THE TECHNOLOGIES FOR HEALTH PROGRAM

REQUEST FOR APPLICATIONS (RFA)

RFA NUMBER: RFA-OAA-11-00009

Primary Point of Contact

Sonja Watkins
202-567-5291
swatkins@usaid.gov

Alternate Point of Contact

Alula Abera
202-567-5312
aabera@usaid.gov

USAID
FROM THE AMERICAN PEOPLE

May 5, 2011

Questions Due Date:	**Thursday, May 12, 2011 5:00 PM Eastern Standard Time**
Closing Date:	**Monday, June 6, 2011**
Closing Time:	**11:00 AM Eastern Standard Time**
Subject:	**Request for Applications (RFA) # RFA-OAA-11-000009**

Dear Prospective Applicant:

The United States Government, represented by the Agency for International Development (USAID), Global Health Bureau (GH), Office of Health, Infectious Diseases, and Nutrition (HIDN), proposes to enter into a Cooperative Agreement for the implementation of the Technologies for Health activity specifically described in Section I of the RFA. To this end, USAID is seeking applications from eligible institutions as described in Section III of the RFA. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

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

USAID seeks to establish up to two five-year competitively awarded Cooperative Agreements issued under this RFA with a combined total of $50 million over the 5-year implementation period (2011 – 2016). A cost share minimum amount of 5% of the cooperative agreement is required by the Prime and/or its Sub-recipients under this RFA.

For the purposes of this RFA, the term "Recipient" refers to the prime recipient of the award, "Sub-recipient" or "Partner" refer to any sub-awardee or partner listed by the applicant as a partner or sub-awardee in the application, "Sub-award" refers to grants awarded by the recipient and "Grantee" refers to organizations awarded such sub-awards.
The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

This RFA and any future amendments can be downloaded from http://www.grants.gov . Prospective Applicants that are unable to retrieve the RFA from the Internet can request a hard copy or an electronic copy of the RFA by contacting Sonja Watkins by email at swatkins@usaid.gov or Alternative Point of Contact, Alula Abera at aabera@usaid.gov.

DUE DATE: Applications shall be received no later than Monday, June 6, 2011 at 11:00 AM EST. **Applications submitted via fax or email will not be accepted**. Applicants should retain a copy of their application and accompanying enclosures for their records.

Please see SECTION IV. APPLICATION AND SUBMISSION INFORMATION for instructions to submit application.

QUESTIONS: Prospective Applicants who have questions concerning the contents of this RFA shall submit them in writing no later than close of business Thursday, May 12, 2011 5:00 PM EST to Sonja Watkins by email at swatkins@usaid.gov and Alula Abera aabera@usaid.gov .

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

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

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

Sincerely,

Bruce Baltas
Agreement Officer

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SECTION I. PROGRAM DESCRIPTION

A. Introduction

The United States Agency for International Development (USAID) seeks to award up to two five-year cooperative agreements (combined total of $50 million) to identify, develop, introduce, and support the scale-up of new health tools and technologies which are appropriate, affordable, and acceptable for distribution and use in low-resource settings, in order to accelerate reductions in mortality and morbidity in line with USAID health sector objectives. The Technologies for Health Program will play an important role in advancing USAID's leadership in health technology innovation by providing the Agency with access to leading technical and scientific expertise in the US and other countries devoted to health research, technology development, scientific research, and market development. In the course of this work, the Technologies for Health Program also will develop strong partnerships with the private sector, host countries, local organizations, private firms and other development partners in developing countries.

B. Background

Health technologies can play a significant role in improving health and development in low resource settings. Well designed, targeted, and low-cost technologies can address key global public health challenges and can be a critical catalyst for improved health systems, empowered health workers, and stronger policies. The US Government's Presidential Policy Directive on Global Development Policy highlights the importance of US investments in game-changing innovations with the potential to solve long-standing development challenges, particularly through leveraging the power of research and development, capitalizing on new models for innovation, and working with developing countries to increase their utilization of science and technology. Transformative development will require investment in health technology solutions in ways that increase access to high-impact and affordable tools and technologies through business-centered approaches, market development, and partnerships. Science, technology and innovation are essential not only to solving today's most pressing public health development issues, but they also serve as critical drivers of economic growth around the globe.

The US Agency for International Development (USAID) has a long history of transforming development through science & technology, from the successful use of oral rehydration therapies to treat diarrheal diseases, to the green revolution that transformed global agriculture. Through these initiatives, USAID has developed significant experience and expertise in advancing research and innovation to address development challenges through partnership with the private sector and other donors and stakeholders, and in facilitating strong alliances between private companies and the public sector. A central part of this work has been USAID's long history of successful investments in the development, introduction, and scale-up of health technology.

For nearly three decades, USAID has been one of the leading donor agencies in developing and introducing technological solutions to public health challenges in developing countries, as well

as participating as a key partner in international research and development initiatives with both the public and private sectors. Since 1985, the Technologies for Health project has been a primary USAID initiative allowing for the research and development of some 130 innovative new health technology leads, 40 of which have either been developed or are currently under development, and at least 26 have been commercialized and are now being used in public health programming around the world. Technologies for Health has also engaged with hundreds of commercial-sector partners, ranging from early conceptual idea-generation to downstream manufacturing and introduction efforts, and leveraged resources from the private sector and other donor organizations which are often many times greater than the level of USAID funding committed. In addition to the Technologies for Health project, USAID has supported a wide variety of research initiatives of significant public health importance that have leveraged significant levels of outside resources relative to US government funds. These include the development of vaccines for diseases such as HIV, malaria, and meningococcal A disease, and microbicides for the prevention of HIV transmission.

Under the USAID/Forward reform agenda – a set of policy reforms and initiatives aimed at advancing USAID's global leadership in international development – the agency is continuing to expand its support for and investments in innovation and pioneering scientific, technological, research-motivated, and innovative approaches to traditional development challenges. The Technologies for Health Program will advance USAID/Forward goals as well as those of the Global Health Initiative (GHI). The GHI is a major US-led initiative aimed at helping partner countries improve health outcomes through strengthened health systems and a focus on the best, proven interventions for public health challenges facing women, newborns and children in the developing world – including combating infectious diseases such as HIV/AIDS, malaria, tuberculosis and neglected tropical diseases, expanding family planning, and promoting better reproductive health and nutrition. The GHI aims to maximize the sustainable health impact the United States achieves for every dollar invested, and support the achievement of major improvements in health outcomes. Key strategies include focusing on a woman- and girl-centered approach, promoting better coordination and integration with other donors and partners, fostering country ownership, strengthening health systems, improving monitoring and evaluation, and promoting research and innovation.

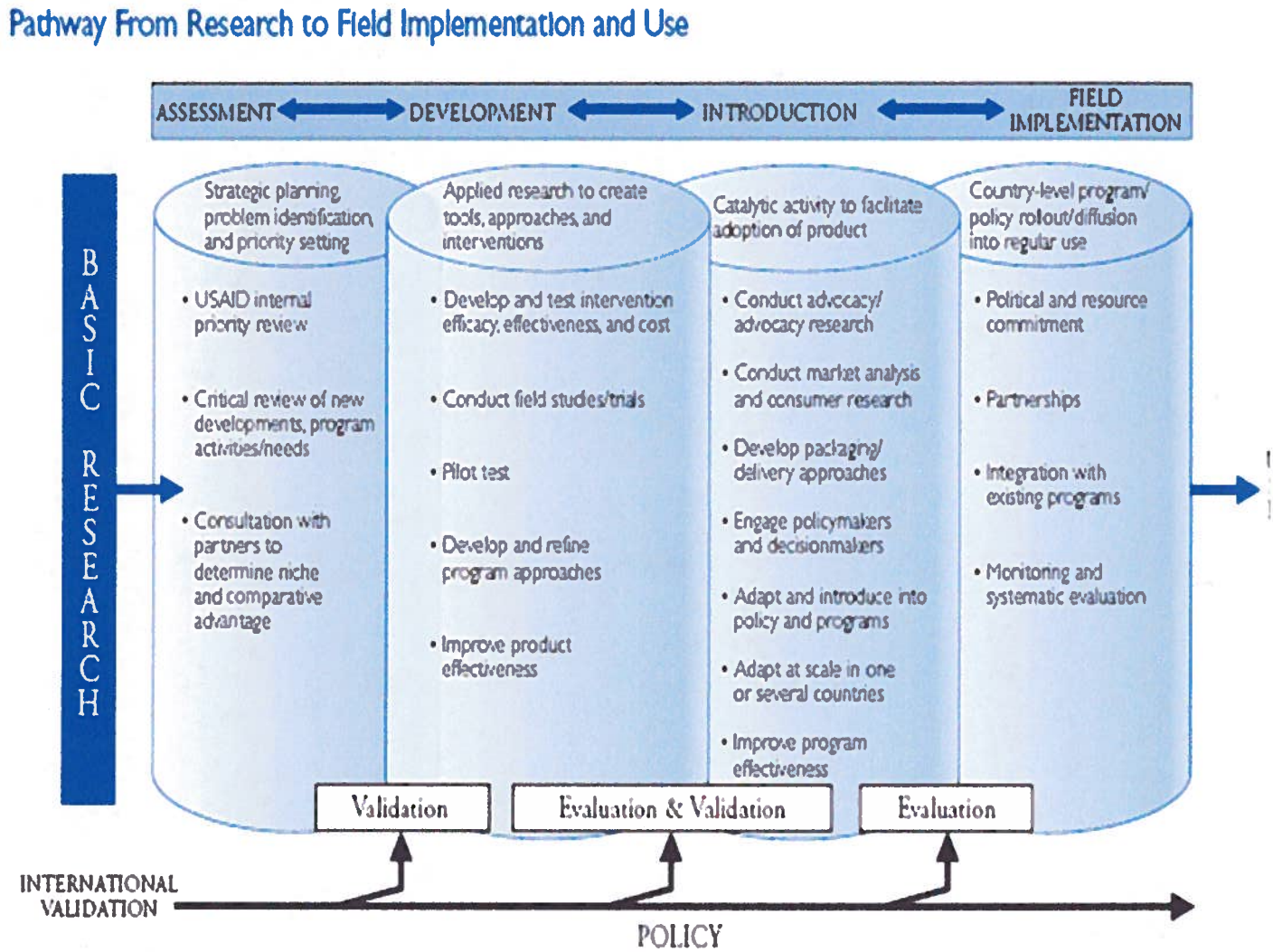
The USAID Bureau for Global Health Research-to-Use Strategic Framework

As the U.S. Government's lead foreign assistance agency working in partnership with other public and private sector agencies and nongovernmental organizations (NGOs), USAID applies a cycle of assessment, development, pilot testing, and introduction of products and approaches to tackle the main diseases and health issues of developing countries. This cycle enables USAID to assess needs, solve research and development problems, and improve the effectiveness of health programs that address the main causes of mortality, in line with the agency's Health Research Program (HaRP) and strategy.[1] USAID's research role, aligned with its strengths, is to assess

[1] More information on USAID's Health Research Program is available at http://www.harpnet.org/, and recent achievements are described in The 2010 Report to Congress on Health-Related Research and Development Activities at USAID at http://www.usaid.gov/our_work/global_health/home/Publications/hrit_report.html.

local health conditions, develop and adapt appropriate health products and interventions, and support their field testing and introduction, including strengthening local health systems. The Research-to-Use Strategic Framework (Figure 1) describes the Agency's approach for developing and scaling up new and promising health technologies. The framework emulates that of a pharmaceutical company or a venture capital firm involving USAID staff working with partners to review and identify the most promising opportunities that would benefit field programs.

Figure 1: Research to Use Strategic Program Framework



This strategic program framework emphasizes four main components or phases of the technology development and scale-up process, discussed below, which constitute the major areas of work under the Technologies for Health Program.

Assessment: Setting research priorities to ensure that research is: 1) identified, prioritized and carried out within the context of a larger global research agenda, 2) strategic and responsive to USAID priorities, and 3) coordinated with partners to ensure it

is cost-effective and has maximum impact. USAID carries out activities to set research priorities in close coordination with other donors and partners, through:

- State-of-the-art technical reviews to identify and analyze gaps in research, evaluations of on-going activities and identification of new research opportunities;

- Consultations with leading scientists, the private sector, host governments, NGOs, and donors, to identify and continually assess priority research and introduction priorities and activities, balancing programmatic needs with available scientific opportunities; and

- Internal and external consultations to review Agency priorities and progress on research and introduction activities.

Criteria for assessing research priorities include disease prevalence, number of deaths, extent of disability, and economic consequences, as well as evolving technological developments and scientific knowledge. In identifying and advancing a research agenda, USAID also works closely with the World Health Organization (WHO) and other international bodies that establish international consensus and undertake international validation of priorities and research.

Development: Undertake applied research to create tools and interventions in partnership with USAID projects, partners, collaborating agencies, other donors, research institutions, the private sector, and other stakeholders.

Introduction: Facilitate the introduction of research products into use in developing country settings, capitalizing to the extent possible on international public health programs already underway through USAID, other donors and partners, and host governments. Activities seek to reduce or avoid the time lag which often occurs before new tools, technologies, approaches and interventions developed under research programs are used at-scale in public health programming.

Implementation: Field implementation and scale-up, using the results and products of research, is carried out primarily by host government, USAID Mission and other bilateral programs, NGOs, other private sector organizations, U.S. and international organizations, and foundations.

Purpose of the Technologies for Health Program

The Technologies for Health Program will contribute significantly to the Agency's overall health and development priorities, in line with the Research-to-Use Strategic Framework outlined above, by identifying and advancing new health technologies for development and scale-up. The Technologies for Health Program will place particular emphasis on bridging the transition from research-to-use by sustainably strengthening markets, generating demand for (and supply of) affordable new tools, and supporting the scale-up of new technologies in low-resource settings globally. The Technologies for Health Program will focus on development of new technologies, and in particular on breaking down barriers to uptake that commonly prevent innovative

technologies from reaching the poor.[2] In addition, the Technologies for Health Program will help to strengthen national health systems through approaches such as promoting dual-use or total solutions packages to improve health, the transfer of technology and expertise in research and use of technology, and ensuring new technologies are integrated into the health-systems framework.

C. Objective of Agreement

The purpose of this RFA is to establish up to two five-year, competitively awarded Cooperative Agreements to begin in FY 2011 that will advance the following overall objective:

Agreement Objective:

To identify, develop, introduce, and support the scale-up of new health tools and technologies which are appropriate, affordable, and acceptable for distribution and use in low-resource settings, in order to accelerate reductions in mortality and morbidity in line with USAID health sector objectives.

This agreement objective reflects USAID's intent to continue investments in ongoing and new areas of emphasis related to the identification, development, and use of new and innovative technological solutions to priority public health challenges. In working to achieve this objective, the Technologies for Health Program will advance USAID's overall health research strategy across the Research to Use Strategic Framework (Figure 1) in line with, but not limited to, current USAID priorities and opportunities for health technology development (Annex A). The Technologies for Health Program also advances the US Foreign Assistance Framework objective of *Investing in People* under the Health Program Area, and may include work under all nine Program Elements of the Investing in People health program area listed below as well as other elements not yet anticipated:

1. HIV/AIDS
2. Tuberculosis
3. Malaria
4. Pandemic Influenza and Other Emerging Threats
5. Other Public Health Threats
6. Maternal and Child Health (MCH)
7. Family Planning and Reproductive Health (FP/RH)
8. Water Supply & Sanitation
9. Nutrition

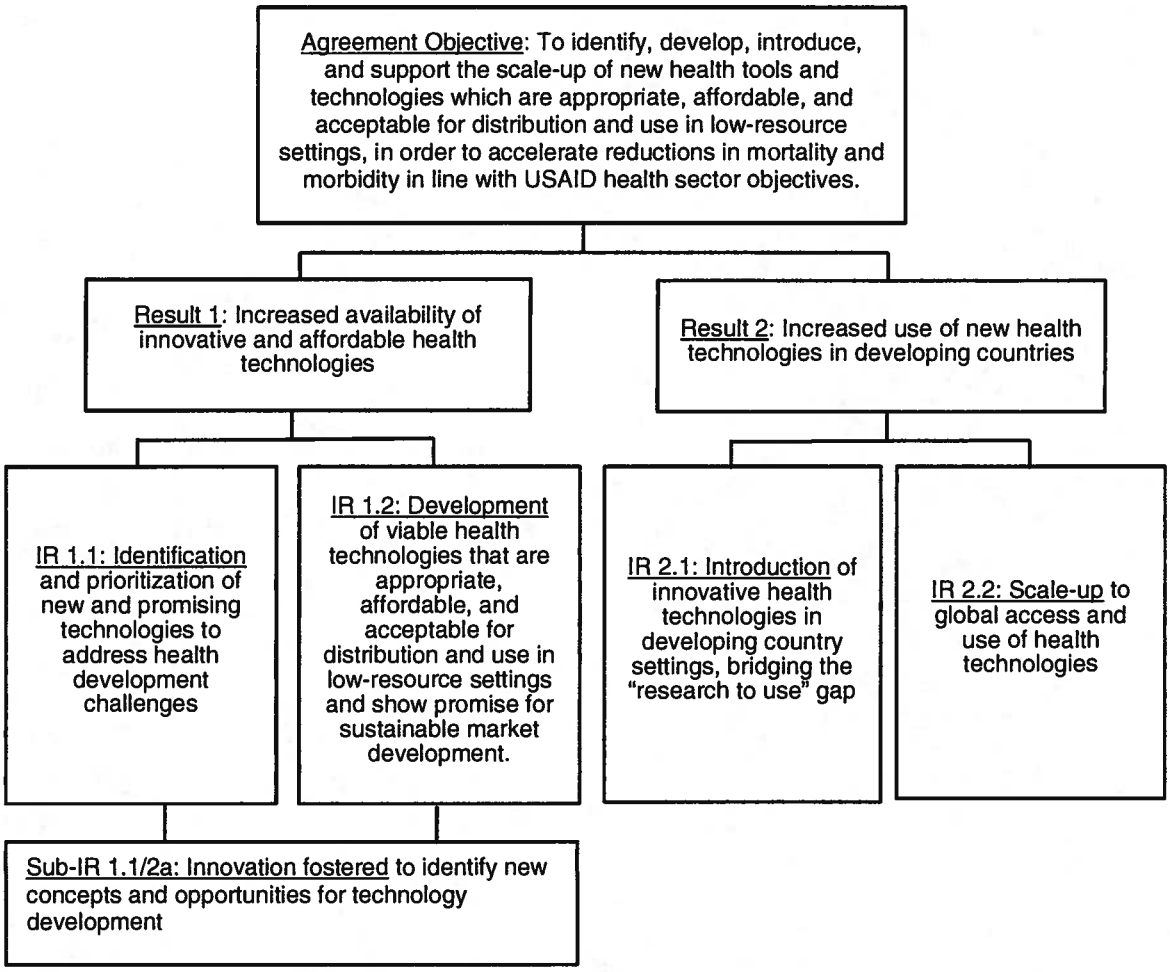
[2] Glasgow and Emmons, 2007, provide a detailed and useful framework for understanding common barriers to translating research into practice. Full reference: Glasgow, R. & Emmons, K. (2007). "Translation of Research into Practice? Types of Evidence Needed." Annu. Rev. Public Health 2007. 28:413–33.

USAID anticipates that a significant focus of the Technologies for Health Program will be on maternal and child health, infectious diseases (including HIV/AIDS), family planning and reproductive health, and activities related to health systems strengthening, a key cross-cutting priority. The Technologies for Health Program will also advance program design and learning objectives under the Foreign Assistance Framework by undertaking activities such as special studies, baseline or feasibility studies, evaluations, and a variety of research activities. The new awards will build on previous and on-going USG investments, particularly other USAID-funded health research and development activities, as well as investments by other partners. The work solicited for this activity will focus on research areas which would not likely advance without USAID technical leadership and investment.

Achieving the agreement objective will require work across the full Research to Use Strategic Program framework. The Technologies for Health Program will help to overcome technical, supply, or policy hurdles to adapt and advance effective technologies through the value chain and into mainstream use, while placing significant emphasis on the field introduction and scale-up phases. It is expected that the Technologies for Health Program will contribute to commercialization and scale-up of some existing technologies, as well as identify and advance development of promising new or existing technologies for use in low-resource settings. Significant resources will also be allocated as needed to ensure strong problem identification and feasibility analysis at the formative phases of product development.

D. Agreement Results

The results framework below outlines the key results the Applicant is requested to achieve in order to meet the agreement objective, as well as USAID's overarching development objective of reducing preventable morbidity and mortality in developing countries. The main activities are expected to be structured around the achievement of four interrelated intermediate results (IRs) – and one sub-IR – which corresponds to the four key phases of the product development cycle.



USAID expects the Applicant to design effective approaches to achieve both Result 1 and Result 2 in a way that is flexible and responsive to USAID priorities, well-coordinated to leverage expertise and resources from other donors and partners, and that effectively anticipates the strategic entry points for USAID support across the full research-to-use continuum. Throughout the project, it is expected that the Technologies for Health Program will maintain a balanced portfolio that includes advancement of some new technologies still under development, as well as products for which full or near-full commercialization is achievable within the project timeframe. The Technologies for Health Program will be expected to undertake a number of technology development projects simultaneously (estimated at, but not limited to, between eight and twelve projects at any given time), based on USAID priorities and the availability of funds.

From the earliest phases of the product development cycle, the Technologies for Health Program should seek to engage with a wide variety of stakeholders and potential development partners from both the public and private sectors. These include both likely intermediate and end users of products – such as health providers, patients, governments, and civil society stakeholders – as well as a broad array of stakeholders who may be involved in development, production, regulation, and distribution. These include USAID technical offices, missions and implementing partners; other donor organizations and foundations; private firms, research organizations, and educational institutions in developing countries; and both national and international regulatory

organizations. The Applicant should develop an approach for collaborative planning that is responsive to USAID needs and priorities, and that seeks to maintain a balanced pipeline of activities that includes developing new technologies as well as advancing promising technologies that are further along on the development cycle. An important component of this collaborative planning process will be the development and routine updating of Product and Market Development and Introduction Plans (DIPs) (discussed in detail in Section I G.2).

The following are considered to be minimum performance standards towards achieving these results over the life of the project:

- At least ten promising new technologies identified for developing country application through "skunkworks" or other development activities
- At least five health technologies introduced, used, and ideally scaled up
- All product development activities undertaken include cost, market, and demand analyses
- Private sector partners engaged in all development activities
- Strategies for facilitating technology transfer to developing countries included as a component in relevant product development activities

IR 1.1. Identification and prioritization of new and promising technologies to address health development challenges.

Technology development processes must be strategically planned in line with global need, USAID priorities (see Annex A) and strategies in global health, and feasibility, adaptability, and affordability for use in developing country settings. The initial phases of this development process should be based on strong problem identification including both the development need, and the feasibility of proposed solutions for significantly impacting the highest-priority problems affecting the poor. The Technologies for Health Program will be expected to play a lead role in these activities by engaging in a collaborative strategic planning process with USAID stakeholders and decision-makers, and undertaking a variety of formative research to identify and prioritize potential areas of investment. Priority should be placed on identifying technology development and scale-up opportunities that can be significantly advanced within a 3- to 5-year timeframe in order to support USAID global health programming and the achievement of GHI goals.

Examining the feasibility of potential investments will be a key area of activity toward achieving this IR. The Technologies for Health Program should seek to identify opportunities and risks from both the demand perspective (i.e. - who are the intermediate and end users, and how well would various technological solutions meet their needs, financial requirements, and preferences) and the supply perspective (i.e. - who might develop, commercialize, and distribute such solutions to end users on a sustainable basis, what are the potential regulatory and legal issues involved, and what might be the incentives of producers, governments, health authorities, international organizations and other partners to collaborate to bring it to market). The goal of these activities is to provide essential information to decision-makers for prioritizing amongst the various opportunities for technology development that may exist, and for deciding in concert with USAID whether to continue with a given activity at any point in the development cycle.

Illustrative activities that contribute to this IR may include, but are not limited to:

- *Conduct market analyses and plan market development activities*, including activities such as demand projections; supply projections; research on potential manufacturers, manufacturing and distribution channels; identifying opportunities for involvement of small businesses, private sector partners and developing country partners; costing studies; value chain analysis; and identification of policy regulatory challenges and potential solutions.
- *Identify the potential for adaptation of existing technology* that is not yet being used at scale in low-resource settings but has significant potential for public health benefit, and possible changes that would make it more cost-effective and acceptable for distribution, production, or use in low-resource settings.
- *Analyze barriers to local distribution* of a technology or potential technological innovation.
- *Support the identification of new and innovative solutions* to development challenges in public health through seed funding for new research, exploratory development activities, etc. in partnership with academic and research institutions or the private sector.
- *Conducting risk analyses* that consider the potential for disruptive effects on health systems at the introduction of technological innovations, and the incentives of key stakeholders to support the production, distribution, and use of the technology.

IR 1.2: Development of viable health technologies that are appropriate, affordable, and acceptable for distribution and use in low-resource settings and show promise for sustainable market

Based on planning and priority setting in concert with USAID, the Technologies for Health Program will advance technology development, testing, and establishing proof-of-concept and/or adaptation of existing concepts for new technologies. The Applicant should present an approach for managing the research and development process in a way that is scientifically and ethically rigorous, maximizes the potential for partnership and leverage of other resources, utilizes and involves developing country partners and a wide variety of other stakeholders, and continually anticipates aspects of the development process that may affect introduction and roll-out further downstream. The implementer should ensure that all development activities are based on designs that match the true needs and capacities, and a clear understanding of evolving market forces and dynamics that may impact ultimate success of the technology. In addition, the development phase should advance the goal of achieving full absorption of the technology into international and/or national health systems.

To achieve IR1.2, the Applicant will need to have core capabilities related to technology development, adaptation, and transfer to developing countries. The Applicant must demonstrate the capacity to manage regulatory processes for product registration and approval at the national and global levels. In addition, a focus on cost-effectiveness and feasibility for intermediate consumers (i.e. - host governments, health facilities, other donor or provider organizations) and for end-users (i.e. – health workers, patients, etc.) must be maintained and re-assessed as needed

throughout the development process. Development activities should seek to leverage resources from other donors and partners, particularly the private sector, and continually seek ways to engage new partners such as developing country firms, universities, or other research institutions.

Illustrative skills and capabilities required to achieve this result include, but are not limited to:

- Development of new tools or technologies to achieve proof of concept
- Adaptation of existing tools or technologies that will facilitate use and scale-up in developing countries
- Testing of tools and technologies to document evidence of efficacy, effectiveness, cost-effectiveness, potential for full absorption into health systems
- Product advancement beyond proof of concept with consideration of users and beneficiaries in developing countries

It is expected that during the development phase, the applicant will be engaged in the following activities in order to expedite the transfer of tools and technologies into sustainable markets:

- Development of local laboratory capabilities
- Acquisition and application of up-to-date knowledge of manufacturing capabilities in the developed world and in key developing countries
- Acquisition and application of up-to-date knowledge of manufacturing quality control and quality assurance capabilities in the developing world and in the developed world for products used in the developing world
- Expertise in international intellectual property rights, patent policy and implementation, regulatory approvals, and licensing systems

In addition to the activities described above, illustrative activities that contribute to this IR may include, but are not limited to:

- *Identifying and studying side-effects* and adverse events related to utilization.
- *Testing different delivery methods and approaches*
- *Quality improvements* of existing technologies
- *Formation of research partnerships* between international or US-based research institutions and private firms / research institutions from developing countries

Sub-IR 1.1/2a: Innovation fostered to identify new concepts and opportunities for technology development (up to 10% of project funds)

A key function of the Technologies for Health Program will be to incentivize new innovation and the identification of promising new technology development opportunities. This sub-IR may contribute to the initial planning phase as well as the product development phase. In the initial planning stages (Result 1), for example, new technological innovations resulting from "skunkworks" activities[3] may be among the

[3] A term often used to refer to an experimental laboratory or facility for producing innovative products. In the context of USAID-supported technology development programs, the term "skunkworks" has been used to refer to off-the-book projects designed to explore innovative ideas.

options considered to address a public health challenge. Or, where few viable options have yet to be identified, skunkworks activities may represent an important area of work focusing on developing and exploring new solutions.

Illustrative activities to achieve this sub-IR may include, but are not limited to:

- *Establishment of a challenge grant program* to incentivize innovative ideas from academic and the private sector
- *Partnering with innovation initiatives of USAID and other donors and partners to advance development of a new technology,* such as with USAID Global Development Alliance, USAID's Development Innovation Ventures, Grand Challenges for Development Initiative, or other donor initiatives

IR 2.1: Introduction of innovative health technologies in developing country settings, bridging the "research-to-use" gap

Beyond the laboratory, bridging the research-to-use gap (by supporting the in-country introduction and scale-up of new and promising health technologies), (Result 2) is the foremost priority for the Technologies for Health Program. Establishing partnerships and building ownership and buy-in among other donors and partners continues to be essential at this phase, and the constellation of partners should expand to include a range of organizations involved in implementing public health programming - including regulatory authorities, host country governments (often including Ministries of Health), NGOs, and USAID implementing partners. In-country introduction and evaluation of new technologies advanced should be well-integrated in the context of country health systems, and will often be undertaken through existing public health programs with facilitation, support, and technical assistance from the Technologies for Health Program. In addition, the need for rigorous evaluation of new approaches (and their impact on health outcomes) should be incorporated from the design phase for all activities related to field introduction and use.

The actual level of effort of the Technologies for Health Program to advance commercialization and global access to technologies will vary depending on the need and the technology in question. For technologies already at a relatively advanced stage of development, the Technologies for Health Program involvement and support may begin immediately at the introduction phase. For newer technologies or those requiring adaptation, introduction and scale-up, involvement and support may be much further downstream and ultimately represent a smaller proportion of work over the life of the Technologies for Health Program project in a given area of work. Also, while the early phases of research and development may involve substantial public sector involvement, it is expected that the Technologies for Health Program will actively seek increased buy-in and investment from other donors and partners – especially the private sector – as the development process advances.

Illustrative activities that contribute to this IR may include, but are not limited to:

- *Facilitating market development* and creation of market forces and dynamics that will promote the ultimate success of the technology, particularly related to demand creation and including demand projections

- *Providing technical assistance to USAID field missions, partners and implementing agencies* to incorporate new technologies or evaluate their effectiveness in the context of existing programs, such as through MCHIP (the Maternal and Child Health Integrated Program)
- *Working with host governments, local organizations, or other donors* to incorporate into use through existing projects, make related policy determinations, or establish pilot activities
- *Providing technical assistance to design process or impact evaluations*, or related studies such as cost-benefit analyses, in line with USAID and international standards for operational research and evaluation
- *Identifying and addressing barriers to national or global policy commitment*, such as by conducting policy research, working with WHO or other international entities to issue a policy statement on a new technology, assisting partners to address issues related to intellectual property rights and other trade issues, and licensing and regulatory issues
- *Ensuring that ongoing manufacturing and product quality-control and quality-assurance standards are met* by all relevant partners, such as by providing technical assistance to develop sustainable systems for maintenance and repair, local quality control, etc.
- *Supporting technology transfer* to developing country manufacturers and governments, as appropriate

IR 2.2: Scale-up to global access and use of health technologies

Once a product has been introduced, scaling up its use to multiple countries and regions often requires additional catalytic activity to achieve broad-based commercialization, developing sustainable markets, and continuing to address policy or regulatory barriers that emerge. Achieving global use at-scale also entails fostering increasing ownership to ensure that the cost of such activities can be borne almost fully by the private sector, or by other organizations (such as host governments or international organizations and donors) with a direct stake in sustainable production, distribution, and use of the product. To support regional or global scale-up, the Technologies for Health Program is expected to focus on promoting collaboration among partners, helping disseminate knowledge, and addressing market failures that prevent products from expanding to new countries and regions. Ongoing scale-up should leverage existing public health programming, and expansion of production should seek to achieve economies of scale and to increase sustainable and affordable supply through producers and suppliers at the regional or country level. It is expected that the Technologies for Health Program will support the advancement of at least five products to the point of global use at-scale.

Illustrative activities that contribute to this IR may include, but are not limited to:

- *Supporting global dissemination of new technologies and implementation approaches* through relevant global forums, including academic and scientific symposiums and professional conferences, meetings of international policymaking organizations, and online dissemination of information to project managers, decision-makers and opinion-leaders

- *Supporting further field testing or impact evaluations of technology applications* in new regions and countries in partnership with other stakeholders to build the evidence-base regarding successful implementation
- *Working with regional or international policymaking bodies*, such as the WHO, to develop new guidance regarding regional or global application of a new technology
- *Identifying and addressing policy or other barriers to broader scale-up,* such as barriers to effective licensing of production to developing country manufacturers and distributors
- *Developing a global advocacy package* and guidelines for program managers

Crosscutting activity: Develop a sub-grants program

As no one organization has the capability or expertise to achieve these results on its own, a comprehensive approach to implementation of the Technologies for Health Program should include the capacity to engage new partners through flexible, performance-based mechanisms. In addition to developing an approach that engages a broad array of partners and capabilities as part of the core project team, the Applicant is requested to design an approach for engaging new partners on an ongoing basis through a sub-grants program. Activities conducted through sub-grants should usually be competitively awarded, and may support the achievement of all of the four key results and intermediate results. In addition to providing a mechanism to engage new partners, a key function of the grant mechanism is to solicit new and innovative solutions to problems encountered throughout the technology development cycle. In addition, grants should strive to strengthen the research capacity of host country collaborators and, whenever possible, maximize opportunities to involve new and local partners in activities, including small businesses.

E. Gender Considerations

Pursuant to ADS 303.3.6.3 (c), USAID must address gender issues in all USAID-funded activities as detailed in ADS 201.3.11.6. Through all its work, USAID aims to help promote greater institutionalization of a gender perspective that identifies and addresses the differential impact of development on women and men. The development and use of health technologies can influence gender relations in a variety of ways. For example, family planning technologies can have varied effects on power relationships between men and women in terms of both individual and household decision-making which have been well-documented in the literature. A gendered approach to prioritizing, developing, and introducing new health technologies into practice ensures that the most appropriate and high-impact technologies, with the greatest implications for addressing poverty and inequality, will be prioritized for development and scale-up. Furthermore, such an approach entails taking gender considerations into account at all phases of product design, development and introduction so that interventions promote gender equity, or at a minimum, do not reinforce existing inequalities. USAID supports an integrated program which reflects both prioritization of public health interventions in ways that reach beneficiary populations most in need, regardless of gender, as well as a gendered approach to development and introduction of new technologies.

F. Authorized Geographic Code

The authorized geographic code for procurement of services for this program is 935. The authorized geographic code for procurement of commodities for this program is 000.

SECTION II – AWARD INFORMATION

A. Available Funding and Awards

The Technologies for Health Program RFA solicits competitive applications from eligible organizations (see Section IV, Eligibility Information) seeking to partner with the United States Government under the Technologies for Health Program. Eligible applicant organizations may only submit one application in response to this RFA. It is anticipated that up to two five-year cooperative agreements (CA) will be awarded in Fiscal Year 2011. USAID reserves the right to fund any or none of the applications submitted.

USAID intends to award up to two five-year cooperative agreements. The largest source of funds is anticipated to be the Global Health/Child Survival funding account, although the CA can also accept funds from other accounts including Global HIV/AIDS Initiative account GHAI, DA, etc. Most of the activities under this award, estimated around 75-85 percent, will be Washington-funded. While the Technologies for Health Program is aligned and integrated closely with field priorities in health, the majority of mission funding is further downstream for country- or region-specific activities, particularly with respect to introduction and scale-up at the country level. The project may receive field support funding, for example, to develop or adapt technologies for specific settings or to support the costs associated with feasibility studies, market development, or introduction into ongoing programs. In these cases, other mission implementing partners would normally be selected and funded to work with the Technologies for Health Program in a specific country. Core funds from the Bureau for Global Health will support the Bureau's key functions of global leadership in technology and innovation, technical support and strategic operational research to the field as they apply to this project's mandate. Activities supporting other development objectives will be supported by corresponding USAID Bureaus, Offices, or Missions.

The magnitude of this cooperative agreement will depend, in part, on the level of field support from missions and USAID/Washington offices for development, research, testing, and introduction of new health technologies driven by USAID priorities. It is anticipated that the level of funding could reach as high as $50 million for up to two awards over the five year period of implementation (a combined total of $50 million). For the purpose of cost estimates, the Applicant should use $25 million as the estimated value of the cooperative agreement.

B. Substantial Involvement

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

a. Approval of implementation plans;

b. Approval of monitoring and evaluation plans, quarterly and annual reports;

c. Approval of and any changes to specified key personnel;

d. Concurrence on the substantive provisions of sub-awards;

e. Approval of all sub-recipients per 22 CFR 226.25; and,

f. As appropriate, other monitoring as described in 22 CFR 226.

SECTION III – ELIGIBILITY INFORMATION

A. Eligibility Criteria

To be eligible for the Cooperative Agreement under this RFA, an organization must:

a. Be a U.S.-based institution, for-profit, non-profit or private voluntary organization or consortium of such organizations registered with USAID, including research organizations, universities, developing countries institutions and partners, and relevant special interest associations.
b. Agree to work with and hire individuals who have the technical expertise to contribute to the accomplishment of the RFA's objective and results.
c. Have managerial, technical, and institutional capacities to achieve the results outlined in this RFA.

B. Geographic Coverage

This project is expected to operate worldwide. Identification and development of new technologies may take place wherever opportunities and capacity to undertake them exists, in line with USAID's strategic priorities. This work is also anticipated to involve key partnerships with companies in low and middle-income countries, as they are often the most viable partners for cost-effective technology introduction in developing countries. As part of its work in partnering with local companies, the project will strengthen local country capacity for the development and introduction of new tools and technologies. This may include working with partner academic institutions, research organizations, community based organizations (CBOs), as well as other partners to create an enabling environment for innovation.

Priority will be given to technologies and tools geared towards use in low-resource settings within countries, activities, and high need populations targeted by USAID health sector programming. It is expected that work related to introduction and scale-up of technologies developed under this project will focus on sub-Saharan Africa, Asia, the Middle East, and Latin America. Ultimately, the geographic distribution of this program depends in large part on USAID/Washington priorities for innovation, research and technology development; mission demand for introduction, market development and scale-up; and availability of funding.

C. Cost Share

USAID has established a cost share minimum of 5% of the USAID-funded or obligated amount projected up to the maximum ceiling for the recipient award. Such funds may be mobilized from the recipient, other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute sharing in grants and cooperative agreements, please see 22 CFR 226.23 at http://ecfr.gpoaccess.gov and search under Title 22 Foreign Relations.

SECTION IV – APPLICATION AND SUBMISSION INSTRUCTIONS

A. Submission Instructions

The following are instructions to submit applications:

1. RFA Closing Date and Time: Applications shall be submitted on or before 11:00 AM EST on Monday, June 6, 2011.

2. Applicants must download application package from grants.gov to submit SF 424.A & B and Technical and Cost Application before closing date.

3. The date and time application packages are received in the possession of the person designated below will be the determination for timeliness. Applications must be received by the RFA closing date and time by the person and the place designated for receipt of applications to be considered received in time.

   Applications must be submitted via mail, courier service or hand carried. If sent via U.S. Postal Service, please note that delays may result from security screening. Packages arriving via U.S. Postal Service frequently suffer deterioration due to irradiation. Please plan accordingly. Applicants are responsible for ensuring timely delivery of applications.

   By Mail or Courier Service
   Sonja Watkins, Agreement Specialist
   US Agency for International Development
   Office of Acquisition and Assistance
   SA-44, M/OAA/GH/OHA, Rm.553A
   1300 Pennsylvania Ave., NW
   Washington, DC 20523-3700

   Hand-Carried, or via Courier Service
   US Agency for International Development
   Office of Acquisition and Assistance
   SA-44, Room 553A
   Federal Center Plaza
   301 C Street, SW
   Washington, DC 20024
   (Entrance at 301 4th Street, SW)
   Attention: Sonja Watkins (Phone: 202-567-5291, E-mail: swatkins@usaid.gov)

   *** **Hand delivery applicants must provide 24 hour email notice of the time in which they will be arriving to deliver applications.**

4. Point of contact: An Applicant may obtain any materials needed for the application or otherwise communicate regarding the application requirements with the following points of contact:

   Primary Contact
   Sonja Watkins
   202-567-5291
   swatkins@usaid.gov

   Secondary Contact
   Alula Abera
   202-567-5312
   aabera@usaid.gov

5. Questions shall be submitted in writing via email to the Point of Contact listed above, no later than Thursday, May 12, 2011 at 5:00PM Eastern Standard Time. Any questions submitted after this date will not be accepted. Question and answers will be posted as an amendment to the RFA on www.grants.gov

6. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for cost incurred in the preparation and submission of applications.

7. An Applicant's complete application consists of the grants.gov submission and receipt of hard copies.

B. General Application Instructions

The following are general instructions for what constitutes an application and how applications shall be formatted:

1. An application shall consist of a Technical application and a cost/business application.
2. All information shall be presented in the English language and shall be formatted in either Microsoft Word 2010 or Microsoft Excel 2010 with all formulas unlocked.
3. Technical application:
   a. Submit one (1) original hard copy, two (2) hard copies, and one (1) soft copy on a CD-ROM.
   b. Shall be singled-spaced text, printed double-sided, minimum 12-point font, minimum one (1") margins on standard letter sized paper (8.5" x 11").
   c. Shall not exceed twenty (**20**) **pages** excluding documents requested to be provided in an annex (e.g. resumes, references, etc.) and the following (if applicable): Cover page, executive summary, dividers, acronym list and table of contents. **Applications in excess of this limit will not be evaluated.**
   d. Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the **20** page limit. The font used in

tables and charts may be adjusted as appropriate but should be no smaller than 10 point.

4. Cost/business application:
    a. Submit one (1) original hard copy, two (2) hard copies, and one (1) soft copy on a CD-ROM.
    b. No limit on the number of pages for the cost/business application.
    c. The application must be submitted using SF-424 and SF 424A "Application for Federal Assistance." The form is downloadable on USAID's website at: http://www.usaid.gov/procurement_bus_opp/procurement/forms/.
5. The original and all copies of the technical application shall be submitted in an envelope marked with the RFA number, the Applicant's name, and the title "Technical Application". No part of the cost/business application shall be included in this envelope.
6. The original and all copies of the cost/business application shall be submitted in an envelope marked with the RFA number, the Applicant's name, and the title "Cost/Business Application". No part of the technical application shall be included in this envelope.
7. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.
8. Applicants may only submit documents to be included in the Annex as requested in the RFA directions below.

C. Technical Application Guidelines

This section represents the technical portion of the RFA. Applicants should present their technical approach and demonstrate their capabilities and expertise with respect to achieving the overall program objective and accomplishing the four specific IRs and sub-IR highlighted in Section I of this RFA. The application also should take into account the technical selection criteria and evaluation procedures found in Section V. Technical Applications should be specific, complete and concise, and the format should include the information described below.

Cover Page (1 page – not included in the 20 page limit):
Include proposed Project title, RFA Number, any proposed alternative title, name of the organization(s) submitting the application, contact person, telephone and fax numbers, email, and address. The Applicant, if desired, may propose a title/brand for the project other than "The Technologies for Health Program", which was developed for the purpose of this RFA.

Executive Summary (2 pages – not included in the 20 page limit)
Briefly describe how the Applicant proposes to meet the RFA design requirements, carry out the activity functions, and achieve the anticipated results. Briefly describe the technical and managerial resources of the applicant's organization and partners (if appropriate) and how the overall program will be managed.

Technical Application (Maximum 20 pages) - Applicants may choose the number of pages to devote to each section, within the **twenty (20) page limit** of the technical application.

1. Technical Understanding and Approach

Applicants should describe their overall technical approach for implementing a comprehensive research agenda which emphasizes innovation, and the achievement of introduction and scale-up of a number of new technologies in developing countries in accordance with the minimum performance standards outlined in Section I. The technical application section should address the following, to be communicated in the structure and format that the Applicant believes to be most effective:

- Propose and present the rationale for an initial research agenda to be undertaken by the project, based on the priority health challenges and technical focus areas proposed by USAID in Annex A, and other priority opportunities identified by the Applicant that are relevant to USAID global health objectives.
- Demonstrate a strong understanding of barriers (to the development, uptake, and scale-up of health technologies in developing countries), and current strategies and approaches to addressing them as they relate to both the public and private sector
- Present a comprehensive, feasible approach to addressing these barriers within the temporal and financial constraints of the project described in this RFA
- Discuss the project's approach for engaging a wide variety of partners throughout all aspects of implementation, and clearly articulate the types of expertise that will be available to the project through partnerships and/or in-house to achieve project objectives
- Discuss how the sub-grant mechanism will be structured to promote creativity through competition, what results sub-grants will be expected to achieve, and how the sub-grant mechanism will interact with other activities under the project
- Discuss how the project will actively promote technology transfer and the building of developing country expertise in areas such as technology development, production, distribution, licensing, introduction and scale-up
- Acknowledge the substantial involvement requirements outlined in the RFA, and document plans for working with USAID/GH/HIDN, USAID Missions, and other USAID collaborating partners.
- Consider and address gender-based inequities during design and conduct of the technology development and technology introduction activities

Also as part of the technical application, Applicants should present a case study in the form of a draft *Product and Market Development and Introduction Plan* (DIP) focused on <u>one</u> of the technology development priorities described in Annex A. The Applicant should select the case that it feels will best illustrate the expertise and strategic thinking it is prepared to bring to the project. As described in Section I, the format of the DIP should succinctly present all relevant information relevant to a given area of work in a way that enables non-technical USAID stakeholders to understand the development need, the anticipated development cycle and timeframe, the proposed program of work

for Technologies for Health Program, and the assumptions and risks underlying that approach. For purposes of the application, the Applicant should assume that the level of investment in this activity will be $3.5 million over five years.

This case study / draft DIP should be no more than 10 pages, and should include a 1-page "dashboard" or summary that communicates, at a minimum, the four product development phases, and the main objectives, activities, budget, and targets for the Technologies for Health Program activities.

2. Key Personnel & Staffing Qualifications

Key Personnel
Applicants should propose three key personnel, including a Director of Research Utilization and a Technical Director who cover the qualifications and skillsets described below. The applicant should state each position's designation as the Project Director and Deputy Project Director. At least one of these two key positions should be a candidate who is an expert in technology development, and the other should be an expert in research-to-use; the Applicant should propose which candidate will serve as the project director and which will serve as the deputy, and provide justification for doing so. This section should describe the responsibilities and authority of the/each position, and the rationale for the position(s) in relation to the achievement of the cooperative agreement objectives and execution of the principal areas of work described in the program description.

Additionally, this section should:

- Discuss the capabilities and experience of the proposed candidate for the key personnel positions
- Demonstrate that the proposed key personnel have proven leadership skills in approaches, international policy and international programming in technology development and technology introduction, with a focus on research utilization
- Provide evidence that the proposed key personnel candidate(s) has/have a proven technical and management track record in the successful execution of programs and achievement of objectives similar to those described in the Technologies for Health program description
- Provide evidence that the proposed key personnel have been able to recruit and retain highly qualified technical staff
- In an Annex, provide the following for key personnel only:
    - Resumes and references (including the name, title/position, telephone and email contact information for each reference) - in case of project director, at least one reference should be a developing country work contact.
    - Letters of commitment

Key functions and skills for the two key positions on this project are provided below:

(a) *Director of Research Utilization:* The Director of Research Utilization will provide vision, direction, leadership and management to the cooperative agreement

across the full development cycle, particularly with respect to implementation and scale-up. The Director of Research Utilization provides technical and strategic direction to ensure the Product and Market Development and Introduction Plans, and all other planning activities, represent realistic assessments of the feasibility and marketability of technologies at the earliest point and throughout the development cycle. Coordination and collaboration with other USAID-funded cooperating agencies and other donors (e.g., bi- and multi-national agencies and foundations) and their contractors, as well as with other key partners, such as industry and academia is essential toward fulfilling this function. An ideal Director of Research Utilization candidate should have the following attributes and qualifications:

- A Doctoral level, or a Master's degree plus proven research experience in relevant subject areas, preferably in public health and/or management or related disciplines
- Proven record of excellent management, leadership, decision making and interpersonal skills
- At least 10 years of senior level management experience operating large, complex projects within developing country contexts, and experience managing research
- Demonstrated international credibility as a leader on matters of public health, with knowledge of the USAID Bureau for Global Health priority focus areas
- Experience in management of public health programming involved in the introduction and scale-up of new technological interventions
- Proven skill in interacting with senior-level representatives of developing country governments, international organizations, other bilateral donor and civil society organizations, and private sector organizations
- Effective English oral and written communications skills
- Ability to work with diverse international teams

The Director of Research Utilization position is a full-time position and involves international travel as appropriate.

(b) *Research Technical Director:* The Research Technical Director should be a proven leader in the development of health technologies, providing the project with expert technical leadership and advice on the research and development process. The Research Technical Director should have extensive experience in public health technology development and introduction, including significant knowledge and experience of private sector development processes, and the ability to forge strong relationships with research partners in industry and academia. The Research Technical Director will also play a lead role in coordination with other donors, partners, and other organizations, particularly in managing relationships with industry and product development partners. An ideal Research Technical Director candidate should have the following attributes and qualifications:

- A Doctoral level, or a Master's degree plus proven research experience in relevant subject areas
- Demonstrated international credibility as a leader on matters of technology development, with knowledge of the USAID Bureau for Global Health priority focus areas
- Substantial experience (at least 10 years) in supervising technical, management and support staff
- Proven record of excellent management, leadership, decision-making and interpersonal skills
- Proven record of development and introduction of health technologies in developing countries
- Experience interacting with major multilateral and bilateral donor agencies and senior government officials is preferred
- Effective English oral and written communications skills
- Ability to work with diverse international teams

The Director of Research Utilization position is a full-time position and involves international travel as appropriate.

(c) *Program Administrator*: The Program Administrator should have comprehensive knowledge and understanding of U.S. Government rules and regulations. S/he must have experience in applying U.S. government rules and regulations to procurement and/or management of contracts, awards, or cooperative agreements in a developing country context. S/he must have good interpersonal and negotiations skills and experience interacting with U.S. Government agencies. An ideal Program Administrator candidate should have the following attributes and qualifications:

- Graduate degree in Public Administration, Business Administration (MBA) or equivalent combination/blend of training experience
- Knowledge of, and experience with USAID regulations and experience applying those regulations in procurement and sub-awards
- Minimum 5 years operations and financial management experience in administering contracts, awards or sub-awards in developing countries;
- The candidate is available within one month of project start-up.

Staffing Qualifications

The application should include a detailed description and rationale for the applicant's proposed staffing and recruiting plan for the cooperative agreement as a whole. The staffing plan should describe how the project will maintain access to breadth of expertise relevant to achieving each of the four IRs, and for undertaking work across any or all of the Global Health Elements described in Section I. The plan should distinguish between in-house expertise and expertise available through partners and consultants, and should similarly reflect the project's emphasis on in-country utilization and scale-up.

In addition, the staffing plan should provide:

- As part of the technical application: provide the titles and numbers of the positions, as well as job descriptions and responsibilities for the proposed positions. Names of individuals proposed for positions on the project staff should be provided, if known, and the institutional affiliation of each if not a direct hire employee.
- In an Annex: a matrix of all proposed staff summarizing relevant technical, administrative, and language skills, as well as field experience they bring to the performance of this program (may be in the form of biographical statement not to exceed more than one paragraph).

3. Management Approach

The Applicant should propose a management approach that addresses the breadth, depth, and technical skills required to successfully undertake this activity. This should include:

- Description of the proposed management and administrative arrangements for overall implementation of the program, including sub-grants, personnel and financial management, and procurement of goods and services. Key components:
  - An organizational chart that identifies lines of authority across all partners and between possible prime and sub-grantee award activities.
  - Description of how the program will operate a small and efficient home office
  - Plan for ensuring rapid project start-up in the first year
    Description of how the project will maintain flexible capacity to scale up or scale down operations in response to changing research priorities and new opportunities, and provide short-term technical assistance as needed, in a way that minimizes non-productive costs to the government (such as multiple overheads).

4. Monitoring & Evaluation

The applicant will describe the approach to performance monitoring. This should include:

- Description of the proposed performance monitoring framework. Key components:
- Describe how performance – and as appropriate, impact – evaluations will be incorporated into the design of all activities that rigorously impact evaluations conducted by external evaluators and in accordance with international best practices; and

- Include a logic model / results framework, with proposed key output and performance indicators that can be used to evaluate the achievement of the projects objectives. For the case study / draft DIP, measurable indicators should be proposed for assessing the value of the activity for advancing USAID's overall health development objectives.

In addition, while not sufficient for a complete project management tool, the following indicators are considered necessary for measuring the work of the Technologies for Health Program in accordance with the US Foreign Assistance Framework. At a minimum, the Applicant should provide to USAID the progress this activity has specifically made on the following indicators, which may be amended at any time at the discretion of the AOTR with concurrence from the implementer:

Element: Health
1. Number of technologies under development, reported by sub-element
2. Amount of private sector funds leveraged to support technology development, reported by activity (Only funds leveraged through public-private partnerships with commercial firms)
3. Total amount of outside funds leveraged to support technology development, reported by activity (Total private sector and other funds leveraged, including non-profit and public-sector collaborations)

Note: the indicators above are illustrative indicators, applicants should propose additional indicators.

5. Institutional Capacity

This section shall describe the applicant's institutional capability as well as capability of their sub-grantee and/or partners to implement activities as described in this RFA and demonstrate how their capability will enable successful public health outcomes. The applicant shall indicate the anticipated roles and responsibilities of each sub-grantee and/or partner related to their institutional capacity and the anticipated distribution of resources. Letters from sub-grantees and/or partners shall reference the Technologies for Health program specifically, and state what expertise they shall provide relevant to the program description in the RFA. These letters from sub-grantees and/or partners shall be included in an annex.

In describing this experience, the applicant shall:

- Describe the institutional capability of the proposed prime and partners to plan, implement, and support complex programming for the range of activities & skills outlined in the RFA;

- Describe the prime's ability to work with multiple partners on issues relevant to the scope of this RFA, including experience in providing leadership to multi-partner collaborations or initiatives involving multiple donor agencies or foundations (or their partners), host governments, and private sector partners.

6. Past performance (note: all material to be provided in an annex and does not count toward the 20 page limit)

This section of the application provides information about the applicant and any sub-partners' previous experience that demonstrates a proven track record of developing and implementing effective programs.

Prime Applicant Past Performance requirement:

> As an annex, please complete past performance information (see form **Annex E**) for three (3) past performance references which describe any contracts, grants, cooperative agreements which the applicant organization has implemented involving similar or related programs over the past three years. Please include the following information: name and address of the organization for which the work was performed; name and current telephone number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date. It is recommended that the applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

Please note that USAID reserves the right to obtain past performance information from other sources including those not provided by the applicant.

Sub-awardees/partners Applicant Past Performance requirement:
Sub-grantees/sub-applicants that will be conducting more than 10% of the level of effort to the Technologies for Health Program shall also provide completed Past Performance Short Forms as described for the Prime. If applicable, the sub-grantees/sub-applicants shall provide no less than one (1) and no more than three (3) past performance Short Forms, as an Annex.

If the case exists that the applicant possesses no relevant directly related or similar past performance, the applicant must state this directly. USAID shall determine the relevance of similar past performance information. Past performance information shall be used for responsibility determination.

Please note that USAID reserves the right to obtain past performance information from other sources including those not provided by the applicant.

D. Cost/Business Application Guidelines

The U.S. Government will require the following detailed cost information from the applicant organization:

1. The cost/business application must be completely separate from the Applicant's technical application, and submitted by using SF-424 and SF-424A "Application for Federal Assistance." These forms can be found under Annex D or and are downloadable online at http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/SF424_cover.pdf and http://www.usaid.gov/in/working_with_us/pdfs/sf424a.pdf .

2. The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word) on a CD-ROM.

3. The cost/business application must be for the period of the proposed program and use the budget format shown in the SF-424A. The form is attached under Annex D and is downloadable online at and http://www.usaid.gov/in/working_with_us/pdfs/sf424a.pdf . If the Applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

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

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

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

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

a. The breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

b. The breakdown of all costs according to each partner organization involved in the program;
c. The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;
e. Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;
f. Procurement plan for commodities if needed (although not encouraged)
g. Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement; and
h. All provided information should be "text accessible." "Text accessible" means that all information provided on paper and electronic media shall be provided. Cells shall not be hidden nor password protected. Information used that is NOT included will render the calculations of that information unusable, and that information will not be evaluated or used in the evaluation process. All data and information must be included and shall not be "implied." Calculations used on excel spreadsheets must be visible and there shall be no hidden or password protected cells or spreadsheets. All reference data and information shall be made available for review.

Applicants must provide the following cost element details:

a. Salary and Wages – Applicants must propose direct salaries and wages in accordance with their personnel policies;
b. Fringe Benefits – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;
c. Travel and Transportation – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.
d. Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;
e. Indirect Costs – The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost

Rate Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

E. Certifications and Representations

All Certifications and Representations found under Annex B must be completed and submitted with the cost application.

SECTION V – EVALUATION CRITERIA INFORMATION

Technical Application Evaluation

The Government may evaluate applications and award an agreement without discussions with applicants; however, the Government reserves the right to conduct discussions if determined by the Agreement Officer as necessary. Therefore, each initial application should contain the applicant's best terms from a cost or price and technical standpoint.

The technical applications will be evaluated on the technical selection criteria and sub-criteria provided in the Technical Application Selection Criteria section below. To facilitate the review of applications, applicants should organize the narrative portions of their application in the same order as the selection criteria and should refer to the detailed instructions found in the Technical Application Selection Criteria below. These criteria identify the significant areas that applicants should address in their applications and serve as the standard against which all applications will be evaluated. USAID will award the application that best meets these criteria.

Technical Application Selection Criteria

The Technical application will be evaluated on the basis of the following factors: technical understanding and approach; key personnel and staffing qualifications; management approach; monitoring and evaluation; institutional capacity, and past performance. Applications shall present information on each of these factors. The technical application will be evaluated based on the six criteria, which are weighted according to the points assigned to each section. Sub-criteria listed under each section will be equally weighted, unless otherwise noted. To facilitate the review of applications, applicants should organize the narrative portions of their application with reference to the format guidelines found in Section IV.C, Technical Application Guidelines.

1. Technical Understanding and Approach (49 points)

(Each item is equally weighted)

- Overall merit (creativity; feasibility; analytical depth; state-of-the-art technical knowledge regarding barriers to development and scale-up of new technologies, and strategies to overcome them) of the technical proposal and case study/sample DIP.

- Extent to which proposed research agenda and sample DIP demonstrates an understanding of current knowledge and research gaps, related to USAID health development objectives and provides clear and comprehensive approach for communicating all relevant aspects related to the area of work to a diverse group of USAID stakeholders.

- Clarity and feasibility of the approach in terms of achieving the project objectives (meeting or exceeding the minimum performance standards outlined in Section I)

and maximizing the potential translation of new technologies into use within the timeframe of the project

- Effectiveness and comprehensiveness of the proposed core partners in responding to the technical requirements of each of the four phases of product development

- Effectiveness of implementation mechanisms and general approach for incentivizing innovation and engaging a wide variety of partners throughout all aspects of implementation

- Demonstrates understanding and a proactive approach to address gender inequalities in the context of the achievement of the objectives of the program description.

- Extent to which the proposed approach promotes technology transfer and the building of developing country expertise

2. Key Personnel and Staffing Qualifications (20 points)

(Each item is equally weighted)

- The extent to which the proposed Director of Research Utilization meets or exceeds the minimum requirements set forth in Section IV.C.2.a and reflects the ability to execute the project requirements.

- The extent to which the proposed Research Technical Director meets or exceeds the minimum requirements set forth in Section IV.C.2.b and reflects the ability to execute the project requirements.

- The extent to which the proposed Program Administrator meets or exceeds the minimum requirements set forth in Section IV.C.2.c and reflects the ability to execute the project requirements.

- The extent to which the other proposed personnel address the full range of experience in the technical priority areas outlined in Annex A.

3. Management Approach (9 points)

(Each item is equally weighted)

- Extent to which the proposal management and administrative arrangements are adequate for overall implementation of the program

- Demonstration of clear, logical, and appropriate lines of authority in the plan (or approach) for managing all project staff including sub-grantees and/or partners.

- Merit, feasibility, and overall efficiency and containment of costs of management plan for accomplishing all aspects of project implementation, especially the ability to respond to changing research priorities and new opportunities

4. Monitoring and Evaluation (6 points)

(Each item is equally weighted)

- Merit and feasibility of plan for developing, maintaining, and implementing the monitoring and evaluation system over the life of the project in a timely and cost-effective manner.

- Extent to which evaluation is incorporated into the project design

5. Institutional Capacity (9 points)

(Each item is equally weighted)

- Demonstrated depth and breadth of institutional capacity (by the prime applicant and sub-grantees/partners) in priority technical areas similar to the program description and outlined in Annex A.

- Clear and feasible anticipated roles for all sub-grantees and/or partners and distribution of resources based on their demonstrated institutional capacity.

- Demonstrated ability to work with multiple partners on issues relevant to the scope of this RFA, including experience in providing leadership to multi-partner collaborations or initiatives involving multiple donor agencies or foundations (or their partners), host governments, and private sector partners.

6. Past Performance (7 points)

- Past performance involving similar or related programs in quality of product or service, cost control, timeliness, customer satisfaction and key personnel in previous and/or existing projects.

Summary:

Technical Understanding and Approach	49 points
Key Personnel and Staffing Qualifications	20 points
Management Approach	9 points
Monitoring and Evaluation	6 points
Institutional Capacity	9 points
Past Performance	7 points
Total	**100 points**

SECTION VI – AWARD ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Branding & Marking Requirements (December 2005)

BRANDING & MARKING 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 brand mark, 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 sub-awards.

(b) **Submission**

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

marking USAID programs, such as plaques, stickers, banners, press events and materials, and the like.

(c) **Submission Requirements**

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

(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.

(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 will also evaluate this information to ensure that it is consistent with the stated objectives of the award; 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.

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 brand mark, 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 sub-awards.

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

Presumptive Exception (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.

(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 produce 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, audiovisual 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) the 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 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 an exception.

(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, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(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 Technical 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 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.

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

(a) Definitions

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brand mark, 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 sub-award with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(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) Sub recipients. To ensure that the marking requirements "flow down" to sub recipients of sub-awards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub-award, as follows:

"As a condition of receipt of this sub award, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, sub recipient's, other donor's or third party's is required. In the event the recipient chooses not to require marking with its own identity

or logo by the sub recipient, USAID may, at its discretion, require marking by the sub recipient with the USAID Identity."

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

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

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

(c) Implementation of marking requirements.

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

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

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

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

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

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

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

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

(iii) USAID marking requirements would undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as "by" or "from" a cooperating country ministry or government official;

(iv) USAID marking requirements would impair the functionality of an item;

(v) USAID marking requirements would incur substantial costs or be impractical;

(vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;

(vii) USAID marking requirements would conflict with international law.

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

C. Standard Provisions

The applicant will be required to adhere to and govern itself under the Standard Provisions for U.S. NGO and Non-U.S. NGOs. Links to these Standard Provisions can be found under Annex C.

SECTION VII – AGENCY CONTACTS

The applicant may contact the following USAID personnel in writing regarding this RFA:

Primary Contact
Sonja Watkins
202-567-5291
swatkins@usaid.gov

Secondary Contact
Alula Abera
202-567-5312
aabera@usaid.gov

SECTION VIII – OTHER INFORMATION

A. USAID Rights and Funding

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

B. Applicable Regulations & References

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
  http://www.usaid.gov/pubs/ads/300/303maa.pdf

- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf

- 22 CFR 226
  http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

- OMB Circular A-122
  http://www.whitehouse.gov/omb/circulars/a122/a122.html

- OMB Circular A-110
  http://www.whitehouse.gov/omb/circulars/a110/a110.html

- SF-424 Downloads
  http://www.grants.gov/agencies/aapproved_standard_forms.jsp

Please note: In addition to the Mandatory Standard Provisions provided in the links listed above, the following three (3) Standard Provisions apply to this project and will be included in the final award.

CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER (OCTOBER 2010)

a. Requirement for Central Contractor Registration (CCR). Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

b. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make sub-awards under this award, you:

(1) Must notify potential sub-recipients that no entity (see definition in paragraph C of this award term) may receive a sub-award from you unless the entity has provided its DUNS number to you.

(2) May not make a sub-award to an entity unless the entity has provided its DUNS number to you.

c. Definitions. For purposes of this award term:

(1) Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at http://www.ccr.gov).

(2) Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at http://fedgov.dnb.com/webform).

(3) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
(i) A Governmental organization, which is a State, local government, or Indian tribe;
(ii) A foreign public entity;
(iii) A domestic or foreign nonprofit organization;
(iv) A domestic or foreign for-profit organization; and
(v) A Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.

(4) Sub-award:

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

(5) Sub-recipient means an entity that:

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

[END OF PROVISION]

REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier sub-awards.

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

(2) Where and when to report.

(i) You must report each obligating action described in paragraph a.1. of this award term to www.fsrs.gov.

(ii) For sub-award information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

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

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

(i) the total Federal funding authorized to date under this award is $25,000 or more;

(ii) in the preceding fiscal year, you received—

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and

(iii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

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

(i) As part of your registration profile at www.ccr.gov.

(ii) By the end of the month following the month in which this award is made, and annually thereafter.

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

(i) in the sub-recipient's preceding fiscal year, the sub-recipient received—

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and

(B) $25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at http://www.sec.gov/answers/execomp.htm.)

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

(i) To the recipient.

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

d. Exemptions
If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:
(1) sub-awards, and

(2) the total compensation of the five most highly compensated executives of any sub-recipient.

e. Definitions. For purposes of this award term:
(1) Entity means all of the following, as defined in 2 CFR part 25:

(i) A Governmental organization, which is a State, local government, or Indian tribe;

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

(iv) A domestic or foreign for-profit organization;

(v) A Federal agency, but only as a sub-recipient under an award or sub-award to a non-Federal entity.

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

(3) Sub-award:

(i) This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible sub-recipient.

(ii) The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. --.210 of the attachment to OMB Circular A- 133, —Audits of States, Local Governments, and Non- Profit Organizations||).

(iii) A sub-award may be provided through any legal agreement, including an agreement that you or a sub-recipient considers a contract.

(4) Sub-recipient means an entity that:

(i) Receives a sub--award from you (the recipient) under this award; and

(ii) Is accountable to you for the use of the Federal funds provided by the sub-award.

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

(i) Salary and bonus.

(ii) Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

(iii) Earnings for services under nonequity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

(iv) Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

(v) Above-market earnings on deferred compensation which is not tax-qualified.

(vi) Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds $10,000.

[END OF PROVISION]

TRAFFICKING IN PERSONS (OCTOBER 2010)

a. Provisions applicable to a recipient that is a private entity.
(1) You as the recipient, your employees, sub-recipients under this award, and
Sub-recipients' employees may not—
(i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
(ii) Procure a commercial sex act during the period of time that the award is in effect; or
(iii) Use forced labor in the performance of the award or sub-awards under the award.
(2) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a sub-recipient that is a private entity —
(i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—
(A) Associated with performance under this award; or
(B) Imputed to you or the sub-recipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, __OMB Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),'' as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

b. Provisions applicable to a recipient other than a private entity.
(1) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a sub-recipient that is a private entity—

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

b. Provisions applicable to any recipient.

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

(3) You must include the requirements of paragraph a. (1) of this award term in any sub-award you make to a private entity.

d. Definitions. For purposes of this provision:

(1) __Employee'' means either:

(i) An individual employed by you or a sub-recipient who is engaged in the performance of the project or program under this award; or

(ii) Another person engaged in the performance of the project or program under this award and not compensated by you including, but not limited to, a volunteer or individual whose services are contributed by a third party as an in-kind contribution toward cost sharing or matching requirements.

(2) __Forced labor'' means labor obtained by any of the following methods: the recruitment, harboring, transportation, provision, or obtaining of a person for labor or services, through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery.

(3) __Private entity'':

(i) Means any entity other than a State, local government, Indian tribe, or foreign public entity, as those terms are defined in 2 CFR 175.25(b).

(ii) Includes:

(A) A nonprofit organization, including any nonprofit institution of higher education, hospital, or tribal organization other than one included in the definition of Indian tribe at 2 CFR 175.25(b).

(B) A for-profit organization.

(4) __Severe forms of trafficking in persons,'' __commercial sex act,'' and __coercion'' have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END OF PROVISION]

ANNEX A: USAID PRIORITIES FOR HEALTH TECHNOLOGY INNOVATION

Priorities for applied research activities and technology development under this agreement will be determined with USAID as a function of:

A. Identification of public health needs and global market demand for new technologies, as well as the potential for technology transfer to developing countries;
B. Advances in research previously supported by USAID (including through other agreements and activities), other US Government agencies such as the National Institutes of Health, other global donors such as the Gates Foundation, and developing country partners; and
C. Programmatic needs, opportunities, and priorities determined by USAID.

The following list includes technology-related needs and opportunities that have been identified by USAID as potential priorities for investment under the Technologies for Health Program. This list is not intended to be exhaustive of potential priorities for USAID investment, nor is the Applicant expected to propose activities to address each area or to limit its proposal to these areas. However, the areas listed below have been identified as either current or recurrent priorities related to USAID global health objectives, and are illustrative of the types of expertise the Applicant should be able to access and/or leverage through broad-based partnerships in order to achieve the objectives of the Technologies for Health Program.

- HIV/AIDS
  - Microbicides: assist other donors and partners to address gaps related to the introduction of microbicide delivery technologies - and dual-use microbicide and pregnancy prevention technologies - building on ongoing efforts. Key needs include understanding user characteristics and acceptability of technologies, conducting market research (demand forecasts, market segmentation, costing studies, etc.) and market development activities, and facilitating commercialization of production (including guiding decision-making by private sector partners regarding investment strategies, production modalities, etc.) and distribution.
  - Long-lasting antiretroviral delivery modalities: engage with industry partners and pharmaceutical companies to support product research and development, and form multi-stakeholder partnerships with industry, regulatory agencies, governments & donors
- Infectious diseases
  - Point-of-Care diagnostics: continue work to develop and test new diagnostic technologies and support their adoption in the context of National Tuberculosis (TB) Control Programs
  - Facilitating broad-scale testing, production, marketing and delivery of new vaccines for developing country markets as scientific breakthroughs are made in vaccine development, such as through ongoing USAID-supported efforts to develop vaccines for HIV, TB, malaria, and other infectious diseases (see: http://pdf.usaid.gov/pdf_docs/PDACN525.pdf)

- Maternal Health
  - Misoprostol: develop, test and implement new field approaches (such as task shifting and behavior change) to support scale-up of Misoprostol in remote and under-served areas
  - Oxytocin: Improve and ease adoption of AMSTL by facilitating both competitive commercial supply of and public-sector demand for oxytocin using a low-cost delivery device. Facilitate scale-up by addressing regulatory / licensing and cost barriers, and working with regulatory agencies, producers, governments, and USAID and other donor projects to expand field use
- Child Health
  - Antiseptic umbilical cord wash (chlorhexidine): finalize product development and support market development and scale-up into mainstream use, including for community management of infection
  - Antibiotic for newborn sepsis: introduce and scale up a low-cost delivery device for antibiotic delivery to support community management of neonatal infection
  - Anemia etiology diagnostic: Develop an affordable, point-of-collection device that will classify individuals' anemia status and elucidate the potential causes of anemia
  - Fortified products for diet diversity: build on research completed to date which has identified a number of effective products by further documenting effectiveness in a variety of country settings, establishing private sector partnerships with manufacturers, finding methods to reduce cost and improve targeting and access among key target populations
- FP/RH
  - Depo subQ provera 104 rapid delivery device: Expand on work to develop a safe, simple and low-cost pre-filled delivery device for injectable contraceptives
  - Exploring cost reduction of a levonorgestrel-releasing IUD
  - Contraceptive technologies that respond to unique gaps of low-resource settings including1-2 year duration methods; non-hormonal methods; and methods appropriate for intermittent use
  - Multipurpose prevention technologies that are contraceptive and provide protection against HIV, other sexually transmitted infections, and/or reproductive tract infections
  - Rapid antibody test for detecting human papillomavirus (HPV)
- Health Systems
  - Integrated health information system technologies: facilitating a broad-based partnership to develop specifications and models for integrated national health information systems, focused as appropriate on specific health problems (i.e. maternal mortality) or health system functions (i.e. logistics or human resource management), and implementing such models at the country level. A related need is for models or affordable technologies to facilitate integration of existing workforce, service delivery, population, and epidemiological data, and connect it to the use of that data for forecasting resource needs (human, financial, etc.) in

health, as well as related sectors and supporting services, to address health challenges.

- Drug quality screening technology: building on existing rapid drug quality screening tools developed for field use by regulators, customs officers, inspectors, and health staff in developing countries, identify opportunities to further develop the sensitivity, reliability, and versatility of the technology while reducing the cost of equipment and supplies
- Integrated service delivery approaches and tools:
  - Development of models, approaches, and supportive technologies for integrated service delivery or integration of a combination of interventions, as well as measurement of outcomes including both mortality and cost.
  - Technology to facilitate integrated delivery of community-based health services by community health workers.
- M-Health technologies: Identify and work with a broad coalition of partners to build consensus around one or more promising tools/opportunities in the field of M-Health (use of mobile devices and technology in the health sector) which would be cost-effective for sustainable use in developing countries, and support its commercialization and scale-up

ANNEX B: REPRESENTATIONS AND CERTIFICATIONS - U.S. NGO

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

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

a. For U.S. organizations, a signed copy of the mandatory reference, **Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs**. This certification applies to Non-U.S. organizations if any part of the program will be undertaken in the United States;

b. A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see **22 CFR 227**);

c. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries, as detailed in **ADS 206.3.10;**

d. A signed copy of the Certification Regarding Terrorist Funding required by the Internal Mandatory Reference **AAPD 04-14**;

e. When applicable, a signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206**);

f. When applicable, a signed copy of "Participant Certification Narcotics Offenses and Drug Trafficking" (See **ADS 206);**

h. All RFAs must include the **Survey on Ensuring Equal Opportunity for Applicants**; and

i. All applicants must provide a Data Universal Numbering System (DUNS) Number (see **Federal Register Notice Use of a Universal Identifier by Grant Applicants).**

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

Recipient should refer to the consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

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

e. The Recipient's obligations under paragraph 1 are not applicable to the

procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No._____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

_____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

2. I understand that USAID may terminate my training if it is determined that I engaged in the

above conduct during the last ten years or during my USAID training.

Signature: _____

Name: _____

Date: _____

Address: _____

_____

Date of Birth: _____

NOTICE:

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

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

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

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Applicant/Sub-grantee _____

Typed Name and Title _____

Signature _____

PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Completion of this survey is voluntary and may be accessed at:

http://www.ed.gov/fund/grant/apply/appforms/surveyeo.pdf

PART VI - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name Title Telephone No. Facsimile No.

_____

_____

_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

charge to the recipient. The recipient should be prepared to provide the following information:

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

$_____

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs.

Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of $5,000 or more per unit.

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	GOODS COMPONENTS SOURCE	PROBABLE GOODS COMPONENTS ORIGIN

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

TYPE/DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST	PROBABLE SOURCE	INTENDED USE ORIGIN

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

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

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION

6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

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

governmental organization, [ ] an international organization, or [ ] a joint venture.

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

ANNEX C: STANDARD PROVISIONS FOR U.S. NGO

Mandatory Standard Provisions for U.S. NGO Recipients:
http://www.usaid.gov/policy/ads/300/303maa.pdf

ANNEX D: SF-424 FORMS

- SF-424: Application for Federal Assistance

  http://www.usaid.gov/our_work/humanitarian_assistance/disaster_assistance/resources/pdf/SF424_cover.pdf

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

  http://www.usaid.gov/in/working_with_us/pdfs/sf424a.pdf

- SF-424B: Assurances, Non-construction Programs

  http://www.usaid.gov/in/working_with_us/pdfs/sf424b.pdf

ANNEX E: STANDARD FORM 424 **OMB Approval No.**

PERFORMANCE REPORT – SHORT FORM

PERFORMANCE REPORT – SHORT FORM
PART I: Award Information (to be completed by Prime)
1. Name of Awarding Entity
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if sub-agreement, sub-agreement value)
5. Problems: (if problems encountered on this award, explain corrective action taken):
6. Contacts: (Name, Telephone Number and email addresses)
6a. Agreement Officer:
6b. Agreement Officer's Technical Representative (AOTR):
6c. Other:
7. Recipient:
8. Title/Brief Description of Product/Service Provided:
9. Information Provided in Response to RFA:
PART II: Performance Assessment (to be completed by Agency)
1. How well Recipient/Contractor performed:
1a. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness in fixing problems. Comment:
1b. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
1c. Timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of home field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
1d. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among sub-awardees and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:
1e. Effectiveness of Key Personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:
2. Specify instances of good or poor performance, especially in the most critical areas. Comment:
3. List significant achievements/problems. Comment:

Note: The actual dollar amount of sub-agreement, if any, (awarded to the Prime) must be listed in Block 4 instead of the Total Estimated Cost (TEC) of the overall Agreement. In addition, a Prime may submit attachments to this past performance table if the paces provided are inadequate; the evaluation factor(s) must be listed on any attachments.