

**SUPPORTIVE ENVIRONMENTS FOR HEALTHY HOUSEHOLDS
AND COMMUNITIES**

REQUEST FOR APPLICATION (RFA)

RFA NUMBER: RFA-OAA-10-000008

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Questions Due Date: COB Monday, June 28, 2010

Closing Date: Thursday, July 29, 2010

Closing Time: 11:00 a.m.

Subject: Request for Application (RFA) # **RFA-OAA-10-000008**

Dear Prospective Applicant:

The United States Government, represented by the Agency for International Development (USAID), proposes to enter into a Cooperative Agreement for the implementation of the Supportive Environments for Healthy Households and Communities 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.

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 Moyra Cassidy by email at mcassidy@usaid.gov or Patricia Bradley at pbradley@usaid.gov.

DUE DATE: Applications shall be received no later than July 29, 2010 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.

QUESTIONS: Prospective applicants who have questions concerning the contents of this RFA shall submit them in writing no later than close of business **Monday, June 28, 2010** to **Moyra Cassidy** by email at mcassidy@usaid.gov or **Patricia Bradley** at pbradley@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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ABBREVIATIONS AND ACRONYMS USED IN THIS RFA

ADS	Automated Directives System
AOTR	Agreement Officer Technical Representative
CDC	U.S. Centers for Disease Control and Prevention
DUNS	Data Universal Numbering System
EGAT	Economic Growth Agriculture and Trade Bureau (USAID)
EMMP	Environmental Mitigation and Monitoring Plan
EPA	U.S. Environmental Protection Agency
EHP	The Environmental Health Project
FAR	Federal Acquisition Regulation
GDA	Global Development Alliance
GH	Global Health Bureau (USAID)
GHI	Global Health Initiative
HIDN	Office of Health, Infectious Diseases, and Nutrition (USAID)
HIP	Hygiene Improvement Project
HWTS	Household Water Treatment and Safe Storage
IAQ	Indoor air quality
IEE	Initial Environmental Examination
JMP	Joint Monitoring Programme
LOE	level of effort
MCH	maternal and child health
MDG	Millennium Development Goal
M&E	Monitoring and Evaluation
M&M	Mitigation and Monitoring plan
MUS	Multiple Use Services
NICRA	Negotiated Indirect Cost Agreement
NGO	Nongovernmental Organization
NTDs	Neglected Tropical Diseases
ORT	Oral Rehydration Therapy
PCIA	Partnership for Clean Indoor Air
PEPFAR	President's Emergency Plan For AIDS Relief
PLWHA	People Living with HIV/AIDS
PMTCT	prevention of mother-to-child transmission (of HIV)
PPPHW	Global Public Private Partnership for Handwashing
POU	Point-of-use water disinfection
POUZN	Point-of-use Water Disinfection and Zinc Treatment
PVO	Private Voluntary Organization
RFA	Request for Application
TEC	Technical Evaluation Committee
USG	United States Government
USAID	U.S. Agency for International Development
WASH	water supply, sanitation and hygiene
WfP	Senator Paul Simon Water for the Poor Act
WHO	World Health Organization
WSSCC	Water Supply and Sanitation Collaborative Council

SECTION I. FUNDING OPPORTUNITY DESCRIPTION

A. Introduction

The United States Agency for International Development (USAID) seeks to award a five-year \$100 million Cooperative Agreement, Supportive Environments for Healthy Households and Communities. This activity will support the further development, introduction, and delivery of high-impact interventions in the areas of water supply, sanitation and hygiene (referred to in this text as WASH) and indoor air quality (referred to in this text as IAQ). The activity, (referred to in this text as “*Supportive Environments for Health*”), will support USAID programs in achieving public health impact by improvements in key behaviors and environmental conditions. The authorizing legislation for this Cooperative Agreement is the Foreign Assistance Act of 1961, as Amended, and the award is subject to 22 CFR 226 – Administration of Assistance Awards to U.S. Non-Governmental Organizations. The following are applicable for the administration of this award: 22 CFR 226, OMB Circulars and the Standard Provisions for U.S. Non-governmental Recipients.

USAID anticipates Applicants may indicate formal arrangements with partner organizations or with sub-awardees for implementing this activity in their application.

B. Background

B.1 Problem Areas and Environmental Risk Factors

Globally, diarrhea and pneumonia remain the two leading killers of children in the post-neonatal period, each responsible for approximately 15-20% of deaths of children under five years of age. Nearly 7 out of 10 of those deaths are in Africa and South and East Asia. Diarrhea is also closely linked with chronic malnutrition, which is associated with more than one-third of such deaths and can also lead to low birth weight, long-term cognitive deficits, poorer child performance in school and lower adult economic productivity. While key interventions to reduce mortality have made a significant reduction in deaths from diarrhea over the last three decades, there has not been as great a reduction in deaths from pneumonia nor in the overall morbidity associated with either of these diseases.

Both diarrhea and respiratory infections are closely linked to the following environmental risk factors:

Water Supply, Sanitation and Hygiene

The World Health Organization (WHO) estimates that almost 90% of the diarrheal disease burden can be attributed to unsafe water supply, inadequate sanitation and poor hygiene behaviors. Access to and use of safe water and sanitation remains a problem with an estimated 1.1 billion people living without an improved water source and over half of the developing world - 2.5 billion people - without access to improved sanitation. Correct and consistent practice of hygiene behaviors is also problematic due to a complex combination of barriers including lack of knowledge, attitudes and beliefs that constrain practice, absence of necessary hardware and infrastructure, and lack of the “enabling environment” necessary for adoption. A recent review of the results of formative research studies on handwashing behavior in 11 developing countries found that only 17% of child caretakers wash hands with soap after using the toilet.

Indoor Air Quality

Indoor air pollution poses a substantial threat to the health of the world’s poor. Over half of the world’s population still cooks with solid-fuel – including wood, dung, coal or agricultural residues – on poorly functioning traditional stoves or open fires, and this is often carried out in conditions of limited ventilation. As a result, an estimated 1 billion people, mostly women and children, are exposed to indoor air pollution levels that are 20 to 100 times greater than WHO air quality guidelines. Indoor smoke from solid fuels is associated with about 21% of the lower respiratory infection deaths worldwide. Of these deaths, nearly two-thirds occur in South-East Asia and Africa. In addition to the health-damaging effects of indoor air pollution emitted from

poorly functioning cook stoves and open fires, there are also negative economic and natural resource implications of households using inefficient fuels and appliances. Poor households often cannot afford cleaner, more efficient fuels and appliances, and conversely, reliance on polluting, inefficient fuels limits opportunities for economic development, continuing a vicious cycle of poverty.

B.2 Interventions to Address Problem Areas

Diarrhea is preventable through a variety of well-defined WASH interventions, including increased access to water supply and sanitation and promotion of key hygiene practices. These interventions have been demonstrated to be effective, as well as cost-effective, in reducing diarrheal disease prevalence by one-third or more:

- improved water supply from a protected source
- safe storage and treatment of water at the point-of-use
- optimal handwashing with appropriate technique at critical times – after defecation, handling a child’s feces, and before food handling; and
- sanitary disposal of human feces with basic, low-cost systems.

Until recently, the potential of improved indoor air quality to prevent severe pneumonia received little systematic attention at the international level among either donors or international agencies. The WHO Global Action Plan for Pneumonia (http://www.who.int/child_adolescent_health/documents/9789241596336/en/) includes improvements in indoor air quality as one of four intervention areas, but little consensus exists on the optimal means to achieve this nor on the role of health programs. In addition, the definition of practical and programmatic approaches to scaling-up and sustaining existing interventions which are known to reduce smoke levels have been limited. Most recent efforts, in part driven by increased multinational and national private-sector interest, have focused on improved cookstoves as a key intervention area. Few robust studies, however, on the effectiveness of improved cookstoves in reducing pneumonia have been carried out. Other program interventions that have been explored to reduce indoor air pollution include switching to higher-quality, lower emission fuels (e.g. liquid fuels), improved household ventilation and other housing-based approaches to reduce exposure.

C. USAID context for Supportive Environments for Health

C.1 Previous USAID WASH and IAQ activities

USAID’s activities in environmental health programming over the past three decades with a focus on WASH and IAQ include most recently: the Hygiene Improvement Project (HIP), the point-of-use components of Point-of-use Water Disinfection and Zinc Treatment (POUZN), and the Environmental Health Indefinite Quantity Contract. For information on these and earlier USAID environmental health activities, including the background and history of USAID’s environmental health program, see www.ehproject.org. Background information on USAID’s activities in IAQ also can be found at this site.

Water Supply, Sanitation and Hygiene

USAID’s Bureau for Global Health (GH) has supported central technical assistance mechanisms for environmental health activities for nearly 30 years. One of the first major USAID investments in environmental health occurred during the International Drinking Water Supply and Sanitation Decade (1981-1990), which aimed to provide safe water supply and sanitation for most of the world’s population by 1990. USAID’s Water and Sanitation for Health Project, 1981-1994, was a core component of the U.S. Government’s (USG) contribution to the decade. The Environmental Health Project (EHP), 1994 - 2004, was a significant expansion in scope beyond the Water and Sanitation for Health Project, and included a broader array of environmental health topics, such as urban air pollution and indoor air quality.

In the recent past, the overarching framework of USAID's Bureau for Global Health's Health, Infectious Diseases and Nutrition Division (GH/HIDN) has focused on achieving public health impact through increased coverage of proven, high-impact interventions, working with multilateral partners, e.g., the United Nations Children's Fund (UNICEF), WHO, the World Bank Water and Sanitation Program (WB/WSP); other USG agencies, e.g., the Centers for Disease Control (CDC); implementing partners, e.g., non-governmental organizations (NGOs), bilateral contractors and grantees; and USAID Missions. This has included research and innovation to develop such interventions, their introduction and refinement at country level, and ultimately scale-up with country resources – either external donor or indigenous.

This “pathway” has shaped the approach used over the past five years, during which GH has invested in multiple projects that address the following focused set of interventions that directly impact the leading risk factors for death due to diarrheal disease:

- ensuring safe drinking water quality at the point of use;
- increased use of sanitary facilities for human excreta disposal; and
- increased and improved handwashing with soap.

The Hygiene Improvement Project (HIP) was tasked with developing innovative approaches for achieving adoption of the key hygiene behaviors listed above at a scale sufficient to achieve significant public health impact. HIP has offered USAID programs new tools, approaches and a behavior-centered focus to reduce diarrheal disease. The project worked at scale by engaging multiple stakeholders and partners from different sectors, using a variety of interventions, and integrating hygiene into health and non-health programs such as HIV/AIDS, nutrition and food security, and education. HIP's behavior change strategy required attention to three essential components for achieving diarrheal disease outcomes- accessing hardware, products and technologies; promoting hygiene; and creating an enabling environment.

The goal of the POUZN project has been to expand the long-term, sustainable, commercial availability of zinc and point-of-use water disinfection (POU) to reduce mortality and morbidity from diarrhea. Project implementation has been accomplished through social marketing projects and public-private partnerships. POUZN has focused on both introducing POU water treatment and zinc options in countries where products were not readily available, as well as working toward at-scale programming (of POU) in countries that had an existing platform.

Indoor Air Quality

GH and USAID's Bureau for Economic Growth, Agriculture and Trade (EGAT) have jointly supported efforts to improve the availability, efficiency and sustainability of household energy use, while simultaneously reducing the negative health impacts associated with poorly functioning stoves. With a focus on operations research and intervention development, USAID has supported efforts to develop programmatic models to combine fuel-efficient cooking technologies with behavior change messages and market-based distribution mechanisms.

C.2 Legislative and Policy Influences

In 2005, Congress passed the Senator Paul Simon Water for the Poor Act (WfP), the authorizing legislation which made the provision of safe water and sanitation in developing countries a key objective of foreign assistance. The WfP Act also supports broader U.S. development objectives – from eradicating poverty to promoting girls' education. Each year, the earmark to support WfP has increased – the 2008 Consolidated Appropriations Act required at least \$300 million be spent on the WfP, and in 2009 and 2010, this increased to \$315 million, with increased attention to sub-Saharan Africa.

In May 2009, President Obama announced the Global Health Initiative (GHI). The initiative proposes \$63 billion over six years to address a range of global health challenges including \$51 billion over six years to continue existing Presidential initiatives that fight HIV, tuberculosis and malaria and \$12 billion to address

other global health issues, such as maternal and child health (MCH), family planning, and neglected tropical diseases (NTDs). Water programming is integrated throughout the GHI as well as in other presidential initiatives, especially Global Climate Change and Feed the Future, and could result in increased attention to water and new funding opportunities.

The Millennium Development Goals (MDGs) are a major influence on the policies and priorities of USAID. The goals – designed to be met by 2015 – include a target of halving the proportion of people without sustainable access to safe drinking water and basic sanitation. Additionally, WASH interventions can contribute to the other 7 MDGs, several of which target or contribute to reducing child mortality, an objective of GH. (See Annex A for relevant data on MDG 4 and 7 targets for priority countries for USAID’s Maternal and Child Health priority countries.)

C.3 USAID Mission Involvement

Increasingly, USAID Missions are prioritizing the design, procurement and management of bilateral projects to meet their development objectives rather than relying on centrally funded mechanisms. Missions also are often bundling their bilateral projects under integrated programs that encompass multiple health objectives and even non-health sector objectives related to education, democracy/governance, etc. This may decrease the need for *Supportive Environments for Health* to directly implement programs in countries. USAID Missions, however, continue to require targeted assistance on specialized technical areas from USAID Washington-based projects. USAID Missions with fewer bilateral programs, diminishing staff resources and time constraints, and inadequate local access to state-of-the art expertise in certain technical areas do continue to have a need for centrally funded projects to play a more direct role in designing and implementing programs on the ground. The *Supportive Environments for Health* will operate within these changing needs.

C.4 Relation to other USAID Health Activities

Currently, WASH programming is integrated into a variety of USAID’s health programs (e.g., maternal and child health, HIV/AIDS, etc.), and these activities can be further expanded under the Global Health Initiative (e.g., potentially neglected tropical diseases and nutrition). Therefore, *Supportive Environments for Health* will work in an environment where WASH is integrated within a variety of USG health programs.

Indoor air quality has had less relevance than WASH to other areas of USAID health activity, mainly because of the uncertainty of impact on health outcomes of interest, as already discussed above. Within GH, the Health Research Challenge for Delivery activity includes operations research on achieving impact with diverse approaches to reducing exposure to indoor smoke from cooking.

Specific examples of WASH integration within current USG health programs include the following:

- Integration of WASH in Maternal and Child Health Programming, through such programming approaches as promotion of a comprehensive diarrheal disease control strategy that addresses prevention, treatment and management of diarrheal diseases in an integrated approach (e.g., oral rehydration therapy (ORT), zinc and WASH interventions); integration of WASH into antenatal care programming (e.g., promoting household water disinfection and handwashing with soap as part of the antenatal care package); integration of handwashing promotion into neonatal programming, by promoting handwashing with soap among birth attendants and new mothers; integration of WASH into the training of community health workers (CHWs), often the backbone of WASH promotion efforts in current USAID programs.
- Integration of WASH in HIV/AIDS programming, through a variety of entry points, such as inclusion of WASH interventions (e.g. household water treatment products, water storage container and soap) in the “Basic Preventive Care Package” for people living with HIV/AIDS (PLWHA) in President’s Emergency Plan For AIDS Relief (PEPFAR) country operational plans; inclusion of a comprehensive WASH package for adult PLWHA and their families in the home setting; integration of WASH curricula into all HIV/AIDS

service delivery training; ensuring WASH infrastructure and education in school and residential programming for orphans and vulnerable children; integration of evidence-based WASH approaches in HIV/AIDS policies and guidelines; and ensuring safe water in replacement feeding in programs for prevention of mother-to-child transmission (PMTCT).

WASH integration may be further expanded under the GHI to include the following:

- Integration of WASH in programming for neglected tropical diseases by combining education on WASH with treatment modalities to decrease morbidity for some of the NTDs that would be most impacted by access to safe water, sanitation and hygiene (e.g. soil-transmitted helminths, trachoma, schistosomiasis, lymphatic filariasis).
- Integration of WASH and nutrition programming by inclusion of WASH messages on food hygiene (e.g., using safe water to wash food, cleaning food preparation surfaces) in health (e.g., MCH, HIV/AIDS) and water and sanitation programming); integration of key hygiene practices into nutrition assessment and counseling in an effort to prevent diarrhea, enhance utilization of food and nutrients and reach populations that might not be accessed through WASH programming channels.

D. Supportive Environments for Health: Strategic Framework

D.1 Objective

Approximately 80 percent of *Supportive Environments for Health* activities will focus on WASH and 20 percent will focus on IAQ.

The objective of *Supportive Environments for Health* is to support the further development, introduction, and delivery of high-impact interventions in the areas of WASH and IAQ, at sufficient scale to achieve:

- significant reductions in environment-related mortality and morbidity in children under five years old; and
- significant reductions in mortality and morbidity associated with infectious diseases of major public health importance in all age groups.

Supportive Environments for Health will address the leading environment-related risk factors for mortality in children, those that are causally related and/or associated with diarrheal disease, newborn infection, malnutrition, and pneumonia, including:

- inadequate water supply;
- unsafe drinking water;
- poor sanitation and hygiene behaviors; and
- poor indoor air quality from biomass-based cooking .

Supportive Environments for Health will help reduce these factors through the following key environmental health interventions:

- increased access to improved water sources to meet domestic needs;
- improvement in drinking water quality taken from those sources as well as at the point-of-use (POU);
- increased access to and use of sanitary facilities for human excreta disposal;
- increased and improved handwashing with soap; and
- increased use of alternatives to cooking with biomass fuels using traditional stoves and/or increased use of housing improvements to improve indoor air quality.

Many USAID Missions have initiated or expanded programming to provide basic access to an improved water source. Moving beyond basic service delivery through NGO projects, *Supportive Environments for Health* will use innovative approaches to expanding access and use of WASH services, such as promoting multiple use services (MUS) for water supply provision; development of innovative approaches for WASH financing; building the capacity of the local private sector for provision of WASH products and services; and institutional strengthening, especially at lowest levels of governance.

Having greatly expanded the use of household water treatment methods and safe storage during the past five years, *Supportive Environments for Health* will focus on promotion of new POU and storage technologies, as well as strategies to foster correct and sustained use of products.

Within the past two years, USAID has increased the number and quality of sanitation programs, including applications of community-led total sanitation and sanitation marketing in several countries. Continuing this trend, the implementation of innovative approaches to increase the use of sanitation at scale will be a priority of *Supportive Environments for Health*.

Due to the efforts of USAID in collaboration with global partners, there has been increased visibility of handwashing programming in multiple countries including national handwashing initiatives and the introduction of a yearly Global Handwashing Day on October 15, 2008. Next steps with *Supportive Environments for Health* will include rigorous impact evaluation of ongoing handwashing initiatives to monitor progress and identify best practices for further dissemination, introduction of national handwashing initiatives in new countries and the development of resources to facilitate improved handwashing programming.

D.2 Sub-Objectives

The sub-objectives of *Supportive Environments for Health* are: 1) Increase availability and use of proven high-impact WASH and IAQ interventions, including services, products, practices, and information; 2) Develop and implement strategies for integration of WASH and IAQ interventions into other health and non-health programs; 3) Support USAID's participation in strategic partnerships with other donors and cooperating agencies, and 4) Develop and test new and innovative approaches and tools for implementation of high-impact WASH and IAQ interventions. The illustrative activities shown for each sub-objective are meant to be suggestive of the kinds of activities to be implemented by the Recipient and are in no way meant to provide a comprehensive description of the *Supportive Environments for Health* program.

Sub-objective 1: Increase availability and use of proven high-impact WASH and IAQ interventions, including services, products, practices, and information.

- A. The Recipient will work in collaboration with USAID Bureaus and Missions and in consultation with GH to increase use and scale-up proven WASH and IAQ interventions that address country contexts, opportunities and constraints, based on available country-level data.
- B. The Recipient will work to engage host country governments, donors and development agencies, to leverage their efforts as part of country ownership and to achieve national-level impact.
- C. The Recipient, in collaboration with USAID Bureaus and Missions and in consultation with GH, will define specific, quantifiable performance results in terms of Mission strategies and the corresponding indicators and targets.

Illustrative Activities

- Coordinate across sectors (e.g., natural resources management, infrastructure development, or democracy and governance) to extend water services to unserved populations in both rural and urban areas

- Provide technical assistance to PVOs and local NGOs implementing water supply development activities, such as providing services or products for capping springs, protecting wells, repairing pumps, collecting rainwater, or providing community-based water treatment like sedimentation or chlorination
- Strengthen decentralized governance and ongoing water sector reform, especially at lower levels of governance (e.g., water service boards, municipal and district governments, water users associations, etc.)
- Identify the barriers to correct, consistent and sustained use of household water treatment options and how to overcome them
- Provide technical assistance and/or implement activities to introduce new options for ensuring the safety of drinking water and/or improve the quality and scale of POU programs at country level using existing platforms
- Develop commercial sector distribution channels for POU, including intersectoral collaboration for enterprise development, as well as community-based networks to further extend reach in rural areas

Sub-objective 2: Develop and implement strategies for integration of WASH and IAQ interventions into other health and non-health programs.

- A. As part of a strategy to increase the coverage and scale of proven interventions, the Recipient will develop and demonstrate new and innovative approaches and platforms for integrating WASH and IAQ into other health and non-health areas (e.g. HIV/AIDS, maternal and child health, neglected tropical diseases, climate change, education, food security, urban health).

Integrating WASH into HIV/AIDS service delivery (facility, community and household based) will continue to be an important area of emphasis. Attention will be paid to both the institutionalization of WASH within PEPFAR- its technical working groups, policies, guidelines and practices- as well as field-based implementation with evaluation.

- B. In keeping with the principles of the Global Health Initiative, the Recipient will identify appropriate opportunities for integration to both improve health impact and outcomes and increase programmatic synergy and efficiency. This is especially important in countries that deliver both basic health and environmental health interventions through community-based health worker programs.

Illustrative Activities

- Develop creative partnerships with other sector partners, both public and private, to increase the use of improved sanitation facilities at scale
- Improve access to sanitation facilities in public institutional settings such as schools, clinics, markets and transport hubs
- Identify innovative approaches to improve the quality of handwashing promotion programs (e.g., through public-private partnerships, schools, antenatal care platforms, enabling products and technologies, etc.)
- Integrate WASH into HIV/AIDS home, community, and facility-based care

Sub-objective 3: Support USAID's participation in strategic partnerships with other donors and cooperating agencies.

- A. The Recipient will actively engage in USAID-supported partnerships with other agencies with a common vision and approach to the environmental health areas addressed under *Supportive Environments for Health* as a vehicle for increasing both the quality and scale of program activities. *Supportive Environments for Health* will work with: the *Global Public Private Partnership for Handwashing (PPPHW)*, <http://www.globalhandwashing.org/>, the *Household Water Treatment and Safe Storage (HWTS) Network*, http://www.who.int/household_water/en/,

the WHO /UNICEF- sponsored *Joint Monitoring Programme for Water Supply and Sanitation (JMP)*, <http://www.wssinfo.org/> the *Water Supply and Sanitation Collaborative Council, (WSSCC)* <http://www.wsscc.org/> and the *Partnership for Clean Indoor Air (PCIA)*, <http://www.pciaonline.org>, as well as others identified over the course of implementation of *Supportive Environments for Health*.

- B. The Recipient will develop creative partnerships with other sector partners, both public and private, to increase the use of improved sanitation facilities at scale, e.g., pursue partnership opportunities with UNICEF, the World Bank Water and Sanitation Program, Bill and Melinda Gates Foundation, etc.
- C. The Recipient will engage in reaching policy consensus with external partners on key programming areas, e.g., policy consensus with UNICEF on best practices for integration of WASH interventions into MCH programs for comprehensive diarrheal disease control.
- D. The Recipient will work with USAID/Washington and Missions for participation in international and national fora, global and national advocacy activities, and for formulating and implementing relevant WASH policies.
- E. The Recipient will develop/identify, apply and transfer efficient approaches and strategies for achieving improved coverage and greater impact of WASH and IAQ interventions. This should necessarily involve building strategic partnerships with developing country institutions – both governmental and non-governmental – at the regional and national (and potentially sub-national) levels.

Illustrative Activities

- Develop creative partnerships with other sector partners, both public and private, to increase the use of improved sanitation facilities at scale
- Collaborate with the WSSCC's global advocacy and country-based activities under their Global Sanitation Fund
- Develop creative partnerships with other sector partners, both public and private, to identify and test cost effective approaches for implementing household energy interventions (e.g. Shell Foundation, World Bank, EPA and other USG agencies)

Sub-objective 4: Develop and test new and innovative approaches and tools for implementation of high-impact WASH and IAQ interventions.

The Recipient will conduct operations research and structured evaluation activities designed to demonstrate and document the effectiveness, cost-effectiveness and public health impact of new and existing WASH and IAQ interventions within this activity. Operations research and innovation will aim to build a rigorous evidence base for new interventions and approaches to address priority problems identified in collaboration with USAID. These may include: improving cost-recovery; reaching vulnerable populations; strengthening the evidence base on the potential health impact of increased access to a hygienic latrine for people living with HIV/AIDS; testing new POU delivery options; increasing sustainability.

Illustrative Activities

- Develop innovative approaches for WASH financing and building the capacity of the local private sector for provision of WASH products and services
- Develop the capacity of local entrepreneurs to market and sell POU, hygiene and sanitation products; enhance the capacity of female entrepreneurs to access credit
- Develop new and more effective sanitation strategies that focus on both triggering demand for improved sanitation and ending open defecation (e.g. *Community-Led Total Sanitation*) accompanied by *sanitation marketing* approaches to ensure that a sufficient supply of desirable and affordable sanitation options are available in the marketplace

- Develop, implement and document models for sustainable improvement in indoor air quality (through fuel, stove, or housing improvements, coupled with behavioral interventions)
- Develop new methods of incorporating the users' (predominantly women) perspective in the design, testing and evaluation of new stoves and/or housing improvements

D.3 Cross-cutting program approach

The elements of the cross-cutting program approach under which *Supportive Environments for Health* will operate are outlined below:

1. Framework for impact

Over the last decade USAID has developed a programming framework for achieving sustained impact in WASH related activities. *Supportive Environments for Health* shall also apply this framework in the WASH and IAQ arena: 1) *hardware and technologies*, such as safe and reliable water systems, hygienic sanitation facilities for households, communities and schools, and water disinfection products; 2) *behavior change* to build demand for services and products and to promote and sustain desired behaviors; and 3) an *enabling environment* that supports the sustainability of the other two pillars over the long term, and includes institutional capacity, financial access to services and products, supportive policies, and effective intersectoral collaboration including the private sector.

2. Healthy households and communities

Supportive Environments for Health will focus on the household and community as key focal points for change and for measuring impact. Households need to have access to an improved water source, have a means for ensuring that drinking water is of safe quality, use an improved sanitation facility, ensure that householders have the tools to practice effective handwashing and use them, and meet household energy needs for cooking without causing high levels of indoor air pollution. Communities need to have the institutions and infrastructure necessary to support households in these endeavors, including community water and sanitation infrastructure, supply of necessary products and services, relevant health services and appropriate promotion activities. With a focus on households and communities, *Supportive Environments for Health* will adapt program interventions to meet the special needs of rural, urban, and peri-urban settings.

Supportive Environments for Health will not always or necessarily directly engage households and communities. However, the approach will consider all three pillars of the framework for impact. *Supportive Environments for Health* will refine the approaches and interventions for achieving scale using a combination of hardware/technologies, behavior change, and enabling environment activities. For example, in some settings, the most effective approaches to achieving impact at the household level may have little to do with direct programming at that level, but rather focus on national policy (e.g. development of a national hygiene and sanitation strategy; removal of taxes and tariffs on point-of-use water treatment devices).

3. Behavior Change

Developing, implementing and evaluating innovative approaches for behavior change are essential program components for successful implementation of both WASH and IAQ interventions. *Supportive Environments for Health* will draw from a variety of strategies for promoting healthier practices in WASH and IAQ, including development of communication strategies, social mobilization, social marketing, community participation and empowerment. In keeping with the framework for impact outlined above, the Recipient will develop, implement and evaluate a behavior change strategy that motivates and facilitates improved behaviors and addresses critical behavioral determinant such as access to hardware.

4. Gender focus

Supportive Environments for Health requires gender considerations to play a key role in activity design, implementation and monitoring in both WASH and IAQ activities. Women and girls in developing countries bear significant economic, physical, and health burdens to provide water and fuel for their families on a daily basis. The time this takes could be spent instead on income-generating activities, education, and caring for the

family. In addition to time spent on chores such as fetching water and cooking, women face a more significant health burden with their increased exposure to indoor air pollution from cooking smoke. In addition, the absence of gender segregated latrines, the need for modesty as girls approach puberty, as well as the impact of waterborne illness, often prevent girls from attending school.

A gender focus incorporates responsiveness to the special needs, perspectives and abilities of women and girls within the proposed environmental health programs. In relation to WASH, this may include expansion of the role of women in decision-making and in their expanded access to assets, technology and microfinance (e.g., for purchase of hygiene and sanitation products). In addition, where appropriate and possible, gender-disaggregated data will be gathered and reported on the desired outcomes of the activity.

5. Building capacity

Capacity building in developing countries is a cross-cutting component of *Supportive Environments for Health*. *Supportive Environments for Health* will aim to increase the capacity of existing institutions to develop, implement, manage and monitor priority WASH and IAQ interventions, with a special focus on skill-building for effective behavior change. Target audiences may include community health workers and other development agents, health care providers, private sector partners as well as institutional strengthening and capacity building at lower levels of governance to support decentralized management of WASH at country level.

While the institutions involved in water supply, sanitation, hygiene, and indoor air quality improvement are diverse and may be different across the several intervention areas, one cross-cutting theme is the desire of USAID to utilize the capacity of developing country institutions for implementation of *Supportive Environments for Health*, wherever possible. These will include governmental organizations, non-governmental organizations, and commercial entities – at local, national, and regional levels.

6. Knowledge management

USAID's knowledge management mechanism for *Supportive Environments for Health* will be further developed by taking advantage of new technologies to better document and disseminate information and best practices. Knowledge management activities will comprise three components: communications, learning and training, and collaboration. The communications component will be used to enhance communications both internal to USAID and between USAID and external partners in the community-at-large. For example, internal communication may benefit from establishment of an E-Room as a collective repository of all project documents. External communication may include a web-site, various news feeds, bulletins, Google groups, audio/video tools and other modalities. To foster improved technical capacity among USAID staff in the Missions and colleagues in partner agencies, *Supportive Environments for Health* will sponsor web-based seminars (or webinars) and other learning events that are hosted in such a way that allows for real-time participation in events regardless of where presenters or participants are based. Increased collaboration among partners will be supported through "communities of practice" on topics such as integration of WASH into HIV/AIDS programming, sanitation and cholera prevention and response. USAID would like to continue to support currently popular knowledge management products and services, such as the news feeds on indoor air pollution, sanitation and urban health; Google groups on household water treatment and cholera; and the urban health bulletin.

7. Partnerships

Partnerships are critical to achieving the *Supportive Environments for Health* objective, as well as for the effective leveraging of USAID's human and financial resources for WASH and IAQ. *Supportive Environments for Health* will partner with host country governments, donor and development agencies, non-government organizations including local indigenous organizations, U.S. PVOs, private sector suppliers and providers of POU, hygiene and sanitation products, services, and information, and USAID Mission programs in all geographic regions. For example, it is anticipated that *Supportive Environments for Health* will foster creative partnerships with other donors and implementing agencies to better expand sanitation coverage and reach in targeted countries.

E. Geographic focus

Supportive Environments for Health will work in at least ten (10) of the thirty-one Maternal and Child Health (MCH) priority countries (see Annex A). *Supportive Environments for Health* should focus the major share of its resources in countries characterized by the following:

- high magnitude (number) and severity (rates) of diarrheal deaths among children under five years old;
- high magnitude (number) and severity (rates) of pneumonia deaths among children under five years old;
- commitment of the host country government to work with partners and civil society on WASH and prevention of diarrheal diseases (and, secondarily, on IAQ and prevention of pneumonia), and the opportunity to work with those partners on implementation;
- opportunity to develop models for sustainable improvement in indoor air quality where acute respiratory infections associated with indoor air pollution are prevalent;
- opportunity to interact synergistically with other resources, including other USG investments such as the Global Health Initiative, the Feed the Future Initiative, Climate Change Initiative, Presidential Initiative for Neglected Tropical Diseases, Title II, the Presidential Emergency Plan for AIDS Relief (PEPFAR), the Basic Education Initiative and OFDA programs, as well as those of other multilateral agencies, donors, and other international partners; and
- opportunity for effective leveraging of USAID resources against host country and other donor investments.

F. Monitoring and Evaluation

Supportive Environments for Health will require a robust monitoring and evaluation plan that includes defining specific and quantifiable performance indicators and targets for country programs, and reporting results. It is also anticipated that *Supportive Environments for Health* will test new and innovative approaches and tools for implementation of high-impact WASH and IAQ interventions and therefore require a framework for evaluating such innovations. With regard to behavior change, effective monitoring and evaluation will help to document the efficacy of specific behavioral interventions and contribute to the body of literature on best practices for promotion of improved WASH and IAQ practices (e.g. in urban settings, among vulnerable populations, etc.).

G. Personnel

Overall Personnel. The Recipient will provide personnel with an appropriate balance of skills sufficient to achieve the objective and sub-objectives of *Supportive Environments for Health*.

Key Personnel. The Recipient shall designate five key personnel for the following positions. The proposed Key Personnel must have the demonstrated ability to help address the objective and sub-objectives of the *Supportive Environments for Health* and to help implement state-of-the-art WASH and IAQ interventions.

1. **Project Director:** The Project Director will provide overall coordination of all project activities and staff. The Project Director will have the following required experience and qualifications:

- minimum of masters degree in environmental health or a related field;
- at least 10 years experience leading, managing and implementing large international projects for developing countries, indicating a good grasp and understanding of WASH and, preferably also IAQ, interventions;
- professional experience interacting with U.S. Government agencies.
- demonstrated experience working in partnership with international donors and agencies
- Preferred: at least 5 years professional experience working in developing countries

2. Deputy Project Director: The Deputy Project Director shall have the ability to act for and represent the Project Director, as necessary. The Deputy Project Director must have the following required experience and qualifications:

- minimum of masters degree in environmental health or a related field;
- a minimum of 5 years implementing and managing large international development projects indicating a good grasp and understanding of WASH and, preferably also IAQ, interventions;
- professional experience interacting with U.S. Government agencies.
- demonstrated experience working in partnership with international donors and agencies
- Preferred: at least 5 years professional experience working in developing countries

3. Technology and Innovation Specialist: The Technology and Innovation Specialist will focus directly on increasing the availability and use of proven high-impact WASH and IAQ interventions, including services, products, practices, and information in country programs. The Technology and Innovation Specialist must have the following required experience and qualifications:

- minimum of masters degree
- minimum of 5 years in-country experience in designing and managing WASH programs and innovations;
- demonstrated experience in moving key interventions from concept to pilot testing to large-scale rollout;
- demonstrated experience working in partnership with international donors and agencies
- Preferred: demonstrated experience with IAQ improvement programs at field level.
- Preferred: professional experience interacting with U.S. Government agencies.
- Preferred: professional experience working in developing countries

4. Behavior Change Specialist: The Behavior Change Specialist will be responsible for the design, implementation, monitoring and evaluation of behavior change programs in WASH areas drawing from a mix of approaches and strategies to achieve behavior change at scale. The Behavior Change Specialist must have the following required experience and qualifications:

- minimum of masters degree in public health, health or social sciences, communication design or a related field;
- demonstrated in-country experience successfully designing, managing, and evaluating the behavior change component of WASH programs; Preferred: minimum of 5 years experience
- demonstrated experience working in partnership with international donors and agencies
- Preferred: professional experience interacting with U.S. Government agencies.
- Preferred: demonstrated experience with behavior change in IAQ improvement programs.
- Preferred: professional experience working in developing countries

5. Knowledge Management Specialist: The Knowledge Management Specialist will collaborate with other key personnel as well as non key personnel to catalyze knowledge generation and documentation within the program. The Knowledge Management Specialist must have the following required experience and qualifications:

- minimum of masters degree in management of information systems, business, library science, or other field related to knowledge management;
- demonstrated in-depth experience identifying, documenting, and proposing best strategies for closing knowledge gaps;
- demonstrated organizational skills and ability to focus on details while maintaining an understanding of the overall scope of the program;
- demonstrated editorial skills that will ensure the quality of written materials and communications;
- strong oral and written communications skills in English, particularly the ability to translate technical issues for non-technical audiences.
- Preferred: professional experience interacting with U.S. Government agencies.
- Preferred: professional experience working in developing countries

Non-key Personnel: In addition to the Key Personnel, the Applicant must provide sufficient personnel, including professionals from developing countries and institutions, to help address the objective of the *Supportive Environments for Health*, to help implement state-of-the-art WASH and IAQ interventions, and to be available for short-, medium-, and long-term assignments. *Supportive Environments for Health* shall have sufficient staffing to address technical and administrative aspects that may include but not be limited to the following areas of expertise: technology development and evaluation, gender-based approaches, community mobilization, institutional and human resource development, private sector partnerships, monitoring and evaluation, and other skill areas required for implementation of *Sustainable Environments for Health*. The professional level-of-effort (LOE) assigned to professionals from developing countries and institutions should be at least 20% of the total LOE assigned to Non-key Personnel.

H. Planning, Reporting, and Communications

H.1 Annual Work plan

The Recipient is required to prepare and submit an annual work plan and detailed estimated budget associated with that work plan on a schedule established by the USAID Agreement Officer Technical Representative (AOTR) following the award. This plan will identify the activities to be carried out in the coming year, associated level of effort, and funding sources to be used for that work. A first draft of the Year One work plan will be due within sixty (60) days of the award of the Cooperative Agreement. This work plan shall be reviewed and USAID written comments forwarded to the Recipient within one month of submission, and then finalized by the Recipient no later than two (2) weeks after Recipient's receipt of USAID's written comments.

H.2 Monitoring and Evaluation Plan

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

H.3 Quarterly and Annual Status Reports

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

- Identify and relate the benchmarks and achievements, as identified in the applicant's annual monitoring and evaluation plan, of the three month period of the approved work plan;
- Provide status on relevant indicators identified in the monitoring and evaluation plan;
- Identify key problems or issues encountered, how they were or will be resolved, and, if/as required, recommended Mission-level intervention to facilitate their timely resolution;
- Include a brief summary of achievements during the concluding quarter towards planned targets; and
- Present succinct success stories and lessons learned for possible public dissemination.

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

H.4 Financial Reporting Requirements

Financial reporting requirements will be in accordance with 22 CFR 226. The implementer shall submit an original and two copies of completed form SF-269, SF 269A, SF-270 or SF0272, as appropriate, on a quarterly basis to AOTR and M/FM/CMP-LOC Unit.

H.5 Initial Environmental Examination (IEE)

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

An Initial Environmental Examination (IEE) has been approved for this Cooperative Agreement. The IEE covers activities expected to be implemented under this agreement. USAID has determined that a Negative Determination With Conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

As part of its initial Work Plan, and all Annual Work Plans thereafter, the applicant, in collaboration with the USAID Agreement Officer's Technical Representative (AOTR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

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

If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

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

H.6 Recipient/USAID Communications

Given the nature of *Supportive Environments for Health*, the need for regular ongoing communication between USAID and the Recipient is vital. Such communication may include face-to-face meetings at USAID/Washington DC headquarters, face-to-face meetings at Recipient offices, conference calls, email exchanges, etc. As such, the Recipient shall be available for on-site meeting at USAID/Washington DC within two business days notice.

I. Authorized Geographic Code

The authorized geographic code for sub-procurements of services under this award is 935. The authorized geographic code for procurement of communities is 000.

[END SECTION I]

SECTION II. AWARD INFORMATION

A. Anticipated Award Schedule

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

B. Estimate Funds Available

The estimated amount of funds available under the RFA is \$100 million. Pending the availability of funds USAID expects to award one cooperative agreement as a result of this RFA.

C. USAID Management of the Activities

The Agreement Officer's Technical Representative (AOTR) will serve as the primary contact between USAID and the Recipient. The AOTR will assist in linking *Supportive Environments for Health* with other projects, USAID Mission bilateral projects, and other donors/foundations.

D. Type of Award

The award will be a cooperative agreement as USAID will be substantially involved in the implementation of the selected program.

E. Substantial Involvement

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

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

[END SECTION II]

SECTION III – ELIGIBILITY INFORMATION

A. Eligibility Criteria

U.S.-based non-governmental organizations/private voluntary organizations are eligible to submit applications. Please note as stated in Section I.I the authorized geographic code for sub-procurements of services under this award is 935 which includes any area or country including the cooperating country, but excluding the foreign policy restricted countries. Therefore, sub-awardees may be non-US based organizations.

USAID welcomes applications from organizations which have not previously done business with USAID.

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

The Recipient must be a responsible entity. The AO may determine a Pre-Award survey is required and if so, would establish a formal survey team to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program.

B. Cost Share

USAID has established a cost share minimum of 10% of the Award's projected value (\$100 million) for the recipient of the 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 financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements, please see 22 CFR 226.23 at <http://ecfr.gpoaccess.gov> and search under Title 22 Foreign Relations

[END SECTION III]

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

A. Submission Instructions

The following are instructions for how Applications shall be submitted:

1. RFA Closing Date and Time: Applications shall be submitted on or **before 11:00 a.m. EST on Thursday, July 29, 2010**
2. 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 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. Plan accordingly. Applicants are responsible for ensuring timely delivery of applications.

Mailing Address:

US Agency for International Development
Office of Acquisition and Assistance
ATTN: Moyra Cassidy
M/OAA/GH, Rm. 7.09-10
1300 Pennsylvania Ave., NW
Washington, DC 20523-3700

Hand-Carried, or via Courier Service

US Agency for International Development
14th Street Guard Desk
Office of Acquisition and Assistance
ATTN: Moyra Cassidy
Ronald Reagan Building, 14th St
Washington, DC 20523-3700
Please use phone at the visitor's desk to contact: **Ms. Cassidy, ext. 2-4054**

3. 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:

Moyra Cassidy
Contract Specialist
1300 Pennsylvania Ave., NW
M/OAA/GH, Rm. 7.09-010
Washington, DC 20523-3700
(202) 712-4054
mcassidy@usaid.gov

Alternate Point of Contact
Contract Specialist
1300 Pennsylvania Ave., NW
M/OAA/GH, Rm. 7.09-094
Washington, DC 20523-3700
(202) 712-5421
pbradley@usaid.gov

4. Questions shall be submitted in writing via email to the Point of Contact listed above, no later than **COB June 28, 2010**
5. 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.

B. 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 2003 or Microsoft Excel 2003 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 not exceed forty-five **(45) pages** excluding documents requested to be provided in an annex (e.g. resumes, references, etc.) and the following (if applicable): Cover page, dividers, acronym list and table of contents. Applications in excess of this limit will not be evaluated.
 - c. Shall be singled-spaced text, printed double-sided, minimum 12-point font, minimum one (1") margins.
 - d. Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the **45** page limit.
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

The applicant shall submit a technical application that addresses the items listed below and that is organized in the order described below.

Suggested page limits for each section of the technical application are provided for guidance, but Applicants may choose the number of pages to devote to each section, within the forty-five **(45) page limit** of the technical application as stated above.

1. **Personnel (Suggested 10 pages)**

a. Overall Personnel: The applicant shall provide a brief narrative describing how all proposed personnel (Key personnel and Non-key personnel) offer an appropriate balance of skills sufficient to achieve the objective and sub-objectives of *Supportive Environments for Health*.

b. Key Personnel: The Applicant shall propose five key personnel as described in Section I.G Personnel. The applicant shall include a matrix summarizing the following information about each key personnel:

- Name and proposed position title and level of effort and date the proposed individual is available to begin work
- Description of major duties and responsibilities
- Description of experience and qualifications

Additionally in an annex, the applicant shall provide all the following information for each Key Personnel: resume, a minimum of three references for each Key Personnel (provide name and contact information of each reference), and signed letter of commitment which include the date the proposed Key Personnel is available to begin work.

c. Non-key Personnel:

In addition to the Key Personnel, the applicant shall propose individuals as described in Section I.G Non-key Personnel. The applicant shall provide a matrix summarizing the following information about all Non-key Personnel: name, percent of time each person would work on *Supportive Environments for Health*, the organization from which each person comes, the person's position title, and area(s) of expertise. In an annex, the applicant shall provide a resume for each Non-key Personnel proposed to work 50% or greater time on *Supportive Environments for Health*.

2. **Technical Understanding and Approach (Suggested 20 pages)**

The Technical Understanding and Approach shall demonstrate the applicant's understanding and expertise with respect to achieving the objective, sub-objectives, and cross-cutting programming approach of *Supportive Environments for Health*, provided in Section I. Applicants should recall that approximately 80 percent of Supportive Environments for Health shall focus on WASH and 20 percent shall focus on IAQ; see Section I.

The Technical Understanding and Approach section shall include the following below:

- Overall Approach
- Sub-Objectives Approach
- Cross-cutting Program Approach

The applicant is requested to include in the Technical Understanding and Approach section the following information: the proposed project title, RFA Number, name of organization(s) submitting application, contact person, telephone and fax numbers, e-mail, and address.

The applicant is also requested to include in the Technical Understanding and Approach section a list of all acronyms used in the application, which provides both the acronym and what it stands for. Applicants are requested to consistently spell out the first use of each acronym in the technical application. This acronym list shall not count toward the technical application page limit.

a. **Overall approach**

The Overall approach shall describe:

- how *Supportive Environments for Health* will strategically address the most important opportunities and challenges to achieving the objective and sub-objectives in at least ten countries from those listed in Annex A, per criteria in Section I.E Geographic Focus.

- how *Supportive Environments for Health* will work in the USAID context for environmental health.
- how to ensure data-driven decision-making processes with respect to country programs;
- how issues of political, programmatic and financial sustainability can be addressed;
- how partnerships with the international, regional, and local private for-profit sector can be used to leverage USAID resources and achieve greater impact in WASH and IAQ;
- how the knowledge management activities of *Supportive Environments for Health* will be used to enhance communication (both internal to USAID and between USAID and external partners and the community-at-large) to foster improved technical capacity among users and partner agencies, and to increase collaboration among all stakeholders in improving WASH and IAQ; and
- plans for effective engagement of USAID Missions, including during the start-up phase of the project.

b. Sub-Objectives Approach

The Sub-Objectives approach shall describe the following:

Sub-objective 1: Increase availability and use of proven high-impact WASH and IAQ interventions, including services, products, practices, and information.

For WASH, Applicants shall describe:

- Expected results in advancing WASH interventions in the *Supportive Environments for Health* program context;
- An approach to country-level partnerships to leverage USAID resources and provide opportunities for larger-scale WASH impact;
- A minimum of three illustrative activity descriptions for the development, introduction, and scale-up of new and proven WASH interventions, including objective, planning process, means of implementation, and monitoring plan;
- Approach to determining and meeting technical assistance requirements;
- Barriers/constraints that could hinder progress and scale-up, and the suggested solutions;
- How assistance can be delivered to bilateral programs, NGOs and other indirect channels

For IAQ, Applicants shall describe:

- Feasible and effective technical activities for the development and introduction of IAQ interventions;
- An approach to country-level partnerships to leverage USAID resources and accelerate development and introduction of IAQ interventions
- Barriers/constraints to scaling up IAQ programming in developing country contexts;
- Proposed results, indicators and targets for results to be achieved over the life of *Supportive Environments for Health*

Sub-objective 2: Develop and implement strategies for integration of WASH and IAQ interventions into other health and non-health programs.

For WASH, Applicants shall describe:

- Areas for integration across other health (see, for example, section I.B.4) and non-health programs (e.g. education, etc.);
- A one-to-two-page illustrative activity description that demonstrates one example of integration to be pursued; and

For IAQ, Applicants shall describe:

- Strategies for integration of IAQ interventions with WASH as well as other health and non-health sectors

Sub-objective 3: Support USAID's participation in strategic partnerships with other donors and cooperating agencies.

For WASH, Applicants shall describe:

- Proposed partnerships to leverage USAID resources, including specific approaches to networking with a wide range of WASH stakeholders in the public and private sectors at the global, national and local levels;
- Specific approaches and mechanisms for synthesizing and transferring local project results, best practices and lessons into national level WASH policy and programs as well as using results to inform global policies;

For IAQ, Applicants shall describe:

- Proposed partnerships to leverage USAID resources, including specific approaches to networking with a wide range of IAQ stakeholders in the public and private sectors at the global, national and local levels;
- Specific approaches and mechanisms for synthesizing and transferring local project results, best practices and lessons into national level IAQ policy and programs as well as using results to inform global policies;

Sub-objective 4: Develop and test new and innovative approaches and tools for implementation of high-impact WASH and IAQ interventions.

Separately for WASH and IAQ, Applicants shall describe:

- Approach to support and strengthen the identification and evaluation (effectiveness and cost-effectiveness) of innovations in programming for generating credible evidence for national and global stakeholders;
- Approaches and mechanisms for transferring program evidence from innovations among countries and international partner organizations and introducing it into policy and programs;
- How country-based service delivery and research institutions could be utilized and strengthened as part of the sub-objective; and
- How such efforts will be coordinated with other innovation activities, including but not necessarily limited to those funded by USAID.

c. Cross-cutting program approach

The Cross-cutting program approach shall describe how the following will be integrated and used in the design of *Supportive Environments for Health* :

- Framework for impact
- Healthy households and communities
- Behavior Change
- Gender Focus
- Building Capacity
- Knowledge Management
- Partnerships

3. Monitoring and Evaluation Plan (Suggested 4 pages)

The Monitoring and Evaluation Plan shall: (1) address the overall program objective and sub-objectives; (2) have measurable, achievable and time-phased results; (3) focus on programmatic outcome/impact; (4) specify how often evaluation will be conducted; and (5) discuss how the results of the evaluation and lessons learned will be used on an on-going basis during project implementation. Evaluation should be designed and implemented at the beginning of the project and occur throughout the project. An indicator table with illustrative mid-project and end-of-project targets should be included in an annex.

4. Management Plan (Suggested 8 pages)

The Applicant shall propose a Management Plan to address the breadth, depth and technical areas required to successfully undertake *Supportive Environments for Health*. Where more than one partner is presented in the applications, the management plan shall address the definition of the relationships among the partners, whether as sub-awardees of the prime Applicant or in another arrangement.

The management plan shall include the following elements:

A. Two organizational charts, as follows:

- One chart shall describe the roles and responsibilities and manner in which external communication with USAID headquarters and field missions, other donors and stakeholders (e.g. other USG agencies, private foundations, international organizations, development partners), and other USAID-supported activities will be conducted.
- The second chart shall be an internal organizational chart that describes the roles and responsibilities and lines of authority and reporting of the Applicant, including both technical and administrative.

B. One Narrative, to accompany both charts, which address both charts, as follows:

- Discuss how responsibilities will be assigned and managed across all operational units that will contribute to *Supportive Environments for Health*, including both those within the overall organizational structure of the Applicant as well as any named sub-Awardees, addressing how each will be utilized to take advantage of their strengths.
- Specify the management and administrative arrangements for overall implementation of *Supportive Environments for Health*, including lines of authority, communications, and reporting.
- Describe lines of communication and liaison with USAID, including both the headquarters based AOTR and field-based USAID staff in missions.
- Describe how the Applicant will coordinate with other organizations, as well as other USG agencies, international organizations, and development partners that are working in subject area of *Supportive Environments for Health*.
- Describe effective and efficient management practices, including approaches to cost containment, avoidance of duplication of effort, and use of technology.

C. Plan to Engage Partners, as follows:

- The Applicant shall describe a plan for engaging local and regional developing country organizations in implementation of *Supportive Environments for Health*, including specification of agreed roles. Signed letters acknowledging intent to collaborate shall be provided in an annex.

5. Institutional Capability (Suggested 3 pages)

The applicant shall provide information on Institutional Capability, as follows:

- Demonstrate how applicant (and any proposed partners or sub-RecipientsAwardees) possess the array of skills needed to effectively and efficiently implement *Supportive Environments for Health*, address the issues within the scope of *Supportive Environments for Health*;in terms of producing results and innovations in environmental health in developing countries (in the context of the objectives of *Supportive Environments for Health*)
- Demonstrate the ability of the applicant (and any proposed partners or sub-Awardees) to work with multiple partner organizations
- Demonstrate the ability of the applicant (and any proposed partners or sub-Awardees) to plan, implement, and support complex programming and the range of activities of *Supportive Environments for Health*.

6. Past Performance (note: all material to be provided in an annex and does not count toward the 45 page limit)

This section of the application provides information about the applicant's past performance record in implementing similar programs.

As an annex, please complete past performance information (form attached at Annex D) for three (3) past performance references which describe any contracts, grants, or cooperative agreements which the applicant organization, as well as any substantive sub-grantee partners, has implemented involving similar or related programs over the past three years. Please 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 named in this application.

D. Cost/Business Application

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

The cost/business application must be completely separate from the technical application. 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/.

The cost/business application should be for a period of 5 years using the budget format shown in the SF-424A. The anticipated amount of the award is \$100 million. In addition to hard copies, technical and Cost/Business applications must be submitted on separate CDs in MS Word 2000 or latest versions. Graphic/tables must be formatted in Microsoft Excel 2000 (or later versions).

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the document establishing the parameters of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicants including identification of the Applicant with which USAID will treat for purposes of Agreement administration, identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

New Recipients: Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual and procurement/management handbook relating to personnel and travel policies.

To support the proposed costs, please provide detailed budget notes/narrative for all costs that explain how the costs were derived. The following provides guidance on what is needed.

1. The breakdown of all costs associated with the program.
2. The breakdown of all costs according to each partner organization involved in the program.
3. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
4. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this program.
5. Potential contributions of non-USAID or private commercial donors to this program.
6. Procurement plan for commodities, goods and services (if applicable).

The cost application should contain the following budget categories:

1. Salary and Wages: Direct salaries and wages should be proposed in accordance with the applicant's personnel policies;
2. Fringe Benefits: If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries;
3. Travel and Transportation: The application should indicate the number of trips, domestic, regional, and international, and the estimated costs. Specify the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per Diem should be based on the Applicant's normal travel policies;
4. Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity);
5. Supplies: Supply items related to this activity (e.g., specimen collection, sample transport, administrative);
6. Contractual: Any goods and services being procured through a contract mechanism;
7. Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc. The narrative should provide a breakdown and support for all other direct costs;
8. Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information for USAID 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.

[END SECTION IV]

SECTION V. APPLICATION REVIEW INFORMATION

A. Overview

The criteria listed below are presented with relative weights (totaling 100%) as indicated, so that Applicants will know which areas require emphasis in applications. Unless otherwise indicated, all sub-criteria will be evaluated with equal level of importance.

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

The Government intends to evaluate applications and award a cooperative agreement without discussions with Applicants. Therefore, each initial offer should contain the Applicant's best terms from a cost or price and technical standpoint. However, the Government reserves the right to conduct discussions if later determined by the Agreement Officer as necessary. USAID Technical Evaluation Committee (TEC) will review and evaluate the written components of the application in accordance with the evaluation criteria.

B. Acceptability of Proposed Non-Price Terms and Conditions

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

C. Adjectival Rating

Applications for the activity will be evaluated based on adjectival ranking for overall application and each section of the application, respectively. The following adjectives will be used in assessing the criteria set forth: outstanding, very good, good, marginal, and unacceptable. The assignment of a rating within the bounds of "unacceptable" indicates that in terms of the overall application and/or specific application sections the application fails to meet performance or capacity standards.

D. Technical Application Evaluation Criteria

The Technical application will be evaluated on the basis of the following factors: Personnel; Technical Understanding and Approach; Monitoring and Evaluation Plan; Management Plan; Institutional Capability; and Past Performance.

1. Personnel (25%)

The sub-criteria within Personnel will be evaluated in descending order of importance.

A. Key Personnel. The extent to which each proposed key personnel: have or exceed the requisite experience and qualifications, and has appropriately described duties and responsibilities to meet the objective and sub-objectives of the *Supportive Environments for Health*.

B. Non-key Personnel. The extent to which the proposed Non-key Personnel demonstrate the capacity to meet the objective and sub-objectives of the *Supportive Environments for Health* and meet or exceed the

minimum of 20% of the total professional LOE for Non-key Personnel drawn from developing countries and institutions.

C. Overall Personnel. The extent to which the proposed personnel offer an appropriate balance of skills sufficient to achieve the objective and sub-objectives of *Supportive Environments for Health*.

2. Technical Understanding and Approach (25%)

The sub-criteria B. Sub-Objectives will be evaluated at a higher level of importance than the other two sub-criteria.

A. Overall Approach. The extent to which the Applicant's Overall Approach addresses the factors listed in Section IV.B.2.a Overall Approach, is innovative, technically sound, and specific, and demonstrates the Applicant's understanding and expertise with respect to achieving the objective, sub-objectives, and cross-cutting programming approach of *Supportive Environments for Health*. Applicants are reminded that the anticipated breakdown of activity within *Supportive Environments for Health* is 80% for WASH and 20% IAQ.

B. Sub-Objectives. The extent to which the Applicant's Sub-Objectives Approach addresses the factors listed in Section IV.B.2.b Sub-Objectives Approach, is innovative, technically sound, and specific, and demonstrates the Applicant's understanding and expertise with respect to achieving the objective, sub-objectives, and cross-cutting programming approach of *Supportive Environments for Health*, as well as Section I.D.2 Sub-Objectives. Applicants are reminded that the anticipated breakdown of activity within *Supportive Environments for Health* is 80% for WASH and 20% IAQ.

C. Elements of the cross-cutting program approach. The extent to which the Applicant's cross-cutting program approach demonstrates understanding and ability to integrate and use the elements of the cross cutting programming approach, as described in Section I.D.3 Cross-cutting program approach, in the design of *Supportive Environments for Health*.

3. Monitoring and Evaluation Plan (10%)

The degree to which the monitoring and evaluation plan demonstrates an understanding of the issues and challenges associated with monitoring and evaluation of planned activities; presents a clear description of the process of translating lessons learned and monitoring and evaluation data into project implementation on an ongoing basis, including specification of the timing of evaluations; and has measurable, achievable and time-phased indicators and targets for the expected results under the objective and sub-objectives, specified at mid-project and end-of-project and including means of measurement.

4. Management Plan (20%)

A. Organizational Charts. The extent to which the applicant's organizational charts present an efficient organizational structure, in terms of stated roles and responsibilities, demonstrated clear and coherent lines of authority and reporting, and describes effective means of interaction with partner organizations, as applicable.

B. Narrative. Extent to which the applicant's Narrative presents a clear and efficient management plan for implementing and accomplishing the objective of *Supportive Environments for Health*, in terms of addressing the instructions in Section IV.B.4. and presenting a realistic method for minimizing excess costs.

C. Plan to engage partners. The extent to which applicant's Plan to engage partners describes an innovative and comprehensive plan, in terms of addressing the instructions in Section IV.B.4.c. and engaging local and regional developing country organizations in implementing of *Supportive Environments for Health*.

5. Institutional Capability (10%)

- A. Extent to which the Applicant (and any proposed partners or sub-Recipients) demonstrates the capability to effectively and efficiently implement *Supportive Environments for Health*, in terms of addressing the instructions in Section IV.B.5.
- B. Extent to which the Applicant (and any proposed partners or sub-Recipients) demonstrates ability in using multiple partner organizations
- C. Extent to which the Applicant (and any proposed partners or sub-Recipients) demonstrates ability to plan, implement, and support complex programming and the range of activities of *Supportive Environments for Health*, in terms of addressing the instructions in Section IV.B.5.

6. Past Performance (10%)

Information obtained demonstrates successful past performance implementing previous work similar in scope.

[END SECTION VI]

SECTION VI. AWARD AND 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

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 subawards.

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

(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 also will 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 subawards.

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 subagreement.

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

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

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

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

Technical Assistance means the provision of funds, goods, services, or other foreign assistance, such as loan guarantees or food for work, to developing countries and other USAID recipients, and through such recipients to 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 subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient's, other donor's, or any other third party's identity or logo.

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

(5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.

(6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government's identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.

(7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.

(8) The Agreement Officer may require a pre-production review of USAID funded public communications and program materials for compliance with the approved Marking Plan.

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

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, 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 subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

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

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

(11) The recipient will provide the 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 with the time specified by the Agreement Officer may be considered as noncompliance with the requirements is provision.

(d) Waivers.

(1) The recipient may request a waiver of the Marking Plan or of the marking requirements of this provision, in whole or in part, for each program, project, activity, public communication or commodity, or, in exceptional circumstances, for a region or country, when USAID required marking would pose compelling political, safety, or security concerns, or when marking would have an adverse impact in the cooperating country. The recipient will submit the request through the Agreement Officer's 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 subawards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

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

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 subawards.

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 proposal 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.

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.

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

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

Primary Point of Contact:

Moyra Cassidy

M/OAA/GH, Rm. 7.09-10

1300 Pennsylvania Ave, RRB

Washington, DC 20523

Email: mcassidy@usaid.gov

Alternate Point of Contact

Patricia Bradley

M/OAA/GH, Rm. 7.09-94

1300 Pennsylvania Ave, RRB

Washington, DC 20523

Email: pbradley@usaid.gov

The Applicant shall refer to Section IV for instructions on submitting questions and applications.

[END SECTION VII]

SECTION VIII – OTHER INFORMATION**A. USAID Rights and Funding**

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

B. Applicable Regulations & References

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

[END SECTION VIII]

ANNEX A: COUNTRY DATA FOR USAID MCH PRIORITY COUNTRIES

	U5MR (2008) ¹	MDG U5MR target (2015) ²	Total under- five deaths in 2008 (thousands) ¹	DD Fraction of under-5 mortality ³	Estimated Total DD deaths (thousands) ^{1,3}	% access to improved water ¹	% access to improved sanitation ¹
Africa							
Benin	121	62	39	0.16	6.1	65	30
DR Congo	199	68	554	0.18	99.2	46	31
Ethiopia	109	68	321	0.17	54.6	42	11
Ghana	76	42	55	0.10	5.7	80	10
Kenya	128	32	189	0.15	28.9	61	43
Liberia	145	78	20	0.15	3.0	61	27
Madagascar	106	56	71	0.17	12.1	50	34
Malawi	100	80	56	0.19	10.4	76	60
Mali	194	83	100	0.18	18.0	60	45
Mozambique	130	78	110	0.14	15.0	43	32
Nigeria	186	63	1077	0.14	145.4	48	44
Rwanda	112	59	41	0.22	9.0	65	48
Senegal	108	49	49	0.20	9.8	76	57
Sudan	109	40	138	0.13	18.1	70	34
Tanzania	104	54	175	0.13	22.6	62	47
Uganda	135	53	190	0.16	29.5	60	43
Zambia	148	63	77	0.15	11.8	58	55
Asia							
Afghanistan	257	87	311	0.24	75.6	22	30
Bangladesh	54	48	183	0.21	38.4	74	39
Cambodia	90	38	32	0.20	6.5	41	17
India	69	41	1830	0.20	362.3	86	33
Indonesia	41	30	173	0.13	22.7	77	55
Nepal	51	48	37	0.24	9.0	89	27
Pakistan	89	43	465	0.13	61.4	91	59
Philippines	32	22	73	0.14	10.4	85	72
Tajikistan	64	26	12	0.16	1.9	59	51
Yemen	69	47	57	0.17	9.7	66	46
LAC							
Bolivia	54	40	14	0.19	2.6	86	43
Guatemala	35	27	15	0.15	2.3	96	84
Haiti	72	50	19	0.17	3.2	54	30
Europe and Eurasia							
Azerbaijan	36	35	6	0.20	1.2	78	80

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

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

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

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

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

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

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

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

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

This survey can be found at the following website:

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

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

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

\$ _____

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

TYPE/ DESCRIPTION (Generic)	QUANTITY	ESTIMATED UNIT COST
-----------------------------	----------	---------------------

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

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

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

(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.

REGULATIONS & REFERENCES

A. 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

ANNEX D

PAST PERFORMANCE INFORMATION

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

INITIAL ENVIRONMENTAL EVALUATION

INITIAL ENVIRONMENTAL EXAMINATION

IEE Number: GH-10-020

Program Number:

Country/Region:

Functional Objective:

Program Areas:

Program Elements:

Funding Begin:

Funding End:

LOP Amount: 4,390,000.00.

IEE Prepared By

Current Date:

IEE Amendment (Y/N): N If "yes", Number & date of original IEE.

Program/Activity Number:

Program Activity Title:

Dated:

ENVIRONMENTAL ACTION RECOMMENDED:

Categorical Exclusion: Negative Determination: X

Positive Determination: Deferral:

ADDITIONAL ELEMENTS: (Place X where applicable)

CONDITIONS: X PVO/NGO: X

SUMMARY OF FINDINGS:

This amended IEE makes threshold determinations for.

The most restrictive determination for the activities proposed is a **Negative Determination**, per 22 CFR 216.3 (a)(2)(iii), **with conditions**, indicating that the proposed activities will not have a significant effect on the environment, but that mitigating actions must be taken.

Based on the use of a proactive approach, incorporation of appropriate mitigation measures and the monitoring plan specified in this IEE the following environmental determinations are recommended:

2. A Negative Determination with conditions is recommended for the following activities pursuant 22 CFR 216.3 (a)(2)(iii):

b) potable water supply and sanitation and other activities with potential to have a negative impact on physical or biophysical environment. The conditions include the application of best engineering and environmental practices, as laid out in the guidelines from the *Africa Bureau's environmental guidelines for small-scale activities in Africa*. See Section 4.1 for additional conditions.

See Table 2 at the end for a Summary of Threshold Decisions Recommended Determinations and Mitigation Conditions for Activities.

As required by ADS 204.5.4, the Mission team must actively monitor activities for compliance with approved IEE recommendations, and modify or end activities that are not in compliance. If additional

activities are added to this program, which are not described in this document, an amended IEE must be prepared. The cognizant USAID team will also ensure that provisions of the IEE concerning mitigative measures and the conditions specified herein along with the requirement to monitor be incorporated in all implementation instruments and sub-agreements issued under these instruments.

It is anticipated that no significant negative impacts will be associated with the proposed action for indoor air quality.

Should any supplemental awards be made, a supplemental IEE is required to be submitted prior to award. Any sub project or activity is required to submit a completed ESR prior to sub project/activity implementation.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

CLEARANCE:

Office Director: 
Richard Greene

Date: 5 / 25 / 2010

CONCURRENCE:

Bureau Environmental Officer: 
Teresa Bernhard

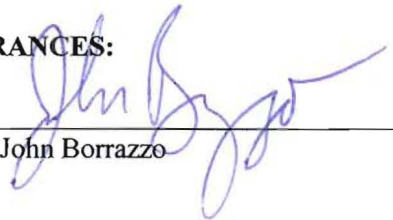
Date: 5 / 26 / 2010

Approved: 

Disapproved: _____

File No:

ADDITIONAL CLEARANCES:

MCH Division Chief: 
John Borrazzo

Date: 5 / 25 / 2010

INITIAL ENVIRONMENTAL EXAMINATION

PROGRAM/ACTIVITY DATA:

Program/Activity Number:

Country/Region: Global

1.0 BACKGROUND AND PROJECT DESCRIPTION

1.1 Purpose and Scope of IEE

The purpose of this document is to evaluate the environmental impacts of the proposed action. If additional activities not covered by this document are proposed a Supplemental IEE or Environmental Screening Form will be completed by the AOTR and/or the implementing partner and submitted to the Mission Environmental Officer (MEO) and GH BEO to ensure that the activities and conditions in this IEE still apply. In the event that any new proposed activity differs substantially from the type or nature of activities described here, or requires different or additional mitigation measures beyond those described, this IEE will be amended and cleared by the REA and BEO.

1.2 Background

The goal of the overall EH Activity is to reduce mortality and morbidity in children under five years of age, as well as mortality and morbidity associated with infectious diseases of major public health importance. To achieve this goal, the EH Activity supports increased coverage of priority interventions that reduce exposure to agents of disease and to hazards which exacerbate disease, focusing on improvements in key behaviors and environmental conditions. Supportive Environments for Healthy Households and Communities (“Supportive Environments”) will be the principal GH activity to help meet these objectives. The award will be designed to support USAID programs in achieving sustainability, scale, and public health impact by improvements in key behaviors and environmental conditions. The activity will address the leading environment-related risk factors for mortality in children - *inadequate water supply, sanitation, and hygiene* (WASH) (causally related to diarrheal disease, newborn infection, and malnutrition) and *poor indoor air quality* from biomass-based cooking (associated with pneumonia in children) by focusing on the following key EH interventions:

- Increased access to improved water sources to meet domestic needs;
- Improvement in drinking water quality taken from those sources as well as at the point of use (POU);
- Increased access to and use of sanitary facilities for human excreta disposal;
- Increased and improved handwashing with soap; and
- Increased use of alternatives to cooking with biomass fuels using traditional stoves to improve indoor air quality.

1. Overarching Program Approach

Supportive Environments will build on USAID's achievements in environmental health programming over the past three decades – these have largely focused on WASH, although the overall approach has been informed over the years by other environmental health issues that have from time-to-time been part of USAID's EH portfolio, such as indoor air quality improvement and vector management. Programmatically, achieving sustained impact for the prevention of diarrheal disease through improved WASH-related services and behaviors has relied on three pillars: *hardware and technologies*, such as safe and reliable water supplies, clean and private sanitation facilities for households, communities and schools, and water disinfection products; *behavior change* to build demand for services and products and to promote and sustain desired behaviors, with elements such as social marketing, community mobilization, promotion in schools and health clinics; and an *enabling environment* that supports the sustainability over the long term of the other two pillars, and includes strong institutional capacity, financial access to services and products, cost recovery for sustainable service provision, supportive policies, effective intersectoral collaboration and a viable private sector role.

Within this framework, Supportive Environments will focus on the household and community as key focal points for change and for measuring impact. Households need to have access to an improved water source, have a means for ensuring that drinking water is of safe quality, use an improved sanitation facility, ensure that caregivers have the tools to and do actually practice effective handwashing, and meet household energy needs for cooking without high levels of indoor air pollution. Communities need to have a means of supporting households in these endeavors, including community sanitation infrastructure, supply of necessary products and services, and appropriate promotion activities.

It is important to emphasize that Supportive Environments will not always or necessarily directly engage households and communities. Rather, a systems approach that considers all three pillars will be applied. As a GH project, the bulk of core effort will be devoted to refining the approaches and interventions for achieving scale using the combination of hardware/technologies, behavior change, and enabling environment activities. For example, in some settings, the most effective approaches to achieving impact at the household level may have little to do with direct programming at that level, but rather focus on national policy (e.g. removal of taxes and tariffs on point-of-use water treatment devices).

Supportive Environments will work across sectors to develop innovative approaches to extending safe water and sanitation services to unserved populations in both rural and urban areas. The implementation of innovative approaches to increase the use of improved sanitation facilities at scale will be a priority of the new activity. Consistent with current best practice, Supportive Environments will take a behavior-centered approach for developing new and more effective sanitation strategies that focus on triggering demand for improved sanitation and ending open defecation. Activities to increase demand for sanitation, such as *Community-Led Total Sanitation*, will be accompanied by *sanitation marketing* approaches to identify desirable and affordable sanitation options and work with private sector providers to ensure that they are available in the marketplace. Complementary efforts to create an enabling environment may include support for development of a national hygiene and sanitation policy; facilitating the financial instruments needed to enable a household to purchase sanitation goods and services on credit as well as institutional strengthening and capacity building, especially at lower levels of governance, to improve service delivery. While each of these components may be manifested differently in rural and urban areas, Supportive Environments will also include a focus on the sanitation and hygiene conditions of the urban poor, for whom the health consequences of inadequate services can be severe, given the increased population densities and efficient disease transmission routes.

For water supply, Supportive Environments will focus on technical assistance to locally-implemented water supply activities, such as provision through protected wells or other improved supply. Such work will typically need take place within the broader context of water resources management, institutional development and support for operation and maintenance activities which will require outreach beyond health programming as well as the scope of Supportive Environments and collaboration with natural resources management, infrastructure development, or democracy and governance programs – both inside and outside USAID. Supportive Environments will also improve WASH in public institutional settings such as schools, clinics, markets and transport hubs not only as conduits to

influence behaviors/norms at the household and community levels, but also as community settings of importance for environmental health outcomes in their own right.

Interventions to increase access to essential hardware and technologies will include support of the public and private sectors to improve the availability and access to water and sanitation products and services. For example, having greatly expanded the use of household water treatment methods and safe storage during the past five years, the new award will focus on deployment of new POU technologies, strategies to foster correct and sustained use of products, and development of commercial sector distribution channels, including intersectoral collaboration for enterprise development as well as community-based networks to further extend reach in rural areas.

The new activity will also develop and refine interventions in areas not extensively addressed in current USAID health programs, especially poor indoor air quality from indoor cooking with biomass fuels – a problem in both rural and urban areas. Strategies to reduce indoor air pollution may include switching from bio-mass fuels to cleaner fuels, improving the design and construction of locally made traditional stoves and changes in the living environment, such as improvements in ventilation. It is anticipated that programmatic approaches for improving indoor air quality will have considerable overlap with WASH approaches, including the need for the three “pillars” (access to hardware/technologies/products, promotion activities to build demand and change behavior, and a supportive enabling environment). Supportive Environments will work to engage host country governments, donors and development agencies and leverage their efforts as part of country ownership and to achieve national-level impact. The award will be designed to accommodate increases in funding that could arise with new environmental health-related appropriations, such as potential increases in funding to the water earmark.

2.0 COUNTRY AND ENVIRONMENTAL INFORMATION

2.1 Locations affected

Activities under EH program take place in any of the USAID mission countries or in countries covered by USAID Regional missions. National Environmental procedures are detailed in national policies and must be implemented. Applicable country and environmental information will be detailed for each Associate Award in the Supplemental Initial Environmental Examination that is required before implementation of activities. The global nature of this award requires that potential site specific impacts are assessed at the project workplan level. As such a Supplemental IEE (Sub awards) or an Environmental Screening Report (ESR) for sub projects/activities will be developed and processed with the GH BEO. Further, discussion of the EH program are to be detailed in Strategic Objective Level Country Health IEEs. Close coordination of MEOs is required for these implementation requirements.

3.0 EVALUATION OF PROJECT/PROGRAM ISSUES WITH RESPECT TO ENVIRONMENTAL IMPACT POTENTIAL

b) Development and rehabilitation of potable water supplies and sanitation facilities

The human health benefits of water and sanitation activities are enormous, and generally far outweigh any potential negative impacts of such activities. Still, the potential for adverse environmental impacts from water and sanitation activities exists, and it is the responsibility of program designers and implementers to avoid such impacts to the extent possible. See Table 1.

Table 1. Possible water supply and sanitation activities/programs and related potential environmental impacts.

Activity/ Technology	Potential Impacts <i>The activity or technology may. . .</i>
General	
Site selection (P&D)	○ Damage sensitive ecosystems or endangered species.
Construction of buildings and structures (C)	○ Damage sensitive ecosystems or endangered species. ○ Cause erosion and sedimentation.
Soakways and drains	○ Cause erosion. ○ Alter the natural flow of rainwater runoff. ○ Create pools of stagnant water.
Water Supply Facilities	
Hand-dug wells, seasonal ponds, improved springs, ground-level catchment and similar structures	○ Contaminate water with human pathogens.
	○ Contaminate water with animal manure. ○ Create pools of stagnant water. ○ Exhaust water supply (not applicable to improved springs or hand-dug wells).
Wells	○ Provide water contaminated with nutrients and bacteria from animal waste. ○ Create pools of stagnant water. ○ Change groundwater flow. ○ Create saltwater intrusions. ○ Deplete aquifer (groundwater). ○ Cause land subsidence (impact from many wells).
	○
Sanitation and Treatment	
Pit latrine	○ Increase transmission of vector-borne diseases. ○ Contaminate groundwater supply with pathogens.

Activity/ Technology	Potential Impacts <i>The activity or technology may. . .</i>
	○ Contaminate water supplies, damage water quality and/or transmit disease at other locations if waste is not properly handled and treated during or after servicing. ○ Cause injury to people or animals.
Composting toilets	○ Increase transmission of vector-borne diseases. ○ Contaminate groundwater supply with pathogens. ○ Cause disease transmission to field workers and consumers of agricultural products.
Dry toilets	○ Increase transmission of vector-borne diseases. ○ Cause disease transmission to field workers and consumers of agricultural products.
Septic tanks	○ Contaminate groundwater supply with pathogens. ○ Contaminate surface water supplies with nutrients, biological oxygen demand (BOD), suspended solids (SS) and pathogens. (Septic tank effluent generally contains relatively high concentrations of pathogens, BOD, and SS). ○ Contaminate water supplies, damage water quality and/or transmit disease at other locations if waste is not properly handled and treated during or after servicing.
Upflow anaerobic filters	○ Damage ecosystems and degrade surface water quality. Sludge has high concentrations of nutrients, BOD, and solids. ○ Cause disease transmission to field workers and consumers of agricultural products (Sludge may still contain pathogens).

4.0 RECOMMENDED THRESHOLD DECISIONS AND MITIGATION ACTIONS (INCLUDING MONITORING AND EVALUATION)

Based on the discussion above, this section presents both recommended threshold decisions for each action entailed in the Democracy and Governance program, and recommended conditions/mitigation actions pertaining to recommended negative determinations.

4.1 Recommended Threshold Decisions.

2. A Negative Determination with conditions is recommended for the following activities pursuant 22 CFR 216.3 (a)(2)(iii) for those actions with potential impacts noted in table 1. Significant negative impacts to the environment are not expected for indoor air quality actions.

b) Water supply and sanitation;

Conditions:

Table 2

Activities	Potential Impacts	Mitigation Actions/Conditions
Small-scale Water Supply and Sanitation Activities		
<i>Water Supply</i> - Construct or renovate boreholes - Install mechanized or manual pump systems - Construct or renovate hand dug wells - Construct or renovate connection to or extensions of networked water supply distribution systems, including installation of tap stands - Construct or rehabilitate potable water treatment facilities (e.g., install pipes, backwash sand filters, intakes, pumps, replacement/ rehabilitation of clarifiers, power supply, and/or generators) - Construct or renovate water storage tanks - Construct or renovate rainwater harvesting systems - Construct or renovate spill-water drainage facilities/structures - Construct or renovate cattle troughs connected to potable water systems - Construct or renovate spring boxes/surface water potable water supply systems - Operate water supply systems,	- Improper siting of facilities that damages or destroys natural ecosystems (within wetlands, protected areas, or other sensitive habitats, etc.) - Depletion of freshwater resources (surface and groundwater) - Conflict over water resource allocation - Creation of stagnant (standing) water near water points that could create breeding opportunities for water-borne disease vectors - Natural or human-caused biological or chemical contamination of water sources (surface and groundwater), causing increased human health risks, including: - high arsenic or other mineral/chemical levels - poor management of water points and/or poor design of pipes leading to leakage and contamination of water with fecal matter, solid waste, etc. - dust particles and birds sheltering on the roof that contaminate cisterns (e.g., rainwater harvesting systems) - Land use change including site alteration, road access, overgrazing (due to uncontrolled livestock populations), and expanded human settlement areas that can lead to: - Soil erosion	- All water supply activities should be conducted in a manner consistent with the good design and implementation practices described in <i>EGSSAA Chapter 16: Water Supply and Sanitation</i>. Another useful reference to consult for good water and sanitation design and implementation principles is the document, “Guidelines for the Development of Small Scale Rural Water Supply and Sanitation Projects in Ethiopia,” by Catholic Relief Services and USAID, July 31, 2003. For a compendium of humanitarian assistance expertise in 1) Hygiene Promotion, 2) Water Supply, 3) Excreta Disposal, 4) Vector Control, 5) Solid Waste Management and 6) Drainage, consult the <i>Sphere Handbook (2004): Humanitarian Charter and Minimum Standards in Disaster Response, Chapter 2: Minimum Standards in Water Supply, Sanitation and Hygiene Promotion</i>. - Microbiological contamination of improved wells can often be prevented by aquifer protection measures and proper well design and maintenance. For example, wells for human consumption are readily contaminated when additionally used for livestock watering, so separate wells should be used for human consumption and animal watering. - Water quality testing is essential for determining that the water from a constructed water source is safe to drink and to determine a baseline so that any future degradation can be detected. Simple and cost-effective sample kits for <i>E. coli</i> and fecal coliforms are available through a variety of manufacturers (e.g., Idexx Colilert or Coliscan Easygel). Among the water quality tests which must be performed are tests for the presence of arsenic. Any USAID-supported activity engaged in the provision of potable water must adhere to Guidance Cable State 98 108651, which requires arsenic testing. That 1998 cable also anticipates “practical guidelines on sampling and testing for arsenic” that were then under development. The EGAT Bureau completed these guidelines, and the Africa Bureau has packaged them in a document titled, “Guidelines for Determining the Arsenic Content of Ground Water in USAID-Sponsored Well Programs in Sub-Saharan Africa.” The SO team must assure that the standards and testing procedures described in this guideline document are followed for potable

Activities	Potential Impacts	Mitigation Actions/Conditions
including water treatment, upkeep and maintenance of pumps, pipes, and other infrastructure, management of fee collection, etc.	○ Degradation of water quality ○ Altered hydrology and flooding ○ Increased deforestation ○ Damage to scenic quality and tourism	water. ▪ Initial water quality testing is the responsibility of the program to assure, but when feasible the program should also set in place capacities and responsibilities to provide reasonable assurance that ongoing water quality monitoring occurs. The standards for initial and ongoing testing -- types of contaminants for which testing should be conducted, testing methods, testing frequency, and issues such as public access to results -- should follow any applicable USAID guidance, as well as local laws, regulations and policies. Furthermore, a response protocol should be established in the event that water quality testing detects contamination.
<i>Sanitation</i> ▪ Construct or renovate sanitation facilities (latrines or other) ▪ Construct or renovate hand washing basins, laundry facilities and/or public showers ▪ Construct or renovate wastewater drainage or conveyance networks	▪ Increased human health risks from contamination of surface water, groundwater, soil, and food by human waste and disease pathogens ▪ Degradation of stream, lake, estuarine and marine water quality and degradation of land habitats, or negative impacts to surface or groundwater quality due to inappropriate siting or construction of latrines or wastewater collection systems, or release of human waste from sanitation facilities ▪ Defecation around and not in latrines or other sanitation facilities, potentially contaminating surface water and/or shallow groundwater sources, adversely affecting both human and ecosystem health ▪ Damage to the aesthetics of the sanitation facility site (visual, smell, etc.)	▪ All sanitation activities should be conducted in a manner consistent with the good design, siting, and implementation practices described in <i>EGSSAA Chapter 16: Water Supply and Sanitation</i>. Another useful reference to consult for good water and sanitation design and implementation principles is the document, “Guidelines for the Development of Small Scale Rural Water Supply and Sanitation Projects in Ethiopia,” by Catholic Relief Services and USAID, July 31, 2003. For a compendium of humanitarian assistance expertise in 1) Hygiene Promotion, 2) Water Supply, 3) Excreta Disposal, 4) Vector Control, 5) Solid Waste Management and 6) Drainage, consult the <i>Sphere Handbook (2004): Humanitarian Charter and Minimum Standards in Disaster Response, Chapter 2: Minimum Standards in Water Supply, Sanitation and Hygiene Promotion</i>. ▪ Ensure latrines are sited far away from shallow wells, cisterns, spring sources and boreholes. Latrine pits will be dug in the unsaturated zone above the water table, and latrine pits are protected against flooding and overflow due to intense rainfall. Establish and train community water and sanitation committees to manage, repair and maintain all water points and the watersheds immediately surrounding the water points, including watering of livestock, and to provide hygiene education to participating communities. ▪ Training in sanitation and hygiene for water committees, community area based development groups, and/or municipal water board members is provided to: ○ Ensure community mobilization and public awareness of human health risks associated with water-borne disease vectors ○ to encourage the development of community responses that are environmentally sound, cost effective, and safe; and ○ to ensure control over the management of the facilities and operations that WAWI

Activities	Potential Impacts	Mitigation Actions/Conditions
		is supporting Relevant local community rules and best practices and procedures of promotion of better environmental health are developed and adhered to. Verification through site visits and photos should be done to assure practices are in accordance with local community rules and “best practices” through community monitoring tools and municipal water board’s evaluation system.
Small-Scale Construction Activities		
- Construct or rehabilitate small rainwater diversion or infiltration structures (e.g., catchment dams, anicuts, infiltration ditches, etc.) - Construct or rehabilitate water storage facilities including cisterns, water tanks, reservoirs, etc.	- Damage to sensitive or valuable ecosystems, e.g., wetlands, estuaries, intact primary forest, protected areas, etc.) from construction of infrastructure, associated temporary worker dwelling, or construction storage units for personnel or equipment - Removal of vegetation and/or compaction of the soil and grading of the site, altering drainage patterns and water tables, changing access to water by animals, people and vegetation, or degrading water resources - Sedimentation of surface waters through removal of natural land cover, excavation, extraction of construction materials and other construction-related activities that result in soil erosion - Contamination of groundwater and surface water supplies through improper disposal of human and other biological wastes during the construction period - Contamination of ground and surface water supplies through improper disposal or handling of toxic materials used in construction (e.g., solvents, paints, vehicle maintenance fluids (oil, coolant), and diesel fuel) - Adverse social impacts due to	- All construction activities will be conducted following principles for environmentally sound construction, as provided in <i>Chapter 3: Small Scale Construction</i> of the USAID Environmental Guidelines for Small-scale Activities in Africa, which can be found at www.encapafira.org. - Evaluation of potential impact and appropriate mitigation and monitoring will consider activities associated with each phase of the project (i.e., site selection, planning and design, construction, and operation and maintenance). For the rehabilitation of existing facilities, and for construction of facilities, regardless of the total surface area disturbed, the condition is that the program will conduct a supplemental environmental review using the Environmental Mitigating and Monitoring Measures as provided in <i>Chapter 3: Small Scale Construction</i> of the USAID Environmental Guidelines for Small-scale Activities in Africa, which can be found at www.encapafira.org. - For construction activities in which the total surface area disturbed exceeds 10,000 square feet (1,000 square meters), construction may not begin until a supplemental environmental review is completed and approved by the Mission Environmental Officer and the Regional Environmental Advisor. - As the program will involve some construction and water and sanitation facilities development, the implementing parties will be expected to: - Follow best engineering practices with qualified professional expertise, including opportunities for energy and water efficiencies. - Identify and mitigate any direct impacts on the existing physical environment or surrounding socio-economic environment caused by the construction of and presence of the system. These impacts relate to resource use, earthmoving and construction, soil compaction, and impacts on neighboring populations. - When feasible, the majority of materials used will be of local origin and will not contain any hazardous materials (e.g., asbestos or lead). - Identify and mitigate any problems that might undermine or threaten the provision of

Activities	Potential Impacts	Mitigation Actions/Conditions
	displacement of local inhabitants, influx of outside workers, inequitable distribution of economic benefits of construction, etc. ▪ Spread of disease through migration of construction workers from other regions or construction of a new road, especially sexually transmitted diseases such as HIV/AIDS ▪ Damage to aesthetics of site/area ▪ Improper extraction of construction materials such as wood, stone, gravel, or clay that damages terrestrial ecosystems (e.g., wood may come from relatively intact or natural forests)	positive education or health impacts provided by the constructed or reconstructed infrastructure – schools, training centers, water and sanitation facilities, etc. This is related to appropriate design, materials, construction, and management of the system.
Small-scale Agriculture Activities		
▪ Construct or renovate irrigation systems and promote appropriate and efficient irrigation technologies (including drip irrigation) ▪ Promote and carry out sustainable agriculture activities including tilling, cultivation, fertilization, , harvesting, etc.)	▪ Natural habitat destruction or degradation (including drainage and degradation of wetlands and riparian areas, damage to estuarine areas, conversion of natural forests, etc.) through expanding the area used for crop or livestock production, or intensifying the use of existing land or water ▪ Degradation of marginal lands land in arid, semiarid and sub-humid areas through deterioration of vegetative cover, soils or excessive use of water resources ▪ Land, water and marine pollution from soil erosion and use of agricultural chemicals such as fertilizer or pesticides ▪ Irrigation schemes and water diversion or storage facilities that reduce water availability to maintain ecosystem	▪ All agriculture activities will be conducted following principles as provided in <i>Chapter 1: Small Scale Agriculture</i>, <i>Chapter 11: Livestock</i>, and <i>Chapter 12: Integrated Pest Management</i> of the USAID Environmental Guidelines for Small-scale Activities in Africa, which can be found at www.encapafrica.org. ▪ Ensure careful planning and impact assessment for any proposed new water storage or irrigation facilities that may lead to intensification or expansion of agricultural or livestock activities, to ensure that the carrying capacity of the soils, water resources, etc. is sufficient to accommodate the new activity ▪ Ensure that sensitive natural resources or ecosystems are protected from conversion to agricultural or livestock land uses in conjunction with productive water management activities ▪ Maximize the promotion and use of water-efficient technologies and approaches for the agriculture sector (e.g., drip irrigation) ▪ Maximize the promotion and use of soil and water conservation approaches and methods in association with any new or expanded agricultural activity conducted in association with WAWI-sponsored irrigation activities ▪ Take measures to prevent groundwater or surface water contamination including: ○ collecting agricultural wastewater from intensive livestock operations in

Activities	Potential Impacts	Mitigation Actions/Conditions
	services ▪ Biodiversity loss from land fragmentation and habitat conversion for agriculture, as well as through increasing homogenization of crops and livestock varieties and/or introduction of exotic species	holding lagoons ○ implementing minimum setback limits for grazing and agriculture around water sources ○ ensuring that wellheads and springs are properly constructed and protected ○ improving training of farmers in input use, especially chemicals ○ revegetating critical watershed areas and applying soil and water conservation measures to the upstream areas for better erosion control ○ revegetating degraded and marginal areas to reduce runoff ○ vegetating riparian areas to prevent erosion along stream banks ○ maintaining condition of existing wetlands and constructing additional artificial wetlands for wastewater treatment if appropriate

Potable Water supply and sanitation activities under this program should be conducted in a manner consistent with the good design and implementation practices described in *EGSSAA Chapter 16: Water Supply and Sanitation*. The Team and implementing partners should closely examine this chapter, as it provides a thorough discussion of program design and implementation issues that can help avoid numerous preventable problems. In synthesis, to mitigate environmental aspects related to construction and rehabilitation of water supply projects, implementing partners need to take the aspects into consideration in different phases of project development:

Assessment of water supply, sanitation and hygiene behavior

1. Take advantage of the experience of others water supply, sanitation and hygiene related projects.
2. Involve the community during the assessment through participatory research method to facilitate their posterior involvement project design, implementation, monitoring and evaluation and maintenance.
3. Assess local behaviors, social factors and cultural beliefs influencing water use, sanitation and hygiene. Among other, researchers should take into consideration aspects related to hand washing, latrine use and water collection, transport, and storage behavior of all users, including women, infants, children, the elderly and the infirm.
4. Assess yield/water availability and water extraction rates/water consumption rate in the area covered by project, in the upstream and in down stream areas as well. The study should take into consideration historical, seasonal and projected water availability and consumption.
5. Assess water leakage rates in existing water schemes.
6. There will be a need to assess the depth of water table and groundwater hydrology, if the projects will be tapping water from the ground.
7. Test water on its chemical, biological and physical quality to determine if water is safe for human consumption; and to establish a baseline data so that any future degradation can be detected. Apart from testing water quality in the program areas, a baseline downstream testing of water quality is also recommended so that the impact the project in water quality downstream can be detected in the future. At minimum arsenic and fecal coliform tests should be conducted. Any USAID-supported activity engaged in the provision of potable water must adhere to Guidance Cable State 98 108651, which requires arsenic testing. This guideline is packaged in the "Guidelines for Determining the Arsenic Content of Ground Water in USAID-Sponsored Well Programs in Sub-Saharan Africa". The implementing partners must assure that the standards and testing procedures described in this guideline document are followed for potable water supply activities under this program.

Program Design

1. Involve the community in the design of a water supply, sanitation and hygiene project using participatory process.
2. Design the project so that it will be economically self-sustaining by incorporating cost recovery mechanisms such as user fees, taxes or levies to finance operations, monitoring, maintenance and repairs.
3. Design water supply, sanitation and hygiene project to match beneficiaries' demand, customs and preferences.

4. Take into consideration the climate and abundance of water in the area the climate and abundance of water when designing the project.
5. Include a system for sustaining operation and maintenance as part of overall program design. For example, the system should include a mechanism for training local residents to operate, monitor, maintain and repair the improvement and to keep up institutional memory.
6. Design improvements with an appropriate scale and capacity taking into consideration data collected in assessment phase.
7. Develop a hygiene promotion strategy that takes into account the current hygiene behavior as assessed in the early phase.
8. Incorporate strategies that will minimize downstream/down-gradient effects of intervention, perhaps by establishing some form of communication with downstream parties.

Implementation

1. Involve the community true participatory process during project implementation. It is highly recommend to drawing upon existing community organizations instead of starting new ones.
2. Concentrate first on preparing and developing the human component of the project. Apart from local staff involved in project, there is a need to train and develop the capacity of beneficiary community to guarantee technical, economical and environmental sustainability of the project.
3. Use a demand-focused approach, including cost sharing to ensure community involvement.
4. Integrate social marketing activities into construction and rehabilitation of water supply and sanitation infrastructures to improve community awareness, knowledge and practices about recommended hygiene behaviors. The integration between water supply, sanitation and hygiene is needed to break the transmission of diseases due to the use of contaminated water and hands behavior.
5. Consider appropriate natural treatment for hygiene and sanitation residues systems instead of mechanical systems. These tend to be preferable for small-scale activities as they generally cost less, do not require highly skilled labor, and can frequently be manufactured locally. Also, supplies for maintenance and repair are likely to be more readily available.

Monitoring and Evaluation

1. Involve the community true participatory process during program monitoring and evaluation. The implementing NGO and, later, the community should monitor on regular basis whether the project is having negative environmental impact.
2. Maintain periodic testing as part of monitoring the quality of water. *Ongoing testing is the only way to determine if a water supply is or has become contaminated* (other than by observing dramatic and sustained increases in water-borne disease).

Exit strategy and Project maintenance

The exit strategy should foresee the community and/or local government as the owner and operator of a water supply, sanitation and hygiene projects. Preparation for this community or local government take-over should be clearly stated when doing initial assessment, when designing, when implementing, monitoring and evaluating a water supply, sanitation and hygiene projects. Environmental maintenance by the community and/or local government should be stressed.

Supplemental Initial Environmental Examination

1. As additional awards are made to this cooperative agreement, Supplemental Initial Environmental Examinations (SIEE) that build off the requirement of this document, are required.
2. A Supplemental Initial Environmental Examinations will be completed by the mission activity manager and submitted to the Mission Director and the Mission Environmental Officers and Global Health and Regional Bureau Environmental Officer as appropriate. The SIEE will be a streamlined document describing the specific country context and the specific activities for that country that will be implemented under the award. The SIEE will refer back to the conditions of this PIEE. This must be completed prior to the award of activities thus ensuring that the activities and conditions in this PIEE still apply. In the event that any new proposed activity differs from the type or nature of activities described here or requires different or additional mitigations measures beyond those described, an amendment to this PIEE will be prepared and the SIEE will reference the amended PIEE.
3. If the task order effort has been considered under a country wide health SO level IEE, that IEE should be submitted to the GH BEO in lieu of a SIEE and a memo to the contract file should be recorded as documentation of conformity with administrative procedures.

Environmental Screening Process:

1. As sub project/sub activities occur within task orders or awards, the environmental screening process is required to ensure compliance with the conditions stated in this document and any SIEE.
2. The implementing partners will screen proposed activities according the Environmental Screening Review process.
3. The GH BEO must concur with all ESR determinations
4. Should the implementing partner determine that the proposed sub project or activity has potential environmental impact that meets the conditions for a negative determination with conditions established in this document or the SIEE, the implementing partner must also submit and environmental mitigation and monitoring plan (part 2 of the EMMR)
5. The implementing partners will take into consideration potential environmental impacts and their mitigation and monitoring measures, including avoidance, through design, implementation, impact mitigation and monitoring of their activities to achieve an environmentally-sound project design and program sustainability.
6. Implementing partners will take into account the *Environmental Guidelines for Small-Scale Activities in Africa* and other appropriate Regional Bureau and generic environmental assessment sources, to assist in determining what potential projects impacts should be of concern for different types of development activities in various settings, and which impacts to mitigate and monitor for a particular development activity.
7. Implementing partners must identify in the environmental review reports all proposed environmental mitigation and monitoring requirements. Once the environmental review reports are approved, mitigation measures and monitoring procedures stated in the environmental review report should be considered as a requirement. Additionally, project implementers should ensure that the agreed-upon mitigation and monitoring measures are in place.

8. USAID Team shall report on an annual basis on the status of environmental screening and review, and the implementation of required mitigation and monitoring measures. This will include the review of implementing partners' progress and annual reports to help determine if environmental mitigation and monitoring procedures are in place, including their expected performance, and periodic field visits by the REO.
9. The contractor(s) will develop an environmental management plan or environmental compliance memo describing how the projects will, in particular terms, implement those conditions in the IEE that apply to project activities, including monitoring to assure appropriate implementation and sufficiency of environmental compliance measures. This shall include training of contractor staff and partners, where appropriate. Moreover, the contractor(s) shall integrate these environmental compliance measures as proposed under this IEE into the project work plan and reported on them in the normal basis of project reporting. The Functional Objective Team shall assure that this integration occurs. These procedures place this responsibility principally on prime contractor(s). The FO Team's primary role is thus review and monitoring, as with the execution of any other part of the work plan. Any activities NOT addressed within the IEE must be addressed with an IEE amendment. This amendment must be approved before the activities in question can go forward.
10. Mitigation, monitoring and evaluation are necessary to ensure that no adverse impacts occur after the development program activities are implemented. The Team needs to maintain a continuous monitoring and evaluation process for ensuring compliance with team responsibilities under ADS 204, for all ongoing and proposed program development activities. The aim is to ensure that they remain within the bounds of the threshold determinations, mainly **Negative Determination with Conditions**. This will be achieved through review of project progress reports and periodic field visits to assess the environmental status of the project sites and to hold discussions with partners on issues of environmental procedures and policies compliance.

The Team has the responsibility to ensure that the environmental management is undertaken for all activities that have a direct effect on the environment following the recommended approaches defined in this IEE. Specifically the team shall:

- Report on an annual basis (through the Annual Report and in more detail as the BEO or REA may require) the status of environmental review and management, and implementation of required mitigation and monitoring measures, including review of implementing partners' progress and annual reports to help determine if environmental mitigation and monitoring procedures are in place.
- Incorporate into field visits and consultations with implementing partners, periodic assessment of the environmental impacts of on-going activities, and associated mitigation and monitoring measures.
- Be responsible for monitoring and evaluation of program activities after implementation with respect to mitigation of adverse environmental impacts, a process which should be well integrated into the pertinent Governing Justly and Democratically performance monitoring plan (PMP) and evaluation plan, through periodic field visits and discussions with implementing partners.
- Make clear that -- through incorporation of appropriate language in RFA/RFPs, APSs, contracts, cooperative agreements or grants, as may be the case -- the determinations specified in this IEE must be followed, and that implementing partners must put in place appropriate systems or management tools to ensure recommended mitigation actions are taken.

4.2 Mitigation, Monitoring and Evaluation

The implementing partner must complete an Environmental Mitigation and Monitoring Report (EMMR) on an annual basis that summarizes (regionally, by country or by major disease as appropriate) the activities over the last year that ensure compliance with mitigations within this document. The EMMR is

1. The AOTR, in consultation with the mission activity managers and implementing partners, Mission Environmental Officers (MEO), Regional Environmental Officers (REO), and/or Bureau Environmental Officers as appropriate, will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this PEE arise during implementation, and modify or end activities as appropriate. If additional activities are added at the primary award level that are not described in this document, an amended PEE must be prepared.
2. USAID mission procurements should include consideration of the offeror's ability to perform the mandatory environmental compliance requirements as envisioned under the NTD Control Program. The Contract/Grant Officer (CO) shall include required environmental compliance and reporting language into each implementation instrument, and ensure that appropriate resources (budget), qualified staff, equipment, and reporting procedures are dedicated to this portion of the project.
3. A Supplemental Initial Environmental Examination (SIEE) will be completed by the mission activity manager and submitted to the Mission Director and the Mission Environmental Officer (MEO) or Regional Bureau Environmental Officer (BEO) as appropriate. The SIEE will be a streamlined document describing the specific country context and the specific activities that will be implemented under the award, and referring back to the conditions of this PEE. This must be completed prior to the start of activities, to ensure that the activities and conditions in this PEE still apply. In the event that any new proposed activity differs substantially from the type or nature of activities described here, or requires different or additional mitigation measures beyond those described, an amendment to this PEE will be prepared and the SIEE will reference the amended PEE.
4. Implementing partners under this IEE will complete an annual environmental mitigation and monitoring report of all activities unless specified otherwise. This reporting should be incorporated into pertinent Performance Monitoring and Evaluation Plans and annual work plans. The environmental monitoring report should be submitted to the AOTR by the end of September each year. The AOTR will compile these reports into an overall HRHQS report for the GH BEO so that the results can be included in the Operational Plan (OP) reporting process to Congress.
5. Any grants or fund transfers from the implementing partners to other organizations must incorporate provisions stipulating:
 - a) the completion of an annual environmental monitoring report, and
 - b) that activities to be undertaken will be within the scope of the environmental determinations and recommendations of this PEE and the associated SIEE. This includes assurance that any mitigating measures required for those activities be followed.
6. The AOTR and on-site managers of activities under this LWA will undertake field visits and consultations with implementing partners to jointly assess the environmental impacts of ongoing activities, and associated mitigation and monitoring conditions.
7. The implementers' periodic reports to USAID will include a brief update on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures.
8. Operating Units will ensure that implementing partners have sufficient capacity to complete the environmental screening process and to implement mitigation and monitoring measures.
9. Implementation will in all cases adhere to applicable host country environmental laws and policies.

Operating Units for Associate Awards will use an annual Environmental Mitigation and Monitoring Reports (EMMR) to ensure programmatic compliance with 22 CFR 216 and ADS 204.5.4 by documenting that the conditions specified in this PIEE and its associated SIEE have been met for all activities carried out under HRHQS. The EMMR must be completed by each organization carrying out activities under an HRHQS Associate Award. The EMMRs are reviewed and approved by the mission activity manager and the Mission Environmental Officer.

The EMMR consists of 3 parts:

1. The Environmental Screening Form: to be used prior to the initiation of all sub projects/activities.
2. The Mitigation Plan for specific environmental threats carried out by the implementer: to be submitted with the implementation workplan.
3. The Reporting Form: to be submitted annually, no later than Nov 1.

Supportive Environments for Healthy Households and Communities

Environmental Screening Form (ESR)

This form is to be used for the review of sub activities against the program description covered within this IEE. The ESR is to be submitted as any activity begins its project planning to the GH BEO for a determination.

Name of Implementing

Organization: _____

Funding Period for this award: FY____ - FY____

Name of Subawardee Organization (if this ESR is for a sub):

Current FY Resource Levels:

FY _____

Geographic location of USAID-funded activities (Province, District): _____

This report prepared by:

Name: _____ Date: _____

Date of Screening: _____

Date of Previous EMMR for this organization:

_____ (if any)

Indicate which activities your organization is implementing under NTD Control Program

Key Elements of Program/Activities Implemented with no direct impact on the environment		Yes	No
Activities such as:			
1	• Education, Technical Assistance, or Training • Analysis, Studies, Academic or Research Workshops and Meetings • Document and Information Transfers • Programs involving health care, nutrition, or family planning except where directly affecting the environment • Studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning		

Key Elements of Program/Activities Implemented with direct or indirect impacts on the environment			
Activities such as:			
2	Procurement, Storage, Management and Disposal of Public Health Commodities		
3	Training professional and paraprofessional health care workers in methods that result in the generation and disposal of hazardous or highly hazardous medical waste		
4	Small-Scale Water and Sanitation Activities		
5	Small-Scale Gardening or Farming Activities		
6	Small-Scale Rehabilitation of Health Facilities		
7	Other activities that include physical interventions that have direct or indirect impacts on the environment that are not covered by the above categories		

**Supportive Environments for Health Households and Communities
Environmental Mitigation and Monitoring Report (EMMR)**

EMMR Part 1 of 3: Mitigation Plan

Category of Activity from Section 5 of Environmental Health IEE	Describe specific environmental threats from your organization's activities (based on analysis in Section 3 of HRHQS IEE)	Description of Mitigation Measures for these activities as required in Section 5	Who is responsible for monitoring	Monitoring Indicator	Monitoring Method	Frequency of Monitoring

[illegible]