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Question due date and time:	December 6, 2011 14:00 PM (Nigeria Time)
Closing Date:	January 6, 2012
Closing Time:	14:00 PM (Nigeria Time GMT +1)

Subject: Request for Applications (RFA) Number **USAID/Nigeria - RFA-620-11-012 "Scale-Up of Care and Support Services for Orphans and Vulnerable Children (OVC) in Selected States in Nigeria"**

Dear Prospective Applicant:

The United States Government, represented by the Agency for International Development (USAID), Nigeria mission proposes to enter into a Cooperative Agreement for the **"Scale-Up of Care and Support Services for Orphans and Vulnerable Children (OVC) in Selected States in Nigeria"** specifically described in Section I of this RFA.

To this end, USAID is seeking applications from eligible applicants 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 or 2 CFR Part 230 for non-profit organizations, OMB Circular A-21 for universities), may be paid under the agreement.

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

The preferred method of distribution of USAID RFA information is via the internet. This RFA and any future amendments thereof can be downloaded from http://www.grants.gov . Click on "Search for Grant Opportunity," then click on "Browse by Agency" and choose U.S. Agency for International Development, then click on the Opportunity titled **"Scale-Up of Care and Support Services for Orphans and Vulnerable Children (OVC) in Selected States in Nigeria".** Organizations that are unable to retrieve the RFA from the Internet can request a hard copy or an electronic copy of the RFA by contacting Abdullahi Sadiq via email at asadiq@usaid.gov or Ms. Nyembezi Mfune at nmfune@usaid.gov.

Applications must be received by the closing date and time indicated at the top of this cover letter, at the place designated below for receipt of applications. No late applications will be accepted. Applications submitted via mail or courier service shall be submitted in two separate parts and delivered in two separate envelopes (a) technical and (b) cost or business application.

The technical application shall consist of one original, two copies and an electronic (CD-ROM) copy. The cost or business application shall also consist of one original, two copies and an electronic (CD-ROM) copy. Applications shall be submitted with the name and address of the applicant and RFA number (referenced above) inscribed thereon, to:

By Courier Service/Hand Delivery:

If Sent by postal service:

Abdullahi Sadiq
Acquisition & Assistance Specialist
Office of Acquisition & Assistance
USAID/Nigeria
c/o US Embassy
Plot 1075, Diplomatic Drive
Central District
P.M.B. 5760
Abuja Nigeria

If Hand-Carried, or via Courier Service:

Abdullahi Sadiq
Acquisition & Assistance Specialist
Office of Acquisition & Assistance
USAID/Nigeria
c/o US Embassy
Plot 1075, Diplomatic Drive
Central District
Abuja Nigeria

By Email to: abujasolicitations@usaid.gov; with a copy to Abdullahi Sadiq at asadiq@usaid.gov and Nyembezi Mfune at nmfune@usaid.gov

QUESTIONS: Prospective applicants who have questions concerning the contents of this RFA should submit them in writing to abujasolicitations@usaid.gov; with a copy to asadiq@usaid.gov and nmfune@usaid.gov by the date and time indicated on the top of this cover letter. **Any communication related to this RFA should indicate RFA number and Program Title in the subject line.**

CLOSING DATE AND TIME: All applications in response to this RFA shall be due as stated on the RFA cover letter. Please note that the due date is set at the minimum as required in ADS 303 considering that the draft RFA was posted on www.grants.gov for comments allowed for applicants to review and comment.

Instructions for submitting applications can be found under Section IV, **Application and Submission Instructions**. Applications should be submitted in sealed envelopes with the name and address of the applicant and the number of the RFA on the envelope. Telegraphic or fax applications are not authorized for this RFA and will not be accepted.

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

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

Sincerely,

Jamala Ukwa
Agreement Officer

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SECTION I – FUNDING OPPORTUNITY DESCRIPTION

A. Program Description Summary

Around the globe, hundreds of thousands of lives, societies, and economies have been devastated by the HIV/AIDS pandemic. When disease strikes, children are one of the most vulnerable populations. Not only are they at risk of illness, but they also suffer if their parents are infected. Increasingly, and particularly in Africa, children are becoming the head of households; robbed of their childhood, and forced to take on responsibilities that require a level of maturity that, adults, not children, are expected to have. Children in this position often cannot go to school because they are providing for the surviving family members, and often live in dangerous areas without protection. Instead, they take on the role of primary care providers for sick parents and younger siblings.

Nigeria is one of the countries with large population of orphans and vulnerable children. In 2008, it was estimated that there were 17.5 million orphans of whom 2.3 million are orphans due to AIDS *(OVC Situation Analysis FMWASD 2008)*. Despite the absence of accurate data on the number of vulnerable children in Nigeria, directly or indirectly, all the orphans and vulnerable children are vulnerable to HIV/AIDS and other health, socio-economic, psychological and legal problems. This vulnerability is due to poverty, hunger, armed conflict and harmful child labor practices, among other threats, all of which fuel and are fuelled by HIV/AIDS.

The majority of children orphaned as a result of HIV/AIDS are in the North-Central and South-East regions of Nigeria. According to the 2008 DHS/Nigeria, 10.7 percent of the children under age 18 are considered vulnerable, i.e., they live in a household in which at least one adult was chronically ill for three months during the past 12 months, or they had a parent living in the households (or elsewhere) who had experienced chronic illness in the past year. Overall, 11 percent of children under age 18 were considered orphans and/or vulnerable. Lack of parental care and support exposes children to increased vulnerability, such as food insecurity and chronic malnutrition, lack of protection, shelter, psychosocial support, education, and physical and sexual abuse. Children on the move due to parental loss, family breakdown, or escaping early marriage often migrate alone to urban areas with greatly increased odds of exposure to HIV.

USAID's strategy is designed to address President Obama's priorities: food security, education, global climate change, Muslim outreach, and gender equity and women's empowerment. It will also meet U.S. foreign assistance strategic goals in the areas of: accountable governance, economic growth and prosperity, a healthy and well-educated population, as well as peace and security. Resource requirements for each Assistance Objective are as follows:

- Strengthening Civic Engagement for Good Governance
- Increasing Rural Incomes and Jobs in Assisted Areas
- Increased Use of High-Impact Health Interventions
- Improved Quality and Efficiency of Basic Education
- Increasing Nigerian Capacity for a Sustainable HIV/AIDS and TB Response

The proposed activities under this Request for Application (RFA) will benefit from activities currently being supported by the mission. Resources under this RFA will contribute to the objective of Increasing Nigerian Capacity for a Sustainable HIV/AIDS and TB Response.

B. Program Background

B.1 Country Context

The purpose of this Program Description is to define parameters and results for a new Orphan and

Vulnerable Children (OVC) Program to improve the accessibility and quality of OVC services in Nigeria. The goal of the proposed Cooperative Agreement is to improve the well- being of OVC and caregivers through a sustainable, comprehensive and coordinated program. USAID/Nigeria anticipates awarding two umbrella grants agreement for up to $13 million annually for a period of five years ($65 million) through 2016.

The intention of this Request for Application (RFA) is to support the State and Local Government response by establishing an umbrella mechanism that will allocate approximately 70% or more of the budget to sub-grants and sub-contracts to Nigerian entities only. The remaining 30% or less will be the cost for administrative and personnel support to the awardees. Further, in order to work towards sustainability, the awardees should emphasize host country ownership, organizational capacity building and technical assistance as important elements of an effective sub-grant program.

Capacity building is a key PEPFAR strategy, aimed at promoting more sustainable programs and organizations. Within this RFA, capacity building support should be understood as: "*activities that strengthen the skills of indigenous organizations to implement OVC programs efficiently, with diminishing reliance on external technical assistance and support*" as well as encompassing *systems strengthening* support for State and Local Government Area (LGA) offices responsible for OVC.

Indigenous organizations refer to a range of civil society organizations (CSOs). CSOs can include national Non-Governmental Organizations (NGOs), Community-based Organizations (CBOs), Faith-Based Organizations (FBOs), child and youth-led organizations and civil society networks and coalitions.

B.2 HIV/AIDS and OVC Prevalence in Nigeria

The HIV epidemic in Nigeria is characterized as generalized with a prevalence of 4.1%. Prevalence is significantly higher among Most-At-Risk Populations (MARPs), including Commercial Sex Workers (CSWs), Injection Drug Users (IDUs) and Men having Sex with Men (MSM). Nigeria has the second largest burden of HIV infection in the world, with more than 2.6 million HIV positive individuals out of a total population of approximately 140 million. Nigeria also has one of the largest OVC populations in the world – approximately 17 million. The 2008 HIV Sero-Prevalence study has reported that 2.39 million were orphaned[1] as a result of HIV/AIDS[2]. Additionally, it is estimated that up to 10.7% of the 69 million Nigerian children can be categorized as *vulnerable*[3] (including orphans)[4].

The 2008 Situation Assessment and Analysis on OVC in Nigeria, conducted by the Federal Ministry of Women Affairs and Social Development (FMWASD),[5] indicate several significant challenges faced by OVC. According to the analysis, shelter and basic services for children surveyed were generally sub-standard. Most homeless or street children (approximately 80%) were not currently attending school. Among OVC attending school, the analysis indicated that approximately 46% were homeless and 15% lived in institutions. Twenty percent of OVC living in families were likely to miss school within a period of two weeks. Health data collected by the assessment indicated that OVC were more likely to fall sick more than non-OVC. Nutritional data indicates that OVC were also more likely to go without food for most of

[1] According to the Federal Ministry of Women Affairs and Social Development (FMWASD) OVC National Plan of Action (2006), a child is defined as a boy or girl below 18 years of age; and an orphan is any child who has lost one or both parents, irrespective of the cause of death. Those who have lost both parents are referred to as "double orphans".

[2] Federal Ministry of Women Affairs and Social Development [Nigeria], 2008. Key Findings from the Situation Assessment and Analysis on OVC in Nigeria, 2008, Federal Ministry of Women Affairs and Social Development, Nigeria. pg. xi.

[3] According to the FMWASD a child is considered vulnerable if because of circumstance of birth or immediate environment they are prone to abuse or deprivation of basic needs, care and protection and thus disadvantaged relative to his or her peers (FMWASD, 2006a).

[4] UNICEF, 2007.

[5] Federal Ministry of Women Affairs and Social Development [Nigeria], 2008. Key Findings from the Situation Assessment and Analysis on OVC in Nigeria, 2008, Federal Ministry of Women Affairs and Social Development, Nigeria.

the day, have smaller quantities of food, eat fewer meals and sleep without food. Finally, OVC were found to be significantly more likely to experience psychological and emotional stress than non-OVC.

B.3 Federal Government of Nigeria (FGN) Support for OVC and Capacity Concerns

The Federal Ministry of Women's Affairs and Social Development (FMWASD) is the lead agency for OVC affairs in Nigeria. In September 2004, the FMWASD established a Federal-level Department dedicated to Children's Affairs and a Division dedicated to OVC issues. This Division has the mandate to coordinate, facilitate, monitor and evaluate multi-sectoral national response to OVC. The FMWASD serves as co-chair (with UNICEF and USAID) of the National OVC Technical Working Group (TWG). The FMWASD works in close collaboration with the National Agency for the Control of AIDS (NACA) to coordinate support for OVC. NACA is responsible for overall leadership of the HIV and AIDS response in Nigeria, including, coordination, planning, mobilizing resources and advocacy. State Ministries have also established Departments of Children's Affairs. In addition, State-level OVC Desk Officers have been appointed to attend specifically to issues affecting OVC. Social Welfare Officers, hired by LGAs, are responsible for the care and support of children and other vulnerable populations at the LGA level. Government policies and plans for HIV and AIDS are outlined in a series of documents including the Strategic Document for 2010-2015, the FMWASD National Plan of Action for OVC 2011-2016, the Priority Plan for National Plan of Action on Orphans and Vulnerable Children (NPA) 2009 – 2010 and the National Plan for Monitoring and Evaluating OVC Programs and Standards of Practice on Orphans and Vulnerable Children (January 2007).

Several factors have prevented the FGN from providing the necessary leadership to effectively address the needs of OVC in Nigeria. The capacity of government offices and government staff, particularly at the State and LGA-levels, has traditionally been low. These offices have suffered from insufficient staff levels and significant staff turnover. Staff has poorly defined and often over-lapping job descriptions and insufficient resources to carry out key functions (such as, coordination, planning, monitoring, reporting and referrals). Government staff have received insufficient training to carry out key government functions, poor supervision, little mentoring and few opportunities for ongoing professional development. Their reporting lines are often unclear and confusing and mechanisms for collecting data on OVC and the effectiveness of current or past OVC programming have been insufficient. State and Local Government offices also have few mechanisms for collecting data on their own performance and limited opportunities to contribute to national OVC priorities and work plans.

B.4 Civil Society Support for OVC and Capacity Concerns

OVC in Nigeria have also benefited from the support of an active and committed civil society. Several CSOs, including many national organizations, community-based organizations, faith-based organizations (both Christian and Muslim), child and youth-led organizations and civil society networks and coalitions, have worked alongside government to provide direct and targeted support to OVC and their households. In addition, Child Welfare Committees and Children's Councils are in place in some States/LGAs whereas support is mobilized for OVC at the community and village-levels.

Similar to the FGN, several factors have constrained CSOs from identifying most vulnerable OVC and providing the services required to effectively address the needs of OVC. The capacity of CSOs has likewise been low. They have been expected to scale-up programming and manage increasingly larger funds over a relatively short period of time. Often, they are unaware of organizational and technical best practices and resources as well as PEPFAR requirements.

B.5 PEPFAR and USAID/Nigeria Support for OVC

The United States Government (USG), through PEPFAR, has provided support for 219,245 OVC in 20 states in Nigeria since FY 2005, making the USG the largest donor for OVC programs to date. In FY 2009, USAID/Nigeria allocated nearly $39 million for OVC care and support. OVC projects have focused on efforts to improve the capacity of civil society partners involved in OVC service delivery as well as efforts to improve the leadership and capacity of the FMWASD to coordinate and monitor OVC programming. The USG currently funds a number of partners to build the capacity of CSOs providing OVC direct services. The USG also supports national capacity building initiatives and technical assistance for OVC programming that the grantee is expected to work with.

Moving forward with PEPFAR II, the USG and FGN have developed a Framework for increasing Nigerian ownership of the fight against HIV/AIDS. While recognizing that significant challenges confront Nigeria's national HIV and AIDS response, there has been substantial progress in harmonizing Nigerian Federal resources, USG support and a revitalized Global Fund program.

A functioning social welfare system serves as a vital safety net for children and families made vulnerable by HIV/AIDS and other challenging circumstances. In its reauthorization of PEPFAR, Congress recognized that *Social Welfare Systems Strengthening (SWSS)* is critical to achieving both PEPFAR's goals and broader, long-term USG development goals. When the system is functioning effectively, families and children have access to an array of quality services that promote wellness and protect them from harm. Services can include family support and early intervention, child protection to address abuse and neglect, and alternative care for children separated from their family of origin. Historically, social workers have played a vital role within the social welfare systems, from provision of direct services, to administration of government agencies, policy development, research, workforce education and preparation, and advocacy.

The President's Emergency Plan for AIDS Relief (PEPFAR) has prioritized efforts to mitigate the impact of HIV/AIDS on children orphaned or made vulnerable by the disease. Over the past six years, PEPFAR has successfully provided critical support to nearly 4 million children, most of whom live in Sub-Saharan Africa. The second phase of PEPFAR emphasizes strategies intended to improve the sustainability of these initiatives. As a result, there has been a growing interest in strategies to strengthen systems – primarily health systems but also social welfare systems. Likewise, PEPFAR has increased its efforts to strengthen the healthcare and social welfare workforce. PEPFAR has established Technical Working Groups focusing Health Systems Strengthening and Human Resources for Health and funded several workforce strengthening projects and training programs. Several additional initiatives supported by UNICEF, DFID, and others concerned with the welfare of vulnerable children have contributed to the development of a growing body of knowledge and resources to support efforts to strengthen the social welfare workforce and social welfare systems. The results of these initiatives indicate that successful efforts require a multi-faceted approach. This activity is expected to integrate Social Welfare System Strengthening into their approach to improve planning for, development of, and support to the social welfare workforce.

B.6 Linkages with USG Strategic Plan and Result Frame work

The USG's transformational diplomacy goal in Nigeria is to support continued progress in expanding and deepening democracy, strengthening public and private institutions, and supporting policies that promote economic growth and poverty reduction. Implicit in this goal is the USG commitment to address challenges in security and law enforcement; supporting policies and programs that accelerate and strengthen public institutions and the creation of a more vibrant local government, civil society and media, encouraging economic policies and strengthening institutional capacity to promote broad-based growth, and introducing prevention and mitigation strategies for human emergencies while also addressing emergency needs.

Under the Foreign Assistance Framework, USAID investments in Nigeria concentrate on five objectives:

- Peace and Security
- Governing Justly and Democratically
- Investing in People
- Economic Growth
- Humanitarian Assistance

The new USAID/Nigeria OVC Program will operate within the "investing in people" objective with an overall life-of-program (LOP) goal of "mitigating the impacts of HIV/AIDS on children and families." This goal covers the following foreign assistance program areas: health, education, economic growth, social services and protection for vulnerable populations. The OVC program will focus on health, education, economic growth, capacity building and other social services.

To reach the LOP goal, USAID/Nigeria will invest in achieving coordinated, community care to ensure provision of comprehensive services to OVC and their families. USAID/Nigeria will work at the federal, state and local levels to enhance government and civil society's capacity to provide, manage, and monitor services. Through a robust monitoring and evaluation effort, the OVC Program will build the evidence and knowledge base to: a) refine existing program approaches, b) inform policy dialogue and c) inform government and other stakeholder programming.

C. Program Objectives

The purpose of this program description is to improve the well-being of OVC and caregivers through a sustainable, comprehensive and coordinated program.

Specifically the objectives are:

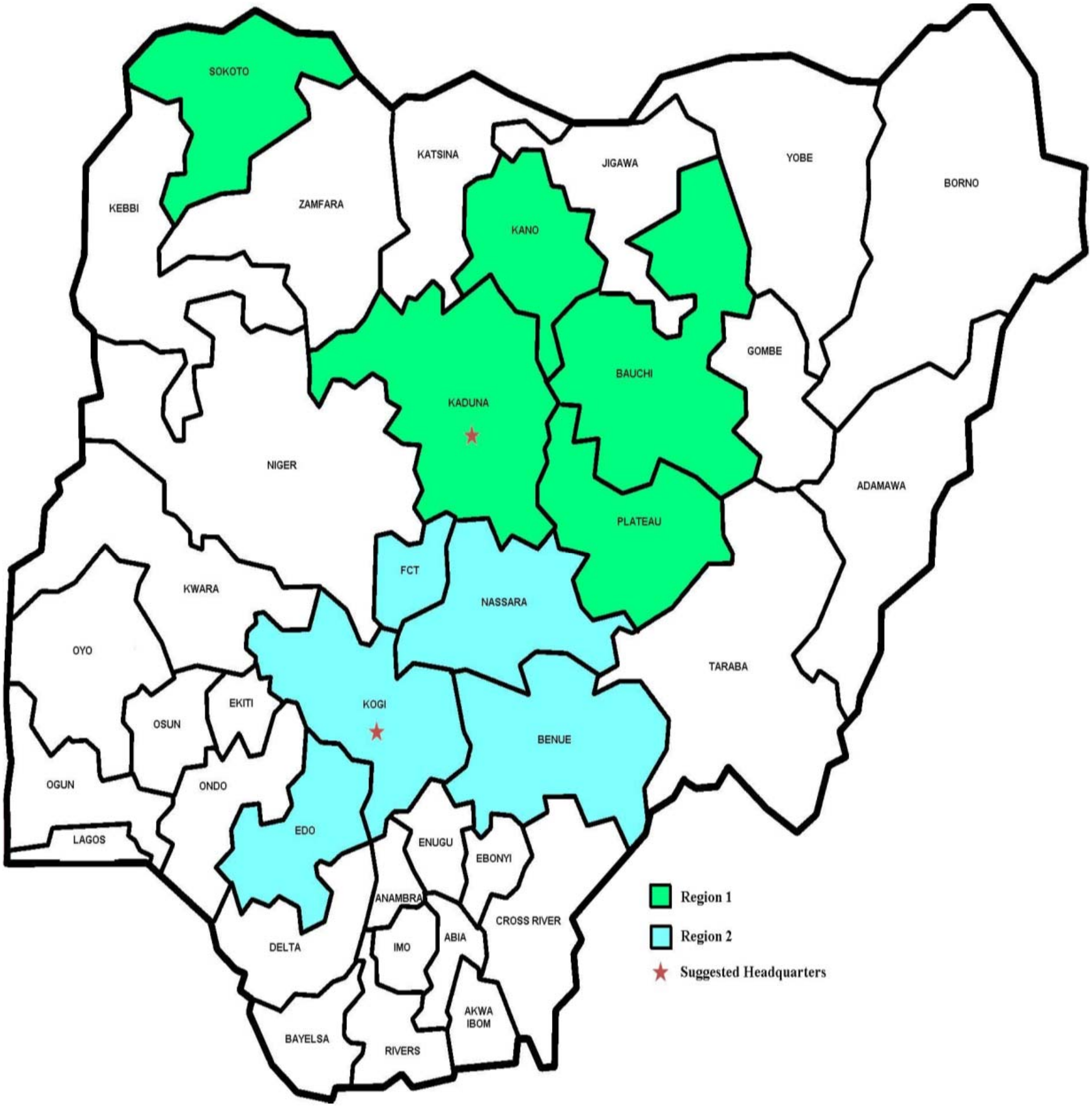
a. Strengthen institutional and technical capacity of State and Local Government to provide, manage and monitor integrated comprehensive care to OVC and their families
b. Strengthen organizational and technical capacity of civil societies to manage OVC programs
c. Increase caregivers access to Household Economic Strengthening (HES) Resources
d. Increase OVC households access to nutrition and food security resources

D. Program Scope

D.1. Geographic Scope

The proposed two Cooperative Agreements will be awarded to **Region 1**and **Region 2** for the period of five years from the date of award. Sokoto and Bauchi States are USAID focal states where the three USAID flagship projects - Targeted States High Impact Project (TSHIP), Northern Education Initiative (NEI), and Leadership, Empowerment, and Advocacy Development (LEAD) - are operating. Region 1 of the UGM therefore includes these two States; the rest are Kano, Kaduna, and Plateau States. **Region 1** states are: Kano, Kaduna, Plateau, Bauchi and Sokoto. And, **Region 2** states are: Edo, Nasarawa, Benue, Kogi and the Federal Capital Territory. Kaduna and Kogi are recommended as the Recipient(s) headquarters office location. Communities targeted within these states should be selected based on HIV and OVC prevalence. In order to comply with the overall goal of the solicitation which is to support the provision of sustainable high-quality services in Nigeria, applicants must propose strategic approaches that address specific needs with practical, pragmatic business plans for implementation.

Map of Nigeria Showing the States in Project's Region 1 and Region 2



D.2 Partners and Partnerships

Eligible applicants should include registered non-governmental organizations, networks and associations that have demonstrated technical skills, experience and the necessary competence to plan and efficiently manage organizations delivering HIV and AIDS assistance programs using mutually agreed, international standards of accountability. Eligible organizations include, for example, registered Nigerian and international non-governmental organizations, faith-based organizations, community-based organizations, foundations, private organizations affiliated with public academic institutions, parastatals, professional associations, non-profit organizations and for-profit organizations willing to forego profit.

The Recipient(s) will not directly implement program activities, but rather act as a grant management partner, issuing sub-grants and building the organizational and technical capacity of grantees and sub-grantees who are the implementers of PEPFAR OVC programs and provide assistance to OVC. A significant amount of funding should be allocated as grants, (approximately seventy percent or more of the grant budget should be allocated for grants to local CSOs/FBOs while the remaining thirty percent or less will be allocated for the administration of the grants and other project related responsibilities of the Umbrella grant recipient(s)). Umbrella Grantee(s) percentage is expected to reduce over Life of Project (LOP) as capacity-building needs and grants administration cost reduces.

Successful applicants will ensure that, prior to implementation; their sub-partners must comply with Nigerian Government policies and guidelines and obtain approval from State Ministry of Women Affairs in each State in which they will conduct activities.

D.3 Estimated Targets

As this is a new program under Nigeria's Country Operational Plan (COP) FY 2010, final award targets will be vetted by the Office of the Global AIDS Coordinator (OGAC) after the final award negotiations. The following are estimated targets[6] based on the OVC prevalence in targeted states. The two proposed awards will support approximately **250,000** caregivers of orphans and vulnerable children. It is expected that half of the targets for caregivers and orphans and vulnerable children will be reached in each region to make up the total estimated award target.

YEAR 1 FY 2012 Target	YEAR 2 FY 2013 Target	YEAR 3 FY 2014 Target	YEAR 4 FY 2015 Target	YEAR 5 FY 2016 Target
200,000	400,000	600,000	800,000	1,000,000

D.4 Umbrella Grant Mechanism Strategic Approach

With the overall goal of this RFA supporting the provision of sustainable high-quality orphans and vulnerable children services in Nigeria, the proposed strategic approaches should address specific needs with practical and pragmatic business plans for implementation.

D.4.1 Comprehensive Programming

The applications that address or demonstrate linkages with multiple program objectives are encouraged. For example, a responsive application might build on an existing grants management program or capacity-building program. USAID intends for the two awards to maximize synergy with other USAID-funded efforts by USAID/Washington or field Missions and State offices, as well as those of other international agencies. This would include coordinated work planning and programming in terms of location and activities.

D.4.2 Sustainability

Applicants should be aware that PEPFAR is a five-year program designed to end after September 2016. There is no assurance of any continued program or funding for any particular applicant after

[6] Targets are estimated based on minimum cost per target based on total grant award; we estimate targets of approximately 1,000,000 over five (5) years for both UGMs, with an incremental annual rate of 20%. Innovative approaches such as household economic strengthening and other system strengthening strategies are expected to contribute significantly to the achievement of the proposed target.

this period. All applicants must clearly describe their plans for sustainability of the projects after the end of the program. Sustainability includes the development of technical competence, human capacity, management systems, infrastructure, relationships with government programs and financial independence.

D.4.3 Institutional Capacity Development

The applicants should emphasize host country and local organization capacity-building as an important element of the overall grants management program. Umbrella grant programs include significant technical assistance in strategic planning, registration, financial management, human resource management, networking, monitoring and evaluation, quality service delivery etc. Technical assistance is the responsibility of the recipient. Examples from best practices encourage proposing to spend a relatively small proportion of the overall grant funds on these services and are quite specific as to the responsibilities of the prime grantee in strengthening local partners. Such awards must decrease the proportion of funds spent on technical assistance on a rapid timeframe as the technical capacity of local partners' increases.

D.4.4 Quality of Services

A key focus for PEPFAR is ensuring that quality services are provided. Quality includes meeting the client's individual needs in a timely manner, providing services within the appropriate policies and guidelines, and ensuring that systems are in place to ensure sustainability, and able to measure and evaluate the services provided.

D.4.5 Strategic Information

Strategic information is a cornerstone of PEPFAR. All applicants must address how they will monitor and evaluate their program. In addition, the RFA is open to projects supporting USAID's efforts to monitor and/or evaluate PEPFAR, capacity-building around strategic information interventions, and increasing skill sets of M&E staff. These are only examples of responsive strategic approaches; applicants are encouraged to propose other innovative solutions to providing umbrella grant mechanism services.

D.4.6 Technical and Economic Components

The proposed OVC program will be a continuation of past closed out PEPFAR I funded programs which has been successful in providing services to OVC in Nigeria. Technically, the new program will build on success of these programs as well as strengthening areas which were weak in implementation. The proposed activities are also aimed at improving the economic status of the beneficiaries. Previous programs had not focused on economic sustainability and qualitative public system strengthening approaches for sustainability which are a significant focus for this program.

D.5 Gender analysis

Issues of gender are important in OVC programs. Careful attention should be given in conceptualizing and implementing OVC activities to ensure that differing needs of boys and girls are identified and addressed appropriate to their developmental stage. Girls and boys living outside of caring families often face additional discrimination and threats of violence, exacerbated for girls as they reach puberty. Within HIV/AIDS-affected communities, the girl child often faces a disproportionate level of risk and vulnerability for exploitation, physical and sexual abuse, trafficking, HIV infection and burdens of caring for family members.

This program must address these risks and strive to relieve the excessive burden that caring for family members often places on children and youth. Strategies for addressing these issues may include interventions that ensure girls have all that is necessary to continue in school, including secondary or vocational level schooling. Other strategies could include creating safe social spaces for pre-adolescent and adolescent girls, such as through youth centers or kids' clubs. These strategies can provide psychosocial support, along with age-appropriate learning materials in the areas of reproductive health, nutrition, and HIV prevention. Linking girl heads of households to supportive local women's groups, faith-based programs, or local NGOs can also provide them with both psychosocial support and protection.

D.6 Child Safeguarding

As the activities to be funded under this RFA involve direct contact with children and therefore could raise the potential of child abuse, the recipient of the award resulting from this RFA must conduct a comprehensive assessment of potential risks, and must develop and/or implement appropriate measures to prevent, mitigate, and respond to child abuse by project personnel. A description of these measures should be submitted with the first annual workplan for approval by USAID.

Applicants must also describe any anticipated child protection risks associated with project activities as well as any policies or procedures the applicants' organizations has in place or plans to put in place to mitigate the risk of child abuse, exploitation, violence, or neglect by project personnel.

E. Illustrative Program Activities

The following are the description of the three main activities and sub-activities anticipated through this program. We have included illustrative activities, however, applicants are encouraged to develop their own innovative activities and provide detailed descriptions of how they will implement them within their technical applications.

Activity 1: Strengthened Capacity of State and Local Government to provide manage and monitor integrated comprehensive care to OVC and their families

Sub-Activity 1: Strengthening the Organizational Capacity for States/LGAs

Applicants should also propose organizational capacity building assistance to government partners at the State and LGA-level in order to equip partners with the skills and resources required to effectively manage government offices and government programs and to coordinate activities within their purview. The Umbrella grants applicants should propose a method to conduct pre-award assessments of the management and operational capacity of State and LGA offices responsible for OVC care and support. Capacity building assistance should be coordinated with capacity building efforts carried out at the Federal-level.

Illustrative Activities

- Facilitating/supporting the recruitment of qualified management/operational staff
- Seconding temporary staff to support key operational functions and mentor staff
- Conducting organizational assessments or using existing information to develop capacity building plans
- Supporting the implementation of institutional strengthening plans. This may include:
    - The strengthening/creating and managing of supervisory committees or boards
    - Strategic planning and project design
    - Strengthening financial management
    - Development of work plans
    - Development of administrative policies and procedures
    - Support for procurement
    - Strengthening of management of sub-grants
    - Developing/strengthening of monitoring and evaluation, data use and data quality and reporting

  - Strengthening HR management, including the management of both staff and volunteers
  - Developing strategies to reduce corruption and increase cost-effective/efficient management of resources
  - Developing policies and procedures to prevent and respond to the abuse and/or exploitation of children
  - Strengthening private public partnerships and resource mobilization to improve sustainability
- Facilitate partners to participate in national and State management/operational initiatives.

Sub-Activity 2: Strengthening Technical Capacity of State and LGAs
Applicants should describe how the sub grantees would implement activities designed to strengthen the technical capacity of State and LGA offices to carry out quality OVC programming. Technical capacity building assistance for sub-grantees should be customized for each organization using a formal assessment process or existing information and should encourage the use of best practices with regards to key OVC services, including but not limited to: identification of OVC, assessment and ongoing monitoring of the needs of OVC and OVC households, building local service referral mechanisms and linking OVC and OVC households with local resources and services and ensuring the quality of and access to Food and Nutrition services, Health services, Economic Strengthening services, Shelter and Care services, Psychosocial support services, Education/learning services, Protection services. It is important to understand that there is overlap between strengthening organizational capacity and strengthening technical capacity and that neither can be done completely independent of the other. Applicants should describe how each aspect is strengthened by inclusion of the other and what synergies will be gained by the project.

The applicants will be expected to coordinate closely with technical capacity building initiatives at the Federal-level as well as to participate in the OVC TWG. Technical assistance and training should be customized, but of standard quality, built on earlier training and address technical program weaknesses and gaps. Again, the applicants should draw on Nigerian and State expertise as much as possible using established mechanisms to source support as when required. The applicants should use existing tools, resources and training materials, wherever possible. While during the final years of the project the issue becomes more urgent, the applicants will be expected to design activities with an eye toward sustainability to reduce the effect of the end of the project on the organization.

Illustrative Activities

- Conducting pre-award assessments of technical capacity or using existing information to develop capacity building plans (Note, plans for both organizational and technical capacity building should be consolidated and incorporated into each annual workplan for individual sub-grantees)
- Facilitating the building of local service referral mechanisms and linking OVC and OVC households with local resources and services
- Facilitating the recruitment of qualified technical staff / in-service training for designated officials
- Seconding temporary staff to carry out support key technical functions or mentor new staff.
- Organizing peer-learning networks for technical staff
- Facilitating designated staff and desk officials to organize and participate in national and State initiatives to improve technical programming such as quality improvement activities, advocacy efforts to improve community support for OVC
- Supporting implementation of capacity building activities through centralized trainings, mentoring and individual technical assistance in key technical areas, as appropriate (Applicants should make use of existing and tested training materials, where appropriate). These capacity building activities should encourage relevant Government staff to support the use of best practices to improve:

    - Identification of OVC
    - Assessment and ongoing monitoring of the needs of OVC and their households
    - Linkages with local resources and services.
    - Delivery of Services to OVC
- Strengthening of institution-based care for orphans and vulnerable children

Activity 2: Sub-Granting/Sub-Grant Management
Applicants should describe how they would award and administer grants, monitor program implementation and progress and ensure adherence to USG reporting requirements, financial regulations and grant closeout.

Applicants will be expected to award new grants to sub-grantees through a competitive and transparent process. This process should be carried out in coordination and with substantial involvement from USAID. At least one award process should be carried out annually, and most sub-grantees selected at this time. However, the process should also allow for rolling submissions to fill programming gaps, as needed. Throughout the project, the successful implementing partners are encouraged to work with grantees and sub-grantees that have successfully implemented OVC programming under previous USG awards, as well as identify new sub-grantees. Where possible, applications should describe how they will extend services to beneficiaries currently supported by USAID-funded OVC programs. The grant mechanism proposed should be efficient, rapid and flexible and involves States and LGA's in the grant making process to support their role as service coordinators and monitoring bodies. Application Review Teams should include representatives from USAID and Federal or state Ministry of Women Affairs and Social Development. The prospective applicants should describe the criteria to be used to select grantees and sub-grantees, the milestone for starting up new grants and sub-grants, how they will ensure that services for currently supported OVC are not interrupted in the transition, and how they will manage the grants and sub-grants. Therefore, applicants should provide a copy of their grants manual.

Applicants should propose mechanisms to issue grants and sub-grants to CSOs to facilitate direct services for OVC and OVC households and coordinate care of OVC, as appropriate. Applicants should also propose mechanisms to issue sub-grants to government partners at the State and LGA-level to coordinate, plan, monitor, report on and refer services for OVC. In addition, applicants should clearly describe their role vis-à-vis the role of local government sub-grantees in the management of CSO sub-grantees under the RFA. The RFA should seek to facilitate close collaboration between CSO and government partners.

Illustrative Activities

- Managing the sub-award process and executing sub-grants
- Facilitating activities to improve project development and implementation
- Supporting partners to meet documentation requirements (including documentation requirements for registration with local government offices and/or non-profit tax benefits – CSOs only)
- Ensuring compliance of sub-partners with PEPFAR/USG and FGN rules and regulations, including, but not limited to fiscal responsibilities, project monitoring and evaluation and documentation and reporting
- Conducting quarterly project implementation review visits with additional site visits, as needed to monitor achievement of targets and address performance concerns
- Developing and providing a comprehensive close out package to prepare partners for the end of award
- Supporting quarterly meetings (to be led by government) at State/LGA levels for all partners to strengthen coordination/collaboration

Activity 3: Strengthening Civil Society Organizational Capacity
Applicants should describe how they would implement activities designed to strengthen the organizational capacity of sub-grantees to ensure effective and efficient management of OVC programming. Organizational capacity building assistance for sub-grantees should be customized for each organization using a formal assessment process or existing information and should encourage the use of best practices with regards to key operational/management functions, including but not limited to: strategic planning and project design, financial management and administration, procurement, sub-grant management, reporting, monitoring and evaluation, human resources (HR) management (including volunteer recruitment, retention and management), maintaining internal controls and reducing corruption, ensuring cost-effective/efficient management of resources, policies and procedures to prevent and respond to the abuse and/or exploitation of children, maintaining private public partnerships and mobilizing resources to improve sustainability.

Applicants will be expected to coordinate closely with organizational capacity building and systems strengthening initiatives initiated at the Federal-level. Organizational capacity building assistance and training should be standardized, and whenever possible coordinated, meaning group activities to facilitate efficiencies are encouraged, and should build on earlier training and address organizational and management weaknesses and gaps. Applicants should draw on Nigerian and State expertise using established mechanisms to source support when required. Applicants should use existing tools, resources and training materials, wherever possible.

Applicants should propose organizational capacity building assistance to CSOs in order to equip partners with the skills and resources required to effectively manage their organizations. Activities will focus on what is necessary for the organization to manage itself, including governance, management, sustainability and monitoring and evaluation. From the start of the project, they will be expected to understand that the life of these sub-grants is limited and begin to prepare the sub-grantees to cope after these sub-grants have ended. Therefore, the applicants will initiate activities designed to increase the self-sufficiency of partners and the sustainability of partner activities from the start. Such activities may be more intensive in the final years of the project; however, it is important for CSOs to build into their strategic plans start-up and close-out of different funding sources and resource mobilization.

Sub-activity 3.1: Strengthening the Technical Capacity for Local Sub-Grantees
Applicants should propose technical capacity building assistance to CSOs in order to equip partners with the skills and resources required to deliver quality services for OVC.

The applicants will also be expected to ensure appropriate integration of OVC programs into work plans based on targets and work with them to ensure appropriate staff levels at the State and LGA level while providing supportive supervision for key technical functions, as needed. Applicants should also propose technical capacity building assistance to government partners at the State and LGA-level in order to equip partners with the skills and resources required to effectively coordinate, plan, support and strengthen, monitor, report on and refer services for OVC.

Illustrative Activities:

- Conducting pre-award assessments of technical capacity or using existing information to develop capacity building plans (Note, plans for both organizational and technical capacity building should be consolidated and incorporated into each annual workplan for individual sub-grantees).
- Facilitating the recruitment of qualified technical staff
- Seconding temporary staff to carry out support key technical functions or mentor new staff
- Organizing peer-learning networks for technical staff

- Facilitating partners to participate in national and State initiatives to improve technical programming such as quality improvement activities, advocacy efforts to improve community support for OVC
- Supporting implementation of capacity building activities through centralized trainings, mentoring and individual technical assistance in key technical areas, as appropriate (Applicants should make use existing and tested training materials, where appropriate). These capacity building activities should encourage CSOs to use best practices to improve:
    - Identification of OVC
    - Assessment and ongoing monitoring of the needs of OVC and their households
    - Linkages with local resources and services
    - Delivery of Services to OVC, such as:

Food and Nutrition Services –introducing new techniques to maximize the productive capacity of family and community-based agriculture; developing guidelines for mobilizing community food donations; continuing support for established public-private partnerships to improve nutrition; identifying community food security solutions
Health Services –introducing innovative community-based health financing strategies and/or block grants for health facilities; coordinating with other public health initiatives; negotiating age-specific health services
Economic Strengthening Services –facilitating access to a full range of economic strengthening options depending on the needs and resources available to households (i.e. market opportunities assessments, group savings, income generation, micro-enterprise development training, other vocational training opportunities, etc…)
Shelter and Care Services –assessing shelter to identify safety and health hazards; improving access to clean water and good sanitation; mobilizing community and government support to carry out repairs or find alternative housing of OVC, as needed
Psychosocial Support Services – increasing access to age appropriate, community and school-based social opportunities, such as recreational activities and social clubs; psychosocial training for OVC caregivers, teachers and others who come into regular contact with children; and activities intended to address the psychosocial needs of OVC caregivers and enhance their ability to address the full range of OVC needs
Education/Learning Services – expanding supplementary and accelerated learning programs; introducing early childhood development interventions; increasing initiatives to prepare young people for adulthood and graduate or exit from OVC programs; and general strategies to increase the quality and relevance of education, (i.e. expand access to educational opportunities (particularly for OVC who are out of school) and improve the self-sufficiency of schools through school block grants and/or school-based businesses
Protection Services –strengthening community-based Child Protection Committees; encouraging the development of succession plans; ensuring access to quality legal counsel, where necessary; and strengthening systems/strategies prevent and respond to child abuse and exploitation and in a comprehensive way

- Developing and implementing technical strengthening plans to encourage government partners at the State and LGA-level to use of best practices to improve:
    - Coordination of OVC partners
    - Development of state and LGA-level targets and work plans
    - Assessment, registration and monitoring of OVC partners
    - Collection of data on OVC
    - Reporting on OVC issues and program results

- Referral mechanisms for additional services

Sub-activity 3.2: Increasing Access to Household Economic Strengthening (HES) Resources
Although all services outlined within the seven technical areas listed above are critical to the well-being of OVC, applicants should make special efforts to provide technically sound services in the areas of Household Economic Strengthening (HES) and Food and Nutrition (see below). Financially secure households are less vulnerable to future shocks (such as illness), and thus better able to meet the range of challenges faced by OVC. Successful HES efforts require a range of interventions to reduce household vulnerability and the flexibility to adjust to the specific needs and assets available to OVC households over a period of time.

Applicants should describe how the RFA will ensure that partners have the necessary resources and can access appropriate technical expertise in order to reduce economic vulnerability and increase economic security of OVC households. The RFA should draw on Nigerian and State expertise using established mechanisms to source support as and when required. The RFA should use existing tools, resources and training materials, wherever possible.

Illustrative Activities

- Building awareness of key HES concepts and principles among partners
- Developing and instructing partners in more effective methodologies for identifying appropriate HES interventions for specific households, depending on the needs and resources of specific households
- Establishing and instructing partners in principles and standards for designing and implementing economic strengthening activities (Applying a growing evidence base to further refine and extend principles and standards, as needed)
- Instructing partners to use HES resources, tools, processes and methodologies (including tools to facilitate market assessments, manage group savings programs, access micro-finance, support households to develop and scale-up businesses and identify value chains, etc.)
- Facilitating relationships between partners, market actors and organizations with special expertise in HES activities (i.e. micro-finance, micro-enterprise development, etc.)
- Inventorying methods and survey instruments for measuring priority indicators along with criteria and guidance to help partners choose appropriate criteria for measuring the effectiveness of HES activities
- Equipping partners with skills and resources to assess outcomes, as well as strengths and weaknesses of HES activities
- Financing pilot or demonstration projects to test and adopt specific HES activities
- Facilitating staff exchanges among partner organizations to foster peer-to-peer learning
- Engaging in regular monitoring visits to evaluate the success of HES activities
- Delivering intensive technical assistance to mentor partners as they re-engineer their activities or undertake new activities

Sub-activity 3.3: Increasing Access to Nutrition and Food Security Resources
HIV and malnutrition are interrelated and mutually exacerbating, causing progressive damage to the immune system and increased susceptibility to infection, morbidity and mortality. Activities to promote nutrition and food security are particularly important among children affected by HIV and other children made vulnerable by HIV and AIDS, many of whom are malnourished and more vulnerable to severe health risks.

Applicants should describe how the grantees and sub partners have the necessary resources and can access appropriate technical expertise in order to improve nutrition and food security for OVC and OVC households. The RFA should draw on Nigerian and State expertise using established mechanisms to source support as and when required. The applicants should use existing tools, resources and training materials, wherever possible.

Illustrative Activities:

- Encouraging local production of nutritional supplements (including those funded through previous USAID projects)
- Identifying and immediately addressing severe malnourishment among OVC, with a particular focus on children under-five
- Supporting food distribution efforts (and ensuring compliance with international standards for food storage and distribution)
- Address nutritional needs through longer-term and more sustainable household and community food security initiatives
- Ensuring access to appropriate nutrition, food security and agricultural expertise
- Collaborating with the Infant and Young Child Feeding Project (IYCN)
- Skills building for caregivers on farming and agro-businesses to increase entrepreneurship/business skills aimed at improving household incomes and ensuring food security within the households
- Tracking and reporting on specific food and nutrition targets

F. Technical Considerations

Throughout the implementation phase of the activities outlined above, the applicants are expected to incorporate a description of how each of these considerations will be addressed within their proposed technical approach.

F.1 Family/Household-Centered Approach

It is estimated that over 95% of children affected by AIDS in Sub Saharan Africa, continue to live in families. For this reason, approaches designed to preserve and strengthen families - including importantly, extended families, which care for OVC - offer an effective means for delivering services and preventing further vulnerability. The well-being of children is often strongly associated with the well-being of their parents or caregivers and the presence or a stable and loving caregiver can significantly contribute to a child's resiliency or ability to "bounce-back" during times of crisis.

Approaches should seek to:

- Empower caregivers

- Target households (as appropriate to the intervention) rather than for specific children (or only children)

- Emphasize the full participation of caregivers and children within project planning, implementation and evaluation of OVC programs

F.2 Community-Based Approach

Communities are often the first responders to children and families in crisis. They help to identify children and families at risk and often provide vital resources and services in the form of food, household help, emotional support and advocacy for OVC and OVC issues.

Approaches should seek to:

- Sustain and enhance existing community structures (including informal neighborhood groups, groups associated with Christian, Muslim and other faiths, civil society and politically structured committees)

- Engage communities in efforts to advocate for and monitor the quality and access to essential community services (such as schools, health services, protection services, etc.) to reduce discrimination and stigma

- Involve communities in the planning, implementation and evaluation of OVC programs

F.3 System-Strengthening Approach

The PEPFAR II strategic plan encourages country teams to promote efforts to strengthen country ownership of HIV/AIDS programs. To this end, a system strengthening approach encourages a better functioning social service system that will provide a vital safety net for children and families under stress and coordinate a successful OVC response at country level. In addition, strengthening local governmental coordinating bodies at state and LGA levels contributes to having strong institutions to coordinate OVC programs beyond the life of this project and to put the FGN in a better position to manage its OVC support. Approaches should seek to:

- Promote linkages with justice systems, social services ministries and departments

- Refer to national strategies, initiatives, standards, policies, etc. when developing State and LGA-based capacity building initiatives

- Leverage host country investment in building social services, policies, systems and human resources through partnership frameworks

- Co-fund and plan with other key donors (I.e., UNICEF, DFID, World Bank) investment in strengthening social service systems

- Coordinate with national capacity building efforts for the FMWASD

- Coordinate with national pre-service and in-service social work training initiatives

- Involve all appropriate government entities in the planning, implementation and evaluation of OVC programs

- Promote to all relevant partners the role of government at state and local levels partners in coordinating and supporting CSOs and others providing OVC services

- Develop within government institutions their respective roles in supporting OVC services and other organizations supporting OVC services

F.4 Needs-Based, Targeted and Age Appropriate Approach

The needs of OVC vary according to age, gender, socio-economic status and geography. Approaches should seek to:

- Emphasize outcomes over outputs
- Offer a menu of services rather than package of services, in an effort to promote cost-effective, needs-based programming
- Develop strategies to address the needs of specific sub-sets of the OVC population, such as children under five, adolescents, abused, exploited and neglected children and OVC living outside the care of families (i.e. child-headed households, street children, etc.)

F.5 Quality-Focused Approach

Quality improvement (QI) approaches systematically monitor and evaluate overall OVC care/services to ensure that program standards are being met and are regularly updated to reflect current knowledge and that gaps between expectations and actual results/outcomes are routinely identified and addressed.

Approaches should seek to:

- Make use of national frameworks, standards, guidelines and training curricula where appropriate
- Participate in the USG-initiated OVC Quality Improvement project (collaborate with the USAID/Healthcare Improvement Project (HCI) which incorporates a participatory, field-tested Quality Assurance process)
- Use the Child Status Index (CSI) tool to inform OVC partner consensus on setting service outcomes, evaluate the correlation between program services and a child's well-being to the extent possible
- Use organizational assessment tools that base results on standards for the different organizational areas and which also base capacity building interventions on the standards to be achieved (the winning bids will confer with USAID/Nigeria on standards and possible tools)
- Develop a robust set of indicators of capacity building based on standards
- Develop a program mentoring system and/or build "communities of practice" for sharing best practice
- Introduce performance-based financing which links motivational incentives (performance fee) as well as sanctions (little or no performance fee), to achieving performance agreed upon in a sub-grant. Areas that could be incentivized through this award include: increased access to and quality of OVC services; improved collaboration with the State/LGA; and enhanced implementation of the OVC at the community level, among others

F.6 Gender-Sensitive Approach

Traditional, cultural and social gender norms and behaviors can contribute to public health problems such as domestic and sexual violence and increasing rates of sexually transmitted infections (STIs) including HIV/AIDS.

Approaches should seek to:

- Mainstream gender sensitive approaches into all OVC programs
- Address five cross-cutting gender strategic areas:
  1. Increasing gender equity in OVC activities and services
  2. Reducing violence and coercion
  3. Addressing male norms and behaviors
  4. Increasing women's and vulnerable children's legal protection
  5. Increasing women's and vulnerable girl's access to income and productive resources

F.7 Sustainable Approach

Prioritizing interventions, appropriate to the Nigerian context, rather than costly and highly technical strategies, are more likely to ensure continuity of care well beyond the life of a project.

Approaches should seek to:

- Build local ownership of OVC programs

- Outline a comprehensive exit strategy and transition plan, clearly articulating how the applicants will seek to enhance sustainability of OVC support services of sub-grantees throughout the life of the project

- Support key policy interventions intended to increase OVC access care and treatment

- Integrate OVC care and support children into existing PEPFAR programs as well as maternal, newborn and child health services

- Develop private-public partnerships

F.8 Coordinated Approach

OVC program implementers rarely have the technical expertise and resources required to address the full range of needs that an OVC may present. Coordination can ensure that OVC receive comprehensive and holistic care.

Approaches should seek to:

- Use tested and proven models, tools, and resources developed under previous projects

- Promote coordination and referrals among partners, encouraging partners to provide services according to their strategic advantage and/or areas of expertise

- Coordinate programming with existing USG supported OVC partners providing direct services in other geographical regions and well as several USG supported national initiatives, including: the ***MEASURE Evaluation Program*** to roll out the National OVC Monitoring and Evaluation Plan and OVC Database; the ***Health Care Improvement Program (HCI)*** to establish and implement quality standards for OVC services; the ***AIHA Twinning Center*** to continue their pre and in-service training for Social Workers and Para Social Worker to provide OVC services; and other capacity building efforts with the FMWASD

- Coordinate with other PEPFAR and USG health programs

- Coordinate with other USG education programs, legal programs, poverty reduction and economic strengthening programs, and other relevant programs, etc. where appropriate

- Coordinate with UNICEF, DFID, the Clinton Foundation, and other donors and programs funded by these donors
- Access relevant government services and resources, where appropriate
- Leverage relevant services and resources provided by other donors, where appropriate

In addition, this activity will seek out linkages with other non-HIV/AIDS & TB-specific activities within USAID/Nigeria. Specifically, this activity will seek out linkages with USAID/Nigeria's three flagship projects in Bauchi and Sokoto: the Targeted States High Impact Project (TSHIP), the Northern Education Initiative (NEI), and Leadership, Empowerment, and Advocacy Development (LEAD). As an integrated maternal neonatal and child health initiative, TSHIP's focus on integrated community and facility-based essential maternal/newborn care represents an opportunity for programmatic linkages with OVC service delivery. The HIV/AIDS & TB portfolio supports OVC activities under NEI. Currently, NEI supports the delivery of quality education services and improves access of 15,000 orphans and vulnerable children to basic education, preventive health education, psychosocial support, and referral health services. Further linkages between NEI and this activity will be critical to ensure effective and efficient use of resources and avoiding duplicative efforts. As a promoter of democratic local governance, LEAD seeks to improve the delivery of basic services. LEAD's efforts to build partnerships between state and local governments, civil society, and the private sector to improve governance, accountability, and service delivery represent a solid foundation upon which this activity could build.

F.9 Evidence-based and Cost Effective Approaches

OVC programs have historically operated with limited information on what works best to improve the well-being of OVC in resource-poor settings. Existing research analyzing the cost-effectiveness of interventions can prevent the replication of poor performing, inappropriate interventions and support identification of effective and efficient interventions for scaling-up. Using existing data on needs and resources available to OVC in Nigeria can ensure that interventions target most vulnerable populations, leverage existing resources and use resources effectively.

Approaches should seek to:

- Use existing research analyzing the cost effectiveness of OVC strategies
- Use data from relevant Nigerian OVC assessments, surveys, studies, Demographic Health Surveys (DHS) data, HIV prevalence and incidence rates, and other population-based surveys from appropriate sectors (e.g. agriculture, poverty reduction, education) to guide targeting and intervention planning to establish priorities and targets for OVC-focused programs
- Utilize Geographic Information Systems (GIS) OVC service mapping to make decisions regarding the location and types of OVC services
- Build the evidence base for OVC programming by documenting innovative program models and identifying lessons learned and challenges

F.10 Exit Strategy & Transition Plan

The applicants should articulate an exit strategy and transition plan. Close out packages for sub-grantees should include a customized roadmap/work plan based on the organization's goals and capabilities. The roadmap should include the following:

- A review of the progress made by the partner
- Areas in which the organization can improve

- A program opportunity analysis identifying how the partner might expand geographically or programmatically in the future
- A funding opportunity analysis identifying what funding might be available and recommendations for securing future funding

F.11 Management Plan

The applicants should propose management plans that specify clear lines of supervision, communication, accountability, decision-making and responsibility among staff and sub-grantees. Accordingly, Applicants should submit a copy of their grants manual for review.

The geographical location of the proposed applicants offices and personnel should ensure efficiencies in operational and financial management. Note that applicants from the **Region 1** area are encouraged to establish their headquarters offices in Kaduna State. Applicants from the **Region 2** area are encouraged to establish their headquarters office in Kogi State. Applicants should address how they intend to manage operational partnerships in order to maximize the input and utility of all sub-grantees.

The Management Plan should also describe how the applicants will ensure coordination and communication with a wide range of stakeholders, including FGN, USG agencies, and local public/private sector partners, other USG partners in other geographic regions, other donors and targeted communities. Applications should reflect a willingness to partner with non-traditional and creative partners and utilize diverse human resources effectively.

As the activities to be funded under this RFA involve direct contact with children and therefore could raise the potential of child abuse, the recipient of the award resulting from this RFA must conduct a comprehensive assessment of potential risks, and must develop and/or implement appropriate measures to prevent, mitigate, and respond to child abuse by project personnel. A description of these measures should be submitted with the first annual workplan for approval by USAID.

Applicants must also describe any anticipated child protection risks associated with project activities as well as any policies or procedures the applicant's organization has in place or plans to put in place to mitigate the risk of child abuse, exploitation, violence, or neglect by project personnel.

F.12 Personnel and Staffing Plan

The applicants should propose an overall staffing pattern that demonstrates the technical expertise and experiences required to design and implement the "Scale-Up of Care and Support Services for Orphans and Vulnerable Children (OVC) project and support the proposed technical approach. The staffing plan should demonstrate a solid understanding of key technical and organizational requirements and an appropriate mix of skills, while avoiding excessive staffing. Recognizing the complex array of stakeholders, including partners, sub-grantees and USG in-country and headquarters personnel, the applicants should address communication flows in the staffing plan.

This section should include:

- A detailed organizational chart *(Appendix 1)*
- A brief description of relevant experience of key personnel
- A skills matrix for proposed program staff *(Appendix 2)* identifying skills and expertise of proposed staff appropriate to the activities in the Scope of Work
- Curricula Vitae's (CVs) and profiles for Key Personnel (3 pages maximum per position) and other proposed key staff (2 pages maximum per position), where appropriate *(Appendix 4)* and
- Chart reflecting the staffing Pattern *(Appendix 6)*

Proposed personnel should have relevant international and/or national experience, expertise and knowledge, including in program management, strong technical skills, capacity building, grant/contracts management and institutional development. The USG may make changes in the final staffing pattern, depending on the final award configuration. Preference should be given to Nigerian candidates, where possible.

F.12.1 Key Personnel

Applicants are encouraged to identify specific individuals for the following Key Personnel positions that require 100% level of effort (LOE) and USAID/Nigeria approval: a **Chief of Party (COP)**, **Organizational Development Director**, **Technical Program Director**, **Monitoring and Evaluation (M&E) Director** and **Grants Manager**. Below are summary job descriptions for each of the Key Personnel positions. Applicants should provide more detailed job descriptions in Appendix 3. For all the key personnel positions, the applicants must provide descriptions for the position qualifications for the positions.

- **Chief of Party (COP) (100% LOE)**

The COP is responsible and has authority and oversight for the entire program. The COP provides managerial and technical support throughout the implementation of the project, including management of key personnel and sub-grantees. The COP is responsible for the development and submission of the Annual Country Operating Plan (COP), Annual Program Reports (APR) and Semi-Annual Program Reports (S/APR), in collaboration with the M & E Director and develops requests for supplemental funding. The COP bears ultimate responsibility for ensuring that the grantees and sub-grantees meet USAID, PEPFAR and program requirements. The COP must have contractual experience and in-country delegation of authority.

- **Organizational Development Director (ODD) (100% LOE)**

The ODD is responsible for building the organizational capacity of sub-grantees. The ODD works with sub-grantees to manage their operations as effectively and efficiently as possible and designs and closely monitors the implementation of organizational capacity building initiatives. The ODD participates in national capacity building and systems strengthening initiatives intended to promote local ownership and contribute to the sustainability of HIV and OVC programming. The ODD directs and supervises senior OD staff and short and long term technical assistance for the organizational development program.

- **Technical Program Director (TPD) (100% LOE)**

The TPD is responsible for building the technical capacity of sub-grantees. The TPD works with sub-grantees to plan and execute quality OVC services and designs and closely monitors the implementation of technical capacity building initiatives. The TPD participates in national initiatives intended to improve the technical quality of OVC programming. The RPD directs and supervises senior technical staff and short and long term technical assistance for the technical program.

- **Monitoring and Evaluation Director (MED) (100% LOE)**

The MED is responsible for all monitoring, evaluation and reporting activities under the award. The MED works in collaboration with the FMWASD M & E OVC counterpart and develops and manages the Project's Performance Monitoring Plan (PMP). The MED develops and maintains systems to collect and analyze information on inputs, outputs, outcomes and impact of the program. She/he conduct supportive supervisory visits to States/LGAs and sub-grantees to observe, monitor, provide guidance and quality feedback on the use of OVC data and indicators; analyze monthly data and support training of M&E personnel in quality assurance methods.

- **Grant Management Specialist (100% LOE)**

Grant Management Specialist is responsible for managing and coordinating the complex grants portfolio. He/She will serve as experts for the planning, implementation and evaluation of grant applications and provide guidance on cooperative agreements, cost-share agreements, participating agreements, collection agreements, and memoranda of understanding. Grant Management Specialist negotiate, grants and review all reimbursement requests for appropriateness, and ensure that awardees are in compliance with established administrative and financial policies, procedures, and sound business practices. After the award(s), the Grants Manager(s) will provide post award administration including monitoring all phases of grant agreements and close-out, including assessment of technical progress and performance. This position require knowledge and skill in applying analytical and evaluative techniques to the identification and resolution of grants administration issues and knowledge of laws, regulations, agency policy, precedent cases, and other requirements that affect grant program administration.

F.12.2 Other Personnel

In addition to Key Personnel, applicants should propose other full or part-time staff and consultants or intermittent staff necessary to fulfill the requirements of the program description. Applicants should also propose key short term and long term technical assistance in accordance to the needs of the program.

G. Monitoring and Evaluation Plan

Monitoring and Evaluation of results is a key element of USAID programs to improve performance and effectiveness, inform planning and management decisions and demonstrate program impact. Accurate and timely monitoring and evaluation enables programs to adapt to changing conditions and make mid-course corrections as necessary. All applications must include plans to document baseline information, and monitor and evaluate program performance. The Recipient is expected to fully engage the grantees and sub-grantees in planning and monitoring of program efforts. M&E support of sub-grantees includes measurement of program progress, provision of feedback for accountability and quality and integration with existing OVC information management systems. In addition, the applicants should describe how they would provide supportive supervision, guidance, monitoring, mentoring and oversight through site visits, technical assistance and performance evaluation.

Given the complexity of activities that are to be undertaken and the multitude of relevant stakeholders including the FGN, other USG partners and other donors, special efforts will be required to keep all parties informed and engaged in the planning, implementation and reporting of activities. At program mid-term, USAID will conduct performance assessment to determine need for program review, redirection, lessons learned, challenges and possible continuation of funding.

H. Program Indicators

All applications must include plans to document, monitor and evaluate program performance. USAID Nigeria will evaluate progress by monitoring selected indicators and assessing these in relation to the overall objectives set by program staff. A limited set of program monitoring indicators will be used to track the progress of key USAID-funded activities. These are based on administrative records, project reports, and routine, logistical, and community-based information systems. Applications for funding under the proposed RFA should clearly state how proposed activities relate to these program monitoring indicators and how data will be collected, verified and reported to document progress toward these objectives, including a staffing plan. Data quality is a critical component of this program, and all applicants must develop systems to ensure data quality and must be prepared for data quality audits. Applicants should be prepared for revisions in required program indicators and reporting requirements during the lifetime of the award and as part of project closeout processes.

Applicants must report on the required indicators relevant to OVC, as laid out by the Office of the Global AIDS Coordinator. These indicators are listed in **Annex 1.** In addition to the specific indicators listed in Annex 2 applicants will be responsible for ensuring that their sub-partners report on Nigerian Monitoring and Evaluation Plan for Orphans and Vulnerable Children (OVC) Response in Nigeria listed in **Annex 2.**

H.1 Reporting Indicators and Targets

The applicants will be expected to report on relevant OVC PEPFAR new generation indicators and FGN OVC program monitoring indicators to track the progress of key USAID-funded activities. These are based on administrative records, project reports and routine, logistical and facility-based information systems. USAID/Nigeria will evaluate progress by monitoring selected indicators and assessing these in relation to the overall program objectives. Applications for funding under the proposed RFA should clearly state how proposed activities relate to these program-monitoring indicators and how data will be collected, verified and reported to document progress toward the objectives. All data must be disaggregated by sex and age as appropriate.

Indicators and targets for each result should illustrate how each award will contribute to scaling-up and improving the quality of OVC programming. Applicants should propose reasonable targets for each indicator. The targets should consider baseline data established by the targeted States/LGAs.

H.2 Performance Monitoring Plan (PMP)

The Performance Monitoring Plan must, at a minimum, address the following: Description of the Recipient's established system within which the particular PMP operates. The system refers to:

- Organization-wide policies and procedures for monitoring and their relation to the immediate PMP
- Organizational staffing/expertise, roles, and responsibilities and how the staffing and expertise is to be used in the particular PMP, including the roles of subcontractors and sub-grantees
- Automated and other methods used to gather, store, manipulate, summarize, analyze, and/or report performance data
- Procedures for regular communication with USAID regarding the status of monitoring activities, including a means for early notification of problems
- Means of addressing a discovered lack of progress or success. Procedures should focus on learning from mistakes, analyzing them, and ascertaining the reason for missteps.
- Information about all activities to be monitored under the PMP. The list of activities should be provided in a logical framework which:
    - Links activities to Agreement results—both those dictated by USAID in the solicitation and lower level or complementary results contained in the Recipient's approach
    - Describes assumptions being made about the relationship of the activity to the Agreement result. Identifies the indicators against which progress is to be measured

The PMP describes the methods to be used for monitoring. Methods for monitoring vary according to what it is monitored. Some activities can be observed easily and costs and outputs can be measured against the original targets and timetable. Other activities are less easy to monitor in terms of quantitative achievements, especially such intangible effects as awareness and empowerment and their direct link to program interventions. Indirect or proxy indicators may have to be identified, even if these cannot be verified. By considering these factors at the planning stage, expected results can be kept realistic and cost-effective and the Recipient can recognize that not all available and useful indicators are 'objectively verifiable'. **Annex 3** provides an illustrative schedule for discrete monitoring activities tied to the overall program workplan.

Both periodic and annual progress reports shall be submitted in English electronically and in hard copy to the AOTR. Performance reports must meet the general requirements included in 22 CFR 226.51; however, the information required by 22 CFR 226.51 must be supplied in the following standardized format:

Executive Summary – This section is a narrative summary of overall achievements against planned achievements and a brief description of any realized or potential performance challenges1. Achievements should be quantified against both principal and collateral agreement targets/indicators wherever possible, leaving detailed analysis for later sections.

Summary Table - The Executive Summary should be followed by a table which identifies all results and their corresponding targets/indicators. Overall agreement goals for each target and indicator shall be identified as well as planned and actual goals for the reporting period. In addition, costs incurred by result or group of results should be identified as well as planned and actual expenditures for the reporting period. This table is intended to serve as an at-a-glance data summary. An illustration is provided in **Annex 4.**

H.3 Program Evaluation

Evaluations shall be planned by the designated Agreement Officer Technical Representative and conducted during the life of the project. The recipient shall maintain a database of monitoring data that will be used in evaluating the performance of the project. The recipient shall prepare the database and other information necessary for a thorough evaluation accessible to the evaluation team.

H.4 Environmental Examination:

The program will comply with USAID's Environmental Procedures regulations at the pre-obligation phase of its specific activities. To ensure adherence to USAID's environmental requirements, the applicants should be guided by ADS Chapter 204. Separate Initial Environmental Examinations (IEEs), Categorical Exclusions, requests for deferrals, or exemptions will be recommended as appropriate when sufficient information is known about the specific intervention to permit a meaningful threshold determination.

I. Program Reporting

The Awardee will report semi-annually and annually in relation to the annual workplan and the originally submitted proposal. The reporting cycle will be synchronized with the PEPFAR reporting cycle. Semi-annual reports should cover the period October 1 to March 31 and be submitted no later than April 20. Annual program reports should cover the period October 1 to September 30 and should be submitted no later than October 20.

The PMP should demonstrate understanding of PEPFAR indicators and reporting requirements, including how data will be collected, verified and reported to document program progress. Data quality is a critical component of PEPFAR, and applicants must develop systems to ensure data quality and be prepared for data quality audits.

Implementing partners must report on the required indicators relevant to their program area, as laid out by the Office of the Global AIDS Coordinator (OGAC). These indicators are discussed in the document "PEPFAR Next Generation Indicators Reference Guidance," dated August 2009, available at http://www.pepfar.gov/guidance/c21628.htm. The global indicators should however be considered a minimum reporting requirement. The PMP should specify more comprehensive and complementary indicators that better capture program outputs and outcomes specific to this program.

Implementing partners must provide periodic updates on program status through regular face-to-face meetings with the program Assistance Officers' Technical Representative (AOTR) on a schedule to be agreed upon by the Chief of Party and the AOTR.

I.1. Quarterly Progress Reports: The Awardee must prepare and submit to the USAID/Nigeria AOTR a quarterly report within 30 days after the end of the Awardee's first full quarter, and quarterly thereafter. These reports will be used by USAID/Nigeria to fulfill electronic reporting requirements to Washington; therefore, they need to conform to certain requirements. The report must contain, at a minimum:

- Progress (activities completed, benchmarks achieved, performance standards completed) since the last report by country and program area
- Problems encountered and whether they were resolved or are still outstanding
- Proposed solutions to new or ongoing problems
- Success stories with at least two photos
- Documentation of best practices that can be taken to scale
- List of upcoming events with dates.

I.2. Semi-Annual Progress Reports: The Awardee must prepare and submit to the USAID/Nigeria AOTR a semi-annual report within 30 days after the end of the Awardee's first full six months. The time-frame for Progress Reports will be synchronized with the USG fiscal year and PEPFAR planning and reporting cycle, October 1 to September 30. These reports will be used by USAID/Nigeria to fulfill electronic reporting requirements to Washington; therefore, they need to conform to certain requirements. The report must contain, at a minimum:

1. Progress (activities completed, benchmarks achieved, performance standards completed) since the last report by country and program area
2. Problems encountered and whether they were resolved or are still outstanding
3. Proposed solutions to new or ongoing problems
4. Success stories with at least two photos
5. Documentation of best practices that can be taken to scale
6. List of upcoming events with dates

I.3. Quarterly Financial Reports: The Awardee must submit quarterly financial reports to USAID within 30 calendar days following the end of each quarter. They must be disaggregated at the program area and contain, at a minimum:

- Total agreement budget
- Total funds awarded to date by USAID into the agreement (Total funds obligated to date)
- Total funds previously reported as expended by Awardee by main line items
- Total funds expended in the current quarter by the Awardee by main line items
- Total funds expended (actual plus estimated accrued) towards the end of the report period
- Total unliquidated obligations by main line items
- Unobligated balance of USAID funds
- Estimated expenditures for remainder of year
- Estimated monthly burn rate

I.4. PEPFAR Semi-Annual and Annual Progress Reports (SAPR; APR): In addition to the reports listed above, the Awardee must submit completed SAPR and APR forms which USAID provides to OGAC. In past years, these reports have followed the same submission timeline as reports for fiscal year quarters 2 and 4.

I.5. Final Report: At the end of the Agreement, the Awardee must prepare a completion report and end-of program presentation which highlight accomplishments against work plans, gives the final status of the benchmarks and results, addresses lessons learned during implementation and suggests ways to resolve constraints identified. The report must provide recommendations for follow-on work that might complement the completed work and details of close out and transition plans.

J. Authorizing Legislation/Applicability of 22 CFR 226

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended. 22 Code of Federal Regulation (22 CFR) 226 is applicable to an award to a U.S. organization made under this RFA and to any sub-award to a U.S. entity resulting from this RFA.

K. Award Administration

For U.S. organizations, 22 CFR 226, OMB Circulars, and the *Standard Provisions for U.S. Nongovernmental Recipients (US NGOs)* will be applicable. For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* (Non-US NGOs) will apply. While 22 CFR 226 does not directly apply to non-U.S. applicants, the Agreement Officer will use the standards of 22 CFR 226 in the administration of the award. For Public International Organizations (PIOs), the Standard Provisions for Grants to PIOs, along selected provisions from the Standard Provisions for Non-U.S., NGOs and other negotiated provisions will be used. These documents may be accessed through the internet as follows:

22CFR226: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

OMB Circulars: http://www.whitehouse.gov/omb/circulars/index.html

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

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

Standard Provisions PIOs: http://www.usaid.gov/policy/ads/300/308mab.pdf

[END OF SECTION I]

SECTION II – AWARD INFORMATION

A. Estimated Funds Available

Subject to the availability of funds, USAID intends to allocate a total of up to $32.5 million dollars to each of the two Cooperative Agreements for the two identified regions (**Region 1** and **Region 2**) where a significant amount of the funding is expected to pass through to the grantees over a five year period. Estimated allocation per program year is as follows.

Estimated Budget *(subject to the availability of funds)*	
Year	**Funding**
Year 1	$11,650,000
Year 2	$15,000,000
Year 3	$15,000,000
Year 4	$12,500,000
Year 5	$10,850,000

The Recipient(s) will not directly implement program activities, but rather act as grants management partner, issuing sub-grants and building the organizational and technical capacity of grantees and sub-grantees who are the implementers of PEPFAR OVC programs and provide assistance to OVC. A significant amount of funding should be allocated as grants, (approximately seventy percent or more of the award budget should be allocated for grants to local CSOs/FBOs while the remaining thirty percent or less is allocated for the administration of the grants and other project related responsibilities of the Umbrella grant recipient(s)). Umbrella Grantee(s) percentage is expected to reduce over Life of Project (LOP) as capacity-building needs and grants administration cost reduces.

B. Anticipated Award Schedule

It is anticipated that the two Cooperative Agreements will be awarded for a period of five years beginning o/a April 01, 2012. The Cooperative Agreements will be incrementally funded by USAID/Nigeria, subject to the availability of funds.

C. Type of Award

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

D. Substantial Involvement

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

1. Approval of the recipient's implementation plans that details planned achievement of milestones or outputs.

2. Approval of specified key personnel for those positions that are essential to the successful implementation of an award (limited to five positions or five percent of the recipient's team size, whichever is greater), and changes thereof.

3. Agency and recipient collaboration or joint participation in the following areas:

   a) Collaborative involvement in selection of advisory committee members (USAID may also choose to be a member), if the program will establish an advisory committee that provides advice to the recipient on programmatic or technical issues and not routine administrative matters;

   b) Concurrence on the selection of sub-award recipient's and/or the substantive technical/pragmatic provisions of sub-awards;

   c) Approval of the recipient's monitoring and evaluation plans;

   d) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects; and

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

4. If applicable, authority to immediately halt a construction activity if identified specifications are not met.

E. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under the Cooperative Agreement is 935.

F. USAID Management of the Activities

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

G. Program Income

Recipient shall apply the standards set forth in **22 CFR 226.24** to account for program income related to projects financed in whole or in part with Federal funds.

H. Mobilization Plan

The applicant will be expected to mobilize within thirty days of signing the award, including having senior staff in place and an office established in Abuja, Nigeria. USAID also expects that the implementing partner will have a progressive HIV/AIDS workplace policy. Applications should address this key point.

[END OF SECTION II]

SECTION III – ELIGIBILTY INFORMATION

A. Eligibility Criteria

1. U.S. or non-U.S. Non-governmental organizations (NGOs), private voluntary organizations (PVOs), for-profit companies willing to forego profit, colleges and universities, and Public International Organizations are eligible to submit applications. Faith-based and community organizations that fit the criteria above are also eligible to apply.

2. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners.

3. 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 (may include a pre-award survey) issued by a warranted Agreements Officer in USAID.

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

B. Cost-Sharing and Leveraging Resources

Cost sharing and leveraging have been important parts of previous USAID integrated HIV/AIDS & TB projects and have provided useful flexibility to enable recipients to meet needs that might not be covered by USAID project funds. While there is no specific requirement for cost sharing or leveraging, **USAID encourages cost sharing to be included as part of the application. Note that cost share amount will not be evaluated nor considered in the award selection process.**

[END OF SECTION III]

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Points of Contact

1. Jamala Ukwa
   Agreement Officer
   USAID/Nigeria

2. Abdullahi Sadiq
   Acquisition and Assistance Specialist
   USAID/Nigeria
   e-mail: asadiq@usaid.gov

3. Nyembezi Mfune
   Acquisition and Assistance Specialist
   USAID/Nigeria
   e-mail: nmfune@usaid.gov

B. Required Forms

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

- SF-424, Application for Federal Assistance;
- SF-424A, Budget Information - Nonconstruction Programs; and
- SF-424B, Assurances - Nonconstruction Programs.

Copies of these forms can be downloaded from the following website: http://apply07.grants.gov/apply/FormLinks?family=16.

C. Pre-Award Certifications, Assurances and Other Statements of the Recipient

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

2. For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs.

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

4. A signed copy of the "Prohibition on Assistance to Drug Traffickers" for covered assistance in covered countries;

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

6. A signed copy of "Key Individual Certification Narcotics Offenses and Drug Trafficking"

7. Survey on Ensuring Equal Opportunity for Applicants; and

8. All applicants must provide a Data Universal Numbering System (DUNS) Number.

D. General Application Guidelines

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. Each applicant shall furnish the information required by this RFA. On the hard copies of applications, the applicant shall sign the application and the certifications, and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

2. The applications must be clear, specific, complete and presented concisely. The applications must demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the **application review information** found in section V of this RFA.

3. All applications received by the deadline will be reviewed for responsiveness and programmatic merit in accordance with the specifications outlined in these guidelines and the application format. Section V addresses the selection criteria and procedures for the applications.

4. Applications are to be submitted electronically via e-mail attachments, in accordance with the instructions below "Procedures for Submission of Applications by E-mail," to be followed by hard copies.

5. The hard copies of applications and modifications thereof shall be submitted in sealed envelopes or packages addressed to the office specified in the cover letter of this RFA, with the RFA number, the name and address of the applicant, and whether the contents contain technical and/or cost applications noted on the outside of the envelopes/packages. Hard copies must be received no later than twenty-four (24) hours after submission deadline. It is recommended that applicants use courier service instead of international mail for submission of the hard copies.

6. The application should be prepared according to the structural format set forth below in (1) Technical Application Format and (2) Cost/Business Application Format.

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

a) Mark the title page with the following legend:

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

restriction are contained in pages___."; and

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

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

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

9. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated on the cover letter accompanying this RFA. Late applications will be considered for award **only if** the Agreement Officer determines it is in the best interest of the Government.

10. Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Deletions or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

11. The Government may award two Cooperative Agreements resulting from this RFA to the responsive applicants whose Applications meet the requirements of this RFA and offer the best value, cost and other factors considered. 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.

12. Applicants who have questions concerning the contents of this RFA should submit them in writing to abujasolicitations@usaid.gov; with a copy to asadiq@usaid.gov and nmfune@usaid.gov by the date and time indicated on the top of the RFA cover letter. **All communication related to this RFA should indicate RFA number and Program Title in the subject line.** Any information given to one applicant concerning this RFA will also be furnished to all other applicants as an amendment to this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to other applicants.

E. Procedures for submission of applications by e-mail

1. Before sending your documents to USAID as e-mail attachments, convert them into Microsoft Word (for narrative text) and Excel with access to all formulas (for tables). The attachments should be version 2010 compatible, or PDF format for documents that have signatures.

2. Once sent, check your own e-mails to confirm that your attachments were indeed sent. If you discover an error in your transmission, re-send the material again and note in the subject line of the e-mail that it is a "corrected" submission. Do not send the same e-mail more than one time unless there has been a change, and if so, note that it is a corrected e-mail. Do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions. **USAID is not responsible for unreadable submissions or attachments under any circumstances.**

3. To avoid confusion, duplication, and overcrowding problems with our e-mail system, only one authorized person from your organization should send in the e-mail submissions.

4. Applications shall be submitted in two separate emails (with subject line denoting Cost or Technical Application): (1) technical and (2) cost/business application. In addition to the e-mail submission, applicants shall submit one (1) original, two (2) hard copy and an electronic (CD-ROM) of the technical application and one (1) original, two (2) hard copy and an electronic (CD-ROM) of the cost/business application to the address specified on the cover letter. Faxed applications will **not** be considered.

5. If you send your application by multiple e-mails, indicate in the subject line of the e-mail whether the e-mail relates to the technical or cost Application, and the desired sequence of multiple e-mails (if more than one is sent) and sequence of attachments (e.g. Organization X, Cost Application, Part 1 of 4, etc.). However, you are requested to consolidate, as much as possible, the various parts of your technical application into one technical application document/email and the various parts of your cost application into one cost application document/email.

6. The attachments should be formatted in Microsoft Word and/or Excel (version 2010 compatible) or PDF format, with a 3MB limit per e-mail. Use of zipped files is generally discouraged. Because of our system restrictions, if you send zipped files, do not use a "zip" extension as part of the file name. Also, specify in the body of the e-mail that the attachment contains zipped files. Applications and modifications thereof shall be submitted with the name and address of the applicant and the RFA number (referenced above) inscribed thereon, via e-mail, to abujasolicitations@usaid.gov; with a copy to asadiq@usaid.gov and nmfune@usaid.gov. Due to phone system limitations, faxed applications will not be considered. Applicants must confirm with Abdullahi Sadiq at asadiq@usaid.gov or Ms. Nyembezi Mfune at nmfune@usaid.gov that their e-mail submissions were successfully received by the required due date.

7. Applicants shall confirm receipt of their application by written e-mail notification to the contact person specified in the RFA cover letter. Applicants shall also acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

8. Late applications will not be considered for award **except** as determine in D.9 above.

F. Guideline for Preparation of Technical Application

Technical applications should include, at a minimum, the following:

Applicants must demonstrate an understanding of the context and responsiveness to design considerations, as well as PEPFAR goals and USG strategies and objectives for OVC programming in Nigeria. In addition, the applicants must be creative, and propose feasible, realistic activities that link to desired results. Such activities must be evidence-based or best practices, which can be replicated beyond stated targets. Similarly, applicants must demonstrate an innovative, effective and efficient approach for implementing a grants management system for rapid awards and disbursements and innovative, effective and efficient approach for providing technical and organizational capacity building support also need to be clearly outlined. Also, Applicants must clearly illustrate how gender related issues will be incorporated and addressed in OVC programming of this nature and size.

1. Management Plan

Applicants should demonstrate how overall management of the activities will be achieved. This may include the following:

- Management plan for provision of approximately 70% or more of this award budget to local NGOs that will work as subgrantees for the provision of services at the community level.
- Clear delineation of mechanisms for managing multiple complex activities simultaneously and collaboratively.
- Systems for managing sub-grants, particularly financial management systems and mechanisms for ensuring that sub-grantees meet USAID requirements needs to be clearly indicated. Applicants should provide a copy of their grants manual for review.
- Systems that allow for the flexibility to respond to the technical needs and scope of the program as well as management roles and responsibilities also need to be clearly delineated.

2. Key Personnel

Applicant's technical approach document must demonstrate appropriate qualifications for key personnel to be hired, as part of a streamlined, cost-effective staffing structure. All key personnel must be identified and supported with Curricula Vitae and skills matrix. The plan must demonstrate a thorough understanding of the Nigerian context. The staffing pattern should maximize the use of qualified and experienced Nigerian staff. The involvement of expatriates (including Third Country Nationals (TCNs) should be limited to the maximum extent possible. Key personnel should also demonstrate relevant international and/or national experience, expertise and knowledge, including in the areas of program management, services for OVC, capacity building, grant/contracts management and institutional development. Adequate professional information, including names, short descriptions of experience and capacity relevant to proposed position should be included.

3. Implementation and Monitoring and Evaluation Plan

The technical approach must include a proposed Performance Implementation Plan and a Monitoring and Evaluation plan which suggests both quantitative and qualitative indicators and proxy indicators to measure effectiveness of OVC programs. Applicants should also indicate a clear description of a monitoring and evaluation system to track indicators that correlates with both the PEPFAR and National Nigerian OVC standards, including a proposed timeline for achieving results.

4. Institutional Capacity

Applicants must demonstrate a record of quality and accomplishments that are relevant to the RFA's scope of work. In addition, applicants must demonstrate the ability to provide a range of capacity building assistance and administrative support to sub-grantees and also provide evidence of experience managing programs that are similar in scope and magnitude. A clear indication of capacity to manage multiple complex activities simultaneously and transparently must be demonstrated.

5. Past Performance Providing Similar Technical Assistance

Applicants must demonstrate the capacity and experience to provide the services outlined in the program description. Applicants for this RFA should have experience and competencies suited to supporting sub-grantees with little or no experience managing government funding or implementing OVC programming. Applicants should demonstrate a track record of quality, timeliness, good business practices, customer satisfaction and attention to cost control under previous contracts, grants or cooperative agreements.

Applicants must submit up to five past performance references relevant to this scope of work, which will also be evaluated as Appendix 7. These references should list all awards involving similar or related programs over the past three years. Reference information should include the name and address of the awarding organization, the name, telephone number and e-mail address of the contact person, the award amount and number, if appropriate and a brief description of work performed.

USAID reserves the right to obtain past performance information from other sources, including those not named in this RFA. The Technical Evaluation Committee may use any other past performance information obtained as part of the review and evaluation of grantee past performance.

G. Technical Application Format

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

Technical applications should contain the following information and conform to the guidelines detailed below.

1. Cover Page with name of applicant, program identification and contact information.

2. Table of Contents listing all page numbers and attachments.

3. Project Abstract beginning on page 1 not to exceed a one page description.

4. Technical applications are limited to **50 pages** (12 point single-spaced Time New Roman font, and a minimum of 1 inch margins all around) not including the cover page, executive summary, appendices, and certain graphics as specified. Pages should be paginated at the bottom. Graphics and charts specifically requested in this technical application will not count against the page limit for the application, and may be included either in the application or in attachments. Shorter applications are encouraged. This section of the application will become a major component of the program description for the award if it is made, therefore its focus should be on the results that will be achieved. Corporate qualifications and discussions should be minimized. Curriculum vitae, letters of commitment and other supporting documentation not integral to the technical application may be attached to the application and will not count against the 50 pages.

5. Attachments should be lettered (e.g. Attachment A), and should include a staffing plan including an organogram, the resumes/CVs of key personnel, letters of support, letters from public entities, and other supporting documents.

6. Technical application information for proposed sub-recipients and/or sub-contractors should follow the same format as that submitted by the applicant.

H. Guidance for Preparation of Cost/Business Application

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for an Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

1. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget should be structured according to Section I - PROGRAM DESCRIPTION and have a breakdown by objective, program elements and sub-activity. The budget narrative must provide detailed budget notes and supporting justification of all proposed budget line items. It must clearly identify the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc.

2. A summary of the budget must be submitted using **Standard Form 424, 424A and 424B**, which can be downloaded from http://apply07.grants.gov/apply/FormLinks?family=16. USAID will evaluate the cost/business application separately for cost effectiveness and realism.

3. USAID will require the following detailed information from the applicant organization: The cost/business application must be completely separate from the Applicant's technical application, and submitted by using SF-424 and SF-424A "Application for Federal Assistance." These forms can be found under Annex E and downloadable online at http://apply07.grants.gov/apply/FormLinks?family=16

4. The Applicant must provide an electronic copy of a budget (in Microsoft Excel), with calculations shown in the spreadsheet, and an electronic version of the narrative that discusses the costs for each budget line item (preferably in Microsoft Word) on a CD-ROM. Calculations and formula shall be accessible and not hidden or protected by password.

5. The cost/business application must be for the period of the proposed program (five years) and use the budget format show in the SF-424A. The form is attached under Annex E and is downloadable online at http://apply07.grants.gov/apply/FormLinks?family=16. If the applicant proposes to charge any training costs to the USG as part of any proposed cooperative agreement, it must clearly identify them.

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

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

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

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

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

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

b) The breakdown of all costs according to each partner organization involved in the program;

c) The costs, if any, associated with external, expatriate technical assistance and those associated with local in-country technical assistance;

d) The breakdown of any financial and in-kind contributions of all organizations involved in implementing the cooperative agreement;

e) Potential contributions of non-USG or private commercial donors to the grant, contract or cooperative agreement;

f) The costs proposed for "training" and "sub-grants" must be itemized within the budget narrative, so that they may be subsequently negotiated and included in the appropriate category of the Cooperative Agreement Budget;

g) Procurement plan for commodities if needed; and

h) Closeout costs: applicants must include in the required projected organizational budget any costs associated with terminating programmatic activities at the conclusion of the cooperative agreement.

11. Applicants must provide the following cost element details:

a) <u>Salary and Wages</u> – Applicants must propose direct salaries and wages in accordance with their personnel policies;

b) <u>Fringe Benefits</u> – If the Applicant has a fringe benefit rate approved by an agency of the U.S. Government, the applicant should use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the application should propose a rate and explain how the Applicant determined the rate; in this case, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries;

c) <u>Travel and Transportation</u> – The Applicant should indicate the number of trips, domestic and international, estimated as necessary to carry out the proposed scope of work, and their estimated costs. Applicants must specify the origin and destination for each proposed trip, the duration of travel, and number of individuals who would be traveling. If applicable, applicants should base per-diem calculations on current, published U.S. Government per diem rates for the localities concerned.

d) <u>Contractual/Sub-award/Sub-grantee</u> – Any goods and services being procured through a contract mechanism;

e) <u>Equipment and Supplies</u> – Estimated equipment (i.e. model number, cost per unit, quantity) and office supplies and other related supply items;

f) Other Direct Costs – Applicants should detail any other direct costs, including the costs of communications, report preparation, passport issuance, visas, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment, office rent, etc.;

g) Cost Sharing (if proposed) – Provide narrative information, in addition to the percentage and total dollar amount of the proposed cost-share contribution. Cost-share, once accepted becomes a condition of payment of the federal share;

h) Indirect Costs – The Applicant should support the proposed indirect cost rate with a letter from a cognizant, U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information to determine the reasonableness of the rates. (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.). If applicant does not have a NICRA, the following shall be included, as applicable:

- Audited (by a certified public accountant or other auditor satisfactory to USAID) financial statements for the past three years;
- Projected budget, cash flow and organizational chart;
- Organization chart, by-laws, constitution, and articles of incorporation, if applicable; and
- Copies of the Applicant's personnel, expatriate and local (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel, and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. Provide the name, address, and phone number of the cognizant reviewing official or with sufficient information to determine the reasonableness of the rates.

i) Applicants with no previous experience with USAID programs will be requested to submit evidence of financial capability which shall consist of financial audits for the past three years; personnel, travel, purchasing, and property management policies; and past performance references (at least three). If copies have already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

I. Special Considerations

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

1. An award shall be made only when the Agreement Officer makes a positive determination that the applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out assistance programs and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For the organizations that are new to USAID, or organizations with outstanding audit findings, it may be necessary to

perform a pre-award survey in accordance with ADS 303.3.9 and ADS 591.3.4.2.

2. 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. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

3. Certificate of Compliance: Submit a copy of your Certificate of Compliance if your organization's systems have been certified by the USAID/Washington's Office of Acquisition and Assistance (M/OAA). For applicants whose systems have not been certified by M/OAA, submit self-certification of the management systems/major business systems with a cognizant audit agency in accordance with ADS 303.3.8.

[END SECTION IV]

SECTION V – APPLICATION REVIEW INFORMATION

A. Overview

1. The criteria listed in section C.1 below are presented by major category and they are all of equal importance. Also, all the sub elements under each major category are of equal importance too. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated.

2. These technical evaluation criteria have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application(s). These criteria serve as the standard against which the Technical Evaluation Committee (TEC) shall evaluate all applications. USAID will award to the Applicant(s) whose application(s) best meet(s) the program description and represent(s) the best value to the Government, all things considered.

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

B. Adjectival Rating

The following adjectives will be used in assessing the technical evaluation criteria set forth in section **C.1.** (Technical):

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

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

Good: The application meets the requirements. The application may contain weaknesses and/or significant weaknesses that are correctable but no deficiencies. An assigned rating of "good" indicates that, in terms of the overall application and/or specific sections, the application demonstrates a "good" understanding and ability to fulfill the requirements. If any weaknesses and/or significant weaknesses are noted, they should not seriously affect the Applicant's performance.

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

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

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

C. Evaluation Process

C.1. Technical Evaluation Criteria

Technical Approach
a. Demonstrate an understanding of the overall program description: logic, coherence and feasibility of the overall plan to achieve expected results.
b. Demonstrates an understanding of PEPFAR goals and USG strategies and objectives for OVC programming in Nigeria.
c. Sound illustrative activities to demonstrate thorough understanding in each of the three main activity/result areas. This should reflect technical knowledge, analytical depth, and a logical results-based approach that link to desired results.
d. Includes activities that rely on evidence-based or best practices, which can be replicated beyond stated targets.
e. Demonstrates an innovative, effective and efficient approach for implementing a grants management system for rapid awards and disbursements to local NGOs for service delivery at community level.
f. Clearly articulate how gender related issues will be addressed.
Management Plan
Demonstrates how overall management of the activities will be achieved including:
a. Mechanisms for managing multiple complex activities simultaneously and collaboratively.
b. Systems for managing sub-grants from pre award to closeout; particularly financial management systems; and mechanisms for ensuring that sub-grantees meet both USAID requirements and the overall objective of service delivery at community level. Applicants should provide a copy of their grants manual for evaluation.
c. Management plan for the allocation of approximately 70% or more of the award funds to local NGOs for provision of services at the community level.
d. Clearly delineated management roles and responsibilities.
Key Personnel
a. A well-articulated staffing pattern that maximizes the use of qualified and experienced Nigerian staff. The involvement of expatriates (including Third Country Nationals (TCNs) should be limited to the maximum extent possible. All key personnel must be identified and supported with Curricula Vitae and skills matrix.
b. Proposed key personnel have requisite experience and expertise and meet or exceed the requirements specified in Section 11.1. Exhibits relevant international and/or national experience, expertise and knowledge, including in the areas of program management, services for OVC, capacity building, grant/contracts management and institutional development.
c. Overall staffing pattern (including other key personnel) represents an optimal configuration for efficiency and is responsive to technical requirements and principal challenges.
Implementation and Monitoring and Evaluation Plan
Illustrate/demonstrate proactive and responsive Implementation, Monitoring and Evaluation plan that contribute to the achievement of the stated objectives of the RFA. The approach must include the following:
a. A plan which suggests both quantitative and qualitative indicators and proxy indicators to measure

effectiveness of OVC programs;
b. A clear description of a monitoring and evaluation system to track indicators that correlates with both the PEPFAR and Nigerian OVC standards; and
c. A realistic timeline for achieving results.
Institutional Capacity
a. Presents an innovative, effective and efficient approach for providing technical and organizational capacity building support to grantees.
b. Demonstrate a record of quality and accomplishments that are relevant to the RFA's scope of work. Applicants must demonstrate the ability to provide a range of capacity building assistance and administrative support to Grantees and Sub-grantees.

C.2. Cost Effectiveness and Cost Realism of the Application

1. Cost-effectiveness and cost-realism will be evaluated separately. The total cost proposed for the principal tasks will be evaluated for realism, completeness, and reasonableness. USAID/Nigeria is not obliged to award a negotiated agreement on the basis of lowest proposed cost or to the Applicant with the highest technical evaluation score. For this procurement, all evaluation factors other than cost — when combined — are significantly more important than cost. Besides the technical criteria, the proposal will be assessed for cost realism and should therefore address the following:

a. Cost Effectiveness and Realism: The proposed costs must be realistic, reasonable, complete, and allowable. The costs are realistic for the effort and consistent with the technical components of the application. Strategies that maximize cost-efficiency will be highly evaluated.

b. Adequacy of Budget Detail and Financial Feasibility: The proposed budget must be sufficient to support the proposed activities and all proposed costs must be adequately supported by notes highlighting the key assumptions used in their determination. USAID reserves the right to determine the resulting level of funding for the Co-operative Agreement.

C.3. Past Performance

Past performance will be evaluated according to applicant's ability to successfully implement programs that meet objectives similar to those outlined in the RFA. USAID reserves the right to obtain past performance information from other sources including those not named in this application. USAID may contact references other than those provided in the application. Applicants' performance information will be evaluated in accordance with the elements below:

- Quality of product and services;
- Cost control;
- Timeliness;
- Customer satisfaction; and
- Effectiveness of key personnel

In cases where (1) an applicant lacks recent and relevant performance history, (2) information on performance is not available, or (3) an applicant is a member of a class of applicants where there is provision not to rate the class against a sub factor, then the applicant will not be evaluated favorably or unfavorably on performance. The "neutral" rating will be assigned to any applicant lacking relevant performance history. An exception to this neutral rating provision: the non-small businesses prime with no history of subcontracting with small business concerns. Prior to assigning a "neutral" past performance rating, the Agreement Officer may take into account a broad range of information related to an applicant's performance.

C.4. Branding Strategy and Marking Plan

Branding Strategy and Marking Plan. Applicants should propose and submit a branding strategy and marking plan which provides for appropriate acknowledgment of USAID support, and which will be required as a material element of the grant (see annex II, III and IV). Information on USAID's branding and marking policy can be found in ADS Chapter 320. ADS Chapter 320 sections concerning "assistance" applies to this RFA. ADS Chapter 320 sections ADS concerning "acquisition" do not apply to this RFA. ADS Chapter 320 can be found on USAID website: http://www.usaid.gov/policy/ads/300/320.pdf.

D. Selection Process

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

2. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities. Those applications with minimal administrative costs may be deemed to offer "greater value" than those with higher costs. Cost-share from the applicant is viewed favorably. If two applications are determined to be technically equal, the one with greater cost share, favorable past performance and lower cost will be considered to be of greater value.

3. **Acceptability of Proposed Non-Price Terms and Conditions:** An application 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 also reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the source selection decision

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

5. Other areas of review and discussion will vary according to the circumstances pertaining to the application. The following areas commonly require discussion and agreement prior to award:

   a) Final program and budget plans.

   b) Payment terms.

   c) Procedures concerning administrative reporting and logistical requirements for program including training components.

d) Cost sharing terms.

e) Other award terms including audit, special provisions and/or special award conditions.

[END OF SECTION V]

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

1. 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.

2. In addition, award of the agreement contemplated by this RFA cannot be made until funds have been appropriated, allocated and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award. Applications are submitted at the risk of the applicant.

B. Administration of Award

Award will be made in accordance with the USAID Standard Provisions and other applicable U.S. Government regulations, which are available on the USAID web site (http://www.usaid.gov/pubs/ads). The award will be administered under the 22 CFR 226, applicable OMB Circulars and the USAID Standards Provisions, as applicable.

C. Marking Under Assistance Instruments (DEC 2005)

1. Definitions

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

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

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

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

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence, publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities,

including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.
Subrecipient means any person or government (including cooperating country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

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

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

2. Marking of Program Deliverables

(a) 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.

(b) 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.

(c) 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.

(d) 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.

(e) 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.

(f) 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.

(g) 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.

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

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

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

(j) 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.”*

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

3. Implementation of marking requirements.

(a) 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.

(b) 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,

(c) 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.

(d) 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.

4. Waivers.

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

(b) 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.

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

(d) 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.

(e) 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.

(5) 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.

D. Implementation of E.O. 13224 -- Executive Order on Terrorist Financing (MARCH 2002)

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

E. USAID Disability Policy - Assistance (DECEMBER 2004)

1. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: **http://pdf.dec.org/pdf_docs/PDABQ631.pdf**

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

F. Central Contractor Registration and Universal Identifier (OCTOBER 2010)

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

2. Requirement for Data Universal Numbering System (DUNS) numbers. If you are authorized to make subawards under this award, you:

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

(b) May not make a subaward to an entity unless the entity has provided its DUNS number to you.

3. Definitions. For purposes of this award term:

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

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

(c) Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

(d) Subaward:

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

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

(iii) A subaward may be provided through any legal agreement, including an agreement that you consider a contract.

(e) Subrecipient means an entity that:

(i) Receives a subaward from you under this award; and

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

G. Reporting Subawards and Executive Compensation (OCTOBER 2010)

1. Reporting of first-tier subawards.

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

(b) Where and when to report.

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

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

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

2. **Reporting Total Compensation of Recipient Executives.**

(a) Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if –

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

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

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

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

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

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

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

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

3. Reporting of Total Compensation of Subrecipient Executives.

(a) Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient‘s five most highly compensated executives for the subrecipient‘s preceding completed fiscal year, if –

(i) in the subrecipient's preceding fiscal year, the subrecipient received—

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

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

(b) Where and when to report. You must report subrecipient executive total compensation described in paragraph 3.(a) of this award term:

(i) To the recipient.

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

4. Exemptions

If, in the previous tax year, you had gross income, from all sources, under $300,000, you are exempt from the requirements to report:

(a) subawards, and

(b) the total compensation of the five most highly compensated executives of any subrecipient.

5. Definitions. For purposes of this award term:

(a) Entity means all of the following, as defined in 2 CFR part 25:

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

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

(c) Subaward:

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

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

(iii) A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

(d) Subrecipient means an entity that:

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

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

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

(i) Salary and bonus.

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

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

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

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

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

H. **Trafficking In Persons (OCTOBER 2010)**

1. Provisions applicable to a recipient that is a private entity.

(a) You as the recipient, your employees, subrecipients under this award, and subrecipients' employees may not—

(i) Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
(ii) Procure a commercial sex act during the period of time that the award is in effect; or
(iii) Use forced labor in the performance of the award or subawards under the award.

(b) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if you or a subrecipient that is a private entity —

(i) Is determined to have violated a prohibition in paragraph a. (1) of this award term; or
(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated a prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to you or the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, ‗OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non procurement),'' as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

2. Provisions applicable to a recipient other than a private entity.

(a) We as the Federal awarding agency may unilaterally terminate this award, without penalty, if a subrecipient that is a private entity

(i) Is determined to have violated an applicable prohibition in paragraph a. (1) of this award term; or

(ii) Has an employee who is determined by the agency official authorized to terminate the award to have violated an applicable prohibition in paragraph a. (1) of this award term through conduct that is either—

(A) Associated with performance under this award; or

(B) Imputed to the subrecipient using the standards and due process for imputing the conduct of an individual to an organization that are provided in 2 CFR part 180, OMB Guidelines to Agencies on Government-wide Debarment and Suspension (Non procurement),‘‘ as implemented by our agency at 22 CFR 208 or its superseding Part in 2 CFR.

3. Provisions applicable to any recipient.

(a) You must inform us immediately of any information you receive from any source alleging a violation of a prohibition in paragraph a. (1) of this award term.

(b) Our right to terminate unilaterally that is described in paragraph a. (2) or b of this section:

(i) Implements section 106(g) of the Trafficking Victims Protection Act of 2000 (TVPA), as amended (22 U.S.C. 7104(g)), and

(ii) Is in addition to all other remedies for noncompliance that are available to us under this award.

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

4. Definitions. For purposes of this provision:

(a) Employee ‘‘means either:

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

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

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

(c) Private entity:

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

(ii) Includes:

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

(B) A for-profit organization.

(d) Severe forms of trafficking in persons,‘‘ commercial sex act,‘‘ and coercion‘‘ have the meanings given at section 103 of the TVPA, as amended (22 U.S.C. 7102).

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

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

Abdullahi Sadiq
Acquisition and Assistance Specialist
1 Zambezi Crescent
Maitama – Abuja
Nigeria
Email: asadiq@usaid.gov

Alternate Point of Contact:

Nyembezi Mfune
Senior Acquisition and Assistance Specialist
1 Zambezi Crescent
Maitama – Abuja
Nigeria
Email: nmfune@usaid.gov

Note: All communications sent to the above e-mail addresses must also be sent to: abujasolicitations@usaid.gov. **Please do not forget to indicate RFA number and Program Title in the subject line.**

[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.

Issuing this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for the costs incurred in the submission of an application.

B. Applicable Regulations & References

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

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

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

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

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

- ADS Series 300 Acquisition and Assistance **http://www.usaid.gov/pubs/ads/**

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

[END SECTION VIII]

ANNEX A

ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
AIM	Capacity Building for AIDS Impact Mitigation
ARI	Acute Respiratory Tract Infection
APR	Annual Program Results
ART	Anti-Retroviral Therapy
AOTR	Agreement Officer Technical Representative (AOTR)
CA	Cooperative Agreement
CBO	Community-Based Organizations
COP	Country Operating Plan
CRC	Convention on the Rights of the Child
CSO	Civil Society Organization
CSW	Commercial Sex Workers
DFID	Department for International Development
ECD	Early Childhood Development
FBO	Faith-Based Organization
FGN	Federal Government of Nigeria
FHI	Family Health International
FMWASD	Federal Ministry of Woman Affairs and Social Development
FMOH	Federal Ministry of Health
FMWA & SD	Federal Ministry of Women Affairs and Social Development
GHAIN	Global HIV/AIDS Initiative Nigeria
GFATM	Global Funds to fight AIDS, Tuberculosis and Malaria
HBC	Home-based Care
HES	Household Economic Strengthening
HIV	Human Immunodeficiency Virus
HR	Human Resources
IA	Implementing Agency
IHVN	Institute of Human Virology, Nigeria
IDU	Injection Drug Users
IYCN	Infant and Young Child Feeding Project
LACA	Local Action Committees on AIDS
LGA	Local Government Area
LOP	Life of Project
MARPS	Most-at-Risk Populations
MSM	Men having sex with men (MSM)
MWASD	Ministry of Women's Affairs and Social Development
NACA	National Agency for the Control of AIDS
NASCP	National HIV/AIDS and Sexually Transmitted Infection Control Program
NSF	National Strategic Framework
NGO	Non-Governmental Organization
NNRIMS	Nigeria National Response Information Management System
NPA	National Plan of Action on OVC
NPopC	National Population Commission
NTWG	National Technical Working Group
OGAC	Office of the Global AIDS Coordinator
OVC	Orphans and Vulnerable Children

OVI	Orphan Vulnerability Index
PEPFAR	President's Emergency Plan for AIDS Relief
PP	Priority Plan
PLWH	Person(s) Living with HIV
PMTCT	Prevention of Mother-To-Child Transmission
PMP	Performance Monitoring Plan
PSS	Psychosocial Support
QA	Quality Assurance
RFA	Request for Applications
SAA	Situation Assessment and Analysis on OVC in Nigeria
SACA	State Action Committees on AIDS
S/APR	Semi-Annual Program Results
SI	Strategic Information
SLA	Savings and Loan Association
SOP	National Guidelines and Standards of Practice on OVC
TB	Tuberculosis
TWG	Technical Working Group
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development

ANNEX B

LIST OF REFERENCE DOCUMENTS

1. ANNEXES

- Annex 1. The President's Emergency Plan for AIDS Relief Next Generation Indicators Reference Guide. Version 1.1; August 2009. This document is available publicly at www.PEPFAR.gov and replaces all previous versions of PEPFAR Indicator Reference Guides. This guidance will go into effect for the FY 2010 PEPFAR planning and reporting cycle and will stay relevant until such a time that a new version of the guidance is published.

- Annex 2. Monitoring and Evaluation Plan for the Orphans and Vulnerable Children (OVC) Response in Nigeria. Federal Ministry of Women Affairs and Social Development. September 2009. http://www.ovcnigeria.org

- Annex 3. Performance Monitoring Plan (See Attachment 1)

- Annex 4. Quarterly Report Format (See Attachment 2)

2. KEY REFERENCE DOCUMENTS

- Strategic Document for 2010-2015 and is in the process of costing the plan at the National and State-levels. (NACA is working on; Draft out Oct 15, 2009). http://www.naca.gov.ng/

- National Plan of Action for OVC 2011-2016--The MWASD is in the process of developing a new National Plan of Action for OVC 2011-2016. http://www.ovcnigeria.org

- National Guidelines and Standards of Practice on Orphans and Vulnerable Children (January 2007). Federal Ministry of Women Affairs and Social Development. http://www.ovcnigeria.org.

- NACA AND SACA Strategic Plans http://www.naca.gov.ng/

- Federal Ministry of Women Affairs and Social Development (FMWASD) Nigeria], 2008. Key Findings from the Situation Assessment and Analysis on OVC in Nigeria, 2008, Federal Ministry of Women Affairs and Social Development, Nigeria. http://www.ovcnigeria.org

- Priority Plan for National Plan of Action on Orphans and Vulnerable Children 2009 – 2010 http://www.ovcnigeria.org

- Annex 1. The President's Emergency Plan for AIDS Relief Next Generation Indicators Reference Guide. Version 1.1; August 2009. This document is available publicly at www.PEPFAR.gov and replaces all previous versions of PEPFAR Indicator Reference Guides. This guidance will go into effect for the FY 2010 PEPFAR planning and reporting cycle and will stay relevant until such a time that a new version of the guidance is published.

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- Annex 3. Performance Monitoring Plan (See Attachment 1)
- Annex 4. Quarterly Report Format (See Attachment 2)

ANNEX C

<u>REQUIRED CERTIFICATIONS</u>

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, safe houses, 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 application.

(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 _____________________________
QUANTITY _____________________________
ESTIMATED GOODS _____________________________
PROBABLE GOODS _____________________________
PROBABLE (Generic) _____________________________
UNIT COST _____________________________
COMPONENTS _____________________________
SOURCE _____________________________
COMPONENTS _____________________________
ORIGIN _____________________________

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

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

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 (Generic) ______________________________
UNIT COST (Non-US Only) ______________________________
FOR NON-US ______________________________

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

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

6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

(a) If the recipient is a U.S. entity, it operates as [ ] a corporation incorporated under the laws of the State of, [ ] an individual, [ ] a partnership, [ ] a nongovernmental nonprofit organization, [ ] a state or loc al 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.

<table>
<tr><td colspan="2">APPLICATION FOR FEDERAL ASSISTANCE</td><td>2. DATE SUBMITTED</td><td>Applicant Identifier
NA</td></tr>
<tr><td colspan="2">1. TYPE OF SUBMISSION:</td><td rowspan="2">3. DATE RECEIVED BY STATE
NA</td><td rowspan="2">State Application Identifier
NA</td></tr>
<tr><td rowspan="2">Application
_____ Construction
__X___ Non-Construction</td><td rowspan="2">Reapplication NA
_____ Construction
____ Non-Construction</td></tr>
<tr><td>4. DATE RECEIVED BY FEDERAL AGENCY</td><td>Federal Identifier
NA</td></tr>
<tr><td colspan="4">5. APPLICATION INFORMATION</td></tr>
<tr><td colspan="2">Legal Name:</td><td colspan="2">Organizational Unit</td></tr>
<tr><td colspan="2">Address (give only county, state, and zip code):</td><td colspan="2">Name and telephone number of person to be contacted on matters involving this application (give area code)</td></tr>
<tr><td colspan="2">6. EMPLOYER IDENTIFICATION NUMBER (EIN):</td><td colspan="2" rowspan="2">7. TYPE OF APPLICATION: (enter appropriate letter in box) M
A. State | H. Independent School Dist
B. County | I. State Controlled Institution of Higher Learning
C. Municipal | J. Indian Tribe
D. Township | K. Individual
E. Interstate | L. Profit Organization
F. Inter-municipal | M. Other (specify)
G. Special Dist.</td></tr>
<tr><td colspan="2">8. TYPE OF APPLICATION
__X___ New _____ Continuation _____ Revision
If Revision, enter appropriate letter(s) in box(es)
A. Increase Award | D. Decrease Duration
B. Decrease Award | E. Other (specify):
C. Increase Duration</td></tr>
<tr><td colspan="2" rowspan="2">10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:
NA
TITLE:</td><td colspan="2">9. NAME OF FEDERAL AGENCY
USAID/GH/HIDN</td></tr>
<tr><td colspan="2" rowspan="2">11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</td></tr>
<tr><td colspan="2">12. AREAS AFFECTED (Cities, Counties, States, etc.):</td></tr>
</table>

<table>
<tr><td colspan="2">13. PROPOSED PROJECT</td><td colspan="3">14. CONGRESSIONAL DISTRICTS OF:</td></tr>
<tr><td>START DATE</td><td>END DATE</td><td>a. Applicant
NA</td><td colspan="2">b. Project
NA</td></tr>
<tr><td colspan="3">15. ESTIMATED FUNDING:</td><td colspan="2" rowspan="8">16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:

DATE
b. NO. _____ PROGRAM IS NOT COVERED BY E.O. 12372
_____ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW</td></tr>
<tr><td>a. Federal</td><td colspan="2">$</td></tr>
<tr><td>b Applicant</td><td colspan="2">$</td></tr>
<tr><td>c. State</td><td colspan="2">$ NA</td></tr>
<tr><td>d. Local</td><td colspan="2">$ NA</td></tr>
<tr><td>e. Other</td><td colspan="2">$</td></tr>
<tr><td>f. Program Income</td><td colspan="2">$</td></tr>
<tr><td>g. TOTAL</td><td colspan="2">$</td></tr>
<tr><td colspan="3">17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</td><td colspan="2">_____ Yes If "Yes", attach an explanation _____No</td></tr>
<tr><td colspan="5">18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.</td></tr>
<tr><td colspan="3">a. Type Name of Authorized Representative</td><td>b. Title</td><td>c. Telephone Number</td></tr>
<tr><td colspan="4">d. Signature of Authorized Representative</td><td>e. Date Signed</td></tr>
</table>

Standard Form 424 OMB Approval No. 0348-0043

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

INSTRUCTIONS FOR THE SF 424

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

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

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

Item: Entry:

1. Self-explanatory.

2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).

3. State use only (if applicable).

4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.

5. Legal name of applicant, name of primary organizational unit, which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.

6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.

7. Enter the appropriate letter in the space provided.

8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:

- "New" means a new assistance award.

- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.

- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation.

9. Name of Federal agency from which assistance is being requested with this application.

10. Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.

Item: Entry:

11. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

12. List only the largest political entities affected (e.g., State, counties, cities).

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

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

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

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

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

SF 424 Back (Rev. 4-92)

Budget Information - Non-Construction Programs

SECTION A - BUDGET SUMMARY						
Grant Program Function Or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	$ NA	$ NA	$ NA	$	$	$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5.TOTALS	$ NA	$ NA	$ NA	$	$	$

SECTION B – BUDGET CATEGORIES					
6. Object Class Categories	USAID PROGRAM		RECIPIENT FUNDS		Total {5}
	(1) Federal	(2) Non-Federal	{3}	{4}	
a. Personnel (1)	$	$	$ NA	$ NA	$
b. Fringe Benefits (1)			NA	NA	
c. Travel (1)			NA	NA	
d. Equipment (3)			NA	NA	
e. Supplies (3)			NA	NA	
f. Contractual (3)			NA	NA	
g. Construction N/A			NA	NA	
h. Other (1), (2) (see notes)			NA	NA	
i. Total Direct Charges (sum of 6a-6h)			NA	NA	
j. Indirect Charges (4)			NA	NA	
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Headquarters		$	$ NA	$	$
9. Field			NA		
10. NA		NA	NA	NA	
11. NA		NA	NA	NA	
12. TOTAL (sum of lines 8-11)		$	$ NA	$	$
SECTION D - FORECASTED CASH NEEDS					
13. Federal	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
	$	$	$	$	$
14. Non-Federal					
15. TOTAL (sum of lines 13 and 14)					
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program		Future Funding Periods			
		(b) First	(c) Second	(d) Third	(e) Fourth
16. Headquarters		$	$	$	$
17. Field					
18. NA		NA	NA	NA	NA
19. NA		NA	NA	NA	NA
20. TOTAL (sum of lines 16-19)		$	$	$	$
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges:		22. Indirect Charges:			
23. Remarks:					

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

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

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

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

General Instructions

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

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

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

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

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

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

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

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

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Column (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

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

Line 5 - Show the totals for all columns used.

SF 424A (Rev. 4-92) Page

Standard Form 424A (cont'd.)

INSTRUCTIONS FOR THE SF 424A (continued)

Section B. Budget Categories

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

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

Line 6j - Show the amount of indirect cost.

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

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

Section C. Non-Federal Resources

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

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

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

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

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

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

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

Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

Section F. Other Budget Information

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

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

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

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

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

a. **Personnel**

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

b. **Fringe Benefits**

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

c. **Travel**

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

d. **Equipment**

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

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

e. **Supplies**

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

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

f. **Contractual Services**

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

g. **Construction**

N/A

h. **Other**

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

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

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

Include in this budget class category all sub-grants.

i. **Indirect Charges**

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

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

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

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

ANNEX F

PAST PERFORMANCE INFORMATION

PERFORMANCE REPORT - SHORT FORM
PART I: Award Information (to be completed by Applicant)
1. Name and Address of Organization for which the work was performed:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if subagreement, subagreement value)
5. Contacts: (Name, Telephone Number and E-mail address)
6. Period of Performance:
7. Title/Brief Description of Product/Service Provided/ Results Achieved to Date:
8. Problems: (if problems encountered on this award, explain corrective action taken)
*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 where identified. Comment:*