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Subject: Request for Applications (RFA) Number RFA-674-12-000006 Service Delivery and Support for Families Caring For Orphans and Vulnerable Children (OVC)

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 program in Service Delivery and Support for Families Caring for Orphans and Vulnerable Children (OVC) as fully described in this Request for Applications (RFA).

The purpose of this program is to improve the well-being of families and their vulnerable children through comprehensive and coordinated evidence-based interventions that strengthen the capacity of families and communities to care for vulnerable children in sub-districts and districts with high HIV prevalence, high maternal mortality, and a high number of orphans and vulnerable children.

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 Martha Zhou at applications4@usaid.gov 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) is 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

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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

In the first five years of the global PEPFAR program, interventions focused on establishing and scaling up prevention, care, and treatment programs. The programs achieved success in expanding access to HIV prevention, care, and treatment in low-resource settings. During its first phase, PEPFAR supported treatment to more than 2.4 million people, care to nearly 11 million people including 3.6 million OVC, and prevention of mother-to-child treatment (PMCT) activities for nearly 16 million pregnancies.

The global epidemic continues to require a comprehensive, multi-sectoral approach that expands access to prevention, care, and treatment. In December 2009, PEPFAR released its second Five-Year Strategy, which builds upon its success as programs transition from an emergency response to promoting sustainable country programs. For more information about PEPFAR's Five-Year Strategy, please visit <http://pepfar.gov/strategy/>.

On May 5, 2009, President Barack Obama and Secretary of State Hillary Rodham Clinton announced the U.S. government's Global Health Initiative (GHI); see press release at: http://www.whitehouse.gov/the_press_office/Statement-by-the-President-on-Global-Health-Initiative/. PEPFAR is the cornerstone of GHI. GHI is designed to connect and build upon the impressive results and momentum of PEPFAR and other USG health programs. It is leveraging the full range of USG assets in supporting a long-term strategic approach to global health that enables partner countries to improve health in communities impacted by HIV and other diseases. As part of GHI, PEPFAR is supporting countries to provide more efficient, integrated and sustainable health programs and serves as the platform upon which to link and integrate systems of care. For more information about the GHI, please visit <http://ghi.gov>.

On December 14, 2010 Secretary of State Hillary Rodham Clinton and South Africa's International Relations and Cooperation Minister Maite Nkoana Mashabane signed a Partnership Framework that will guide future efforts to combat HIV/AIDS in South Africa. The Partnership Framework provides a five-year (2012/13-2016/17) joint strategic plan of cooperation among the Government of South Africa (SAG), the U.S. Government (USG) and other stakeholders. The Framework supports the goals of South Africa's national strategy to fight HIV/AIDS. The Framework emphasizes sustainability, local expertise, coordination and accountability in the fight against AIDS. <http://www.pepfar.gov/documents/organization/153124.pdf>

The types of programs that will be supported through this new solicitation titled "Service Delivery and Support for Families Caring for Orphaned and Vulnerable Children" Request for Applications (RFA) are steeped in the goals and activities of the USG/SAG Partnership Framework. The objectives, activities and expected results of the solicitation have been developed in consultation and collaboration with the National Department of Social Development. The USG intends that programs supported through this RFA are supportive of the Partnership Framework and align with the SAG strategies that support, protect, and strengthen vulnerable children, families, and communities.

These strategies include but are not limited to: The South Africa National Strategic Plan on HIV, STIs and TB 2012-2016 (NSP), the Policy Framework for Orphans and Other Children made Vulnerable by HIV and AIDS in South Africa (July 2005), the National Action Plan for Orphans and Vulnerable Children and Other Children Made Vulnerable by HIV and AIDS 2009-2012 (NAPOVC), the Children's Act 38 of 2005 as Amended, and the National Guidelines for Social Services to Children Infected and Affected by HIV/AIDS.

Country Context - South Africa's Vulnerable Children

Nearly 31.3% of South Africa's population is younger than 15 years. Approximately 22 % of the country's 18.6 million children are affected by HIV/AIDS. More than 2.01 million children have been orphaned by AIDS (Mid-Year Population Estimates, Statistics South Africa). The 2010 General Household Survey suggests that the overall number of orphans could be as high as 3.7 million (General Household Survey, Statistics South Africa, 2010) while the UNICEF 2010 South Africa Annual Report indicates that a fifth of all children or 3.9 million— have lost one or both parents. More than half a million children have become legal wards of the state in South Africa's foster care system, one of the highest numbers in the world. Twenty-four percent of children in South Africa were not living with either biological parent (South African Child Gauge, 2010/2011). The South African Child Gauge 2010/2011 also reports that the number of children who have lost both a mother and a father has more than doubled since 2002 (from approximately 352,000 to 966,000), indicating an increase of three percentage points in double orphans as a proportion of all children. The increase is most likely driven primarily by the AIDS epidemic. When parents die as a result of AIDS, other relatives, particularly grandmothers and older siblings, often take on the role of caretaker. Although their numbers are relatively small, in some situations children themselves become heads of households charged with the care of family members, including those who have HIV or other illnesses.

South Africa recognizes that in addition to orphans a much larger number of children are highly vulnerable through circumstances such as HIV infection at birth or through unprotected sex; living in a household with sick or elderly caregivers; being abandoned; living in a household caring for many children; experiencing bereavement several times; or undergoing frequent mobility, and some children experience all these circumstances at different times.

Due to widespread poverty in South Africa, the economic responsibilities associated with providing basic care to children often place great strain on families. In many families, substance abuse and physical and sexual abuse of children occur, pulling the families apart. In such cases, children may be removed from their families and placed in foster homes or residential care, or other child protection interventions may be instituted. According to 2010 Tulane University research at least 4 million South African children are living with HIV, have a parent who is HIV-positive, or have lost a parent to AIDS-related illness. In 2011, antiretroviral treatment (ART) was scaled up to reach 1.4 million (21% of those on ART globally), of whom 1.1 million received direct support from PEPFAR SA implementing partners. Some 470,000 individuals were newly initiated on ART in the last 12 months, of whom 100,000 are children (UNAIDS 2011). The HIV epidemic has had a significant negative impact on life expectancy in South Africa and has left many families and children economically vulnerable and often socially stigmatized (UNICEF 2010 South Africa Annual Report).

In its ongoing response to the plight of vulnerable children the SAG recently announced the new 2012-2016 National Strategic Plan (NSP) on HIV, STIs and TB, which includes key goals and

objectives aimed at mitigating the effects of HIV and AIDS on orphans, vulnerable children and youth. The plan recognizes orphans and other vulnerable children as a key population for whom specific interventions will be implemented including primary prevention for HIV, as well as mitigating impact and breaking the cycle of ongoing vulnerability.

The NSP includes the following objectives related to orphans and vulnerable children:

- Reduce the vulnerability of children to HIV, TB and STD infection, with a particular focus on orphaned and vulnerable children;
- Expand programs of guardian support for orphaned and vulnerable children by supporting children, assisting them to access social security, ensuring they remain in schools, and aiding household food security;
- Reduce the psychosocial impact of HIV and TB on individuals, families and community

The Department of Social Development has formulated and committed itself to the following key priorities (DSD Annual Report 2010/2011):

- Caring for and protecting vulnerable groups, especially children, women and people with disabilities.
- Strengthening families and communities.
- Transforming social relations, with specific focus on gender and victim empowerment.
- Providing comprehensive social security, including income support, and safety net for the destitute.
- Strengthening institutional capacity to deliver quality services.
- Reinforcing participation in key bilateral and multilateral initiatives that contribute to poverty eradication.

In response to the devastating impact of HIV and AIDS on the vulnerability of children the DSD developed the National Action Plan for Orphans and Other Children Made Vulnerable by HIV and AIDS (NAPOVC), which defines the unique value-adding role of various stakeholders in addressing the social impact of HIV and AIDS. It is based on the premise that no single sector can successfully address the impact of the HIV and AIDS epidemic on individuals, families, and communities. The NAPOVC creates and promotes a supportive environment in which orphans and other children made vulnerable by HIV and AIDS are adequately cared for, supported and protected physically, psychologically, materially, socially, morally, spiritually and legally to grow and develop to their full potential. The NAPOVC emanates from the following key strategic priorities that are based on the Policy Framework for Orphans and other children made vulnerable by HIV and AIDS (2005):

- Strengthening and supporting the capacity of families to protect and care for OVC;
- Mobilizing and strengthening community-based responses for the care, support and protection of OVC;
- Ensuring that legislation, policy, strategies and programs are in place to protect the most vulnerable children;
- Ensuring access of OVC to essential services;
- Raising awareness and advocating for the creation of a supportive environment for OVC;
- Engaging the civil society sector and business community to play an active role in supporting the plight of OVC.

The Children's Act 38 of 2005 as amended by the Children's Amendment Act 41 of 2007 and the associated Regulations came into force on 1 April 2010. The Act gives effect to certain constitutional rights of children, namely: family or parental care or appropriate alternative care when removed from the family environment; social services; protection from maltreatment, neglect, abuse or degradation; and that the best interests of the child are paramount importance in every matter concerning the child. It generally promotes the development and well-being of children.

Objectives of the Act include:

- Promoting the preservation and strengthening of the family;
- Strengthening and developing community structures which can assist in providing care and protection for children;
- Protecting children from discrimination, exploitation and any other physical, emotional or moral harm or hazards;
- Providing care and protection to children who are in need of care and protection; and
- Recognizing the special needs that children with disabilities may have.

b) OBJECTIVES

The overarching goal of the President's Emergency Plan for AIDS Relief (PEPFAR) in South Africa in programs that support Orphans and Vulnerable Children's (OVC) is mitigation of the impact of Human Immunodeficiency Virus (HIV), Tuberculosis (TB) and Sexually Transmitted Infections (STI) on orphans, other children made vulnerable by HIV and Acquired Immune Deficiency Syndrome (AIDS) and their families. The purpose of the PEPFAR OVC program, which is closely aligned with the South African Government's strategies and priorities to support, protect, and strengthen vulnerable children, families, and communities, is to provide quality comprehensive, compassionate care and support for AIDS orphans and other vulnerable children infected and affected by HIV to help assure they grow up to be healthy, educated and socially well-adjusted adults. The goal of the South Africa OVC program is to improve child well-being by mitigating the impact of HIV and AIDS, reducing children's risk and vulnerability, and increasing their resilience.

The two overall objectives of this RFA are to:

1. Improve the well-being of families and their vulnerable children through comprehensive and coordinated evidence-based interventions that strengthen the capacity of families and communities to care for vulnerable children in sub-districts and districts with high HIV prevalence, high maternal mortality, and a high numbers of orphans and other vulnerable children; and,
2. Build upon ongoing Department of Social Development (DSD), Department of Health (DOH), and Department of Basic Education (DBE) initiatives entrenching linkages, referrals and coordination to mitigate the social impact of HIV and AIDS on orphans and vulnerable children in sub-districts and districts with high HIV prevalence, high maternal mortality and a high numbers of orphans and other vulnerable children.

c) PROGRAM DESCRIPTION

The specific goal of this procurement is to improve child well-being by mitigating the impact of HIV and AIDS, reducing children's risk and vulnerability and increasing their resilience. The

USG support for vulnerable children in South Africa seeks to ensure that community-based initiatives that keep vulnerable children in their households and communities are the foundation of all interventions. The overarching purpose of the PEPFAR OVC program is to provide quality comprehensive, compassionate care and support for AIDS orphans and other vulnerable children infected and affected by HIV to help assure they grow up to be healthy, educated, and socially well-adjusted adults. The objectives of this program are to: 1) improve the well-being of families and their vulnerable children through comprehensive and coordinated evidence-based interventions that strengthen the capacity of families and communities to care for vulnerable children in high HIV prevalence sub-districts and districts; and 2) build upon ongoing Department of Social Development (DSD), Department of Health (DOH), and Department of Basic Education (DBE) initiatives entrenching linkages, referrals and coordination to mitigate the social impact of HIV and AIDS on orphans and vulnerable children in districts with high HIV prevalence, high maternal mortality, and a high number of orphans and other vulnerable children.

The types of programs that will be supported through this Request for Applications (RFA) for “Service Delivery and Support for Families Caring for Orphaned and Vulnerable Children” are steeped in the goals and activities of the USG/SAG Partnership Framework and are aligned with the South African Government’s strategies and priorities that support, protect, and strengthen vulnerable children, families, and communities. The major focus of funding support will be:

- Comprehensive evidence-based programs that strengthen families, households, and communities to meet the holistic needs of orphans and other vulnerable children affected by HIV and AIDS;
- Innovative and sustainable community-based responses that support orphans and vulnerable children and specifically adolescent OVC to meet their own needs through meaningful youth participation and strong HIV prevention education; and,
- Capacity building for communities to create a supportive environment where children can grow and develop into productive members of society

i) EXPECTED OUTCOMES:

- Improved services and expanded support to vulnerable families and their vulnerable children;
- Improved referrals, linkages and support for access to ART treatment for children under 18 years;
- Improved referrals, linkages and support for access to sexual and reproductive health services for vulnerable adolescent girls under 18 years;
- Improved capacity of families to protect their vulnerable children;
- Improved economic well-being of families to support their vulnerable children;
- Improved nutritional support of the most vulnerable children which are the zero to two years age group and all children under seven years;
- Improved child protection interventions at the household and community levels;
- Expanded HIV prevention interventions for vulnerable children and their families;
- Improved psychological well-being of vulnerable families and their vulnerable children;
- Improved family communication between vulnerable families and their vulnerable children to foster positive caregiver child interactions;

- Increased private or business sector resources for programs that support, protect and strengthen vulnerable children, families and communities.

The results generated under this RFA are expected to contribute to achieving the PEPFAR goal of providing care for 2.5 million HIV-affected individuals and AIDS orphans and vulnerable children.

To increase the prognosis of accomplishing the above outcomes USAID is seeking to fund local service providers to implement comprehensive, high-quality, and cost-effective programs in support of vulnerable children and their families in sub-districts and districts with high maternal mortality, high HIV prevalence, and a high number of OVC.

ii) COMPREHENSIVE PROGRAMMING

Comprehensive programs that cut across the range of children's needs are required to reduce the impact of AIDS and to strengthen both children and families, thereby achieving the outcomes of this RFA. Therefore, programs that have the potential to be successfully funded should encompass a broad and complex range of multi-sectoral interventions intended to build capacity within families and communities to support the development of their vulnerable children.

It is important that proposed program approaches are holistic, taking into account the multiple needs of vulnerable children. Coordination of care should take place first of all at the child and household level, with an emphasis on supporting families to care for and protect their children. Effective referral systems between facilities and communities are an essential element to the provision of comprehensive services. There is a need to mobilize internal and external community resources to encourage a coordinated multi-sectoral approach that establishes links between multiple groups (family and community groups, civil society entities, government, and the private sector) to provide an effective mix of child-centered and family supportive services.

Several critical areas need to be addressed in the design of an effective program. Applicants must demonstrate how and to what extent their proposed interventions and activities are likely to accomplish the following:

- Comprehensive evidence-based programs that strengthen families, households, and communities to meet the holistic needs of orphans and other vulnerable children affected by HIV and AIDS;
- Innovative sustainable community-based responses that help orphans and vulnerable children and specifically adolescent OVC to meet their own needs through meaningful youth participation, strong HIV prevention education and access to sexual and reproductive health services;
- Innovative and sustainable support for at-risk children, their caregivers and vulnerable communities (examples of children at special risk, children living in child- or sibling- or youth-headed households, children living with a sick caregiver, disabled children and children living with elderly and frail grandparents, etc.); interventions that support and reduce the burden of care on women and young girls who care for people living with HIV and AIDS;

- Integration of child protection and care services with health and education support to promote family-based care and ensure that the wide ranging needs of OVC and their caregivers are met. Interventions that support the most vulnerable families and their children to ensure that they are integrally linked to community interventions and coordinated at all levels to access SAG services (e.g. SAG programs that work with HIV-infected parents such as ART, PMTCT, TB etc.) will be highly valued;
- Integrate gender throughout the program interventions for example;
 - Activities reducing girl's vulnerability to the sex trade, and activities that help to prevent gender-based violence, exploitation and HIV within families and communities;
 - Activities addressing the inequitable burden of care on women and girls to assume the responsibility of heading households;
 - Activities engaging men and boys in care and support activities for vulnerable children and addressing gender dynamics and roles including, engaging parents, guardians, heads of households and other role models in reducing gender stereotypes and fostering healthy gender norms, and HIV prevention behaviors in young people; and
 - Activities addressing gender norms and activities to prevent gender based violence within families;
- Prevention of child vulnerability by helping to preserve families, households and extended families, which take in children. Increase healthy communication at the household level through improved family education (including HIV prevention education), communication, and understanding of the need for early identification to prevent child abuse and neglectful and exploitative behaviors;
- Innovative interventions to encourage and support community protection and care for vulnerable households (e.g. households headed by children, young people, the elderly etc.);
- Integration of limited nutrition interventions into programs to support the most vulnerable children (the zero to two years age group and all children under seven years old). This intervention should focus largely on nutrition assessment and counseling; strengthening the referral systems for provision of therapeutic and supplementary feeding support for undernourished children; therapeutic/supplementary food to young children with evidence of growth faltering; referrals for the provision of multi-micronutrient supplements when indicated; and other innovative nutrition counseling techniques for vulnerable families with children under 7 years old.

Applicants should focus on the comprehensiveness, quality and impact of the intervention(s) being proposed. Listed below are the illustrative examples of the types of activities that applicants focusing on specific interventions may choose to propose:

- Strengthening referral networks to ensure adequate access to age-appropriate primary health care services and ensure that HIV-infected vulnerable children have access to pediatric treatment and care services;

- Interventions that build effective and cost effective coordination among multiple partners, and other programs for children including SAG services;
- Providing safe places for vulnerable adolescent children to receive intense, consistent and correct HIV prevention and sexual and reproductive health education information;
- Strengthening the economic coping mechanisms of households that care for OVC. For example, household economic security interventions should contribute to improved wellbeing of OVC and their caregivers and should function as a social safety net to help vulnerable households cope with family stresses including sickness, death and other related stresses such as unemployment. Resources from the public or private sector should be used as key leverage for this area;
- Capacitating older vulnerable children moving into adulthood with skills to be responsible for their households, preparation for tertiary or vocational educational schools and other innovative interventions ensuring that children will become successful adults. Public private partnerships (PPP) create opportunities to leverage resources from the public sector and the private sector to accomplish programmatic goals (including the provision of tertiary and vocational education) supporting orphaned and other children made vulnerable by HIV and AIDS;
- Implementing innovative, quality and integrated Early Child Development (ECD) interventions that give vulnerable children the best start in life by building a solid foundation of physical, emotional, psychosocial, cognitive, and healthy development through a household/family centered approach. The evidence base clearly indicates the importance of early child development as one of the key contributors to children's long term development and success. The early child period is considered to be the most important developmental phase throughout the lifespan. Healthy ECD strongly influences well-being, obesity/stunting, mental health, heart disease, competence in literacy and numeracy, and economic participation throughout life. Activities should focus on the household level and on building community capacity to be responsible for ECD interventions in their communities. For example:
 - a) Interventions that focus on the early child period of age 0-6 and address immediate basic needs of children that include health, nutrition, water and sanitation, early learning, and psychosocial/psychological care.
 - b) Interventions that capacitate and train parents and caregivers as facilitators and mediators of ECD where large numbers of children do not have access to formal ECD centers.

iii) FUNDING PRIORITY FACTORS

The extent to which the interventions exhibit the following characteristics will determine the likelihood of receiving priority consideration for funding:

- Alignment with the Department of Social Development priorities and plans for OVC;
- Evidence-based;
- Cost-effectiveness;
- Innovative;
- Family-centered approach;

- Targets vulnerable children <7 years and children from 13 to 18 years in sub-districts with high HIV prevalence, high maternal mortality, and a high number of orphans and vulnerable children;
- High likelihood of sustainability;
- Leverages additional resources, e.g., Public-private partnerships, etc.;
- Integrated within the community and district;
- Linkages to other services across different sectors.

Further discussion of these program attributes is included below:

- **Evidence-based.** Interventions that have been proven effective through outcome evaluation and research are likely to be effective in mitigating the effects of HIV and AIDS on vulnerable children and their families.
- **Cost effective.** Because of the large number of children from infants to adolescents that are affected by HIV, it is important to maximize the impact of resources by targeting effective interventions on the most vulnerable age groups. In order to use funds efficiently and effectively it is increasingly important to use approaches that are not only evidence based but also the most cost-effective.
- **Innovation** for the purpose of this RFA is a new or advanced intervention or approach that contributes to the achievement of the objectives and expected results and outcomes of the RFA. It is the introduction of a new approach or practice; substantial transformation of an existing approach or practice; and/or adaptation of a successful approach or practice to the context of this RFA. The innovation has high potential of resulting in an approach that will significantly contribute to the SAG's success in addressing the issues of orphaned and vulnerable children and lead to substantial and sustainable improvements in their well-being and that of their families.
- **Family Centered Approach.** Programs that are family centered link OVC services with HIV-affected families and strengthen the capacity of the family unit (caregiver) to care for the children in need along with strengthening community structures which protect and promote healthy child development (schools, churches, clinics, child protection committees, etc.). Services that are "provided through integrated family-centered delivery models" work best for children, according to evidence from a study by the Joint Learning Initiative on Children and HIV/AIDS (JLICA) final report on children AIDS and poverty (2008). "Programmes obtain the best results for children when they adopt integrated intervention strategies providing a range of services to the whole family. The most effective delivery systems integrate HIV and AIDS services with family-centered primary health care and social services provided through community-based models," (Irwin et al., 2009: 48). Ideally, program interventions for children affected by HIV/AIDS should be designed to link the entire family (adults and children) to comprehensive packages of services provided by the government, NGOs, FBOs, CBOs and the private sector (UNICEF et al, 2004). In the context of this RFA family-centered care is based on a systematic approach where the primary focus of comprehensive care and support is the child in the context of his/her family. This is accomplished through coordination, collaboration, strategic partnerships and/or linkages and referrals to comprehensive services.
- **Age Related Approaches.** Programs that encompass children's distinct age-related vulnerabilities in particular at the two ends of the spectrum - children under age 7 and over age 13;
- **Long-Term Approaches:** Programs that translate project based support to **longitudinal sustained long term** programs that can follow children through to young adulthood. I.e.

prolonged community targeted cumulative projects that deliberately build on each other over time for a particular cohort or target group of children and young people that allow them to reach adulthood.

- **Sustainable Approaches:** This award is intended to be for a five year period; therefore, programs that demonstrate concrete **sustainability** plans with a high degree of probability for continuation of interventions beyond that period and that leverage other resources particularly from businesses or the private sector are encouraged. All applicants must describe their plans for sustainability of their projects. Sustainability includes the development of technical competence, human capacity, management systems, infrastructure, relationships with government programs and financial independence. In situations where after exhausting all reasonable efforts to sustain a program intervention or it is not warranted or feasible to do so, it is expected that funded applicants will develop and implement an exit plan that would successfully mitigate any adverse consequences on the targeted children and the families in the targeted communities. Applicants are expected to develop and implement a sustainability plan to be reviewed on an annual basis.
- **Public-Private Partnerships.** The formation of **public-private partnerships** to address the objectives of this RFA is encouraged. A “public-private partnership” occurs when the application includes a commitment of material and significant non-USG resources that will allow the program to more fully address the challenges for South Africa’s orphans and vulnerable children as outlined in this solicitation. An example of this would be an application that included in its budget plan at least a one-to-one matching of USG resources with non-governmental resources. Resources may be defined as cash or in-kind, and applicants submitting applications are encouraged to be innovative. Such partnerships are expected to bring together partners who will jointly define the problem, strategy and solution to capitalize on combined knowledge, skills, expertise and resources of the partners. Additional information on can be found at: http://www.usaid.gov/our_work/global_partnerships/gda/.
- **Integrated/Linked Programs.** Programs that **integrate and link** interventions at all geographic levels to provide a comprehensive holistic approach are encouraged.. For example, OVC programs are better situated to *improve access* to health and education services, for socially marginalized children and families, than to deliver them directly. OVC programs can play an important role in the community aspects of health care by educating children and families about positive health behaviors (including HIV testing and TB screening), proper nutrition and hygiene; and by identifying and referring children and families to clinics when appropriate. Programs are encouraged to build linkages to health and education services and other key services, rather than duplicate them.
- **Geographic Focus.** Programs that focus on **geographic areas** with the greatest number of orphans and vulnerable children in relation to risk factors (e.g. socioeconomic, gender based violence, HIV prevalence rates, AIDS mortality, maternal mortality and high numbers of maternal orphans) are encouraged. Although this RFA addresses the generalized problems of OVC in the country, it does recognize and targets key geographic areas that have a disproportionate share of OVC. In 2009 more than half of all maternal orphans in South Africa lived in KwaZulu-Natal (26%), Gauteng (17%) and the Eastern Cape (16%). The provinces with the lowest number of maternal orphans are the Northern Cape (3%) and the Western Cape (4 %). (Maternal Orphans Report-Estimation of Orphans in South Africa 2010) The highest provincial HIV prevalence rate was recorded in KwaZulu-Natal which increased from 38.7% (95%CI 37.2% – 40.1%) in 2008 to

39.5% (95%CI: 38.1 – 41.0) in 2009 and stabilized at 39.5% in 2010. Provinces with ‘higher’ HIV prevalence estimates compared with 2009 are: Eastern Cape, Gauteng, Limpopo, Mpumalanga, Northern Cape, and Western Cape. (Department of Health, 2010. National Antenatal Sentinel HIV and Syphilis Prevalence Survey in South Africa. <http://www.info.gov.za/view/DownloadFileAction?id=155559>)

- **Linkages to SAG Programs.** Programs that work with the South African Departments of Social Development (DSD), Basic Education (DBE) and/or Health (DOH) at both provincial and district levels to protect and reach the most vulnerable children and increase access to essential social services. In particular programs that are evidence based and propose to co-fund or scale-up existing DSD projects/interventions resulting in increased reach, impact and sustainability. Programs that build upon ongoing DSD, DBE and DOH initiatives entrenching linkages, referrals and coordination to mitigate the social impact of HIV and AIDS on orphans and vulnerable children in districts with high HIV prevalence rates, high maternal mortality, and a high number of orphans and other vulnerable children are encouraged.

iv) PROGRAM INDICATORS

All applications must include plans to document, monitor and evaluate program performance. The USG in South Africa will evaluate progress by monitoring selected indicators and assessing these in relation to the targets and overall objectives and expected outcomes of this RFA. Baseline, mid-term and final evaluation should be included in all proposals.

A limited set of program monitoring indicators will be used to track the progress of key USG-funded activities. Applications for funding under this RFA should clearly state how proposed activities relate to these program objectives and expected outcomes and how data will be collected, verified and reported to document progress toward meeting the objectives, including a staffing plan. Applicants are encouraged to develop indicators beyond those stated in this RFA when doing so further demonstrates progress. Data quality is a critical component of this program, and all applicants must develop systems to ensure data quality and must be prepared for data quality audits. Applicants should be prepared for revisions in required program indicators and reporting requirements during the lifetime of the award and as part of project closeout processes.

Applicants must report, at a minimum, on the required indicators relevant to their proposed program activities, as laid out by the Office of the Global AIDS Coordinator. Indicators should measure the intended results listed below:

10. Overall number of orphans and vulnerable children served (REQUIRED)

- Improved services and expanded support to vulnerable families and their vulnerable children
- Improved referrals, linkages and support for access to ART treatment for children under 18 years
- Improved referrals, linkages and support for access to sexual and reproductive health services for vulnerable adolescent girls under 18 years
- Improved capacity of families to protect their vulnerable children
- Improved economic well-being of families to support their vulnerable children

- Improved nutritional support of the most vulnerable children which are the zero to two years age group and all children under seven years
- Improved child protection interventions at the household and community levels
- Expanded HIV prevention interventions for vulnerable children and their families
- Improved psychological well-being of vulnerable families and their vulnerable children
- Improved family communication between vulnerable families and their vulnerable children to foster positive caregiver child interactions
- Attract private or business sector resources for programs that support, protect and strengthen vulnerable children, families and communities.

Applicants must include plans to collect data on additional indicators to measure the effectiveness of a specific program. Letters of support from the sub district or district of DSD and any other relevant Department are required.

Quarterly and semi-annual reports will be required. The USG also strongly encourages all recipients to provide relevant data to their local, district, provincial and national government counterparts.

Additional important program objectives address USG priorities of sustainability, capacity building, institutional strengthening and improving equitable access in the public and private health sectors in South Africa. Applicants are encouraged to review the Five Year HIV and AIDS Strategic Plan for United States Partnership Framework South Africa Cooperation available at <http://pepfar.pretoria.usembassy.gov>. (Go to “PEPFAR@Work”/”News & Information”/”Reports”.)

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 five to ten Cooperative Agreements, ranging from an estimated \$3 to \$25 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** , 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:

Martha Zhou
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 I 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 II 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 electronically in two separate volumes: (a) one original technical and (b) one original 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 Section I. USAID/Southern Africa may opt to exclude from further consideration any submission which is not within these parameters. . Specifically, the concept paper must conform to the page limits below and include the following:

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

Program Concept Paper (not to exceed 6 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 by each year of activity 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 estimate of 7.00 Rand per USD.

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.

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) an Executive Summary; (3) a Program Description; and (4) Attachments/Annexes (Resumes & Letters of Commitment). 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."

Cover Page: Containing a Table of Contents listing all page numbers and attachments/annexes; the names of the organizations/institutions involved in the proposed application, with the lead or primary applicant clearly identified. In addition, 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. 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

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 with regard to South Africa's Orphans and Vulnerable Children.

Applicants should demonstrate how and to what extent their proposed interventions and activities are likely to accomplish the following:

- Comprehensive evidence-based programs that strengthen families, households, and communities to meet the holistic needs of orphans and other vulnerable children affected by HIV and AIDS;
- Innovative sustainable community-based responses that help orphans and vulnerable children and specifically adolescent OVC to meet their own needs through meaningful youth participation, strong HIV prevention education and access to sexual and reproductive health services;
- Innovative and sustainable support for at-risk children, their caregivers and vulnerable communities (examples of children at special risk, children living in child- or sibling- or youth -headed households, children living with a sick caregiver, disabled children and children living with elderly and frail grandparents, etc.); interventions that support and reduce the burden of care on women and young girls who care for people living with HIV and AIDS;
- Integration of child protection and care services with health and education support to promote family-based care and ensure that the wide ranging needs of OVC and their caregivers are met. Interventions that support the most vulnerable families and their children to ensure that they are integrally linked to community interventions and coordinated at all levels to access SAG services (e.g. SAG programs that work with HIV-infected parents such as ART, PMTCT, TB etc.) will be highly valued;
- Integrate gender throughout the program interventions.
- Prevention of child vulnerability by helping to preserve families, households and extended families, which take in children. Increase healthy communication at the household level through improved family education ;

- Innovative interventions to encourage and support community protection and care for vulnerable households (e.g. households headed by children, young people, the elderly etc.);
- Integration of limited nutrition interventions into programs to support the most vulnerable children (the zero to two years age group and all children under seven years old). This intervention should focus largely on nutrition assessment and counseling; strengthening the referral systems for provision of therapeutic and supplementary feeding support for undernourished children; therapeutic/supplementary food to young children with evidence of growth faltering; referrals for the provision of multi-micronutrient supplements when indicated; and other innovative nutrition counseling techniques for vulnerable families with children under 7 years old.

The Applicant should also take note of the funding priority factors stated in the Program Description section.

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 and align with The Department of Social Development priorities.

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 and Management Approach

Applicants should demonstrate capacity in management, planning and implementation of proposed activities in achieving the expected results.

Applicants should demonstrate institutional capabilities (including experience of proposed staff and organizational experience implementing similar programs in South Africa); the organization's management structure, operational capacity and the proposed management arrangements (including proposed staffing and any sub-recipient arrangements) to carry out and track the proposed activity against set targets and outcomes and within the proposed timeframe.

- **Organizational Capability**

In this section, the Applicant should describe its organizational knowledge, capability and experience in managing similar programs. This includes activities in strengthening referral networks to ensure adequate access to age appropriate primary health care services, strengthening the economic coping mechanisms of households that care for OVC, providing safe places for vulnerable adolescent children to receive intense, consistent and correct HIV prevention and sexual reproductive health education information.

Applicants shall also describe their organizational capability in collaborating with SAG, donors, and NGOs to improve the well-being of families and their vulnerable children and build upon the ongoing DSD, and DOH and DOE initiatives entrenching linkages, referrals and coordination to mitigate the social impact of HIV and AIDS on orphans and vulnerable children in sub-districts and districts with high prevalence, high maternal mortality and high numbers of orphans and vulnerable children. 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 Approach**

Applicants should provide a clear description of how the cooperative agreement will be managed, including the approach to addressing potential problems. 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.

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, Financial Manager 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. 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.

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.

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. 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.

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.

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 **UNBOUND** original and four (4) copies of the technical application and an original UNBOUND cost application to the following address:

USAID/Southern Africa
Office of Acquisition and Assistance
Attn: Martha Zhou
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: Martha Zhou
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 (Concept Paper)

Concept Papers will be reviewed using the following criteria:

1. The proposed concept directly responds to the areas of interest under this RFA and meets a specific unmet need;
2. The proposed activities will directly lead to the anticipated results and expected impacts including sustainability beyond grant period;
3. The applicant organization possesses the requisite capacity/capability to implement the proposed activities efficiently; effectively and the degree to which gender consideration have been incorporated;
4. The proposed budget is realistic and consistent with the proposed activities and results.

2. SCORED EVALUATION CRITERIA (Full Application)

The following evaluation criteria will be used at the full application stage to make an award decision, listed in descending order of importance.

The specific evaluation criteria are as follows:

Technical approach	50 points
Organizational Capacity and Management Approach	30 points
Past Performance	10 points
Cost Effectiveness	10 points
Total	100 points

a. TECHNICAL APPROACH – 50 POINTS

USAID will review the extent to which the proposed technical approach and methodology is likely to achieve the stated objectives, program priorities timing, sequencing, monitoring and reporting processes and the general requirements and expectations of this RFA. USAID will review the extent to which the expected program results, illustrative indicators, mid-term milestones/benchmarks, and end-of-project results are realistic and achievable in the context in which the program will be carried out.

b. Organizational Capability and Management Approach – 30 points

USAID will review institutional capabilities (including experience of proposed staff and organizational experience implementing similar programs in South Africa); the organization’s management structure, operational capacity and the proposed management arrangements (including proposed staffing and any sub –recipient arrangements) to carry out and track the proposed activity against set targets and outcomes and within the proposed timeframe.

USAID will review the extent to which the applicant organization demonstrates the capacity in management, planning and implementation of proposed activities in achieving the expected results of the RFA.

e. Past Performance – 10 points

USAID will review past performance in similar or related programs implemented during the past three years. Also reviewed will be success in program governance, management and administration of similar programs.

f. Cost effectiveness – 10 points

Proposed budgets will be reviewed to determine if the applicant's approach is cost effective. Additional funding leveraged on an annual basis is encouraged and will result in a more favorable rating. 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 and makes use of existing resources.

3. Other Factors to be considered

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 geographic area it prefers to work, and the geographic areas it is willing to work. Final awards will specify the geographic coverage in which the applicant's program will be implemented. .
- 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; USAID will request and evaluate a branding strategy and marking plan from apparently successful applicants, except in cases where an existing waiver applies; this evaluation will not be part of the competitive evaluation set forth in this section.
- vi) Other award terms including audit, special provisions and/or special award conditions.

Cost reasonableness has not been assigned a score but will be evaluated for cost reasonableness, allocability, and allowability. While cost may be a determining factor in the final award(s) decision, the technical merit of applications is substantially more important under this RFA. Consideration will be given to the proposed costs, any Public-Private Alliance leverage, the applicant's understanding of the RFA requirements, and consistency with the technical application.

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.

1. 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.

2. Distribution

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

3. 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 DSD, 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

The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

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 landmark, 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 landmark, 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 (December 2005)

a) Definitions

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

Principal Officer means the most senior officer in a USAID Operating Unit in the field, e.g., USAID Mission Director or USAID Representative. 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. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010) Assistance Provisions – Non-Governmental Organizations (NGOs) and Non-Exempt Public International Organizations (PIOs) [AAPD 05-04 Amendment 3 April 13, 2010]

a) The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or postexposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

b)(1) Except as provided in (b)(2) and (b)(3), by accepting this award or any subaward, a nongovernmental organization or public international organization awardee/subawardee agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.

b)(2) The following organizations are exempt from (b)(1): the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

b)(3) Contractors and subcontractors are exempt from (b)(1) if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.

b)(4) Notwithstanding section (b)(3), not exempt from (b)(1) are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:

i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;

ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or

iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

- c) The following definitions apply for purposes of this provision:

“Commercial sex act” means any sex act on account of which anything of value is given to or received by any person.

“Prostitution” means procuring or providing any commercial sex act and the “practice of prostitution” has the same meaning.

“Sex trafficking” means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

- d) The recipient shall insert this provision, which is a standard provision, in all subawards, procurement contracts or subcontracts.

- e) This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by USAID prior to the end of its term.

6. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION (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 I - Certifications, Assurances and Other Statements;

Attachment II - Reporting Subawards and Executive Compensation