- Impact on gender equality;
- Impact on disadvantaged communities;
- Involvement of alliances and partnerships;
- Sustainability plan

If the Applicant determines that a lengthy chart or other supporting documentation is helpful, this supporting documentation may be included in the Attachment/Annex.

C. Organizational Capability, Staffing, and Management Approach: including detailed information on:

- The organization's qualifications

In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in institutional capacity building, HIV and AIDS policy development and implementation, delivery of integrated, comprehensive district-based HIV-related services for care and treatment and collaborations with donors, host country governments, and NGOs to strengthen health and HIV and AIDS systems. Applicants shall also describe their organizational capability in collaborating with SAG, donors, and NGOs to strengthen health and HIV and AIDS systems, and to improve the quality and use of data for decision making and advance organizational capacity building. The Applicant should also describe the organizational knowledge, capability, and experience of the other proposed team members (sub-contractors and/or grantees) in successfully managing similar programs.

- Management and Staffing

Applicants should provide a clear description of how the cooperative agreement will be managed, including the approach to addressing potential problems. Applicants shall outline which organization/ sub-awardee will carry out the various tasks specified in the technical approach. The prime partner will be responsible for all technical activities regardless of the activities implemented by the sub-partner or other member of the team. Applicants shall specify the composition and organizational structure of the entire project team (including sub-partners) and describe the role of each staff member named under key personnel, technical expertise, and estimated amount of time he or she will devote to the program. Given the limited funding of this award and the broad scope, applicants may want to propose innovative ways to reduce managerial costs of sub-partners such as sharing office space, vehicles, etc. It is expected that sub-partners will not set up separate offices and separate managerial units, but instead offer specialized technical support under the prime partner.

Applicants shall discuss proposed technical, managerial and other personnel as deemed appropriate to implement the tasks described above, inclusive of a coordination plan for other partners working in the district or sub-district. Such staff should have played important technical and country-level support roles in the past and current health and HIV and AIDS programs. The staffing plan shall elaborate what and how long-term and short term technical and management assistance will be provided to the program to accomplish tasks and objectives.

Key Personnel for this Cooperative agreement must include the Program Director, Deputy Program Director, Technical Leads for program areas, and a Monitoring and Evaluation Specialist. Applicants may add other key personnel as appropriate to conform to technical and managerial approach; however, the overall number of the proposed key personnel positions should be limited to a reasonable number, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater. Applicants shall provide summary descriptions of roles, responsibilities and qualifications of all key personnel relevant to successful implementation of the proposed technical approach, as technical personnel will serve as technical assistants to the District Management Teams. Applicants shall also include, in an Attachment/Annex, resumes for all key personnel candidates. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience and should be provided in the Attachment/Annex. Letters of commitment from all key personnel to the effect that they will be available for the period of the cooperative agreement, should the applicant receive an award, should also be included in the Attachment/Annex. Finally, a list of 3 non-personal professional references should be included in the Attachment/Annex for each proposed key personnel. The reference information provided in the Attachment/Annex should consist of the following: full name and relationship, accurate and up to date email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

In proposing the overall staffing plan, the applicant should ensure that expertise in implementing similar programs of focus and scale in South Africa is represented. In particular, the application should consider:

Program Director: The applicant is required to appoint a Program Director. The Program Director should have demonstrated capabilities in management, institutional capacity building,

high-level strategic visioning and leadership, and experience in working effectively with district, provincial and national government authorities. Prior experience in senior level management of similar programs is absolutely required. Demonstrated experience is required in coordination and collaboration with broad set of stakeholders, including multi-lateral and international donors and local and international NGOs. The Program Director must have background and experience in more than one technical area of the program and experience or familiarity in management in an integrated, comprehensive, clinic-based program environment. S/he must also demonstrate exceptional written and oral communications skills in English. The Program Director must have South African citizenship or residency and strong familiarity with the political, social, economic, and cultural context of working in South Africa. The Program Director should have demonstrated experience and success working with high level SAG authorities.

Other Personnel: Applicants has the discretion to determine the proper number and mix of additional key personnel, short-term technical staff, and others to meet award requirements.

Consultants: Applicants may propose a mix of international and South African advisors and specialists to cover the full range of objectives and activities. South African and African consultants are preferred. The management plan should also demonstrate how the applicant will use in-country experts and resources.

All personnel must demonstrate exceptional written and oral communications skills in English. Familiarity and demonstrated experience with the political, social, economic and cultural context of South Africa is required.

- The organization's effectiveness and any partnership arrangements for the purposes of achieving the program

Applicants should propose how they will liaise and coordinate with SAG as well as with other district partners and/or PEPFAR partners working across program areas. If the applicant intends to develop institutional partnerships/teaming arrangements for implementation of the cooperative agreement (sub-recipients or alliances), the application must specify the nature of organizational linkages. This includes their relationships between each other, lines of authority and accountability, and patterns for utilizing and sharing resources. Applicants that intend to utilize sub-awards should indicate the extent intended, the method of identifying sub-awardees, and the tasks/functions they will be performing. Applicants that plan to team up with other organizations, or government agencies for the implementation of the agreement should outline the services to be provided by each such agency or organization and should discuss how the collaboration with these partners fits into the Applicant's proposed management plan. Applicants should state whether or not they have any existing relationships with the proposed partners and, if so, should include the Memoranda of Understanding (MOUs) in the Attachment/Annex. It is not expected at this time that applicants will include SAG letters of support or MOUs as these will be negotiated after award once district and sub-district allocation are finalized.

D. Past performance list (details may be included in the attachments/annexes).

The Applicant should discuss in this section examples of its past performance as well as examples of the past performance of the proposed sub-contractors/sub-recipients and or other

partners, if any. The Applicant should address any relevant performance issues related to past performance.

The Applicant shall identify (briefly, with details in the attachment/annex) its three (3) most recent and fully completed contracts or agreements that involve some of the activities described in Section IV.4.b)1.D above and which value exceeded \$5,000,000 million. In addition, the Applicant may identify (briefly, with details in the attachment/annex) up to five (5) additional contracts or agreements related to the activities described in Section V.1.b)1 for the prime and up to three (3) for each proposed sub-contractor/sub-recipient or other proposed partner, if any.

Also in the Attachment/Annex, the Applicant shall include one information sheet for each such contract or agreement. The information sheets shall include all of the following information:

- The identity of the entity involved (e.g. the Applicant, a major subcontractor or major sub-recipient);
- A description of the project's scope, magnitude and period of performance;
- Location of the project;
- Details as to the Applicant's (or that of a major subcontractor or sub-recipient) role and activities during the project;
- Discussions of accomplishments as well as technical, management or other challenges associated with completion of the project and what the Applicant did to overcome the challenges
- Contact information (names, telephone numbers, email addresses, etc.) for the entity that funded the program or contract. Names and contact information should be provided for both technical and contracting/grant administration personnel, preferably for personnel who directly oversaw the program or contract.

Please note that it is applicant's responsibility to provide the above requested past performance reference contact information that is accurate and up to date.

Attachments/annexes should be lettered (e.g. Attachment A/Annex A), and can include the resumes of key personnel, and other supporting documents. Note: If the full Application exceeds thirty (30) pages (excluding attachments/annexes) ONLY the first thirty pages will be considered when evaluating the Application.

2. Cost/Business Application Format:

A Cost/Business Application must be submitted separately from the Technical Application. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. The cost application shall include completed SF-424 forms and an accompanying budget narrative that provides in detail the total costs for implementation of the program your organization is proposing, other certifications and assurances; other information as may be required by USAID according to its policies and procedures and circumstances pertaining to the specific application. The budget detail will be required for both the USAID-funded portion of the program and cost share portions, if any, of the program. If the applicant proposes expending more than \$300,000 of USAID funding during a single fiscal year of the applicant, the applicant must include funds within the budget to contract an audit.

- i) The cost application should be for a period of 60 months, showing 5 12-month increments and the total.
- ii) Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications.
- iii) An overall budget should be included in the Cost/Business Application that provides, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424 and using the format provided in Attachment IX. All budgets shall include a sheet relating to the entire 60-month period and separate sheets for each of the five program years. These budgets shall include a breakdown of the costs allocated to targeted geographic areas and any sub-recipient involved in the program, and the breakdown of the financial and in-kind contributions of all such organizations (the applicant can also include separate subcontract budgets for the sake of clarity). The electronic version of the budgets should be provided in Microsoft Excel format.
- vi) Budget notes are required. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.
- v) The following Section provides guidance on line-item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the organization's personnel policies.

Fringe Benefits - If the organization has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, 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, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies; (applicants may however choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), branding/marketing supplies, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Indirect Costs – Organizations that do not have a Negotiated Indirect Cost Rate Agreement (NICRA) letter with the US Government should treat all indirect costs as direct costs and provide a fully-developed and supported rationale for allocating or estimating how much of the indirect costs should be allocated to the program. Recipients may have the opportunity to negotiate a NICRA with the US Government.

Seminars and Conferences - The application should indicate the subject, venue, and duration of proposed conferences and seminars and their relationship to the objectives of the program, along with estimates of costs.

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

Source and Origin Requirements - The authorized Geographic Code for this Agreement will be 935.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

Construction - If there are any construction costs to be charged to this Agreement, they must be in accordance with the policy at <http://notices.usaid.gov/notice/22805>.

In the case of an application where the entity receiving the award is a joint venture, partnership or some other type of group where the proposed applicant is not a legal entity, the Cost Application must include a copy of the legal relationship between the prime applicant and its partners. The application document should include a full discussion of the relationship between the applicant and its partners, including identification of the applicant with which USAID will directly engage for purposes of Agreement administration, the identity of the applicant which will have accounting responsibility, how Agreement effort will be allocated and the express Agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

vi) The required Certifications, including the SF 424s, should be included with the Cost Application.

vii) As written above, the proposed budget should provide separate cost estimates for the management of the program (including program monitoring). Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.

viii) The cost/business portion of the application should describe procedures for financial reporting. Discuss the management information procedure you will employ to ensure accountability for the use of U.S. Government funds. Describe program budgeting, financial and related program reporting procedures.

ix) Indicate if financial commitments were made among partners during the preparation of the application. Budgets shall indicate the amounts committed to each member of the team. Letters of commitments from partners should be included.

x) If requested by USAID after submission of applications, the following information on the Applicant's financial and management status, or that of major subcontractors and sub-recipients will be requested, including:

- A. Audited financial statements for the past three years,
- B. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,

C. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (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. If so, provide the name, address, and phone number of the cognizant reviewing official.

xi) If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

xii) The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:

A. Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;

B. Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;

C. Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues re its record of performance that were not discussed in the technical application);

D. Has a satisfactory record of integrity and business ethics; and

E. Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

xiii) If requested by USAID after submission of applications, please provide information on the applicant's financial management status or and evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

xiv) Cost Sharing: Cost Sharing: Cost sharing is required, in addition to USAID funds. Applicants are required to contribute resources from their own, private or local sources for the implementation of this program. Applicants are therefore required to submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of the Standard Provision number 21 (required as applicable) for Non-U.S. Nongovernmental Recipients entitled "Cost Share" and can be audited.

xv) Unnecessarily elaborate applications: unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate artwork, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

5. SUBMISSION DEADLINES

Applications shall be due at the time and date stated on the cover page of this RFA. USAID will determine that any Applications that are not received by the Agreement Officer by one of the methods specified below by the time and date indicated will be late. Because making an award is critical to USG foreign policy goals, time is important and late applications may not, at the sole discretion of the Agreement Officer, be considered.

6. FUNDING RESTRICTIONS

There are no funding restrictions applicable to this RFA at this time.

7. GENERAL INSTRUCTIONS

USAID will accept applications from the qualified entities as defined in Section III of this RFA. The Applicant should follow the instructions set forth herein. If an applicant does not follow the instructions, the Applicant's Application may be down-graded and may not receive full credit under the applicable evaluation factors, or, at the discretion of the Agreement Officer, be eliminated from the competition. Applications are to be submitted as follows with the subject line stating the RFA number, on the date and time provided on the cover page.

Electronically via email with up to 10 attachments/annexes (3MB limit) per email compatible with MS Word/Excel environment, and signature pages in adobe to applications4@usaid.gov; and

Hard copies via courier with an original (unbound) and four (4) copies of the technical application and one original cost application (unbound) to the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Bea Lumande
Box 43, Groenkloof X5
Pretoria, 0027, South Africa

Alternatively, applications can be delivered by hand/courier to the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Bea Lumande
100 Totius Street
Groenkloof 0027
Pretoria, South Africa

Faxed applications are not authorized for this RFA and will not be accepted.

Consistent with ADS 303.3.6.7, Applications that are submitted late may be eliminated from the competition. If a late application is evaluated and considered for award, all similarly-situated late applications (in terms of time of receipt) will also be evaluated and considered for award.

8. BRANDING STRATEGY AND MARKING PLAN

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded.

These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein. Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer. In addition, the winning applicant(s) will be required to comply with the South Africa PEPFAR Team policy on marking and branding, inclusive of appropriate use of the PEPFAR/South Africa logo.

ADS Chapter 320 sections concerning "assistance" apply to this RFA. ADS Chapter 320 sections concerning "acquisition" do not apply to this RFA. ADS Chapter 320 can be found on the USAID website: <http://www.usaid.gov/policy/ads/300/320.pdf>

A helpful list of Frequently Asked Questions (FAQs) about branding and marking can also be found on the USAID website: http://www.usaid.gov/branding/marketing_faq.html.

SECTION V - APPLICATION REVIEW INFORMATION

1. EVALUATION CRITERIA

a) Concept Paper

Concept papers will be evaluated based on the extent to which they convincingly describe how: 1) the applicant organization possesses the requisite capacity / capability to implement the activities efficiently and effectively; 2) the proposed program directly responds to the areas of interest under this RFA and meets a specific unmet need; 3) the proposed activities will directly lead to the anticipated results and expected impacts; and 4) the proposed budget is realistic and consistent with the proposed activities and results. Geographic coverage will not be an evaluation factor in the concept stage.

b) Scored Evaluation Criteria (Full Application)

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The following evaluation criteria will be used at the full application stage to make an award decision.

The specific evaluation criteria are as follows:

| | |
|---|-------------|
| Technical Approach | – 50 points |
| Organizational Capability, Management and Staffing Approach | – 20 points |
| Past Performance | – 20 points |
| Cost Effectiveness | – 10 points |

1. Technical Approach – 50 Points

USAID will review the extent to which the proposed technical approach is likely to achieve the stated objectives. This includes whether the proposed activities are consistent with the objectives sought; how the activities are interrelated; how activities will be tracked, monitored and reported; the degree to which the proposal incorporates lessons learned from similar programs and activities and how activities build on the applicant’s prior experience; and the extent to which the approach is efficient, comprehensive, and integrated to improving patient outcomes through support at the district level. The stated objectives will be reviewed to determine how the program will enhance district management for integrated quality health services for PLWHA, both adults and pediatrics; how gender considerations are incorporated; and whether clearly aligned with SAG priorities, indicators and systems. A clearly articulated strategy for collaboration with the CDC facility-based partner in the same district will also be assessed. USAID will also review how the applicant has demonstrated a strategy for continued transition from direct support to technical assistance and a sustainability strategy with clear timelines.

2. Organizational Capability, Management and Staffing Approach - 20 points

USAID will review the organization’s capacity in terms of internal structure, technical capacity, and ability to align with SAG priorities and scale up better practices. In particular, USAID will review the organization’s demonstrated ability to work with other partners, and in particular, CDC and the SAG. Sub-recipient arrangements, if any, with other civil society organizations,

which enhance the effectiveness and capabilities of program implementation, should be specifically outlined with clearly defined roles and responsibilities. Preference will be given to sub-recipient arrangements that favor local organizations.

3 Past Performance – 20 points

All applicants' past performance will be reviewed. Emphasis will be placed on prior achievements in similar programs to that proposed. If the applicant has no past performance history, the applicant will receive a neutral rating in this category. The TEC may contact references other than those provided in the application

Note: The USG will assign a neutral rating to an application which through no fault of its own has no past experience history (e.g. new business).

4. Cost Effectiveness – 10 points

Proposed budgets will be evaluated to determine if the applicant's approach is cost effective, meaning that the proposed budget is reasonable in view of the activities and approaches proposed and makes use of existing resources, capacities, materials, tools, and other leveraged sources of funding. An Application will be viewed more favorably if it proposes strategies and activities which are measurable and if the costs can be tied directly to specific corresponding activities.

Cost effectiveness may include analyzing the cost per result, district, or yearly increment proposed. A realistic commitment to cost share is generally viewed as enhancing the evaluated cost effectiveness of a program.

c) Other Factors to be considered

While no points are assigned to the following cost factors, they are important and material to the award decision. Costs included in the proposed budget will be reviewed to ensure they are allowable, allocable, and reasonable. Budget proposals will also be subject to cost realism analysis, which will verify the applicant's understanding of the requirements, assess the degree to which the cost application reflects the approaches in the technical application, and assess the degree to which the costs included in the application accurately represent the programmatic requirements set forth in the application. Applications that do not present reasonable and realistic costs may risk not being considered for award.

Note that among technically- and cost-ranked applications, USAID will ensure technical and geographic diversity in applications selected for award.

If USAID's review of the full application results in a recommendation for funding, then the organization and USAID/Southern Africa will enter final discussions to ensure all pre-award requirements are met and significant grant terms are negotiated and agreed. The exact details will vary according to the circumstances pertaining to each application; however, the following are common areas that require discussion and agreement prior to award:

i) Geographic coverage –As per the instructions, applicants must specify the district(s) it prefers to work and the districts it is willing to work (of the 10 districts listed in the RFA). Final awards will specify the districts in which the applicant's program will be implemented. USAID will negotiate district coverage for each award based on an applicant's competitive advantage, capabilities (including organization capacity and past performance),

other unique interests, as well as applicants' strength of technical approach and efficiency in achieving USAID/Southern Africa's required district coverage. In event that an applicant's preference for specified district(s) cannot be met or efficiencies in coverage require additional districts, USAID/Southern Africa may negotiate with the applicant for coverage of districts in which willingness to work was listed in the application. **Letters of support from Provincial authorities for applicants' proposed hybrid work in the district will be required prior to award.**

- ii) Payment terms;
- iii) Procedures concerning administrative reporting and logistical requirements for the program including training components;
- iv) Cost sharing terms, if applicable;
- v) Branding Strategy and Marking Plan; and
- vi) Other award terms including audit, special provisions and/or special award conditions.

2. BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, projects, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward must be marked appropriately overseas with the USAID Identity. **In addition, the winning applicant(s) will be required to comply with South Africa PEPFAR Team policy on marking and branding.**

USAID will request and evaluate a branding strategy and marking plan from the Apparent Successful Recipient, except in cases where an existing waiver applies; this evaluation will not be part of the competitive evaluation set forth in this section. The apparent successful applicant's proposed Marking Plan may include a request for approval of one or more exceptions to marking requirements. The Agreement Officer is responsible for evaluating and approving the Branding Strategy and a Marking Plan (including any request for exceptions) of the apparently successful applicant, consistent with the provisions "Branding Strategy," and South Africa PEPFAR Team policy on branding and marking.

"Marking Plan" and "Marking of USAID-funded Assistance Awards" are contained in AAPD 05-11 and in 22 CFR 226.91. Please note that in contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers, see 22 CFR 226.91(j). See Section VIII.

No award will be made without USAID approved Branding Strategy and Marking Plan.

3. COST SHARE

Cost share under the proposed award is required to be at least 10% of the total estimated amount.

4. REVIEW AND EVALUATION PROCESS

Technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees, other U.S. Government representatives and South African experts.

The cost applications will be evaluated by the Agreement Officer on cost effectiveness and cost realism analysis. Award will be made to the responsible applicant whose application offers the greatest value based on the criteria specified above. The final award decision is made, while considering the recommendations of the TEC, by the Agreement Officer.

Authority to obligate the Government: the Agreement Officer is the only individual who may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

The required format and content for the application are described in Section IV. A team of technical experts shall review and score applications received in response to this RFA. Applicants responsive to the requirements of this RFA, that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute the activities expected under this program using mutually agreed, international standards of accountability are eligible to apply.

SECTION VI – AWARD AND ADMINISTRATIVE INFORMATION

1. NOTIFICATION TO APPLICANTS

A notice of award signed by the Agreement Officer is the authorizing document for this RFA. The notice of award will be provided electronically to the applicant's point of contact listed in the application.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b.

An award will be made only by the USAID Regional Agreement Officer upon his/her signature to incur costs. He/she will only do so after making a positive responsibility determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID.

Prior to issuance of award, some applicants may be required to submit additional information on the organization and key individuals for vetting. For example, for those organizations that have not had previous grants or cooperative agreements with the US Government, Articles of Incorporation or other documentation which substantiates the legal character of the entity will be requested. In such cases, issuance of an award is contingent on the timely receipt of the information requested and the successful completion of the vetting process.

The vetting process may include pre-award responsibility determination which will be conducted and will include an examination of the application's budget details to ensure it is a realistic financial expression of the proposed program and does not contain estimated costs which may be unreasonable or unable to be charged under the program. Staff salaries will be considered reasonable to the extent that they are comparable to that paid for similar work in the relevant labor market; salary history will not be used to determine the salary range for a particular job category.

2. STANDARD PROVISIONS AND DEVIATIONS

No deviations are currently contemplated to the standard provisions for the cooperative agreement contemplated by this RFA. The standard provisions to be used will be Standard Provisions for Non-U.S. Nongovernmental Recipients.

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

3. GENERAL INFORMATION ON REPORTING REQUIREMENTS

The following reports and related requirements will be included in the Cooperative Agreement issued as a result of this RFA: a) Monitoring And Evaluation Plan, b) Annual Implementation Plans, c) Quarterly Progress Reports, d) Quarterly Financial Reports, e) Annual/Semi-Annual Performance Reports; f) Final Agreement Completion Report; and g) Miscellaneous Documents

Copies of all required financial reports will be submitted to the AOR at USAID/Southern Africa.

The recipient shall be responsible to USAID/Southern Africa for all matters related to the execution of the agreement. Specifically, the recipient shall report to the Regional Agreement Officer (RAO) and to the Regional Agreement Officer's Representative (AOR), within the office of USAID/Southern Africa, who will be designated by the RAO prior to award.

The recipient will be required to report on indicators related to key objectives as specified in the Program Description.

In addition, the Recipient will provide:

a) **MONITORING AND EVALUATION PLAN**

The recipient is required to have a monitoring and evaluation plan showing how:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Methods for mid-term and end of project evaluations.
- Reports to provide activity managers with valid internal assessments of the recipient's activities and interventions.

The performance monitoring plan must address the issues set forth above and is due 60 days after award of the cooperative agreement contemplated by this RFA. It must be approved in writing by the Agreement Officer's Representative. Any modifications to the performance monitoring plan must be submitted in writing to the Agreement Officer's Representative and approved in writing by the Agreement Officer's Representative.

In order to facilitate the documentation of actual future improvements, baseline values of existing conditions need to be established. The recipient will work closely with USAID to develop an M&E plan that will include baseline surveys for future impact evaluations.

b) **ANNUAL IMPLEMENTATION PLANS**

The recipient will submit annual implementation plans to the Agreement Officer's Representative (AOR) in concert with other PEPFAR/South Africa partners, keyed into each US fiscal year of the Cooperative Agreement. The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID/Southern Africa during the first 30 days following the awarding of the agreement.

Subsequent 12-month implementation plans through the end of the agreement will be prepared on a 12-month fiscal year basis (October 1 – September 30) and submitted to the AOR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOR.

i) **Contents**

The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the implementation plan.

ii) Distribution

Copies of the final implementation plans will be distributed as follows: one copy to the AOR, and one copy to the Agreement Officer.

iii) Revisions

In the event that revisions to the annual implementation plans are necessary, the recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOR in writing.

c) QUARTERLY PROGRESS REPORTS

The recipient shall submit quarterly performance reports to the USAID/Southern Africa AOR to reflect results and activities of each preceding quarter. Reports are to be submitted within 10 days of the end of each quarter that is, Dec 31, March 31, June 30, and September 30 as follows: one copy to the AOR and one copy to the Agreement Officer.

These reports will be used by USAID/Southern Africa to fulfill electronic reporting requirements to NDOH, USAID/Washington and the Office of the Global AIDS Coordinator (OGAC); consequently, they need to conform to certain requirements.

The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the annual implementation plan for that quarter. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter.

The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

d) QUARTERLY FINANCIAL REPORTS

Quarterly financial reports shall be in accordance SF 425 reporting requirements. The recipient will submit to the USAID/Southern Africa AOR a quarterly financial report within 30 days after the end of the recipient's first fiscal year quarter, and quarterly thereafter.

e) **ANNUAL/SEMI-ANNUAL PERFORMANCE REPORTS (APR & S/APR)**

Twice yearly, the recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets. PEPFAR/South Africa will provide electronic formats in order to access data needed. Due dates for these reports are on or about May 1st and October 31st.

f) **FINAL AGREEMENT COMPLETION REPORT**

The recipient shall prepare and submit three copies of a final/completion report to the AOR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity, and recommendations regarding unfinished work and/or program continuation. The final/completion report shall also contain an index of all reports and information products produced under this agreement. The report shall be submitted no later than 90 days following the estimated completion date of the agreement.

4. **ENVIRONMENTAL COMPLIANCE**

a) **GENERAL**

1. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204 (<http://www.usaid.gov/policy/ads/200/>), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Recipient's environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this Request for Applications.

2. In addition, the contractor/recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

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

b) **COMPLIANCE WITH THE IEE**

An Initial Environmental Examination (IEE) has been approved for the Activity_funding the cooperative agreements expected as a result of this RFA. The IEE covers activities expected to be implemented under this grant. USAID has determined that a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this RFA.

1. Implementation Plans

i) As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this grant to determine if they are within the scope of the approved Regulation 216 environmental documentation.

ii) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

iii) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

2. Mitigation Measures and Monitoring

When the approved Regulation 216 documentation is (1) an IEE that contains one or more Negative Determinations with conditions and/or (2) an EA, the recipient shall:

i) Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

ii) Integrate a completed EMMP or M&M Plan into the initial work plan.

iii) Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

5. USAID DISABILITY POLICY (DECEMBER 2004)

The following provision is incorporated into this RFA.

1. 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

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

SECTION VII – AGENCY CONTACTS

The USAID contacts for this solicitation are indicated in Section VI above.

SECTION VIII – OTHER INFORMATION

1. **POLICY AND PROCEDURE**

- a) USAID Automated Directive System (ADS), Chapter 303, contains USAID policy and procedures concerning "Grants and Cooperative Agreements to Non-governmental Organizations" and is available on our agency website:
<http://www.usaid.gov/policy/ads/300/303.pdf>.

Awards will include language prohibiting transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism; the same will be required in all subcontracts and sub-awards.

As further detailed in ADS 303, awards will be administered as follows:

Awards to non-US organizations: in accordance with USAID Standard Provisions for Non-US, Non-Governmental Organizations.

Copies of referenced documents may be found via USAID ADS Chapter 303, including links to other websites. Copies of the referenced documents may also be requested from the points of contact listed in this RFA.

- b) A grant application will not be viewed as more desirable over another simply because it has a higher budget or covers more geographic areas. Programs with modest scope and budget, which are viewed as having a strong potential for positive impact and results, are preferred over more expensive, less effective programs.

It is possible that an Application recommended for funding does not actually result in an award, due to insufficient availability of funding, or because an the organization is deemed not sufficiently capable of managing a USAID grant, or for other reason(s) which will be provided to the applicant.

A decision not to fund a program may occur at any phase of the evaluation process. No program expenditures will be paid by USAID/Southern Africa, except those covered in an award signed by the USAID Agreement Officer. USAID reserves the right to fund any or none of the applications received.

2. **BRANDING STRATEGY - ASSISTANCE (December 2005)**

- a) Definitions

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

Apparently Successful Applicant(s) means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or

other assistance award by the Agreement Officer. The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

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

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

Submission Requirements

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

1. Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].* Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

2. Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth. Note: incorporating the message, "USAID from the American People", and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people." Please provide any initial ideas on how to further this goal.

3. Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID and PEPFAR/South Africa.

d) Award Criteria. The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's cost data submissions; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

3. MARKING PLAN – ASSISTANCE (December 2005)

a) Definitions

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

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

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

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

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

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

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

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

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

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

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

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

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

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

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

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

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

2. A table specifying:

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

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

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

3. A table specifying:

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

ii) the rationale for not marking these program deliverables.

d) Presumptive Exceptions.

1. The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's technical application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

2. Specific guidelines for addressing each Presumptive Exception are:

i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

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

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

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

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

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

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

3. The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

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

4. MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (DEC 2005)

a) Definitions

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

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

officer in a regional USAID Operating Unit responsible for the non-presence country, or in the absence of such a responsible operating unit, the Principal U.S Diplomatic Officer in the non-presence country exercising delegated authority from USAID.

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

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 [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

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

c) Implementation of marking requirements.

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

2. When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 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 is provision.

d) Waivers.

1. The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer's Representative. 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.

5. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)

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

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

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

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

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

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

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

ATTACHMENTS

The following is provided for the referenced documents:

- Attachment 1 - Certifications, Assurances and Other Statements
- Attachment 2 - Reporting Subawards and Executive Compensation
- Attachment 3 - Partnership Framework between the USG and SAG
- Attachment 4 - South African Government: National Core Standards
- Attachment 5 - Budget format
- Attachment 6 - Invitation to Pre-Application Conference