



Date Issued: April 25, 2012
Request for Application Clarification Questions Due: May 2, 2012
Closing Date: May 25, 2012

Closing Time: 10:00 a.m. Manila, Philippines Time

Subject: Request for Application (RFA) RFA-492-12-000001,
RFA Title: HIV/AIDS Prevention in the Philippines: Reaching Out to Most-at-Risk Populations (ROMP)

Dear Prospective Applicant:

The United States Government, represented by the United States Agency for International Development (USAID)/Philippines is seeking applications from U.S. and Non- U.S. Non-Governmental organizations. USAID/Philippines proposes to enter into a Cooperative Agreement with one organization to support USAID/Philippines' Office of Health's program entitled "HIV/AIDS Prevention in the Philippines: Reaching Out to Most-at-Risk Populations (ROMP)" specifically, described in Section I of this RFA. The authorities for this RFA are found in the Foreign Assistance Act of 1961, as amended, and in 22 CFR 226 Administration of Assistance Awards to U.S. and Non-U.S. Non-Governmental Organizations. This RFA is also 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.

USAID is seeking applications from eligible institutions as described in Section III of the RFA. This is a full and open competition, under which any type of organization, large or small, commercial (for- and non-profit), faith-based, partnerships, and local organizations are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act USAID encourages competition in order to identify and fund the best possible responsible applicant to ensure achievement of the program objectives.

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

Subject to the availability of funds, and if the application is determined suitable for funding, USAID anticipates the award of a cooperative agreement with an estimated amount no more than \$2,000,000.00 over a three-year period. USAID reserves the right to fund any or none of the application submitted. Applicants under consideration for an award that have never received funding from USAID can be subject to a pre-award survey to determine fiscal responsibility, ensure adequacy of financial controls and establish an indirect cost rate. More specifically a pre-award survey team will examine the applicant's systems to determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills — or the ability to obtain them — in order to achieve the objectives of the program.

This RFA is being issued and consists of this cover letter and the following:

- (a) Section I Program Description
- (b) Section II Award Information
- (c) Section III Eligibility Information
- (d) Section IV Application and Submission Information
- (e) Section V Application Review Information
- (f) Section VI Award and Administration Information
- (g) Section VII Agency Contacts
- (h) Section VIII Other Information

For the purpose of this RFA the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Please select "Find Grant Opportunities", click "Browse by Agency", select "Agency for International Development", and then search for the Request For Application number. If there is difficulty accessing this RFA please telephone the Grants.gov Helpdesk for technical assistance at 1-800-518-4726 or send an email via support@grants.gov. If after contacting the Grants.gov helpdesk an organization is still unable to retrieve this document please request an electronic copy of the by contacting USAID/Philippines/ROAA via email at orpmailbox@usaid.gov **Not-Later-Than April 27, 2012 at 12:00 (noon) Manila, Philippines Time.**

Any questions concerning this RFA should be submitted in writing to Ms. Daphne Collier via email at orpmailbox@usaid.gov. Questions sent to any other email address will not be answered. The email transmitting the questions must reference this RFA number and title "HIV/AIDS Prevention in the Philippines: Reaching Out to Most-at-Risk Populations (ROMP)". In the event of an inconsistency between the documents comprising this RFA it shall be resolved at the discretion of the Agreement Officer. The request for application clarification questions, as well, full 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 must be directly responsive to the terms and conditions of this RFA. Telegraphic or faxed applications (entire document) are not authorized for this RFA and will not be accepted.

The application shall be submitted in two separate parts and delivered within two separate envelopes (a) technical and (b) cost or business application. The technical application shall consist of one original, three copies and an electronic (email) copy. The cost or business application shall also consist of one original, three copies and an electronic (email) copy. Applications shall be submitted with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

Mail/Courier

U.S. Agency for International Development
Attn: Ms. Daphne Collier
Agreement Specialist
8/F, PNB Financial Center
Pres. Diosdado Macapagal Boulevard
1308 Pasay City, Philippines

E-mail

Ms. Daphne Collier at the following email address: orpmailbox@usaid.gov.

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. Applicants should retain a copy of their application and accompanying enclosures for their records.

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. 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 it is anticipated 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, and should circumstances prevent award of this cooperative agreement, all preparation and submission costs are at the applicant's expense.

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

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

Sincerely,

A handwritten signature in black ink, appearing to read "Sallie McElrath", written in a cursive style.

Ms. Sallie McElrath
Agreement Officer

List of Acronyms

ADB	Asian Development Bank
ADS	Automated Directives System
AIDS	Acquired Immunodeficiency Syndrome
AMTP	AIDS Medium Term Development Plan
AO	Administrative Order
AOR	Agreement Officer's Representative
ASEP	AIDS Surveillance and Education Project
CCR	Central Contractor Registration
CFR	Code of Federal Regulation
CHD	Centers for Health Development
COP	Chief of Party
CPS	Comprehensive Package of Services
CV	Curriculum Vitae
DOH	Department of Health
DUNS	Data Universal Numbering System
FSWs	Female Sex Workers
GBV	Gender-Based Violence
GFATM	Global Fund to Fight AIDS, TB and Malaria
GHI	Global Health Initiative
GPH	Government of the Philippines
HIV	Human Immunodeficiency Virus
HPDP	Health Policy Development Program
IHBSS	Integrated HIV/AIDS Behavioral and Seroprevalence Survey
KP	Kalusugan Pangkaunlaran
KRA	Key Result Areas
LEAD	Local Enhancement and Development for Health Project
LGUs	Local Government Units
LOC	Letter of Credit
MARPs	Most At-Risk Populations
MDGs	Millennium Development Goals
MSM	Males having Sex with Males
NASPCP	National AIDS/STI Prevention and Control Program
NEC	National Epidemiology Center
NCR	National Capital Region
NGO	Non-governmental Organization
NICRA	Negotiated Indirect Cost Agreement
NOH	National Objectives for Health
OFAC	Office of Foreign Assets Control
OMB	Office of Management and Budget
PMP	Performance Management Plan
PNAC	Philippines National AIDS Council
PPP	Public/Private Partnerships
PVO	Private Volunteer Organization
PWID	People Who are Injecting Drugs
PWDs	People With Disabilities
RFA	Request for Application
RHUs	Rural Health Units
ROAA	Regional Office of Acquisition Assistance

List of Acronyms

ROMP	Reaching Out to Most-at-Risk Population
STI	Sexually-Transmitted Infections
SHC	Social Hygiene Clinics
SMS4MSM	Short Messaging System for MSM
STTA	Short-Term Technical Assistance
TB	Tuberculosis
TIN	Taxpayer Identification Number
UN	United Nations
UNAIDS	United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
UNSC	United Nations Security
USAID	United States Agency for International Development
USG	United States Government
WB	World Bank
YAFSS	Young Adult Fertility and Sexuality Survey

Key Descriptions

Local Organization –

To be considered a “local” organization, an entity must:

Be organized under the laws of the recipient country or a country within that region; have its principal place of business in the recipient country; be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body; the majority of whom are citizens or lawful permanent residents of a recipient country; and not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

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SECTION I – PROGRAM DESCRIPTION

PROGRAM DESCRIPTION

1. Introduction

A. Project Overview

The United States Agency for International Development in the Philippines (USAID/Philippines) seeks applications from organizations or institutions within the Philippines or overseas to implement the HIV/AIDS Prevention in the Philippines: Reaching Out to Most-at-Risk Populations (ROMP) project in Quezon City within the National Capital Region (NCR) of Luzon and in the metropolitan Tri-city area of Cebu, Lapu-Lapu, and Mandaue, all located in the Central Visayas area of the Philippines.

This request for application (RFA) supports building the capacity of different groups of stakeholders in both the public and private sectors, at the national, regional and local levels, to reduce the threat of HIV/AIDS in the country. This initiative supports the goals of the 5th AIDS Medium Term Development Plan (AMTP), the Department of Health's (DOH) National Objectives for Health (NOH), and the current administration's initiative towards universal access to essential health care and services (*Kalusugang Pangkalahatan* or Health for All). It is aligned with the USG Global Health Initiative (GHI) and USAID Forward goals by aiming to assist the Philippines government to create an AIDS-free generation and strengthen collaboration and partnership with bilateral donors, multilateral and international organizations to increase synergies and avoid duplication.

B. USAID/Philippines Goal and Objectives in Health

The goal of USAID/Philippines' new health strategy is to improve family health. This goal will be accomplished via the three objectives outlined below. Along with the health strategy objectives the ROMP project will be closely aligned with the first two objectives:

Objective 1: Supply of services improved, including the availability and quality of public sector services and selective expansion of the private sector as primary care supplier;

Objective 2: Demand for primary care services increased through encouraging adoption of appropriate health behaviors within families; and

Objective 3: Policy and systems barriers to improve supply and demand for services removed.

C. Relationship to Government Health Initiatives

DOH's medium-term initiative is contained in its *Kalusugan Pangkaunlaran* (KP) program as laid out in Administrative Order (AO) 0036, s. 2010, the goal of which is to implement universal health care among Filipinos. The three major objectives of this program are: (a) increased risk protection especially among poor households in quintiles 1 and 2 through premium subsidy in the PhilHealth social health insurance program, greater availment of benefits, and increased support value; (b) provision of greater investments in the hospital system by rationalizing the Service Delivery Networks and public/private partnerships (PPP); and (c) strengthening the public health system for the achievement of the health Millennium Development Goals (MDGs), mainly through invigorated Community Health Teams and refurbishing of rural health units (RHUs) and other public health infrastructure. USAID/Philippines' investments in HIV/AIDS prevention and control will support the third objective of KP.

2. Purpose and Scope

All HIV/AIDS indicators in the Philippines show the need to significantly accelerate control and prevention activities to improve the reach, coverage and quality of effective, integrated interventions targeting the most at-risk populations (MARPs), especially males having sex with males (MSM) and people who are injecting drugs (PWID). USAID/Philippines seeks to respond to these challenges through targeted interventions taking into consideration the best practices and lessons learned in previous USAID/Philippines HIV/AIDS interventions as well as global best practices.

ROMP aims to identify and strengthen existing models that best reach out to MSM and PWID, groups identified to have low access and utilization of services to control sexually-transmitted infections (STI), as well as to those who are hardly reached through current programs with prevention activities; the distribution of commodities like condoms and lube, as well as providing referrals to the DOH drug rehabilitation programs. ROMP also intends to strengthen the capability of local government units (LGUs) and non-governmental organizations (NGOs) in designing, implementing and managing key interventions for these two MARP groups, and in the process, build up the capacity of concerned DOH national and regional offices to provide technical assistance to LGUs and NGOs. Aligned with the 5th AMTP Strategic Objective One (*to improve the quality and coverage of prevention programs for the most-at-risk, vulnerable, and living with HIV*), ROMP aims to:

- (i) Capacitate local service providers and partner organizations involved in providing a Comprehensive Package of Services (CPS) on STI/HIV prevention, management and treatment (Output 1),
- (ii) Increase the demand and utilization by MSMs and PWIDs, both men and women, for these services (Output 2);
- (iii) Assist DOH and other partners in strengthening the CPS model for MSMs and PWIDs in the project sites to the extent where the DOH officially adopts the models for replication in other areas (Output 3).

Designed as a project to support comprehensive packages of HIV prevention services for MSMs and PWIDs over **three years**, ROMP will be implemented in four selected priority cities in the country, namely Quezon City in the NCR of Luzon and the Tri-city metropolitan area of Cebu, Mandaue and Lapu-Lapu in Central Visayas. The enhanced approach and strengthened sets of interventions as experienced in these model sites will be packaged and adopted by the DOH for replication in other HIV/AIDS hotspots in the country. The project is estimated to receive total funding support of no more than **US \$2 million**, subject to availability of funds.

3. Problems to be Addressed

A. HIV/AIDS Situation in the Country

HIV/AIDS in the Philippines is aptly described as an “expanding concentrated epidemic.” Although HIV prevalence is still well below one percent (0.04 percent) among the general population, the number of cases identified each year continues to grow. In 2011, the Philippine HIV and AIDS Registry reported 2,349 new cases infected, which was a 47 percent increase compared to the same period in 2010. The 2010 United Nations Global Report on AIDS noted that the Philippines is one of only seven countries in the world to have more than a 25 percent increase in HIV incidence.

The country’s adolescents and youth aged 15-24 estimated at 19 million are considered vulnerable to HIV transmission as they lack access to affordable and appropriate sexual and reproductive health information, commodities, and services. More and more youth are engaging in sexual risk-taking behavior that could lead to contracting HIV/AIDS and other STIs. Based on the Young Adult Fertility and Sexuality Survey (YAFSS) I and II (1994; 2002), the average age for the first sexual encounter has declined from 18 years in 1994 to 17.5 years in 2002. The number of young people (15 to 19 years old) having their first sexual encounter has

increased from 8 percent to 12 percent. Almost 80 percent of young people who have had premarital sex did not use a contraceptive during their first sexual encounter.

Protection was higher among males than females, making the latter more vulnerable to STIs such as HIV. The 2003 YAFSS III reported that 78 percent of the youth think they will not get HIV and 27 percent believed that AIDS is curable. A similar study showed that 62 percent of young people have acquired STIs and 30 percent of new HIV cases are young people.

Moreover, there is a growing concern about TB-HIV co-infection. The World Health Organization (WHO) estimated the prevalence of HIV among TB patients in the country at less than 1 percent but this number may be underreported as surveillance systems are weak. The Research Institute for Tropical Medicine reported that around 40 percent of HIV cases seen in hospitals have tuberculosis, which is a cause for concern since the Philippines is a TB high-burden country, with an incidence rate of 290 per 100,000 population. In 2003, the country ranked ninth in the world in terms of composite TB burden.

B. USAID Support to HIV/AIDS Prevention and Control

USAID/Philippines is the only bilateral donor directly supporting the National STI/HIV/AIDS Program. Additional support is provided by multilateral partners like the Asian Development Bank (ADB), the World Bank (WB), UNAIDS, UNDP, WHO, UNICEF, and the Global Fund to Fight AIDS, TB and Malaria (GFATM) (Round 6 will end in November 2012).

Previous USAID/Philippines support was through the IMPACT Project which worked synergistically with the AIDS Surveillance and Education Project (ASEP) and eventually with the Local Enhancement and Development for Health Project (LEAD). The support was mainly focused on upgrading the service delivery system of the social hygiene clinics (SHC) to improve services for registered commercial female sex workers (FSWs). Services included peer education, condom distribution, STI testing, and training of health providers. These projects also supported the conduct of research the results of which guided the redirection of programs targeted to those most at risk for HIV through strengthened STI services among MARPs. STI cases were identified and treated, thus maintaining low STI prevalence levels, and improving health-seeking behavior. USAID support also contributed to increasingly consistent condom use among FSWs. In sum, these efforts were largely focused on service coverage of numerous populations, most of whom are at less risk of HIV infection than MSMs and PWIDs. As a result of the broader approach of USAID in these past projects, less attention was given to quality HIV prevention and behavior change among MSMs and PWIDs.

USAID/Philippines' most recent efforts in HIV/AIDS have been spread across three separate projects (HealthGov, HealthPro, and the Health Policy Development Program or HPDP) with a health systems strengthening approach. Major activities included the strengthening of LGU responses to the epidemic in high-risk cities through the development of Local AIDS Councils and local investment planning for health that included HIV/AIDS with an emphasis on fostering evidence-based planning and decision-making and inter-LGU collaboration. USAID/Philippines worked in collaboration with the DOH National Epidemiology Center (NEC) to create the first ever Integrated HIV/AIDS Behavioral and Seroprevalence Survey (IHBSS) in 2005, which has been conducted bi-annually ever since. USAID support to policy development has resulted in the issuance of Guidelines on Voluntary HIV/AIDS Counseling and Testing and a Medium-Term Investment Plan for the 5th AMTP.

USAID/Philippines continued to support HIV awareness, education and prevention activities and assisted selected LGUs in expanding outreach to MARPs and in mounting special events. A new mobile technology-related pilot initiative was conceptualized with the SHC in Quezon City called "SMS4MSM" (Short Messaging System for MSM). This is a simple cellphone intervention designed to set up a functional system for MSMs to access information via text messages that encourage them to obtain counseling and testing services from public and private providers. Public-private partnerships were developed in Angeles City with tricycle taxi operators, in Bacolod City and Quezon City with fun establishment owners, in Davao City with the

City Chamber of Commerce for workplace programs, and in General Santos City with a Purse Seiners Association for deep sea fishermen.

C. HIV/AIDS Situation in Project Sites

The increase in new HIV cases in the Philippines has been found highest among the MARPs, particularly among the MSMs and PWIDs. NEC data show that there was 1 HIV case per 1,000 MARPs in 2007 which rose to 5 cases per 1,000 by 2009. Surveillance data also show an exponential increase in HIV prevalence among MSMs and PWIDs over the past five years; currently more than 1 percent among the PWIDs in Cebu and MSMs in Metro Manila, Cebu City and Davao City are HIV positive.

MSMs in Quezon City – Preliminary data from the 2011 IHBSS show that the HIV infection rate among MSMs in Manila and Quezon City is 5 percent. Sex between MSM is the predominant mode of sexual transmission (78 percent in 2011) and most new HIV cases are males (93 percent in 2011). The age range of those most affected is 20-39, largely representing young cohorts who are in their most productive years. An assay conducted on blood samples from the 2009 IHBSS for HIV sub-types B, E and D revealed that 47 percent of all HIV positive cases had been infected within five months prior to sampling. While the Philippine Government has been successful in containing HIV infection among registered commercial female sex workers, because of high condom usage, it has not been as successful in promoting safe sex practices among MSMs.

PWIDs in the Cebu Tri-city – Preliminary data from the 2011 IHBSS show that HIV infection rate among PWID in Metro Cebu is 53 percent, and that hepatitis occurs among 90 percent of them. In the 2008 study of Primex, 50 percent of PWIDs in the Cebu area were below 30 years old, and were predominantly male. The median income among them was Php 2,500 per month, indicating the poverty of most of them, and also indicating their inability to purchase needles for each drug use.

In terms of sexual behavior, as much as 69 percent of PWIDs engaged in MSM, according to the 2009 IHBSS; 14 percent had participated in an orgy. PWIDs also pimp for sex, and as a result, there were many negative social perceptions about them as liars, drunks, or thieves. Many had identity crisis and some were deemed coercive. Co-infection is high among PWIDs in the Cebu Tri-city. In Cebu City, 93 percent of them had Hepatitis C, up from only 8.3 percent in 2005. In the 2009 IHBSS, 15 percent of PWIDs had chlamydia while 3 percent had syphilis. Knowledge about HIV/AIDS among PWIDs is low: 2 percent said HIV can be transmitted through mosquito bites, and 36 percent said HIV can be transmitted through sharing of food with an HIV+ person.

There are a number of issues that the project should be aware of and take into consideration as addressing the needs of these two MARP groups is a relatively new challenge for the health sector. Below are a few factors that the project will be expected to address. Other issues can be worked on in partnership with other concerned parties such as the United Nations (UN) family of organizations.

- **Low HIV/AIDS Awareness and Poor Prevention Practices** – Most of the MSMs and PWIDs perceive that they are not vulnerable to HIV/AIDS and therefore continue to engage in high-risk behaviors such as unprotected sex and needle sharing. The 2009 IHBSS reported that among the MSMs in Metro Manila, 40 percent did not feel they were at risk of HIV, and only 22 percent used condom during their last sexual act. The percentage of PWIDs who reported sharing needles at last injection ranged from 42 to 81 percent in Metro Manila, Davao City and Cebu City. MSMs and PWIDs, including those who are already HIV positive, are difficult target groups since they engage in discreet behavior and many of them are highly stigmatized. Their demand for services and information is very minimal, if ever. Providing them with sensitive and effective interventions and services is highly challenging.

- **2. Limited Access to Services and Low Service Coverage** – The 5th AMTP admitted that “accomplishments in the coverage of HIV prevention, AIDS treatment, and care and support programs still fall short of targets to demonstrate concrete and sustainable impact in halting the spread of the epidemic.” In particular, MSMs and PWIDs have low access to and utilization of STI control services; exhibit low coverage of prevention outreach activities; and have low condom use (31.7 percent among MSMs). Lack of access to these kinds of potentially life-saving services and commodities could have contributed to the recent spike in prevalence among MSMs and PWIDs. There are also some barriers to these affected groups accessing treatment and care packages through the national health insurance scheme, PhilHealth.
- **3. Limited Technical Capacity to Address MSMs and PWIDs** – A key challenge facing the HIV/AIDS response in the Philippines is the limited capacity to provide quality programming as well as reach and coverage of effective interventions for MSMs and PWIDs in the target areas. Lack of emphasis on on-the-ground interventions and lack of well-designed health service packages tailored to the unique needs of these two groups have hampered prevention. Counseling skills of service providers to address issues and concerns specific for PWIDs (e.g., mental health, wellness and drug dependence) and MSMs are inadequate. Most HIV/AIDS care is provided at the SHCs which have focused historically on female commercial sex workers; MSMs and PWIDs have not been their target populations. Likewise, the existing standard of care for PWIDs in the Philippines is not in accord with the UNODC/WHO/UNAIDS Guidance on Injection Drug Use and HIV.
- **4. Nonexistent Interventions for HIV/AIDS Cases with TB** – In recent years, the DOH has supported provider-initiated voluntary HIV/AIDS counseling and testing for TB patients. With the referral mechanism established by the National TB Program, 53 percent of TB patients who received referrals have been tested for HIV. However, a similar system for referring HIV patients symptomatic of TB to TB services is not yet in place. In addition, no routine surveillance exists for TB/HIV co-infection. Referrals of HIV patients for TB testing cannot be handled at TB treatment facilities as this may expose immune-compromised HIV patients to TB and other infectious diseases. On the other hand, although SHCs are present in several cities/municipalities throughout the country (including ROMP project sites), the TB cases may refuse to go to the SHCs for the needed tests considering the stigma attached to the SHCs and the high probability of spreading the infection to other clients. To increase the case detection of TB/HIV co-infections, USAID may support referrals within DOH HIV Treatment Hubs in NCR and Cebu to provide diagnosis and treatment of MSMs and PWIDs with TB.

4. Program of Work and Activities

A. Project Sites

ROMP is designed to establish operational models that would best approach and reach out to MSMs in Quezon City and PWIDs in the Tri-city of Cebu, Mandaue and Lapu-Lapu.

Quezon City – Quezon City is the largest city in the metropolitan Metro Manila Area (also known as National Capital Region or Region IV-A) in terms of land area, population, and government revenues. Although it does not formally have a downtown area, the Tomas Morato Ave./Timog Ave. area and the nearby Quezon Ave. strip has long served as its entertainment core, with its attendant night life. MSMs have historically converged in this area, with its bars, clubs, spas and massage parlors, restaurants, karaoke/videoke bars, coffee shops, and Internet cafes. More recently, the mixed-use Eastwood City complex has emerged as the call-center capital of 24-hour business process outsourcing services, and its attendant support infrastructure and services for dining and entertainment. Because of the dynamic labor/educational market and continual migration in and out of the NCR, the actual size of MSM population in Quezon City is hard to establish. The 2009 IHBSS estimated the MSM population in Quezon City to be between 12,000 (low estimate) and 21,000 (high estimate), with a low median age of 23 years old (range of 15 to 52). Texting and the use of the Internet

(including social media) in dating, cruising, and sexual solicitation have made reaching out to MSMs more challenging in recent years because there is no easily identifiable, defined location to target.

Quezon City maintains three social hygiene clinics, but none of them are devoted to providing services to MSMs. Various nongovernmental organizations are involved in a variety of advocacy and information, education, and communication campaigns, but their efforts are nowhere near close to the challenge. Besides, due to the low prevalence of HIV in the general population, these NGOs have been ill-funded for some time, in contrast to their heyday in the 1980s/1990s.

Cebu Tri-City – The three contiguous cities of Cebu, Mandaue, and Lapu-Lapu comprise the second largest metropolitan area in the Philippines. Located in the north-eastern side of the island of Cebu Province in Central Visayas (Region 7), the Tri-city is a major manufacturing, tourism, and educational center in all of the Visayas. PWID activity is mainly engaged in by local residents, with ‘shooting galleries’ documented to exist in Junquera, a public market in downtown Cebu City. The number of PWIDs in the Cebu Tri-city is not known with certainty, but the sample size used in one study was 2,500 for Cebu City alone, plus 2,000 for Cebu Province.

Each of the three cities has its own social hygiene clinic, but none are dedicated to providing services to PWIDs. Some NGOs or volunteer groups are providing intermittent information and services to this group, but due to the highly stigmatized nature of their activities as well as lack of evaluation, it is not known whether these interventions are sufficient or effective. The fact that HIV incidence is rising among this group indicates that they are neither sufficient nor effective.

B. Illustrative Activities

As a project that focuses on pilot-testing operational strategies for dealing with MSMs and PWIDs, ROMP will (i) identify and assess existing intervention approaches currently being implemented in the proposed project sites of Quezon City and the Cebu Tri-City in the Philippines for MSMs and PWIDs including both facility based such as the Social Hygiene Clinic or HIV Treatment Hub and community-based or private services; (ii) strengthen the existing models in the project sites by incorporating other local and international best practices in responding to MSMs and PWIDs as well as information gathered from targeted beneficiaries and host country counterparts; (iii) implement the various components of the strengthened comprehensive package of services (CPS); and (iv) document the models and their approaches, processes, practices, standards, and outcomes into a guide or reference manual which the DOH will officially issue for possible replication in other areas. Moreover, in recognition of the HIV-TB co-infection, part of the modeling strategy is to explore the establishment of a referral system of HIV cases found symptomatic of TB for testing, management and treatment in HIV Treatment Hubs.

Based on consultations about service gaps and best practices in the provision of services to MSMs and PWIDs in the project sites, the applicant should consider activities along the lines of strengthening peer education and outreach interventions, building the capacity of local organizations to provide services in coordination with the local government unit structures and systems, strengthening referral networks from prevention services to treatment and care services, and facilitating access to PhilHealth insurance packages. USAID encourages new and innovative ideas that make full use of the applicant’s comparative advantage. However, given limited resources available for HIV/AIDS activities, applicants will need to prioritize proposed activities and/or geographic coverage and provide clear and strong justification for their choices.

This project will ensure the sustainability of the enhanced CPS models in the project sites beyond USAID’s assistance and ensure the adoption and replication of the enhanced models to other HIV/AIDS hotspot areas. In this regard, the implementation of the CPS models should fit the local cultural and management context. It is expected that assistance will be provided to DOH to officially adopt the enhanced CPS models through the issuance of an administrative order, local ordinance, or other appropriate instrument. Likewise, the Applicant needs to work closely with the LGU health offices, local AIDS Councils, local NGOs, and concerned DOH-central and regional offices. An intervention transition strategy should be developed at the

end for eventual implementation and management of these models by the LGUs concerned and DOH without USAID assistance.

C. Other Considerations

In addition, the Applicant is advised to take the following considerations in the design and implementation of ROMP:

a) **Gender** – USAID is committed to gender equality in achieving its development goals. The new USAID Gender Policy, which advances equality between females and males, can be found at the following address: http://www.usaid.gov/our_work/policy_planning_and_learning/documents/GenderEqualityPolicy.pdf.

The design and implementation of this project should mainstream gender considerations to the extent possible. Efforts will be made to ensure that HIV/AIDS services, products, and information are tailored to the special needs of MARP populations, including MSM, transgendered individuals, and men and women who inject drugs.

To provide greater focus on gender equality in this project, the applicant will include the following:

- Adhere to USAID's gender policy, which requires that all policies, programs, implementation, monitoring plans, and budgets consider and address gender in pursuit of HIV/AIDS prevention activities;
- Present clear gender-sensitive strategies, tactics, and results for each target audience, MSM, PWID, as appropriate, that address underlying gender issues that might affect participation and access to HIV/AIDS services and activities by men and women;
- The program's monitoring and evaluation system should collect gender specific data and include gender issues in service, product and information delivery and state how they were resolved, if applicable;
- Conduct of training for the project staff, service providers and educators on gender awareness, gender analysis and gender-responsive planning, in the context of addressing the special needs of MARPs, particularly MSMs and PWIDs;
- All people-level indicators must be disaggregated by sex, and included in project reports. Collection of sex-disaggregated data for baselines and monitoring of all people-level indicators and use of gender analysis to identify and address potential gender issues, gaps and constraints faced by project beneficiaries; and
- Ensuring that there are no barriers to equal participation and access to resources and opportunities of women, men, and boys, and transgender males/females.

b) **Fostering Sustainability** – Due to limited funds, this will be USAID/Philippines' capstone project in HIV/AIDS. USAID/Philippines intends to build local capacity and facilitate knowledge and skill transfer to local counterparts such as the DOH, LGUs and civil society. Applicants are encouraged to hire local staff with relevant expertise to the extent possible. USAID/Philippines also encourages applicants to augment long-term staff with international short-term technical assistant expertise that cannot be found locally that can mentor staff in the process. Towards this end, the cooperating partner in this RFA will be highly encouraged to locally source, whenever feasible, personnel and supplies. Applicants should also be working very closely with the DOH, LGUs, civil society and private sector to build their capacity and create buy-in for adoption, replication and long-term management of the interventions.

c) **Greater Innovation** – Under USAID's Global Health Initiative, USAID/Philippines desires to hasten achievement of project results through greater innovation. Towards this end, this project is expected to focus greater attention on (a) the adoption and use of proven and approved new products and processes, e.g., new biomedical applications and therapies; new diagnostics; new information technologies such as e-health, e-medicine, and mobile health; and new business formats or management processes; and (b) the scaling up of

existing recent technologies, e.g., from urban to rural areas or vice versa; from use at high-income households to low-income ones or vice versa; from private to public sector or vice versa; from for-profit to nonprofit sector or vice versa; and from research or academic settings to larger-scale environments.

While the innovation mandate is important, USAID/Philippines discourages cooperating agencies' tendency to self-promote their technical products and to avoid other CAs' products (especially products of any incumbent projects and those developed in earlier projects). To mitigate this adverse phenomenon, USAID/Philippines will exercise diligence in making sure that (a) only products or tools of known efficacy and effectiveness are adopted and scaled up; (b) CAs will not unduly multiply corporate or project brand names, acronyms, abbreviations, neologisms, buzz words, and other barriers to innovation and adoption; (c) good practices are documented and shared, a task that will be expected of this project; and (d) official approval from DOH and other certifying authorities will be sought for proven tools, manuals, guides, processes and procedures so that they can be adopted more widely. The innovation mandate also includes sharing of demonstrated good practices that the project finds from places outside the Philippines.

The project is expected to identify the most cost-effective way of introducing and scaling up an innovation (including, for instance, videoconferencing instead of visits; video documentation and podcasts instead of study tours; text blasts instead of leaflets; websites and social media instead of publications, etc...).

d) Partner Coordination - The Applicant is expected to work in close collaboration with other projects working towards similar goals in support of the 5th AMTP. In addition to this new USAID project, the Philippines National AIDS Council (PNAC) and the DOH will also be receiving support from projects funded by the United Nations group, World Bank (WB) and Asian Development Bank (ADB) in the near future. All implementing partners will coordinate efforts, potentially to the extent of some creating joint work-plans, to maximize efficiencies by avoiding duplication of efforts, reducing the burden on host country counterparts, streamlining and harmonizing reporting requirements and leveraging limited resources. Existing Technical Working Groups chaired by PNAC and the DOH will assist in overseeing implementation progress of these HIV/AIDS-related projects.

e) Youth - Where activities have specific interventions that target or benefit the youth (defined as those within the age range of 10 to 29 years old), people level indicators must be disaggregated by age.

f) Inclusive Development - USAID is committed to the inclusion of people who have physical and cognitive disabilities and to provide support to organizations that advocate and offer services for people with disabilities (PWDs). USAID focuses on improving access of PWDs to development programs and on removing barriers that cause exclusion. All its grants, cooperative agreements and contracts, have provisions on the inclusion of people with disabilities. In line with the USAID Disability Policy, the Activity will promote the participation and equalization of opportunities of individuals with disabilities, increase awareness of issues of people with disabilities both within USAID programs and in host countries; foster a climate of nondiscrimination against people with disabilities; and support international advocacy for people with disabilities.

g) Outreach - As part of the response to this solicitation, applicants should articulate a plan for outreach, dissemination and collaborative learning about the results (outputs and outcomes) of the project/activity, performance improvements, and lessons learned.

h) Standard Property Rights Clauses - It is necessary that USAID archive activity-related data to ensure that at the conclusion of the award, the Agency will have access to the data. Data that is collected and produced under the activity must be stored in a database management system or other structured data file format. This data will be provided in whole to USAID for further analysis and dissemination, if relevant.

5. Anticipated Results and Recommended Indicators

A. Outcome Indicators

ROMP supports the attainment of the government's goal of **maintaining national HIV prevalence among MARPs at < 1 percent** as stated in the 2011-2016 National Objectives for Health (NOH) and as reflected in the 5th AMTP. This project is expected to support the achievement of the following core outcome indicators of the new USAID long-term strategy to contribute to the above goal:

- Maintain HIV prevalence among MSMs at < 10 percent in 2015 in USG-assisted sites;
- Maintain HIV prevalence among PWIDs at < 58 percent in 2015 among the USG-assisted sites
- Increase the percentage of males reporting condom use in USG-assisted areas from 22 percent in 2007 and 32 percent in 2015.

B. Output Indicators

Key result areas (KRA) with illustrative output indicators that could be used to monitor and evaluate the progress of the Health Program are provided below. These are taken from globally accepted standards and the Applicant is expected to tailor them, with the approval of USAID/Philippines, for the local context as necessary. Disaggregation of performance indicators by gender and age, as appropriate and feasible, is preferred.

KRA 1 – CPS models for MSMs and PWIDs specific for the Philippine HIV/AIDS context are identified, mapped, assessed and enhanced. Output indicators for this KRA could include:

- Number of existing CPS models specifically for MSMs and PWIDs assessed;
- Number of CPS models enhanced for implementation in the project sites context of a continuum of care from prevention to treatment and care in cooperation with key stakeholders; and

KRA 2 – Demand for and utilization of STI/HIV prevention services increased. Output indicators for this KRA could include:

- Percentage of target population in model sites covered by a minimum package of HIV prevention services;
- Total number of male condoms and lubricants available for distribution in project sites during the last 12 months per person aged 15-19, 20-24, 25-49); disaggregated by condom type (male, female); (1,008,000 condoms/lube packages - 2009, IHBSS);
- Percentage of HIV positives who are TB symptomatic referred to HIV Treatment Hubs.

KRA 3 – Capacity of the local health staff, community-based workers, local organizations, DOH and other partners to implement, manage, sustain and roll out the enhanced CPS models improved. Output indicators for this KRA could include:

- Number of organizations, institutions, and/or networks able to manage, implement and evaluate HIV/AIDS prevention programs targeting MARPS, MSMs and PWIDs, using a sustainable quality assurance process for target population interventions; and
- Number of individuals trained to promote HIV/AIDS prevention through other behavior change beyond abstinence and/or being faithful for MARPs;

6. Relationship with Other USAID, Government, and NGO Health Projects/Activities

Annex A shows the diagram of how ROMP will inter-relate with the other USAID projects. ROMP is expected to have minimal need for coordination with other projects except with the TB Project for the establishment of referral system of HIV positives who are TB symptomatic for appropriate DOTS services.

The project is expected to coordinate on technical, logistic and policy implementation issues with the following:

- The respective LGUs concerned, especially their social hygiene clinics and related health and social services focusing on MSMs and PWIDs;
- The HIV/AIDS Hospital Treatment Hubs in the respective localities;
- Other relevant local institutions or groups, such as the city councils, the police, barangay councils/'tanods', and NGOs/CBOs providing complementary services in the project sites;
- The respective Centers for Health Development (NCR and Region 7), especially the Regional Technical Assistance Teams;
- DOH centers including the Infectious Disease Office handling the National AIDS/STI Prevention and Control Program (NASPCP), the National Center for Health Promotion, and the National Epidemiology Center;
- The Philippine National AIDS Council, Local AIDS Councils; and
- Other donors and NGOs and CBOs involved in prevention and control of HIV/AIDS involving MSMs and PWIDs.

USAID/Philippines will adopt a "One Face" approach in dealing with LGUs, regional Centers for Health Development (CHDs), and other local stakeholders participating in project-funded activities including ROMP. To realize this objective, USAID/Philippines will mandate each of its projects to participate in a variety of coordination mechanisms including (a) joint planning and programming of applicable activities in the field; (b) joint supervision, monitoring and evaluation visits; and (c) informing in advance the field coordination office of all trips and activities to be made in the field. This function is not intended to make anyone project a gatekeeper of the other projects' visits, but to improve coordination and to lessen the transaction costs incurred by LGUs, CHDs, and other local stakeholders in having to know and to frequently deal with a multiplicity of cooperating agencies' staff.

7. Performance Management Plan

A. Monitoring Requirements

Under USAID's new Evaluation Policy, the primary responsibility for evaluations that assess the overall performance and results from a project or activity rests with USAID. While the implementing partner often provides supporting data and analysis, such evaluations will be designed, implemented and independently contracted by the Mission to assure objectivity and rigor. If appropriate, this project/activity will be evaluated externally by a third-party evaluation contractor to be commissioned by USAID towards the end of the period of performance.

Implementing partners remain responsible for ongoing monitoring and evaluation (typically formative and mid-term evaluations) that inform management decisions by assessing whether projects are being implemented as planned, reaching targeted groups, and achieving expected outputs and outcomes. The implementing partner will develop a Performance Management Plan (PMP) Plan within the first three months following award and before major implementation actions are underway. The PMP will describe the agreed upon framework of goals, outcomes, and outputs for the project/activity, along with indicators, baselines and targets defined for each, gender disaggregated where appropriate. The PMP will also include a monitoring and evaluation plan that describes the evaluative work that the contractor will conduct for its own management

decision-making, institutional learning, and accountability purposes. (See [USAID Evaluation Policy](#) and ADS 203, as revised, for more detailed guidance).

B. Reporting Requirements

Format of the final annual work plan, project performance reports, financial reports and success stories will be determined in conjunction with USAID/Philippines. The Applicant should ensure that all of the country-specific USG reporting requirements are met. Reports must be submitted in English

a) Annual work plan –

Applicants are encouraged to design innovative implementation approaches to reach the desired results. The Applicant should develop annual work plans in concert with other key USAID/Philippines partners, aligned to each USG fiscal year of the agreement. A draft work plan should be submitted with the application, with the Year One to be finalized with the AOR within 45 calendar days of signature of the Agreement. The Year Two work plan should be prepared and submitted to the AOR not later than 45 days before the close of Year One.

The work plan should include, at a minimum:

- Proposed accomplishments and expected progress towards achieving program results and performance measures tied to the PMP;
- Timeline for implementation of the year's proposed activities, including target completion dates;
- Information on how activities will be implemented;
- Gender action plan that will define how gender will be integrated in the project cycle.
- Personnel requirements to achieve expected outcomes; and
- Details of collaboration with other major partners.

b) Quarterly Progress Reports –

The Applicant should prepare and submit to the USAID/Philippines Agreement Officer's Representative (AOR) a quarterly report within 30 days after the end of the each USG fiscal quarter with the exception of the quarter ending September 30, 2013, when an Annual Report will be required and the final quarter, when a Final Report is required.

The report should contain, at a minimum:

- Progress (activities completed, benchmarks achieved, performance standards completed) since the last report by country and program area. The PMP should be attached;
- Problems encountered and whether they were solved or are still outstanding;
- Proposed solutions to new or ongoing problems;
- Success stories;
- Qualitative data on program achievements and results;
- Documentation of best practices that can be taken to scale; and
- List of upcoming events with dates.

c) Quarterly Financial Reports –

The Applicant should submit quarterly financial reports to USAID no later than 10 calendar days prior the end of each USG fiscal quarter, and be disaggregated at the program area.

This report must contain, at a minimum:

- Total award budget;
- Total funds awarded to date by USAID (total funds obligated to date);
- Total funds previously reported as expended by applicant by main line items;
- Total funds expended in the current quarter by the applicant by main line items;
- Total funds expended (actual plus estimated accrued) towards the end of the report period;
- Total un-liquidated obligations by main line items;
- Unobligated balance of USAID funds;
- Estimated expenditures for remainder of year; and
- Estimated expenditures for remainder of project.

d) **Final Report –**

At the end of the program period, the Applicant will prepare a final report which highlights 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 should describe the achievements of the activity in light of the history of USAID programming, the legacy that USAID will leave in the HIV sector and the status of the operating environment.

The Final Report should also include a summary of the projects finances, disaggregated at the program area and contain, at a minimum:

- Total award budget;
- Total funds awarded by USAID; and
- Total funds expended by the applicant by main line items.

8. Qualifications of Key Personnel

All full-time personnel should be hired locally to the extent possible with use of highly qualified expatriate LTTA and STTA. Key personnel are considered to be essential to the work being performed and are comprised of the following positions:

- **Chief of Party**
- **HIV MARPs Technical Specialist**
- **Monitoring Specialist**

(a) Chief of Party (COP) – The COP is responsible for providing technical leadership and overall management direction. S/he is also responsible for project inputs, program strategy, external representation and coordination with project counterparts, USAID, Government of the Philippines contacts, other donors within the sector and other programs as necessary. The COP is ultimately responsible for compliance with the agreement results and the oversight of project activities which will meet the stated objectives of the project. The COP should meet the following desired qualifications:

- Advanced degree (at least Masters level) in public health, medicine (M.D.), social sciences, management and information sciences, communications, or other fields related to the concerns of the project;
- At least ten (10) years of experience managing a project of similar or related nature, size, and complexity;
- Experience managing an HIV/AIDS or other infectious disease or public health program with international donor funding preferred;
- Familiarity with the challenges and opportunities of working with MSMs and PWIDs; and

- Demonstrated experience working with national government counterparts, donor groups, civil society partners, and local governments.

(b) HIV/AIDS MARPs Technical Specialist – The HIV/AIDS MARPs Technical Specialist is responsible for providing technical leadership on all key result areas. S/he will oversee the evaluation, design and implementation of the CPS models for MSMs and PWIDs. S/he will provide technical advice to the DOH, LGUs in project sites, and civil society on HIV prevention, care, and treatment for MSMs and PWIDs. S/he should meet the following desired qualifications:

- Advanced degree (at least Masters level) in public health, medicine (M.D.), social sciences, management and information sciences, communications, or other fields related to the concerns of the project;
- At least seven (7) years of progressive professional experience in designing, implementing, managing, monitoring, or evaluating programs related to HIV/AIDS prevention with high risk populations, especially MSMs and PWIDs; other infectious disease programs; or other public health programs;
- Familiarity with TB/HIV co-infection programming;
- Demonstrated experience working with host country government counterparts, policy makers, and a broad array of health service providers and community leaders; and
- Demonstrated experience providing technical advice to government officials and mentoring health service providers.

(c) Monitoring Specialist – The Monitoring Specialist is responsible for obtaining, analyzing, organizing and interpreting project data. S/he will work with host country counterparts in developing or strengthening and implementing monitoring systems to track project progress and impact. S/he will monitor and assess project implementation progress as required and provide feedback to colleagues and partners to improve project activities. S/he should meet the following desired qualifications:

- Advanced degree (at least Masters level) in public health, medicine (M.D.), social sciences, management and information sciences, communications, or other fields related to the concerns of the project;
- At least seven (7) years of progressive professional experience in monitoring and evaluation of public health programs, especially HIV/AIDS or infectious diseases;
- Demonstrated ability to obtain, analyze, organize and interpret data and provide feedback to data users, and to conduct gender analysis and integration; and
- Demonstrated experience in developing and implementing monitoring systems and conducting evaluations especially for HIV/AIDS prevention and/or impact mitigation and service delivery programs, or other public health programs.

[END SECTION I]

SECTION II - AWARD INFORMATION

A. Anticipated Award Schedule

USAID expects to award one (1) cooperative agreement to a responsible applicant that is responsive to the objectives under this RFA. The anticipated total federal funding amount is \$2,000,000.00 with a period of performance of three (3) years, and an anticipated start date of August 1, 2012.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, the initial application should contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right to enter into discussions in order to obtain clarifications, additional detail, or to suggest refinements in the program description, budget, or other aspects of an application.

Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting agreement(s).

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 award may be incurred before receipt of either a fully executed cooperative agreement or a specific, written authorization from the Agreement Officer. The Agreement Officer's Representative (AOR) will serve as the primary contact between USAID and the recipient; the Agreement Officer's Representative (AOR) will also serve as the alternate contact between USAID and the Recipient. The AOR will be based in USAID/Philippines and will assist the project in linking with other projects, Mission bilaterals, and other donors/foundations.

B. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this Cooperative Agreement is 937.

C. Type of Award

The award will be a Cooperative Agreement as USAID's will be substantially involved in the implementation of the selected program as 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/Philippines anticipates a close working partnership with the recipient's programs and as such, in accordance with the ADS Chapter 303.3.11 and 22 CFR 226 USAID/Philippines shall be substantially involved during the implementation of this Cooperative Agreement in the following ways:

1. Approval of the recipient's annual work/implementation plans, including: planned activities for the following year, travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols; reports; monitoring and evaluation plans; and all modifications that describe the specific activities to be carried out under the Cooperative Agreement;
2. Approval of and any changes to specified key personnel as designated below:
 - a) Chief of Party
 - b) HIV MARPs Technical Specialist
 - c) Monitoring Specialist

3. Agency and recipient joint participation including selection of advisory committee members, sub-award recipients and concurrence on the substantive provisions of the sub-awards;
4. Approval of joint and co-funded activities with other Cooperating Agencies and other DPs/donors;
5. Approval of Monitoring and Evaluation Plan; and

In accordance with ADS 303.3.11 the Agreement Officer has delegated the Agreement Officer's Representative (AOR) to approve the implementation/work plans and monitoring and evaluation plans. The AOR will also give concurrence with the remaining elements within the underlying elements within the substantial involvement section.

[END SECTION II]

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SECTION III – ELIGIBILITY INFORMATION

A. Eligibility Criteria

To be eligible for award the applicant must be a U.S. or Non-U.S non-governmental organization within the geographic code – 937, which includes: (local and private voluntary organizations from the US, Philippines, and other developing countries). Pursuant to 22 CFR 226.81, USAID policy is not to award profit under assistance instrument. To be eligible for award, the applicant must provide all required information in its application.

USAID welcomes applications from organizations new to USAID.

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

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SECTION IV - APPLICATION AND SUBMISSION INFORMATION

1. Application and Submission

A. Application for Federal Assistance

The applicant must fill out the SF-424, Application for Federal Assistance, as indicated by the form. A sample form is attached with the corresponding email, the family of SF-424 standard forms for SF-424, Application for Federal Assistance; SF-424 A, Budget Information – Non-construction Programs; and SF-424 B, Assurances – Non-construction Programs can be found at: <http://apply07.grants.gov/apply/FormLinks?family=15>.

B. Content and Form of Application Submission

Applications shall be submitted in two separate parts:

(1) Technical Format Application and Submission Instruction Information.

(2) Cost or Business Format Application and Submission Instruction Information.

Technical and Cost/business applications must be submitted separately. One original and four hard copies of each shall be submitted. Applications shall be submitted electronically via email followed by hard copy, as detailed below.

The applicant shall sign the application and certifications and print or type its name on the cover page of the technical and cost applications. 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. Applicants should retain for their records at least one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application.

Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. **Applications which are received late will not be reviewed.**

a. Hard copy submission

Hard copies of applications 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 proposals noted on the outside of the envelopes/packages.

b. Submission of Applications by Email:

- Software for email attachments must be: Microsoft Word (for narrative text) and Excel (for budgets). All formulas in the Excel spreadsheets must be visible (no locked cells). Documents requiring a signature may be sent as a PDF.
- The attachment should be formatted with a 3MB limit per e-mail. Because of USAID's system restriction, do not send zipped files. If this requires the delivery of multiple emails, please indicate in the subject line whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if the organization's name is ABXY Consulting, and the cost proposal is divided and being sent in as two emails, the first email

should have a subject line which says: "USAID/Philippines, RFA-492-12-000001: ABXY, Cost Proposal, Part 1 of 2".

After the application has been sent by email, please immediately check for confirmation that the attachments were indeed sent. If a transmission error is discovered, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to state that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc... Also, please do not send the same email to more than one time unless there has been a change, and if so, please note that it is a corrected email. If multiple copies are sent of the same email, USAID will not know if there has been any change from one email to the next.

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

B.1.a Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. It should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. Technical applications should take into account requirements of the program and evaluation criteria found in this RFA. Therefore it should be specific, complete and presented concisely.

Technical applications shall **not exceed twenty (20) pages using Times New Roman 12 point font, single spaced using 8 ½ x 11 paper with 1-inch margins**, exclusive of the annexes. Number each page consecutively. **Technical proposals that exceed the page limit will not be reviewed.** Tables, charts, graphs and graphics contained in the technical application, not otherwise excluded below, are included within the above page limitation.

To facilitate the competitive review of the applications, applications shall conform to the format prescribed below:

- a. Cover page [not included in page limit]
- b. Table of Contents listing all page numbers and attachments [not included in page limit]
- c. List of acronyms [not included in page limit]
- d. Executive summary **[not to exceed a one (1) page]**
- e. Body of proposal describing the program's strategic fit and technical approach and the organization's qualifications and past experience, proposed outcomes and indicators including the management and staffing plan and key personnel **[not to exceed nineteen (19) pages]**
- f. Annexes [not included in page limit above, but there are some limitations within the required annexes] should be lettered (e.g. Annex A, Annex B, etc...)
 - Required annexes:
 - Rapid mobilization plan for the first three months of the project
 - Performance Management Plan (PMP)
 - Organizational chart
 - Short- and long-term technical assistance plan
 - Sustainability plan
 - Curriculum Vitae of key personnel and other named personnel (page limit 3 per CV)
 - Past Performance References (3)
 - Branding Strategy and Marking Plan

B.1.b. Technical Application Instructions

The Technical application has five factors: Personnel, Technical Approach and Organizational Capability, Management and Staffing Plan, and Past Performance; of which the written application shall be specific, complete and concise.

The Applicant must include as part of its Application a signed letter of commitment from each candidate proposed as Key Personnel, confirming his/her present intention to serve in the stated position during the term of the Agreement period. These letters should not bind key personnel to any one organization exclusively.

Key Personnel and LTTA & STTA

Key Personnel as described in Section VIII “Qualifications of Key Personnel” and other named personnel shall include the following:

(Note: other proposed personnel not yet identified may be shown as "TBD" (to be determined))

- A Curriculum Vitae (CV) should be provided for each key personnel and any other named full-time personnel (this information can be provided under an Annex);
- A statement signed by each person proposed as key personnel confirming his/her present intention to service in the stated position and his/her present availability to serve for the term of the proposed agreement, including rapid mobilization;
- Three references for each candidate, including telephone and email addresses for each reference (this information can be provided under an Annex; and

Long- and Short-term Technical Assistance/Consultants shall include:

(Note: proposed consultants not yet identified may be shown as "TBD" (to be determined))

- Resume of all proposed long and short-term consultants (not to exceed 3 pages per resume);
- Three references for each candidate, including telephone, physical address, and email addresses for each reference; and

Technical Approach and Organizational Capability

Technical Approach

At a minimum the technical approach shall address the following:

- Explain the technical approach and activities to obtain necessary outcomes as described in the program description and which will include innovative ideas, approaches and strategies to implement the project components and achieve the results of the program (please do not repeat what is already described in the RFA);
- Demonstrate the applicant's understanding and provide a brief country assessment on key contextual factors that will affect the project such as epidemiological data, behavioral risk factors, current program successes and gaps, and linkages and referrals to care and treatment facilities;
- State how gender issues might affect participation and access to HIV/AIDS services as well as, activities, especially by men and present gender-sensitive strategies, tactics, and results for males who have sex with males (MSMs) and people who inject drugs (PWIDs); and
- Describe how the project will be monitored and assessed.

Organizational Capability

At a minimum the organizational capability section shall address the following:

Organization History

- Briefly describe your organization's history implementing similar programs; and
- Explain any relevant collaboration with donors and host country governments.

Resources and Experiences

- Provide evidence of technical resources to accomplish the objectives under this RFA; and organizational expertise to address relevant programmatic problems, concerns and issues;
- Discuss how the your organization will have the financial controls to accomplish the tasks under this RFA;
- Describe the proposed sub-recipient roles, capabilities and expertise;
- Describe how previous organizational experience and implementation approaches (within the last three years) would be an indicator for the success of this type of program;
- Describe previous programs implemented in the Philippines (the term, type of award, agency/organization, specific work provided, and accomplishments).

Management and Staffing Plan

Applicants are required to submit a management plan which outlines the overall programmatic and financial approach, as well as, oversight toward project planning and implementation. It shall also clearly specify the roles of the staff and the relationships between all partners (if applicable). Cost-efficiency is encouraged, as is the hiring of local staff. The management plan should describe the general approach to management and oversight that will be followed including a proposed organizational structure, the rationale for the structure, and brief descriptions for the key positions in the structure. It should identify potential challenges in the management of the project and recommend ways to overcome those challenges.

The plan should also outline how the Chief of Party (COP) will liaise with the Agreement Officer's Representative, in-country staff, and reporting and management across sub--grantees and other partners. Special attention should be given to how the collaborative relationships with the key stakeholders who are essential to the success of the project, will be managed.

Required Annex Descriptions

Illustrative Rapid Mobilization Plan:

The Applicant must submit an illustrative Rapid Mobilization Plan covering the first 90 calendar days of the project with the application. The plan should describe in detail the activities that the Applicant will promptly undertake, the hiring and placement of staff and other logistical and administrative activities. The applicant shall also description the applicant's ability to provide and recruit short term consultants to meet the various functional area requirements in program description. The plan should demonstrate the Applicant's ability to establish an in-country presence, including completion of all the necessary registration and documentation before or immediately following the award of the contract. The expectation is that the project will be operational within 45 days of the award.

Performance Management Plan (PMP):

The Applicant must submit an illustrative performance management plan, this should identify appropriate milestones, gender sensitive indicators and targets, as well as plans to gather and utilize existing baseline data. The PMP is expected to reflect concern for results and include proper impact and output indicators. Applicants are encouraged to use the indicators suggested in the Program Description and additional USAID standard indicators as applicable. Indicators should be disaggregated by gender and age, as appropriate and feasible (for guidance please review [USAID's Gender Policy](#)). The schedule for data collection and detailed plans for data analysis, review, and reporting should be described.

Organizational chart:

Applicants must submit a detailed organizational chart for USAID's review. The organizational chart should be both structural and functional. At a minimum, it should clearly define the communication and reporting structure for Key Personnel and all project staff. The supervisory responsibility, authority, and accountability for all staff should be included in the chart. Relationship with the home office may be included, as can consultants, where appropriate. Functionally, the chart should include bullets to briefly describe job functions and roles of staff. The chart should not exceed two pages in length.

Long- and Short-term technical assistance (LTTA and STTA) plan:

LTTA and STTA will be crucial for ensuring project success. A plan including illustrative technical skills of consultants, estimated level of effort, specific tasks/activities for which they will provide support, and time in country is requested. LTTA and STTA consultants must have experience working with HIV/AIDS in MARPs in concentrated epidemics and preferably Asia experience. This plan should not exceed three pages in length.

Sustainability plan:

Applicants must provide a preliminary sustainability plan of how project strategies and methodologies will be embedded within and/or transitioned to Government of Philippines institutions throughout the project performance period. This preliminary plan will include a set of annual benchmarks and indicators that quantify the increasing sustainability of these approaches. This should describe how the applicant plans to conduct this exercise and plans to influence the target local government units and help them establish a system to sustain and/or replicate the models. The Sustainability plan will not exceed two pages in length.

Branding Strategy and Marking Plan

22 C.F.R. 226.91(f) requires that Applicants submit a Branding & Marking Plan that describes:

- How the program, project, or activity is named and positioned;
- How it is promoted and communicated to beneficiaries and cooperating country citizens;
- Identifies all donors and explains how they will be acknowledged;
- Contains the required information on naming and positioning the USAID-funded program, project, or activity;
- Promotes and communicates to cooperating country beneficiaries and citizens that the USAID-funded program, project, or activity is "from the American People"; and
- Is consistent with the stated objectives of the award.

Further information on Branding & Marking can be found in ADS Chapter 320: <http://www.usaid.gov/policy/ads/300/320.pdf>, or in the Branding website at <http://www.usaid.gov/branding/assistance.html>.

Past Performance

The Applicant should present up to three contracts, grants, and/or Cooperative Agreements in which the Applicant has implemented projects similar complexity and magnitude involving technical assistance to the health sector during the past three years.

If the Applicant is a consortium, provide information on past experience for all of the identified partners. Reference information is to include information for an official point of contact, agreement or contract numbers, and a brief description of the work performed.

B.2.a. Cost/Business Application Format

The Cost or Business Application shall be submitted separately 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, USAID will not burden applicants with undue requirements if that information is readily available through other sources.

Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities

The following sections describe the documentation that applicants for an Assistance award must submit to USAID. 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:

A. Cost Submission

A budget narrative (in Microsoft Word) which provides in detail the total costs for implementation of the program. 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, and if applicable, program activity cost contributions for in-kind services, USAID share amounts, cash contributions (all cash must be converted to US currency), or resource leveraging for the period of performance; a summary of the budget must be submitted using Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and 424B (Assured-Non-construction Programs) which can be downloaded from <http://apply07.grants.gov/apply/FormLinks?family=15>; and a three-year budget with of which an electronic copy of a budget (in Microsoft Excel) with calculations shown in the spreadsheet – calculations and formula shall be accessible and not hidden or protected by password.

If the Applicant is a consortium, the cost/business application must include documents that reflect the legal relationship among the parties. The document(s) should include:

- A full discussion of the relationship among the applicants, including the identity of the applicant that the USG will treat for purposes of administration of any cooperative agreement;
- Identity of the applicant that will have accounting responsibility;
- How the applicant proposes to allocate effort under any cooperative agreement; and
- The express agreement of the principals of the Applicant organization to be held jointly and severally liable for the acts of omissions of the other.

Applicants must provide the following cost element details when developing the budget:

Salary and Wages – For each year of the Agreement, applicants must propose direct salaries and wages in accordance with their personnel policies. To be considered adequate the policies must be in writing, applicable to all employees of the organization, be subject to review and approval at top organizational level:

Initial Salaries –

- The initial starting salaries: of all long-term US, TCN, and CCN professional staff whose salaries are charged as a direct cost and who are not determined at time of award must be approved in advance and in writing by the Agreement Officer. Any initial starting salaries included in the awarded Applicant's/recipient's proposal are deemed approved upon the Agreement's execution;
- To-Be-Determined (TBD) Positions: The initial starting salaries for TBD positions whose salaries are charged as direct costs to this Agreement for long-term US, TCN and CCN professional staff (LTTA &STTA) must be approved, in advance and in writing, by the Agreement Office;
- Replacement Staff: With the exception of "Key Personnel" initial salaries of new staff replacing those previously approve in the Applicant's awarded proposal do not require prior approval by the Agreement Officer provided that the following conditions are met:
 - The position has been authorized in the Agreement;
 - The initial salary shall not exceed either the individual's recent long-term salary by five (5) percent as evidenced in the employee's certified employment history, or the approved salary for the particular position in the final proposal revision – whichever is less; and
 - Concurrence from the AOR that the replacement's qualifications are acceptable.

Annual Salary Increases – U.S Staff: One annual salary increase of not more than the current rate from the Department of Labor's Bureau of Statistics at the time of award (this will include promotional increases) and may be granted after the employee's completion of each twelve months of satisfactory services under the USAID award;

CCN Staff: One annual salary increase (of not more than the index from the Philippine National economic Development Authority (this includes the promotional increase)) may be granted after the employee's completion of each twelve months of satisfactory services under the USAID award;

Special Provision Regarding Selected Cooperating Country Nationals Employed by the Recipient to Work Exclusively Under this USAID Agreement:

This USAID-funded program implemented under the anticipated cooperative agreement will be for a specified period – as set forth in Section II.A., of this solicitation. Accordingly, USAID considers cooperating country nationals (CCNs) employed by the awarded Recipient exclusively to work under this USAID the future award as employed by the awarded Recipient for a specified or fixed period. The Recipient, however, at its sole discretion, may employ CCNs to work exclusively under this future award for either a specified period (a specified period employee) or for an unspecified period (a permanent employee), in accordance with Philippine Law. If the awarded Recipient elects, at its sole discretion, to employ CCNs exclusively to work under this fixed period future award for an unspecified period, the awarded Recipient will be responsible for the payment of any benefits that may be due.

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

Travel and Transportation – The Applicant should indicate the purpose of each trip, 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.

Sub-recipients/Sub-grantee – Applicants who intend to utilize sub-recipients should indicate the extent intended and a complete cost breakdown, as well as, all the information required herein for the Applicant. Sub-agreement financial plans should follow the same cost format as submitted by the Applicant;

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

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 (insurance for applicant's fringe benefits excluded), equipment, office rent, etc;

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

- If the Applicant does not currently have a NICRA from its cognizant agency, has never received a USAID grant, cooperative agreement, or contract, or has not received an award from any Federal agency in the last five years must also submit the following information:
- Copies of the applicant's audited financial statements for the previous three-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- Projected budget, cash flow and organizational charts for the organization;
- Copies of applicable policies and procedures, including those related to accounting, purchasing, property management, and personnel; and
- Copies of the Applicant's personnel, expatriate and local (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.) travel, 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.

Applicants should submit additional evidence of responsibility they deem necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- Have adequate financial resources or the ability to obtain such resources as required during the performance of the award.
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).
- Proposed ceiling rate on all applicable indirect rates.

B. *Business Submission*

a) Required Certifications, Assurances

- A signed copy of [Certifications and Assurances](#), which includes:
 - Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S.);
 - Restrictions on Lobbying ([22 CFR 227](#));
 - Prohibition on Assistance to Drug Traffickers ([ADS 206](#)); and
 - Certification Regarding Terrorist Funding ([AAPD 04-14](#)).

The Applicant must complete Standard Form 424 (Application for Federal Assistance), 424A (Budget Information – Non-construction Programs) and the SF-424B, Assured-Non-construction Programs, as indicated on the form. These forms are available at:

<http://apply07.grants.gov/apply/FormLinks?family=15>.

- Other certifications and statements found in [Certifications, Assurances, and Other Statements of the Recipient](#):
 - The Survey on Ensuring Equal Opportunity for Applicants;
 - A Data Universal Numbering System (DUNS) number (See [Use of a Universal Identifier by Grant Applicants](#) for background information);
 - A signed copy of Key Individual Certification Narcotics Offenses and Drug Trafficking, ([ADS 206.3.10](#)) when applicable; and
 - A signed copy of Participant Certification Narcotics Offenses and Drug Trafficking ([ADS 206.3.10](#)) when applicable

Applicants that have never received a cooperative agreement, grant 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.

b) Submission Dates and Times

Applications are due to USAID by May 25, 2012 by 10:00 a.m. Manila, Philippines Time.

(Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award" or "Late applications will be considered for award if the Agreement Officer determines it is in the Government's interest.").

Applications shall be submitted electronically to the following e-mail address: orpmailbox@usaid.gov. Additionally one original and four hardcopies shall be submitted in three-ring binders addressed as follows:

Via Mail/Hand Delivery/Courier:

Ms. Daphne Collier, Agreement Specialist
US Agency for International Development
8/F, PNB Financial Center
Pres. Diosdado Macapagal Boulevard
1308 Pasay City, Philippines
Ref: RFA-492-12-000001

c) Intergovernmental Review

The application will be reviewed by both the Agreement official and a Technical Evaluation Committee.

d) Funding Restrictions

Funding restrictions such as limitations on allowable activities for a particular program, or limitations on direct costs, such as the purchase of equipment.

e) Other Submission Requirements

- Unnecessarily Elaborate Applications – Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- Proprietary Information – Applicants which 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:
 - Mark data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, to 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 cooperative agreement 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 agreement. 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”

- 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."

f) Explanation to Prospective Applicants

Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing. Questions shall be received no later than the date listed on the cover page. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

g) Telegraphic or Faxed Applications

Telegraphic or faxed applications will not be considered; however, applications may be modified by written or telegraphic notice, if that notice is received by the time specified for receipt of applications.

[END SECTION IV]

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SECTION V - APPLICATION REVIEW INFORMATION

A. OVERVIEW

The criteria that all applications will be reviewed against are listed below so that Applicants will know which areas require emphasis in applications. Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

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: a) identify the significant areas that Applicants should address in their applications; and b) serve as the standard against which the Technical Evaluation Committee (TEC) shall evaluate all applications. USAID will award to the Applicant(s) whose application(s) best meet(s) the program description. The Government may evaluate applications and award a cooperative agreement 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.

The entry into discussion is to be viewed as part of the evaluation process and shall not be deemed by USAID or the applicants as indicative of a decision or commitment upon the part of USAID to make an Award to the applicants with whom discussions are being held.

B. TECHNICAL EVALUATION CRITERIA

The evaluation criteria prescribed herein have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications and (b) set the standard against which all applications will be evaluated.

- Technical, cost and other factors will be evaluated relative to each other, as described herein and prescribed by the Technical Application Format.
- The technical application will be scored by a Technical Evaluation Committee (TEC) using the criteria shown in this section.
- The selection criteria below are presented by major category, with relative order of importance, so that applications will know which areas require emphasis in the preparation of applications.
- Prospective Applicants are forewarned that an application with the lowest estimated cost may not be selected if award to a higher priced application affords the Government a greater overall benefit. All evaluation factors other than cost or price, when combined, are significantly more important than cost. However, estimated cost is an important factor and the estimated cost to the Government increases in importance as competing applications approach equivalence and may become the deciding factor when technical applications are approximately equivalent in merit.
- Technical applications will be evaluated according to the criteria prescribed below. The relative importance of each criterion is indicated by approximate weight by points. A total of 100 points is possible for the complete application. The bulleted sub-criteria are weighted equally.

To facilitate the review of applications, narrative portions of applications should be organized in the same order as the broad evaluation criteria; USAID/Philippines will examine the overall merit and feasibility of the applications, as well as specific criteria relevant to each component as elaborated below.

- Key Personnel, LTТА and STТА
- Technical Approach and Organizational Capability
- Management and Staffing Plans
- Past Performance

A summary of technical evaluation criteria follows:

Evaluation Criteria	
1. Key personnel, LTТА and STТА	35 points
2. Technical Approach and Organizational Capability	25 points
3. Management and Staffing Plans	20 points
4. Past Performance	20 points
TOTAL	100 points

Key Personnel and LTТА and STТА - 35 Points

Key Personnel

The applicant's Key personnel are instrumental in implementing the program agenda. Applications will be scored based on the following sub criteria which are of equal importance based on the following:

- The demonstrated qualifications, education and experience of the Key personnel as described Section I.8;
- Shows the relevance of skill-set to the program description;
- Presented all the required information completely and accurately; and
- The key personnel references are favorable.

LTТА and STТА/Consultant

The applicant's LTТА and STТА consultants will be scored based on the following sub criteria which are of equal importance based on the following:

- How the qualifications, education and experience are relevant to specific technical position, tasks and program; and
- Justification for the need of the technical position, LOE and proposed skill-sets of the consultant(s).

Technical Approach and Organizational Capability – 25 Points

The technical approach will be evaluated on whether the applicant:

- Clearly articulates the extent of the Applicant's understanding and ability to successfully perform and measure the activities to present outcome indicators as described in the Program

Description by using: innovative ideas, approaches, and strategies that can be successful and feasible;

- Concisely shows possible effects of the country context on the project based on the country assessment;
- Succinctly, presents potential concerns or challenges to implement the project activities; and
- Proposes a feasible system to monitor and assess the program.

The organizational capacity will be evaluated on whether the applicant organization:

- Has outlined available technical resources to successfully complete this project;
- Has provided available financial resources to accomplish the tasks under the program description;
- Has a history that demonstrates successful completion of a related projects;
- Has evidence of positive relations with donors, host-country governments, and other possible stakeholders; and
- Has a list of possible sub-recipients with detailed resources (financial and technical); as well as, organizational experience to assist in a successful project, if applicable.

Management and Staffing Plan – 20 Points

The management and staffing plan will be evaluated on whether the applicant:

- Provides a clear efficient and effective management plan of how the program and financial approach, and implementation of the program will be managed, as well as possible challenges;
- Clearly outlines a plan of how the COP will communicate with various stakeholders of this project;
- Outlines how local staff will be incorporated in the project;
- Presents a clear staffing plan of positions and roles of significant personnel to implement the breadth and depth of all components of the project;
- Outlines the ability to quickly establish project management structures and launch program activities;
- Provide an illustrative timeframe to deliver the required results and other activities; and
- Provides clear, concise, and reasonable illustrative plans for rapid mobilization; performance management; LTTA and STTA; sustainability and branding and marketing strategies, as well as a comprehensive organizational chart.

Past Performance – 20 Points

Performance information will be used for both the responsibility determination and best value decision. USAID/Philippines may also check other sources of information about the applicant including, but not limited to: other government agencies, better business bureaus, published media, and electronic data bases. Past Performance will be evaluated based on the how implementation of projects similar in project description, size and complexity. References may be asked to comment on items such as:

- Quality of service, including consistency in meeting goals and targets;
- Cost control, including forecasting costs as well as accuracy in financial reporting;
- Effectiveness of office management to make prompt decisions and ensure efficient completion of tasks;
- Business relations, addressing the history of professional behavior and overall business-like concern for the interests of the customer, cooperative attitude in remedying problems, and timely completion of all administrative requirements;

- Customer satisfaction with performance, including end user or beneficiary wherever possible; and
- Effectiveness of key personnel, including appropriateness of personnel for the job and prompt and satisfactory changes in personnel when problems with clients were identified.

USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

The Technical Evaluation Committee may give more weight to past performance information that is considered more relevant and/or more current. In cases where an applicant lacks relevant USAID past performance history, or in which information on past USAID performance is not available, the recipient will not be evaluated favorably or unfavorably on past performance. The "neutral" rating provided to any recipient lacking relevant USAID past performance history is at the agreement officer's discretion based on the past performance ratings for all other recipients. Prior to assigning a "neutral" past performance rating, the contracting officer may take into account a broad range of information related to an recipient's past performance.

C. COST AND BUSINESS EVALUATION

Cost applications will be evaluated separately and overall costs are considered less important than the strengths of the technical proposal. However, where technical applications are considered essentially equal, cost may be the determining factor in selecting a Recipient of the award. The applicant's proposed Cost and Business application will be evaluated for realism, completeness, allowability, allocability, cost-efficiency, and reasonableness. Proposed costs may be adjusted, for purposes of evaluation, based on results of the cost analysis and its assessment of reasonableness, completeness, and credibility.

USAID/Philippines 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.

C.1. Cost

The overall standard for judging cost applications will be whether:

- The cost presents the best value to the government for the technical approach proposed;
- It is realistic and consistent with the technical proposal; and
- Individual costs are considered reasonable based on an analysis to identify salaries and other cost categories considered to be excessive.

C.2. **Acceptability of Proposed Non-Cost 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 application 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 application to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so.

USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the application closing date. USAID also reserves the right to cancel the RFA at any time (including after application closing date).

C.3. Selection Process:

The overall evaluation methodology set forth above will be used by the Agreement Officer as a guide in determining the best value to the U.S. Government. This award will be made by the Agreement Officer to the responsible recipient whose application represents the best value to the U.S. Government after evaluation in accordance with the above technical and cost criterion under this RFA.

The proposed budget must be realistic, reasonable, allowable, allocable, and cost-effective. Applicants should minimize administrative and support costs for managing the project in order to maximize the funds available for project activities.

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 award decision. Award may be made without discussions.

[END OF SECTION V]

SECTION VI - AWARD AND ADMINISTRATION INFORMATION

A. Notification of Award

The selected Applicant will be notified by email following the selection. The award document will be sent for review and signature.

B. Authority to Obligate the Government

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

Any reference to “agreement” or “award” refers to the cooperative agreement awarded under this RFA, in response to an application determined by USAID to be suitable for funding.

C. Reporting

Submission of Reports

The Recipient shall submit an original to the Washington AOTR, one copy to the Agreement Officer, and one electronic copy of the final report to the Development Experience Clearinghouse (DEC). Documents submitted to the DEC should be sent in original format via email to:

Online (preferred)

<http://www.dec.org/submit.cfm>

Mailing address:

Document Acquisitions
USAID Development Experience Clearinghouse
M/CIO/KM
RRB M.01
U.S. Agency for International Development
Washington DC 20523
E-mail: docsubmit@usaid.gov
Fax: (202) 216-3515
Phone: (202) 712-0579

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. They may be submitted online (preferred); on 3.5 inch diskettes, CD-R, or by mail. Electronic documents should be in PDF (Portable Document Format). Submission in other formats is acceptable but discouraged.

Each document submitted should contain essential bibliographic elements, such as, 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) strategic objective; and 6) date of publication;

When preparing reports, the contractor shall refrain from using elaborate art work, multicolor printing and expensive paper/binding, unless it is specifically authorized in the Contract Schedule. Wherever possible, pages should be printed on both sides using single spaced type.

D. General Reports and Other Reporting Requirements

General reports and reporting requirements are found under Section I.

E. A description of any deviations from standard provisions

There are currently no deviations from the standard provisions.

F. Administrative and National Policy Requirements

Any cooperative agreement resulting from this RFA will be administered in accordance with 22 CFR 226—Administration of Assistance Awards to U.S. Non-Governmental Organizations, applicable OMB circulars, and the Standard Provisions for U.S. Nongovernmental Recipients. For non-U.S. organizations, the Standard Provisions for Non-U.S., Nongovernmental Recipients will apply. The applicant may obtain copies of the referenced material at the following websites:

22 CFR 226:

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

OMB circulars:

<http://www.whitehouse.gov/omb/circulars/>

Mandatory Standard Provisions for U.S. Nongovernmental Recipients:

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

Mandatory Standard Provisions for Non-U.S., Nongovernmental Recipients:

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

The Applicable Standard Provisions are also found in the aforementioned websites; some applicable Standard Provisions are provided in full text below as well as other pertinent provisions:

1. 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.

2. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. 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

- 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.

3. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (OCTOBER 2010)

a. Reporting of first-tier subawards.

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

(2) Where and when to report.

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

(ii) For 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.)

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

b. Reporting Total Compensation of Recipient Executives.

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

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

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

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

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

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

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

c. Reporting of Total Compensation of Subrecipient Executives.

(1) 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>.)

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

(i) To the recipient.

(ii) By the end of the month following the month during which you make the 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.

d. Exemptions

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

(1) subawards, and

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

e. Definitions. For purposes of this award term:

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

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

(3) 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.

(4) 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.

(5) 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.

[END OF PROVISION]

**4. CENTRAL CONTRACTOR REGISTRATION AND UNIVERSAL IDENTIFIER
(OCTOBER 2010)**

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

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

(1) 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.

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

c. Definitions. For purposes of this award term:

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

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

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

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

(ii) A foreign public entity;

(iii) A domestic or foreign nonprofit organization;

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

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

(4) 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.

(5) 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.

[END OF PROVISION]

5. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) – SOLICITATION PROVISION (FEBRUARY 2012)

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

- (1) Shall not be required, as a condition of receiving such assistance—
 - (i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
 - (ii) to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
- (2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or cooperative agreements for refusing to meet any requirement described in paragraph (a)(1) above.

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

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

(End of Provision)

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

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

- (a) Shall not be required, as a condition of receiving such assistance
 - (1) To endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
 - (2) To endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and

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

(End of Provision)

7. CONDOMS (ASSISTANCE) (JUNE 2005)

Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, —USAID HIV/STI Prevention and Condoms. This fact sheet may be accessed at:

http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html.

(End of Provision)

8. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (APRIL 2010)

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

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

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

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

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

- (i) providing supplies or services directly to the final populations receiving such supplies or services in host countries;
- (ii) providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
- (iii) providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).

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

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

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

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

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

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

(End of Provision)

[END SECTION VI]

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SECTION VII – AGENCY CONTACTS

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

By Mail

U.S. Agency for International Development

Attn: Ms. Daphne Collier

Agreement Specialist

8/F, PNB Financial Center

Pres. Diosdado Macapagal Boulevard

1308 Pasay City, Philippines

Email ATTN:

Ms. Daphne Collier at orpmailbox@usaid.gov

[END SECTION VII]

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SECTION VIII – OTHER INFORMATION

A. USAID Rights and Funding

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

B. Title to Property

Title to property will vest with the recipient, subject to the conditions in 22 CFR 226.34.

C. Authorized Geographic Code

The authorized geographic code for procurement of goods and services under this award is 937.

D. Program Income

The Recipient shall account for Program Income in accordance with 22 CFR 226.24 (or the Standard Provision entitled Program Income for non-U.S. organizations). Program Income earned under this award shall be added to the project.

E. Other Provisions and Requirements

Environmental Provisions

1. Statutory and Regulatory Requirements

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

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

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

2. An Initial Environmental Examination (IEE) was approved on December 14, 2010, for the Office of Development Partners' GDA, funding this cooperative agreement. The IEE covers activities expected to be implemented under this cooperative agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award, including all sub-awards.

- a. The following conditions apply:

- All implementing partners and participating volunteers will be provided with and will familiarize themselves with any existing Initial Environmental Examinations (IEEs) or Environmental Assessments (EAs) and associated conditions (mitigating measures) covering USAID projects they will be supporting during their volunteer activity.
- The implementing NGO will be required to ensure that the volunteers are briefed on environmental requirements prior to beginning their volunteer activity.
- If during implementation, activities are considered other than those described in this IEE, an amended IEE shall be submitted for approval prior to implementation of any additional activities. If so indicated by the amended IEE, additional environmental review and documentation may be required prior to implementation of the new activities.

3. Program Activities

- a. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer's Technical Representative (AOTR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.
- b. If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.
- c. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

4. Mitigation and Monitoring Plan

- a. Unless the approved Regulation 216 documentation contains a complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring

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

- b. Integrate a completed EMMP or M&M Plan into the initial work plan.
- c. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

F. Non-Federal Audits

In accordance with 22 C.F.R. Part 226.26 Recipients and sub-recipients are subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 U.S.C. 7501–7507) and revised OMB Circular A–133, “Audits of States, Local Governments, and Non-Profit Organizations.” Recipients and sub-recipients must use an independent, non-Federal auditor or audit organization which meets the general standards specified in generally accepted government auditing standards (GAGAS) to fulfill these requirements.

G.

Foreign Government Delegations to International Conferences (Apr 2011)

Funds provided under the award may not be used to finance the travel, per diem, hotel expenses, meals, conference fees, or other conference costs for any member of a foreign government’s delegation to an international conference sponsored by a public international organization, unless approved by the Agreement Officer.

F. Applicable Regulations & References

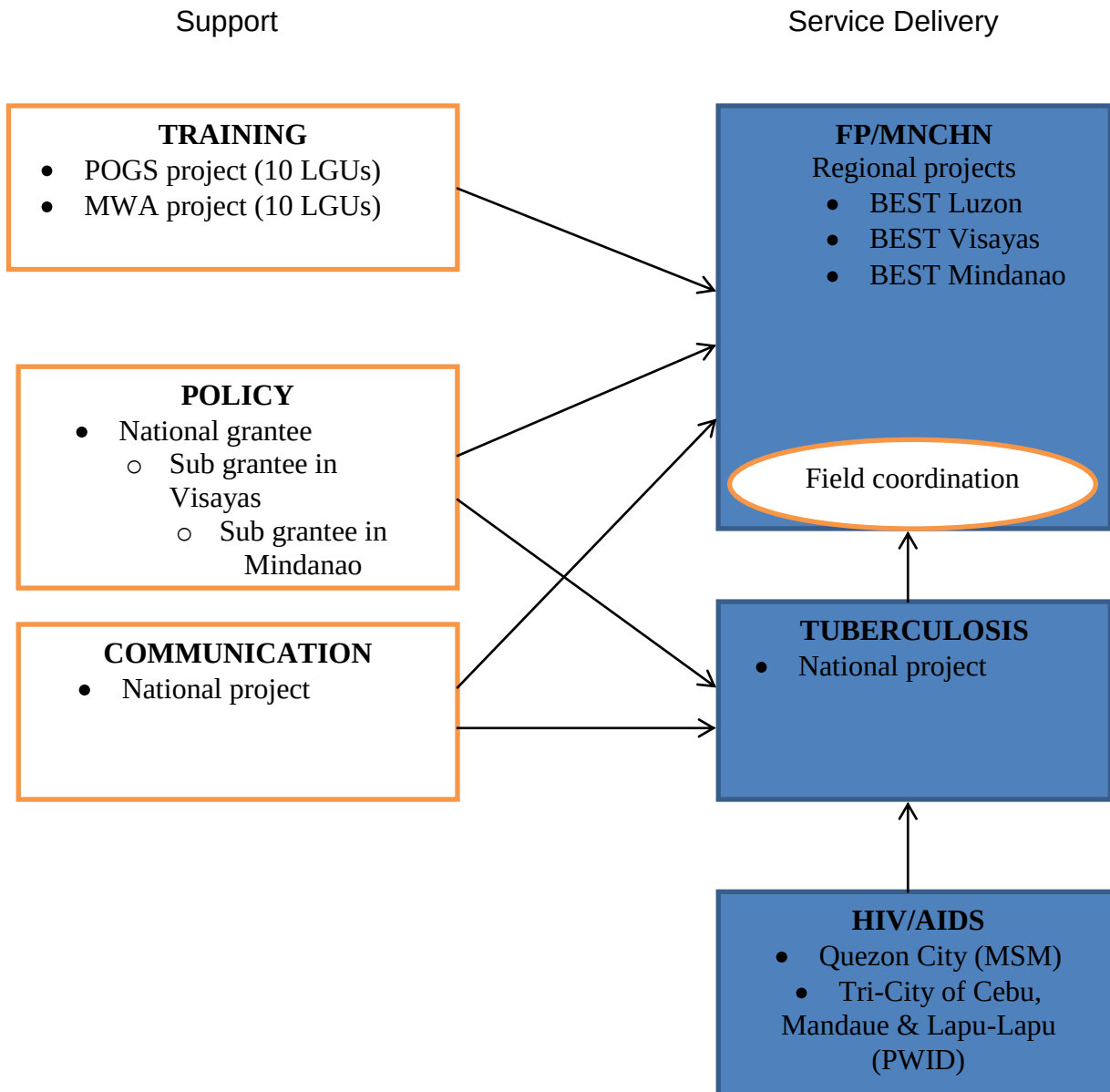
- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non-U.S. Nongovernmental Recipients:
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- 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/>
- Governing Regulations, Standard Provisions and Required Certifications to be Submitted
www.usaid.gov/policy/ads/300/303.pdf
- SF-424 Downloads and SF-425 Downloads
<http://apply07.grants.gov/apply/FormLinks?family=15>

http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf and
http://www.whitehouse.gov/sites/default/files/omb/grants/standard_forms/SF-425_instructions.pdf

[END SECTION VIII]

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Annex A – Illustrative Diagram of USAID/Philippines Projects



Certifications, Assurances, and Other Statements of the Recipient

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

Part I – Certifications and Assurances

1. Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs

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. 06/23/2011 Partial Revision

(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:

(a) 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.

(b) 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.

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

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

Statement for Loan Guarantees and Loan Insurance

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

3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

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

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

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

a. 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.

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

1. 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 is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

2. 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, Usama 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>.

3. 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.

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

c. For purposes of this Certification-

1. "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."

2. "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.

3. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.

4. 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.

5. 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

Applicability: All RFA's must include the enclosed Survey on Ensuring Equal Opportunity for Applicants as an attachment to the RFA package. Applicants under unsolicited applications are also to be provided the survey. (While inclusion of the survey by Agreement Officers in RFA packages is required, the applicant's completion of the survey is voluntary, and must not be a requirement of the RFA. The absence of a completed survey in an application may not be a basis upon which the application is determined incomplete or non-responsive. Applicants who volunteer to complete and submit the survey under a competitive or non-competitive action are instructed within the text of the survey to submit it as part of the application process.)

[THIS SPACE LEFT BLANK INTENTIONALLY]

Survey on Ensuring Equal Opportunity for Applicants

Survey on Ensuring Equal Opportunity for Applicants

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: The Federal government is committed to ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. In order for us to better understand the population of applicants for Federal funds, we are asking nonprofit private organizations (not including private universities) to fill out this survey.

Upon receipt, the survey will be separated from the application. Information provided on the survey will not be considered in any way in making funding decisions and will not be included in the Federal grants database. While your help in this data collection process is greatly appreciated, completion of this survey is voluntary.

Instructions for Submitting the Survey: If you are applying using a hard copy application, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it along with your application package. If you are applying electronically, please submit this survey along with your application.

Applicant's (Organization) Name: _____

Applicant's DUNS Number: _____

Grant Name: _____ CFDA Number: _____

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have? *(Check only one box).*

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget?
(Check only one box.)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

Part V – Other Statements of Recipient

1. Authorized Individuals

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

Name Title Telephone No. Facsimile No.

2. Taxpayer Identification Number (TIN)

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

TIN: _____

*3. Data Universal Numbering System (DUNS) Number

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

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

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

*(c) Recipients located outside the United States may e-mail Dun and Bradstreet at globalinfo@dbisma.com to obtain the location and phone number of the local Dun and Bradstreet Information Services office.

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

DUNS: _____

4. Letter of Credit (LOC) Number

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

LOC: _____

5. Procurement Information

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

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

\$ _____

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

TYPE/DESCRIPTION (Generic) _____

QUANTITY _____

ESTIMATED UNIT COST _____

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

TYPE/DESCRIPTION _____

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 local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

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

8. Estimated Costs of Communications Products

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

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