

**STRENGTHENING PARTNERSHIPS, RESULTS AND INNOVATIONS IN
NUTRITION GLOBALLY (SPRING)**

REQUEST FOR APPLICATION (RFA)

RFA NUMBER: RFA-OAA-11-000008

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April 21, 2011

Questions Due Date: Thursday, April 28, 2011 5:00 pm Eastern Standard Time
Closing Date: Thursday, May 26, 2011
Closing Time: 11:00 a.m. Eastern Standard Time
Subject: Request for Application (RFA) # RFA-OAA-11-000008

Dear Prospective Applicant:

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

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

USAID expects the level of funding to support the Cooperative Agreement issued under this RFA will total \$200 million over the 5-year implementation period (2011 – 2016). A cost share minimum amount of 5% of the cooperative agreement is required by the Prime and/or its Sub-recipients under this RFA .

For the purposes of this RFA, the term "Recipient" refers to the prime recipient of the award, "Sub-recipient" or "Partner" refer to any sub-awardee or partner listed by the applicant as a partner or sub-awardee in the application, "Grant" refers to grants awarded by the recipient and "Grantee" refers to organizations awarded such grants.

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

This RFA and any future amendments can be downloaded from <http://www.grants.gov> . Prospective Applicants that are unable to retrieve the RFA from the Internet can request a hard copy or an electronic copy of the RFA by contacting Shanon Krause by email at skrause@usaid.gov or Alternative Point of Contact, Patricia Bradley at pbradley@usaid.gov

DUE DATE: Applications shall be received no later than Thursday, May 26 at 11:00 AM EST. Applications submitted via fax or email will not be accepted. Applicants should retain a copy of their application and accompanying enclosures for their records.

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

QUESTIONS: Prospective Applicants who have questions concerning the contents of this RFA shall submit them in writing no later than close of business Thursday April 28, 2011 5:00pm eastern standard time to **Shanon Krause** by email at skrause@usaid.gov and **Patricia Bradley** at pbradley@usaid.gov

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

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

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

Sincerely,



Bruce Baltas
Agreement Officer

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ABBREVIATIONS AND ACRONYMS USED IN THIS RFA

ADS	Automated Directives System
AOTR	Agreement Officer Technical Representative
A2Z	A2Z Micronutrient and Child Blindness Project
BCC	Behavior Change Communication
BEST	Best Practices at Scale in the Home, Communities and Facilities
CGIAR	Consultative Group of International Agricultural Research Institutes
CMAM	Community Management of Acute Malnutrition
CRSP	Collaborative Research Support Project
DFID	UK Department for International Development
DUNS	Data Universal Numbering System
EGAT	Bureau for Economic Growth, Agriculture and Trade (USAID)
EMMP	Environmental Mitigation and Monitoring Plan
EST	Eastern Standard Time
FANTA-2	Food and Nutrition Technical Assistance Project-2
FAR	Federal Acquisition Regulation
FFP	Office of Food for Peace (USAID)
FTF	Feed the Future
GAIN	Global Alliance for Improved Nutrition
GAM	Global Acute Malnutrition
GH	Global Health Bureau (USAID)
GHI	Global Health Initiative
HIDN	Office of Health, Infectious Disease and Nutrition (USAID)
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
IFPRI	International Food Policy Research Institute
IR	Intermediate Result
IYCN	Infant and Young Child Nutrition
LOE	Level of effort
MCH	Maternal and Child Health
MCHIP	Maternal and Child Health Integrated Program
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
M&M	Mitigation and Monitoring plan
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Agreement
NTD	Neglected Tropical Diseases
NUT	Nutrition Division of GH/HIDN (USAID)
OAA	Office of Acquisition and Assistance
OHA	Office of HIV/AIDS
NGO	Nongovernmental Organization
NTD	Neglected Tropical Disease
PEPFAR	President's Emergency Plan for HIV/AIDS Relief
PLHIV	Persons Living with HIV
PMTCT	Prevention of Mother-to-Child Transmission of HIV/AIDS
PVO	Private Voluntary Organization

RFA	Request for Application
SBCC	Social Behavior Change and Communication
SCN	Standing Committee on Nutrition (United Nations)
SUN	Scaling up Nutrition: A Framework for Action
SPRING	Strengthening Partnerships, Results, and Innovations in Nutrition Globally
TB	Tuberculosis
TEC	Technical Evaluation Committee
TRAaction	Translating Research into Action
USG	United States Government
USAID	United States Agency for International Development
WASH	Water and Sanitation Health Project

SECTION I. PROGRAM DESCRIPTION

A. Introduction

In support of the USG's increased commitment to nutrition and food security, as demonstrated by the Global Health Initiative (GHI) and Feed the Future (FTF), the United States Agency for International Development (USAID) seeks to award a five-year, \$200 million Cooperative Agreement named *Strengthening Partnerships, Results and Innovation in Nutrition Globally (SPRING)*. This activity will support USAID in promoting appropriate policies and programs that enhance country nutrition programs to reach vulnerable populations, especially women, infants, and young children. The award is expected to: provide technical assistance to accelerate action on nutrition policies, build the capacity of countries to design, implement and evaluate nutrition programs, build the evidence-base for nutrition, promote effective delivery of a core package of nutrition interventions, and emphasize country-specific approaches to scale up nutrition programs. It is also anticipated that SPRING will facilitate partner coordination and collaboration in countries with other USG activities and with national stakeholders.

The authorizing legislation for this Cooperative Agreement is the Foreign Assistance Act of 1961, as Amended, and the award is subject to 22 CFR 226 – Administration of Assistance Awards to U.S. Non-Governmental Organizations. The following are applicable for the administration of this award: 22 CFR 226, OMB Circulars and the Standard Provisions for U.S. Non-governmental Recipients.

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

B. Background

B.1 USAID Nutrition Strategic Approach

The USAID Nutrition Strategic Approach is embodied in two initiatives: Feed the Future (FTF) and the Global Health Initiative (GHI), which intersect around the nutritional wellbeing of populations, particularly women and children. Nutrition programs are integrated in both initiatives in ways that reflect the context-specific determinants of undernutrition, a country-led process and plan, and a whole-of-USG approach.

Nutrition is a high level objective of FTF due to the relationships between poverty, agriculture, and nutrition.

1. Good nutrition in early childhood is essential to capitalize full physical and intellectual potential. Chronic undernutrition leads to negative impacts on intellectual capacity, educational attainment, and productivity sometimes over generations. Improving nutrition is one of the key drivers of economic growth and poverty reduction.
2. Undernutrition costs some countries up to 3% of their gross domestic product (GDP) every year.

3. Economic growth in itself is not sufficient to achieve reductions in undernutrition. Programs to reduce undernutrition require a combination of approaches in nutrition-sensitive development, such as market-based solutions and agriculture sector strengthening, and direct nutrition investments to prevent and treat undernutrition. Harnessing the power of poverty reduction strategies and maximizing synergies in the economic growth section will build substantial progress toward the targets of Millennium Development Goal 1 (MDG 1).

Just as nutrition is critical to household poverty reduction and country's overall economic growth, it is essential to health. Therefore, improving undernutrition is also a key outcome of GHI.

1. Every year, undernutrition contributes to more under-five child deaths—3.5 million—than any disease.
2. Undernutrition increases susceptibility to infectious diseases, hastens their progression, and worsens adherence to treatment—particularly in the case of HIV/AIDS.

USAID's strategic approach to nutrition is consolidated around the global evidence based for nutrition, exemplified by a core package of interventions and programs delivered through a multisectoral approach. USAID's approach is aligned with the Scaling Up Nutrition (SUN) movement and aims to maximize the impact of comprehensive nutrition programming by:

- Implementing a multi-sectoral approach to harnesses synergies of health, social protection, and agriculture
- Promoting nutrition-sensitive agriculture and economic growth programs
- Strengthening national and local capacity to deliver local solutions tailored to the country-specific context
- Improving the delivery of nutrition services through strong health systems
- Building on and strengthening existing platforms, such as scalable country programs, community-based platforms, and monitoring and evaluation systems and tools like Demographic and Health Surveys
- Scaling up proven interventions through innovative approaches that translate research to use
- Implementing a learning agenda that adopts a “learn-by-doing” approach and disseminating lessons learned
- Increasing collaboration and alignment with SUN partners, including country governments, other donors, UN agencies, civil society, and private sector partners

B.2 Problem Areas and Risk Factors

Nearly 200 million children suffer from undernutrition, and one in three women of reproductive age is anemic. Undernutrition contributes to 35 percent of the burden of under-five child mortality and to 20 percent of the burden of maternal mortality.¹ Undernutrition robs the developing world of critical human capital and capacity and undermines other development

¹ Black RE, et al. Maternal and child undernutrition: global and regional exposures and health consequences. *Lancet* 2008; 371: 243-60.

² World Bank. 2006. *Repositioning Nutrition as Central to Development*. Washington, DC. The International Bank for Reconstruction and Development. The World Bank

investments in health, education, and economic growth. Poor nutrition perpetuates the cycle of poverty and hunger by leading to poor health, lower levels of educational attainment, and reduced productivity and lifetime earnings. This impact can carry on across generations.

Many Asian countries have made substantial progress in reducing undernutrition, but problems persist in India, Bangladesh, Cambodia, and Nepal, where undernutrition prevalence plagues about half of all children. In Sub-Saharan Africa, the number of underweight children has almost doubled since 1980 and is forecast to be 25 percent higher in 2015 than in 1990 due to population growth, stagnant agriculture production, and escalating or volatile food prices. Globally, the rural poor are twice as likely to suffer from undernutrition as their urban counterparts.

Micronutrient deficiencies affect over 2 billion people worldwide with adverse effects that include premature death, poor health, blindness, growth stunting, reduced cognitive development, and low productive capacity. Vitamin A, iron, iodine, zinc, and folate are the key known micronutrients of public health significance. The long term goal is that dietary adequacy will be achieved, and micronutrients will be consumed through a good diet which may include the consumption of fortified foods.

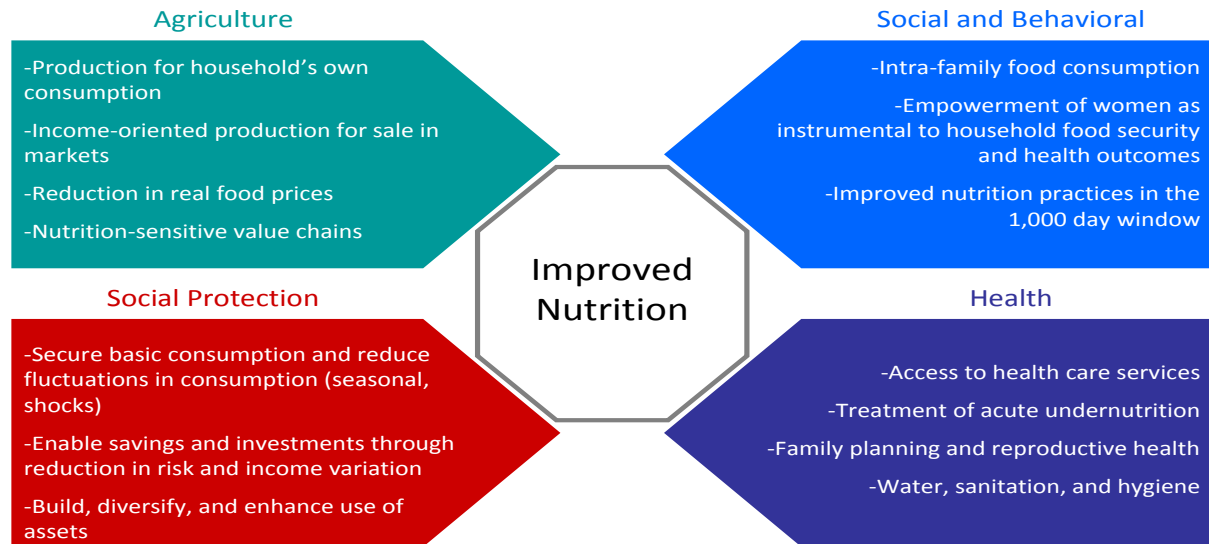
Countries with the highest burdens of undernutrition and vulnerability to food price volatility are the ones most often lacking the necessary human capacity to improve their situation. National governments typically have limited staff with the requisite training and experience to foster a policy environment supportive of nutrition programming. At the district and community level, lack of staff capacity is a major barrier to successful nutrition program implementation and monitoring. Trained staff at all levels, quality supervision, functional surveillance systems, adequate referral mechanisms, and community knowledge are all necessary in order to improve nutrition and sustain these gains over time. This local and national capacity is required to build community resilience and mitigate the effects of shocks such as food price increases, climate change, or conflict.

National nutrition policies generally are underutilized or weak because they embrace broad goals without setting specific strategies, targets, interventions or responsible parties. Consensus is needed on prioritization of interventions. Policies seldom make use of existing knowledge of cost benefit relationships among competing interventions or consider long term financing concerns. Most nutrition policies are neither linked to investment plans and budgets nor to a monitoring and evaluation process that will inform policy makers.²

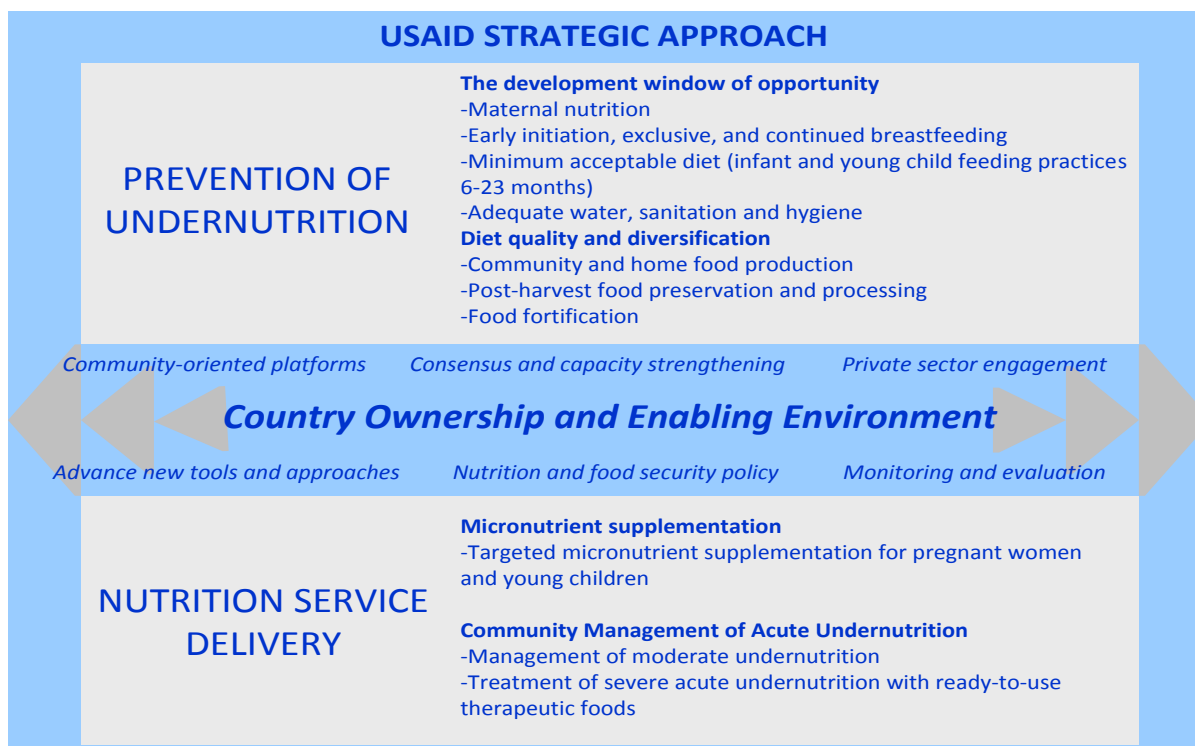
B.3 Interventions to Address Problem Areas

² World Bank. 2006. *Repositioning Nutrition as Central to Development*. Washington, DC. The International Bank for Reconstruction and Development. The World Bank

The multiple dimensions and causes of malnutrition require smart integration and a comprehensive approach to improving nutrition through multiple pathways, including agriculture, social and behavioral issues, health, and social protection.



Long term solutions to undernutrition come from comprehensive and cross-sectoral approaches that address the underlying determinants of nutritional status, including inequity, poverty, agriculture, policy environment, health care, maternal and child care practices, girls' education, and gender equity. Addressing inequity especially as it affects women is an important consideration in any long-term approach.



1. Country Ownership and Enabling Environment: *Galvanizing government and community commitment and capacity to address nutrition*

High-level commitment, including financial and political resources to nutrition at the national and local levels, is a vital ingredient in improving nutrition. Sustaining this commitment requires supportive nutrition institutions, trained staff at all levels, sound nutrition policies, interministerial collaboration, and effective policy implementation, monitoring, and evaluation. Country ownership is not limited to governments alone: private sector alliances, civil society partnerships, and community ownership can act as catalysts and are necessary to maintain momentum on improving nutrition.

2. Prevention of Undernutrition: *Scaling up programs that implement evidence-based interventions that prevent undernutrition*

Pregnancy and the first two years of life (the ‘1,000 days’) are the critical window of opportunity for improving survival, educational, and productivity outcomes. Improving nutrition during this timeframe has the maximum benefit to health, education, productivity, and poverty outcomes. The 2008 Lancet Series on maternal and child undernutrition describes the most cost-effective preventive nutrition interventions along the “1,000 days” continuum, including: maternal nutrition; early and exclusive breastfeeding through six months; use of appropriate, diverse foods beginning at six months of age; micronutrient supplementation; and improved hygiene and sanitation. These interventions can be effectively promoted through community-based social and behavior change communication (SBCC) that empowers communities—and especially women—

with increased knowledge, access to assets, and protective measures. Successful SBCC efforts are tailored to community contexts and harmonized with national nutrition strategies and guidelines.

In resource poor settings, low quality, monotonous diets are the norm. Poor diet quality and diversification means that populations suffer from high levels of macronutrient and micronutrient deficiencies, particularly women and children. Reducing poverty, improving agriculture-led growth, and reducing undernutrition are synergistic, yet each requires a concerted effort.

Integrating nutrition into agriculture-focused programs can be achieved through the following:

- Increasing community and household production of staples and quality foods like fruits, green and yellow vegetables, and animal source foods
- Ensuring equity by targeting programs to support enabling environment including both empowering women and men, so that new food production and processing skills, access to inputs and services, and increases in income translate into improved health and well-being of themselves and their children
- Maximizing the use of food produced through improved post-harvest techniques including food preservation and processing techniques
- Providing technical assistance to the design and implementation of food fortification programs, either at national or local scale
- Incorporating nutrition outreach and behavior change activities to ensure both increases in household production and income lead to the purchase and consumption of diverse foods and appropriate feeding of infants and young children
- Ensure analyses of agriculture and food security policies and programs includes their effect on nutritional status of mothers and children

3. Nutrition Service Delivery: *Strengthening country systems to effectively deliver nutrition services to communities*

In some communities, preventing undernutrition through food-based approaches and SBCC is not always enough. Where necessary, prevention programs should be accompanied by nutrition service delivery through strong systems. These services include: vitamin A supplementation for children 6-59 months, iron folic acid supplementation for pregnant women and children as part of anemia reduction packages (that include malaria prevention and treatment and deworming), or other micronutrients or macronutrients. These services should be delivered based on sound analyses of existing deficiencies, targeted appropriately, and incorporated into existing community platforms.

The community-based approach for the management of acute malnutrition (CMAM) involves timely detection and referral of cases with wasting in the community, outpatient treatment of those without medical complications, and inpatient treatment of those without appetite or with medical complications. It provides services that are closer to and less disruptive for communities and families by making services available at decentralized treatment points and through community outreach and mobilization. A comprehensive CMAM program also involves improving the capacity of facilities as well as communities to ensure that referrals of the most serious cases are handled effectively. CMAM is a vital ingredient in nutrition service delivery, and should be explicitly linked to community-based prevention of undernutrition programs.

C. USAID Context for SPRING

C.1 Related USAID Food and Nutrition Activities

SPRING builds upon more than 30 years of USAID investments in the nutrition field. Current USAID projects and activities that emphasize nutrition as a central component include:

A2Z Micronutrient and Child Blindness Program (A2Z)

A2Z's overall goal is to increase the use of key micronutrient and blindness interventions to improve child and maternal health. A2Z does this by elevating micronutrients on the global health agenda, strengthening policies and programs, and sharing lessons learned about the most cost-effective technologies and delivery systems for alleviating micronutrient deficiencies. A2Z takes a comprehensive approach to micronutrient deficiency reduction, targeting not only improved supply and delivery of micronutrients but also generating consumer demand and taking proven interventions to scale.

Food and Nutrition Technical Assistance Project 2 (FANTA-2)

FANTA-2 provides technical support to USAID and its food aid partners, including host country governments, international organizations and NGO implementing partners, to improve nutrition and food security policies, strategies and programs. Focus areas for technical assistance include maternal and child health and nutrition, HIV and other infectious diseases, food security and livelihood strengthening, and emergency and reconstruction. FANTA-2 develops and adapts approaches to support the design and quality implementation of field programs while building on field experience to improve and expand the evidence base, methods and global standards for nutrition and food security programming.

Infant and Young Child Nutrition Project (IYCN)

IYCN's goal is to identify, scale up, and institutionalize cost-effective interventions to improve the nutritional status of mothers, infants, and young children under two years of age, as well as to promote HIV-free survival for infants and young children. To achieve these goals, IYCN offers technical assistance to countries to conduct needs assessments, enhance national nutrition policies and guidelines, build the capacity of health workers in facilities and communities, develop behavior change communication and social mobilization strategies, and strengthen monitoring and evaluation tools and indicators.

Nutrition Collaborative Research Support Program (Nutrition CRSP)

The Nutrition CRSP is a USAID project focused on developing a coordinated, multi-disciplinary research program that is cooperatively implemented between U.S. and host country institutions and scientists. The Nutrition CRSP supports a research agenda to determine what kinds of investments in agriculture-based strategies, human and institutional capacity, agricultural and food system policies, and human health and nutrition can be used to achieve: 1) large scale and sustainable improvements in nutrition outcomes in children less than two years of age and vulnerable adults, especially pregnant women; 2) significant and sustained increases in the number of households with improved dietary quality and diversity and improved infant and young child feeding practices; 3) improved national nutrition policies and community capacities

to combat malnutrition, and 4) new tools to improve nutrition. The Nutrition CRSP also investigates effective ways of translating research results into widespread development practice.

Maternal and Child Health Integrated Program (MCHIP)

MCHIP is the USAID Bureau for Global Health's flagship maternal, neonatal and child health program, which focuses on reducing maternal, neonatal and child mortality and accelerating progress toward achieving MDGs 4 and 5. MCHIP supports USAID's maternal and child health approach by addressing the barriers to accessing and using focused, evidence-based interventions along the MNCH continuum of care from pre-pregnancy to age five, and by linking communities, first-level facilities, and hospitals. MCHIP's nutrition work is focused on maternal anemia.

Global Alliance for Improved Nutrition (GAIN)

GAIN catalyzes public-private partnerships and provides financial and technical support to deliver nutritious foods to people most at risk of undernutrition. GAIN currently receives support from multiple public and private sector donors, including USAID. GAIN works in more than 25 countries with support to programs that reach almost 275 million people with fortified food and condiments through market-based delivery systems. GAIN unites food producers and supports private sector-led strategies and alliances to improve undernutrition.

HarvestPlus (CGIAR-IFPRI)

Biofortification uses plant breeding approaches to improve the nutrition content of specific food crops. USAID supports the HarvestPlus Challenge Program to conduct research on and disseminate new plant varieties that are biofortified with key micronutrients.

C.2 Policy Context

The Millennium Development Goals (MDGs)

The Millennium Development Goals (MDGs)³ are a major influence on the policies and priorities of USAID. The goals – designed to be met by 2015 – include a goal to eradicate extreme poverty and hunger. The nutrition-related target for this goal (MDG 1c) is to reduce by half the prevalence of underweight children under-five years of age and the proportion of the population below minimum level of dietary energy consumption. In addition to MDG1, SPRING will support several other MDGs, including Goal 3 to promote gender equality and empower women, Goal 4 to reduce child mortality, Goal 5 to improve maternal health, and Goal 8 to develop a global partnership for development.

The Scaling-Up Nutrition (SUN) Movement

The SUN movement is a multi-stakeholder global effort to improve nutrition. The SUN framework has been endorsed by more than 100 entities from national governments, the United Nations system, civil society organizations, development agencies, academia, philanthropic bodies, and the private sector. SUN encourages a focus on nutrition within development programs and identifies investments that have been shown to work if implemented within the context of nutrition-focused development policies. The 1,000 days effort is intended to catalyze

³ Millennium Development Goals, United Nations homepage, available at: <http://www.un.org/millenniumgoals/>.

action on SUN in countries that express a commitment to scale up nutrition. SPRING will be one of USAID's key programs contributing to the country-driven, multilateral SUN movement.

C.3 Relation to other USAID Health Activities

Many USAID health focus areas or elements have integrated nutrition components into their programming in order to create synergies and maximize impacts.

Newborn and Child Health

The Essential Nutrition Actions (ENA) strategy promotes six priority interventions: immediate and exclusive breastfeeding for six months; appropriate complementary feeding from the age of six months through two years, with continued breastfeeding; nutritional care of sick children, including feeding during illness; recuperative feeding; care of severely malnourished children; and adequate intake of vitamin A, iron, and iodine. The contact points for ENA are predominantly in the health system, and are strongly linked to efforts to improve maternal, newborn, and child health overall.

HIV/AIDS

Linkages between food, nutrition, and HIV are critical for a comprehensive response to the HIV/AIDS pandemic. USAID supports nutritional care and support for persons with HIV. It has produced guidance for nutritional care and support interventions, the nutritional requirements of persons with HIV, and food and nutrition complications of antiretroviral therapy. As a part of this approach USAID is implementing a Nutrition Assessment, Counseling and Care approach or Food by Prescription program in several countries. USAID also provides supportive services, including food and nutrition services, to Orphans and Vulnerable Children (OVC). USAID ensures that appropriate policy and program guidance are in place to ensure safe replacement feeding in programs for prevention of mother-to-child transmission (PMTCT).

Malaria

USAID's Malaria program supports five key areas, two of which—Insecticide-Treated Nets (ITN) and Malaria in Pregnancy—have been shown to be highly effective in improving nutrition and reducing the prevalence of child anemia⁴. A significant portion of child deaths attributed to malaria are linked to undernutrition through low bodyweight and deficiencies in micronutrients such as Vitamin A, zinc, iron, and folic acid. Malaria programs have begun to link Malaria programming to nutritional activities. Several countries have begun implementing integrated distribution campaigns where, in addition to distributing nets, community health workers vaccinate, treat for soil-transmitted helminthes, provide Vitamin A supplements, and link to other nutrition activities.

Tuberculosis

USAID recognizes the connection between undernutrition, poverty, and Tuberculosis. Strong evidence shows that undernutrition is associated with reduced immune function and hastens the progression to active Tuberculosis. Active TB has been shown to increase a patient's energy

⁴ http://www.pmi.gov/resources/reports/pmi_annual_report10.pdf

expenditure, as well as cause micronutrient deficiencies, including vitamins A, D, and iron. USAID is supporting operations research to assess the social, economic, and behavior determinants related to issues such as stigma and poor nutritional status and their impact on the management and delivery of Tuberculosis interventions.

Neglected Tropical Diseases

Overwhelming evidence shows the negative impact of Neglected Tropical Diseases (NTD), specifically soil-transmitted helminthes, on nutrition. It is important to link Neglected Tropical Disease interventions to nutrition programs. Examples of this linkage include combining education on improved nutrition with education on NTDs as well as linking NTD treatment campaigns to nutritional supplement distribution and undernutrition surveillance.

Water and Sanitation

The goal of the Environmental Health portfolio is to reduce under-five mortality and morbidity associated with infectious diseases by reducing exposure to agents of disease and hazards that exacerbate disease. Water and sanitation activities focus on improvements in key behaviors and environmental conditions. Including messages on food and hand hygiene enhances utilization of food and nutrients and impacts nutritional status.

Family Planning

Studies have demonstrated that the length of the preceding birth interval can critically impact the survival chances of a child through the neonatal, infant and under five years period of life. Furthermore, closely spaced births can negatively affect birth weight and the risk of being chronically malnutrition⁵. Within GHI, the *BEST* process⁶ promotes smart integration between family planning, maternal and child health, and nutrition to increase the availability of key services, cost-savings, and sustainability. This means integration should occur where it makes sense technically, financially, and culturally.

D. SPRING: Results Framework

The project objective and intermediate results of SPRING, in addition to recommended project level of effort (LOE), are summarized below:

Project Objective: *Policies and programs to scale up effective nutrition services improved*

Intermediate Results (IRs):

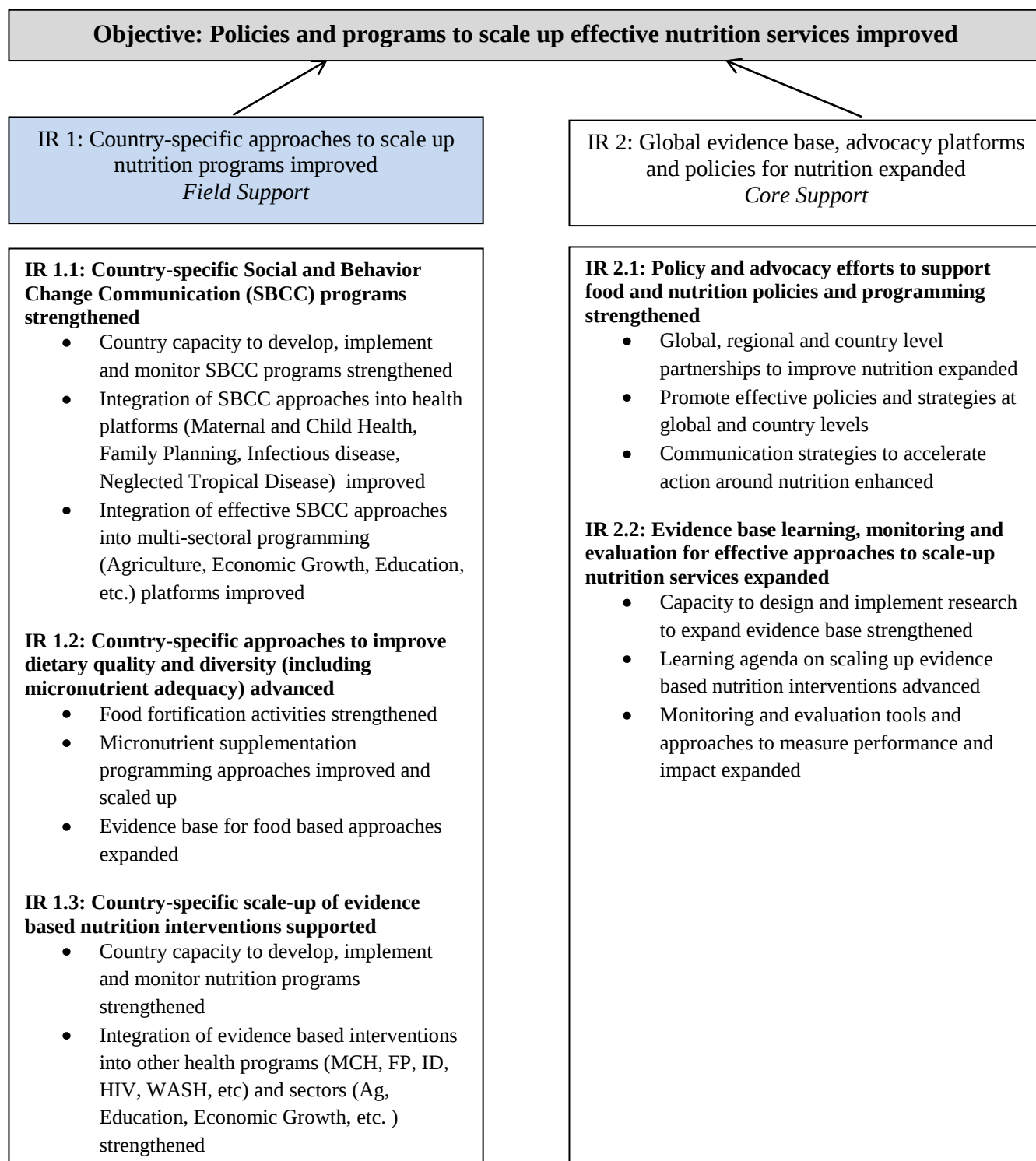
IR 1: Country-specific approaches to scale up nutrition programs improved. (LOE 60%)

IR 2: Global evidence base, advocacy platforms and policies for nutrition expanded. (LOE 40%)

⁵ Rutstein, S. Further Evidence of the Effects of Preceding Birth Intervals on Neonatal, Infant, and Under-Fives Mortality and Nutritional Status in Developing Countries: Evidence from Demographic and Health Surveys. *DHS Working Papers*. September 2008

⁶ BEST Best Practices at Scale in the Home, Community and Facilities: An action plan for smart integrated programming in family planning, maternal and child health, and nutrition under the Global Health Initiative

Figure 1: SPRING Results Framework



The SPRING objective is ‘Policies and programs to scale up effective nutrition services improved.’ As such, SPRING is expected to provide both country-level assistance and global technical leadership to support scale-up of country-specific nutrition programs and to advance the global evidence-base, advocacy platforms, and policies for nutrition. To achieve the overall objective, it is anticipated SPRING will coordinate activities across IRs and complement efforts of other USAID partners that implement food, health, and nutrition programs. SPRING should build upon the recent momentum for nutrition at a country level by providing complementary assistance to country programs. SPRING is expected to capitalize on global movements such as SUN and translate these efforts to the country level.

IR 1: Country-specific approaches to scale-up nutrition programs improved

While SPRING should draw upon the global evidence base of best practices and ‘what works’ in nutrition, it is expected to support programs that address the specific nutrition needs and priorities of countries. Aligning with the principles of GHI, FTF, and the SUN framework for action, SPRING is expected to facilitate country efforts to scale up evidence-based cost-effective interventions to prevent and treat undernutrition, with highest priority on the 1,000 days. This includes strengthening local capacity to develop, implement, and monitor social and behavior change communication programs adapted to country contexts and realities. In addition, SPRING is expected to advance approaches to improve dietary quality and diversity, including micronutrient adequacy. These efforts will build upon USAID’s previous investments in micronutrient supplementation and food fortification. Overall, SPRING also presents an opportunity to increase the availability and use of proven nutrition interventions to reduce mortality, morbidity, and food insecurity. Achieving substantial reductions in these areas will require improved program monitoring and integration of nutrition interventions in health and other sector programming.

IR 1.1: Country-specific Social and Behavior Change Communication (SBCC) programs strengthened

Food consumption and care practices are directly affected by individual behaviors as well as social norms and relationships. Therefore, achieving significant improvements in nutrition requires a concentrated effort on providing an enabling environment to achieve positive changes in behavior and society overall. SBCC approaches should be specific to the context and promote the key evidence-based interventions including improving maternal nutrition, appropriate infant and young child nutritional practices such as exclusive breastfeeding of infants under six months, age-appropriate quantity and diverse foods, appropriate care of sick children, and promotion and use of adequate water, sanitation, and hygiene practices.

SPRING is expected to work with host country governments, USG programs, and partners to implement SBCC activities, including development of communication strategies based on formative research, social mobilization, social marketing, incentive-based behavior change, community participation and empowerment. As needed and based on country priorities, SPRING should contribute to the integration of SBCC approaches in health platforms such as MCH and infectious diseases, and multi-sectoral programs such as agriculture and education.

SPRING could assist local stakeholders to assess critical behavioral determinants to serve as obstacles or enablers to improving nutrition-related practices or targeted populations. SPRING may be requested to assist countries in the development, implementation, monitoring and evaluation of behavior change strategies and programs that motivate and facilitate improved behaviors.

IR 1.2: Country-specific approaches to improve dietary quality and diversity (including micronutrient adequacy) advanced

SPRING is expected to collaborate with host country government and partners to collectively determine priorities and appropriate approaches for scaling-up efforts to improve dietary quality and diversity. Improving diet quality is an important point of convergence between nutrition, health, and agriculture programs, as communities may benefit from a fuller understanding about the nutritional benefits of different dietary, consumption, and hygiene practices. The activities under this IR should be closely linked to IR 1.1.

Depending on country context, SPRING could play a key role in developing and expanding approaches for increasing community and household production of staples and quality foods like fruits, vegetables, and animal sources through local food production in homes, communities, and/or schools. SPRING may be expected to work with governments and private sector partners to improve food fortification policies and to facilitate increased access to fortified foods in the most vulnerable areas.

SPRING may be requested to provide technical assistance to development partners to build and/or document evidence of food-based interventions for nutrition impact. Activities may also include demand creation to promote consumption of nutritious foods such as biofortified crops, fortified staple foods, or specialized food products for pregnant women and young children.

IR 1.3: Country-specific scale up of evidence based nutrition interventions supported

It is anticipated that SPRING will provide technical assistance to countries to develop, introduce, and scale-up approaches for integrating nutrition programs into both health and non-health areas. This may include nutrition and HIV/AIDS, maternal and child health, infectious diseases, water/sanitation/hygiene, social protection, economic growth, education, agriculture and social protection. In keeping with the principles of GHI, SPRING may identify appropriate opportunities for integration to improve nutrition impact and outcomes, to increase programmatic synergy and efficiency, and to achieve scale. As such, it is expected that SPRING will engage with country governments at a policy level to support integration of nutrition into multisectoral policies including health, agriculture, disaster management, and others. At the request of relevant government ministries, SPRING may provide assistance related to the implementation of these policies, including but not limited to building capacity of nutrition worker cadres from the health, agriculture, or other sectors; analyzing cost-effectiveness; supporting effective monitoring and evaluation systems for nutrition; and sensitizing communities, regional government representatives, or national champions to the importance of policy and program integration and of sustaining commitment to improve nutrition.

Intermediate Result 2: Global evidence base, advocacy platforms and policies for nutrition expanded

SPRING is expected to support and build upon USAID's past investments and current global momentum for nutrition, such as the SUN global movement, by coordinating with public and private partners to engage in policy dialogue at multiple levels. Activities under SPRING should promote and disseminate information related to evidence-based practices and support monitoring and evaluation, rigorous impact evaluations, as well as formative and operations research for nutrition. In support of USAID gender goals and priorities, it is anticipated SPRING will integrate a gender perspective into advocacy, research, monitoring and evaluation activities.

IR 2.1: Policy and advocacy efforts to support food and nutrition policies and programming strengthened

SPRING will play a critical role in supporting USAID's participation in policy dialogue with other USG agencies, development partners, country governments, civil society, private sector partners, and others. SPRING's efforts will contribute substantially to the SUN movement, which draws on a sustained commitment from a broad range of stakeholders at local, national, regional and international levels. SPRING will support advocacy and community mobilization to accelerate action on food and nutrition policies. These activities may include, for example: developing and supporting partnerships with public and private sector partners; promoting the translation of policies into implementation and sustained commitment; and facilitating communication strategies to for advancing policies and programs to addressing nutrition.

IR 2.2: Evidence-based learning, monitoring and evaluation for effective approaches to scale-up nutrition services expanded

Although the 2008 Lancet series on maternal and child nutrition expanded the evidence-base for effective nutrition interventions, there is a continued need for a robust learning agenda and M&E for nutrition programming. This includes support for impact evaluations of country programs, and for refining guidelines and tools advancing cost-effective nutrition interventions. Given SPRING's emphasis on multisectoral action, it will be critical to address knowledge gaps regarding the impact of specific sectoral interventions such as agriculture-focused programs on nutritional status of women and children. SPRING will develop a shared learning agenda across sectors and partners will substantially contribute to the global evidence base on effective approaches for scaling-up nutrition.

SPRING is expected to support countries, USAID missions, and other partners to develop their capacity to effectively monitor and evaluation programs. Illustrative activities may include: documenting and disseminating effective food and nutrition programming approaches in a variety of settings and environments; evaluating, documenting, and disseminating the effectiveness of the integration of nutrition interventions across health and other sector programming; introducing and expanding tools to strengthen monitoring of nutrition programming in variety of settings; and developing or contributing to a robust learning agenda shared by multiple stakeholders.

E. Gender Consideration

Through all its work, USAID aims to integrate a gender perspective that identifies and addresses the differential impact of development on women and men. As a policy and as a goal in itself, USAID promotes gender equality, “in which both men and women have equal opportunity to benefit from and contribute to economic, social, cultural, and political development; enjoy socially valued resources and rewards; and realize their human rights.” (ADS 201.3.9.3) Ultimately, the goal of development programs is to achieve improved health outcomes and transform gender norms towards greater equality.⁷ Addressing gender is integral to both GHI and FTF approaches to improving nutrition.

The overall goal of SPRING is to support USAID in promoting appropriate policies and programs that support country-owned nutrition programs especially for women and children. While women and children are the primary targets, they are also part of a larger community that affects gender-based inequities. The new USAID evaluation policy stresses the importance of gender in monitoring and evaluation requirements. SPRING is expected to consider gender-based inequities during the design and implementation phase at all levels. A successful application will reflect a gender perspective throughout the application, and the treatment of gender will be considered in the evaluation of applications.

F. Geographic focus

SPRING will work at the global level and will direct its efforts primarily to GHI and FTF focus countries (see Annex A). It is envisioned that the selection of these countries will be decided post-award in conjunction with USAID. The level of effort and budget will be adjusted according to availability of funds, the nature of the activity and the needs and opportunities in each situation.

G. Project Monitoring and Evaluation

SPRING is expected to develop a Performance Monitoring Plan including indicators and targets for achieving the project’s objective and IRS, to the USAID Agreement Officer Technical Representative (AOTR) for review and approval. Through the annual work plan and progress reports, the Recipient will report on indicators and provide information that describes the expected results on an annual basis. The approach included in the overall plan should be consistent with USAID’s Evaluation Policy (refer to <http://www.usaid.gov/evaluation/>).

⁷ Deborah Caro for the IGWG, *A Manual for Integrating Gender Into Reproductive Health and HIV Programs: From Commitment to Action (2nd Edition)* (Washington, DC: PRB, 2009). http://www.igwg.org/igwg_media/manualintegrgendr09_eng.pdf.

I. Planning, Reporting, and Communications

I.1. Annual Work plan

The Recipient is required to prepare and submit an annual work plan and detailed estimated budget associated with that work plan on a schedule established by the AOTR following the award. This plan will identify the activities to be carried out in the coming year, associated level of effort, and funding sources to be used for that work. A first draft of the Year One work plan will be due within sixty (60) days of the award of the Cooperative Agreement. This work plan shall be reviewed and USAID written comments forwarded to the Recipient within one month of submission, and then finalized by the Recipient no later than two (2) weeks after Recipient's receipt of USAID's written comments. Annual work plans for Project Year two (2) to five (5) should be submitted to the AOTR for approval prior to the end of the previous Project Year.

I.2. Semi-Annual and Annual Status Reports

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

- Identify key problems or issues encountered, how they were or will be resolved, and, if/as required, recommended Mission-level intervention to facilitate their timely resolution;
- Include a brief summary of achievements during the concluding quarter towards planned targets; and
- Present succinct success stories and lessons learned for possible public dissemination.

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

I.3. Financial Reporting Requirements

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

I.4. Initial Environmental Examination (IEE)

Section 117 of the Foreign Assistance Act of 1961, as amended, requires that the impact of USAID's activities on the environment be considered and that USAID include environmental

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

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

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

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

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

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

I.5. Recipient/USAID Communications

Given the nature of SPRING, the need for regular ongoing communication between USAID and the Recipient is vital. Such communication may include face-to-face meetings at

USAID/Washington DC headquarters, face-to-face meetings at Recipient offices, conference calls, email exchanges, etc.

J. Authorized Geographic Code

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

[END SECTION I]

SECTION II. AWARD INFORMATION

A. Anticipated Award Schedule

It is anticipated that a five-year, cooperative agreement will be awarded by September 2011.

B. Estimate Funds Available and Type of Award

USAID intends to support a five-year cooperative agreement for assistance with nutrition programming. Applicants should assume the ceiling for the Cooperative Agreement of \$200 million over five years – 25% Global Health (GH) Core funds and 75% Field Support (FS). Pending the availability of funds, USAID expects to award one cooperative agreement as a result of this RFA.

C. USAID Management of the Activities

The Agreement Officer's Technical Representative (AOTR) will serve as the primary contact between USAID and the Recipient. The AOTR will assist in linking SPRING with other projects, USAID Mission bilateral projects, civil society, multilateral agencies, and other donors/foundations.

D. Substantial Involvement

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

1. Approval of the Recipient's annual work plans, including: planned activities for the following year, annual reports, international travel plans, planned expenditures, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement;
2. Approval of specified key personnel assigned to the positions listed below. All changes thereto must be submitted for the approval by the Agreement Officer Technical Representative.
 - Title: Project Director
 - Title: Deputy Project Director
 - Title: Nutrition Specialist
 - Title: Social and Behavior Change Specialist
 - Title: Strategic Information Specialist
3. USAID and Recipient collaboration or joint participation, which may include selection of advisory committee members;
4. Approval of sub-award Recipients, and concurrence on the substantive provisions of the sub-awards; and coordination with other cooperating agencies; and,

5. Approval of Monitoring and Evaluation Plan and other monitoring as described in 22 CFR 226.

[END SECTION II]

SECTION III. ELIGIBILITY INFORMATION

A. Eligibility Criteria

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

- a. Be a U.S. based institution, for-profit, non-profit or private voluntary organizations registered with USAID;
- b. Have experience and/or capacity to provide specialized technical assistance in nutrition and food security programming in USAID-assisted countries described in this RFA;
- c. Agree to work with and hire individuals who have the technical expertise to provide technical support to strengthen country specific nutrition and food security policies, strategies and programming;
- d. Have managerial, technical, and institutional capacities to achieve the results outlined in this RFA
- e. Have the capacity to collaborate with other organizations/groups in undertaking nutrition and food security programming across multiple areas such as maternal child health and nutrition, HIV, agriculture, and humanitarian assistance.

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

B. Cost Share

USAID has established a cost share minimum of **5% of the USAID-funded or obligated amount** projected up to the maximum ceiling (\$200 million) for the recipient of the award. Such funds may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. For guidance on cost sharing in grants and cooperative agreements, please see 22 CFR 226.23 at <http://ecfr.gpoaccess.gov> and search under Title 22 Foreign Relations.

[END SECTION III]

SECTION IV. APPLICATION AND SUBMISSION INFORMATION

A. Submission Instructions

The following are instructions to submit application:

1. RFA Closing Date and Time: Applications shall be submitted on or **before 11:00 a.m. EST on Thursday, May 26, 2011.**
2. Applicants must download application package from grants.gov to submit SF 424. A & B and Technical and Cost Application before closing date. Must be active and register on www.ccr.gov to submit via grants.gov.
3. The date and time application packages are received in the possession of the person designated below will be the determination for timeliness. Applications must be received by the RFA closing date and time by the person and the place designated for receipt of applications to be considered received in time.

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

(By Mail or Courier Service)

Shanon Krause
Agreement Specialist
USAID Office of Acquisition & Assistance
M/OAA/GH, Rm 569-B, SA-44
1300 Pennsylvania Ave., NW
Washington, D.C. 20523

(Hand Delivery)

USAID Office of Acquisition & Assistance
SA-44 Room 549-S
Federal Center Plaza
301 C Street, SW
Washington, D.C. 20024
Attention: Shanon Krause
202-567-5327
skrause@usaid.gov

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

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

Primary Contact:

Shanon Krause
202-567-5327
skrause@usaid.gov

Secondary Contact:

Patricia Bradley
202-567-5302
pbradley@usaid.gov

5. Questions shall be submitted in writing via email to the Point of Contact listed above, no later than Thursday, April 28, 2011 at 5:00pm Eastern Standard Time. Any questions submitted after this date will not be accepted. Question answers will be posted as an amendment to this RFA on www.grants.gov.
6. Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of applications.
7. An applicant's complete application consists of the [grants.gov](http://www.grants.gov) submission and receipt of hardcopies.

B. General Application Instructions

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

1. An application shall consist of a Technical application and a Cost application.
2. All information shall be presented in the English language and shall be formatted in either Microsoft Word 2010 or Microsoft Excel 2010 with all formulas unlocked.
3. Technical application:
 - a. Submit one (1) original hard copy, two (2) hard copies, and one (1) soft copy on a CD-Rom.
 - b. Shall be singled-spaced text, printed double-sided, minimum 12-point font, minimum one (1") margins on standard letter sized paper (8.5" x 11").
 - c. Shall not exceed **thirty (30) pages** excluding documents requested to be provided in an annex (e.g. resumes, references, etc.) and the following (if applicable): Cover page, dividers, acronym list and table of contents. Applications in excess of this limit will not be evaluated.
 - d. Supplementary materials such as full resumes of personnel, documentation of past institutional work, and relevant letters of support may be provided in annexes accompanying the technical application. There is no page limit for the annexes, although brevity is encouraged.

- e. Any graphs, charts, exhibits, tables, etc. contained in the body of the technical application shall be numbered and included in the 30 page limit.
- 4. Cost/business application:
 - a. Submit one (1) original hard copy, two (2) hard copies, and one (1) soft copy on a CD-Rom.
 - b. No limit on the number of pages for the cost/business application.
 - c. The application must be submitted using SF-424 and SF 424A “Application for Federal Assistance.” The form is downloadable on USAID’s website at: http://www.usaid.gov/procurement_bus_opp/procurement/forms/.
- 5. The original and all copies of the technical application shall be submitted in an envelope marked with the RFA number, the Applicant’s name, and the title “Technical Application”. No part of the cost/business application shall be included in this envelope.
- 6. The original and all copies of the cost/business application shall be submitted in an envelope marked with the RFA number, the Applicant’s name, and the title “Cost Application”. No part of the technical application shall be included in this envelope.
- 7. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the application(s) received.
- 8. Applicants may only submit documents to be included in the Annex as requested in the RFA directions below.

C. Technical Application Guidelines

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

Suggested page limits for each section of the technical application are provided for guidance, but Applicants may choose the number of pages to devote to each section, within the **thirty (30) page limit** of the technical application as stated above. Any application over 30 pages WILL NOT be reviewed.

The following technical guidelines should be used to prepare an application in response to this RFA:

1. **Technical Understanding and Approach** (Suggested 12 pages)

The Technical Understanding and Approach shall demonstrate the Applicant’s understanding and expertise with respect to achieving the objective and intermediate results, of SPRING as described in Section I.D. Technical applications must be specific, complete and presented concisely. The application must take into account the evaluation criteria and procedures found in Section V. For purposes of the overall technical understanding and approach, Applicants can assume the following geographic mix regarding regions of countries: Sub-Saharan Africa, Asia, Latin America, and the Caribbean.

Applicants will describe how they propose to achieve the overall objective of this project: **Policies and programs to scale up effective nutrition services improved** by achieving the two

intermediate results (IRs) at the country and global levels. The anticipated project level of effort for each intermediate result is included below.

Intermediate Result 1: Country-specific approaches to scale up nutrition programs improved (LOE 60%)

IR 1.1: Country-specific Social and Behavior Change Communication (SBCC) programs strengthened

IR 1.2: Country-specific approaches to improve dietary quality and diversity (including micronutrient adequacy) advanced

IR 1.3: Country-specific scale-up of evidence based nutrition interventions supported

Applicants shall describe for each sub-IR:

- principal activities to be implemented under each sub-IR and how activities will contribute to achieving the IR as well as the overall objective
- key approaches to be used
- how priorities and needs will be identified
- how the Applicant will build from existing knowledge and reflect advances in theory and practice
- opportunities/barriers that could speed/hinder progress and suggested solutions
- how gender issues and constraints will be integrated and addressed by these activities
- expected IR results and indicators

Intermediate Result 2: Global evidence base, advocacy platforms, and policies for nutrition expanded (LOE 40%)

IR 2.1: Policy and advocacy efforts to support food and nutrition policies and programming strengthened

IR 2.2: Evidence-base learning, monitoring and evaluation for effective approaches to scale-up nutrition services expanded

Applicants shall describe for each sub-IR:

- principal activities to be implemented under each sub-IR and how activities will contribute to achieving the IR as well as the overall objective
- key approaches to be used
- how priorities and needs will be identified
- how the Applicant will build from existing knowledge and reflect advances in theory and practice
- opportunities/barriers that could speed/hinder progress and suggested solutions
- how gender issues and constraints will be integrated and addressed by these activities
- expected IR results and indicators

In addressing the above, the Applicant must also demonstrate an understanding of the cross-cutting themes and guiding principles listed below. As appropriate, these should be integrated across the country-specific and global level efforts and be reflected in the proposed activities and approaches.

- Coordinate and maximize the relationship between the IRs to meet the overall project objective
- Complement the efforts of other USAID partners that implement food, health, and nutrition programs
- Support scale-up of evidence-based nutrition interventions and advance the global knowledge base on effective approaches to scaling-up
- Build upon recent momentum for nutrition at the country-level by providing complementary technical assistance to country programs
- Capitalize on global movements such as SUN and translate these efforts into multi-sectoral, country-level action
- Contribute to the GHI and FTF Results Frameworks

2. Key Personnel Qualifications and Staffing Capabilities (Suggested 7 pages)

SPRING will include personnel with an appropriate balance of managerial, technical and operational skills sufficient to achieve its objective and sub-objectives including the identification of in-country professionals. The core team should reflect expertise in nutrition, policy and advocacy, social and behavior change, as well as program design, implementation, monitoring and evaluation.

A total of five (5) key personnel shall be proposed. The Applicant will identify the five key personnel by name and position. Each key personnel position requires USAID approval, as noted in substantial involvement provisions in Section II. E.

1. Project Director: The Project Director will be a senior project management specialist. The Project Director will have the following experience and qualifications:

- a minimum of a Master's degree in management, nutrition, public health, social sciences, international development, or a related field;
- at least 15 years' experience leading, managing and implementing large international projects, specifically with experience in two or more of the following areas: management, nutrition, health policy, health systems strengthening, behavior change communication, community development, food security, or agriculture;
- broad understanding of public health in particular in the area of nutrition and should be knowledgeable about the relevant socioeconomic, institutional and policy issues that are related to nutrition;
- professional experience interacting with U.S. Government agencies, host country governments, and other relevant stakeholders;
- demonstrated experience working in partnership with international donors and agencies;
- At least 5 years professional experience working in nutrition programs in low or middle income countries.

2. Deputy Project Director: The Deputy Project Director will complement the Project Director in knowledge and experience. They should have the following experience and qualifications:

- a minimum of a Master's degree in management, nutrition, public health, social sciences, international development, or a related field;
- at least 10 years' experience leading, managing and implementing large international development projects, specifically with experience in one of the following areas: nutrition, health policy, health systems strengthening, behavior change communication, community development, food security, or agriculture;
- broad understanding of public health and in particular nutrition and should be knowledgeable about the relevant socioeconomic, institutional and policy issues that are related to nutrition;
- experience working across sectors to ensure linkages with multi-sectoral programming
- preferred: professional experience interacting with U.S. Government agencies, host country governments, and other relevant stakeholders;
- preferred: demonstrated experience working in partnership with international donors and agencies;
- at least 5 years professional experience working in programs in low or middle income countries;
- other skills and abilities that are complementary to those of the Project Director so that both management and technical skills are adequately addressed and divided.

3. Nutrition Specialist: The Nutrition Specialist will focus on increasing the availability and use of proven high-impact nutrition interventions, including services, products, practices, and information in country programs. The Nutrition Specialist will have the following experience and qualifications:

- either a minimum of a PhD degree in nutrition, epidemiology, or related field, OR a master's degree in nutrition, epidemiology, public health, or related field, and at least 5 years related experience;
- minimum of 3 years' experience within a developing country designing and managing nutrition programs and innovations;
- professional experience interacting with community based organizations, NGOs, host country governments, and other relevant stakeholders.

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

- either a minimum of a PhD degree in nutrition, public health, social sciences, communications, or a related field OR a master's degree in nutrition, public health, or social sciences, communications or a related field and at least 5 years of experience as described below;
- minimum of 3 years' experience in developing countries successfully designing, managing, and evaluating the socio-cultural behavior change component of nutrition programs

- understanding of the socio-cultural issues and nuances of working in communities and with vulnerable populations;
- professional experience interacting with at least one of the following: community based organizations, NGOs, host country governments, or other relevant stakeholders.

5. Strategic Information Specialist: The Strategic Information Specialist will lead in the areas of information systems, research, and monitoring and evaluation. The Strategic Information Specialist will have the following required experience and qualifications:

- either a minimum of a PhD degree in public health, statistics, information systems, or a related field OR a master's degree in public health, statistics, information systems, or a related field and at least 5 years of experience as described below;
- minimum of 3 years' experience specifically with experience in two or more of the following areas: monitoring & evaluation, information systems, epidemiology, statistics, and operations and/or formative research.

The section on personnel capability in the main body of the application will include brief statements of major duties, experience, academic background and resumes for each of the five (5) key personnel and other senior program staff. Resumes for key personnel, other senior program staff and any long-term professional staff/advisors will be limited to four (4) pages in length and should be included in the annexes. The annexes (which are beyond the 30-page limit) will include letters of intent to participate for those not already employed by the proposing organization and letters of commitment from proposed key personnel.

Please provide a roster of all senior core staff and at least up to ten non-U.S.-based experts who are likely to assist with program activities and can address the broad range of nutrition programming envisioned in the RFA. Resumes and letters of intent to participate should also be included in the annexes.

Applicants may propose and justify an alternative staffing structure, including a different configuration of key staff positions, if they feel that a different structure is more conducive to achieving the desired project results.

3. Management and Organization (Suggested 4 pages)

The Applicant shall propose a management plan, including an organizational chart, which addresses the breadth, depth and technical areas required to successfully undertake SPRING. Given the technical scope and global focus of this activity, it is anticipated the applicant would be a partnership of organizations or groups, each bringing a particular set of program experience and technical expertise that would contribute to successfully undertaking the activities within this RFA.

The Applicant's management plan should be consistent with the project's technical complexity, the range of USAID and external stakeholders potentially to be involved, the global reach, and application of the state-of-the art in food and nutrition programming. In addition, the management plan needs to be efficient in responding to budgetary constraints and emphasize cost effectiveness.

As such, the management plan must include the following:

- A. Organizational chart with the roles and responsibilities and lines of authority and reporting within SPRING, including both technical and administrative.
- B. An accompanying management plan narrative that:
 - Describes how the proposed organizational structure encompasses the depth and technical skills, field implementation experience, and policy experience required to successfully implement project activities.
 - Discusses how responsibilities will be assigned and managed across all proposed partners and sub-Awardees, as well as how each will take advantage of their strengths to contribute to SPRING. Signed letters acknowledging intent to collaborate shall be provided in an annex.
 - Discusses anticipated management arrangements between project partners and sub-Awardees, including approach to managing technical and financial reporting, logistical support, personnel management, and procurement of goods and services. The approach should be inclusive of considerations to contain costs and avoid duplication of efforts.
 - Describes effective and efficient management practices to both meet country technical assistance needs and support global leadership efforts. This should include a description of how the Applicant will coordinate with partners and other organizations, including other USG agencies, international organizations, development partners, as well as, host country organizations, that may be implementing complementary programming to SPRING.
 - Explains approaches for sharing program experiences and lessons learned across partners, countries, and other programs, to contribute to scaling-up proven approaches and building the evidence-base for nutrition.
 - Describes the manner in which external communication with USAID headquarters and field missions, other donors and stakeholders (e.g. other USG agencies, private foundations, international organizations, development partners), and other USAID-supported activities will be conducted to ensure project transparency and responsive program management.

4. Monitoring and Evaluation Plan (Suggested 3 pages)

Applicants shall:

- Provide an illustrative performance monitoring plan for SPRING that includes the indicators that will be used for the project objective and two IRs.
- Identify the data collection method, type, and source of information to be collected.
- Specify how often evaluation will be conducted and how the results of the evaluation and lessons learned will be used on an on-going basis throughout project implementation.
- Describe how USAID reporting requirements will be met.

Evaluation should be designed and implemented at the beginning of the project and continue throughout the project. The plan should be consistent with USAID's Evaluation Policy (<http://www.usaid.gov/evaluation/>).

5. **Institutional Capability** (Suggested 4 pages)

The Applicant shall:

- Demonstrate the institutional capacity of the Applicant and any proposed partners or sub-Awardees in the nutrition technical areas relevant to achieving the goal and objectives of SPRING as outlined in Section D.
- Discuss the ability of the Applicant and any proposed partners or sub-Awardees to work with multiple partner organizations to plan, implement, and support complex programming; and,
- Describe the anticipated roles for any proposed partners or sub-Awardees and the distribution of resources and responsibilities based on each group's demonstrated institutional capacity.

6. **Past Performance** (note: past performance materials shall be provided in an annex and will not count toward the 30 page limit)

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

As an appendix, please complete **Past Performance Report – Short Form (Annex D)** for three (3) past performance references which describe any contracts, grants, or cooperative agreements which the Applicant organization, as well as any sub-recipients, partners, or consortia has implemented involving similar or related programs over the past three years. Please include the following information: name and address of the organization for which the work was performed; name and current telephone number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date.

It is recommended that the Applicant alert the contacts that their names have been submitted and that they are authorized to provide past performance information when requested.

Please note that USAID reserves the right to obtain past performance information from other sources including those not named in this application.

D. **Cost/Business Application Guidelines**

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

The cost/business application must be completely separate from the technical application. The application must be submitted using SF-424 and SF 424A "Application for Federal Assistance."

The form is downloadable on USAID's website at:
http://www.usaid.gov/procurement_bus_opp/procurement/forms/.

The cost/business application should be for a period of 5 years using the budget format shown in the SF-424A. The anticipated amount of the award is \$200 million. In addition to hard copies, technical and Cost/Business applications must be submitted on separate CDs in MS Word 2000 or latest versions. Graphic/tables must be formatted in Microsoft Excel 2000 (or later versions).

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

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

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

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

The cost application should contain the following budget categories:

1. Salary and Wages: Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies;
2. Fringe Benefits: If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the

application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries;

3. Travel and Transportation: The application should indicate the number of trips, domestic, regional, and international, and the estimated costs. Specify the origin and destination for proposed trips, duration of travel, and number of individuals traveling. Per Diem should be based on the Applicant's normal travel policies;
4. Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity);
5. Supplies: Supply items related to this activity (e.g., specimen collection, sample transport, administrative);
6. Contractual: Any goods and services being procured through a contract mechanism;
7. Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), equipment, office rent, etc. The narrative should provide a breakdown and support for all other direct costs;
8. Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Agreement (NICRA), or with sufficient information for USAID to determine the reasonableness of the rates (For example, a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

E. Certifications and Representations

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

[END SECTION IV]

SECTION V. EVALUATION CRITERIA

A. Technical Evaluation Criteria

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. The criteria are presented with relative weights **(totaling 100 points)** so Applicants will know which areas require emphasis in applications. Following evaluation of the technical application, the cost/business application of all Applicants submitting a technically acceptable application will be opened and costs will be evaluated for reasonableness, realism, allowability, and allocability. Awards will be made to responsible Applicants whose application offers the greatest value to the U.S. Government, technical, cost and other factors considered. In evaluating the different components of the technical proposals, the U.S. Government will examine the overall merit and feasibility of the proposals, as well as examine specific criteria relevant to each component, as elaborated below.

Each technical application submitted in response to this RFA will be evaluated in relation to the evaluation factors set forth in this solicitation and which have been tailored to the requirements of this RFA to allow USAID to choose the highest quality application. These criteria: a) identify the significant areas that Applicants should address in their applications; and b) serve as the standard against which all applications will be evaluated. USAID will award to the Applicant whose application is most advantageous to the Government, cost effectiveness, and other factors considered. **The following technical evaluation criteria and subcriteria are presented in descending order of importance.**

1. Technical Understanding and Approach (40 points)

- The extent to which the overall technical approach reflects strong understanding of USAID, the global nutrition environment, the overall results framework, and the ability to synthesize and apply the lessons learned from other program experiences.
- The degree to which applicant's approach demonstrate state-of-the-art knowledge of the nutrition evidence-base and provides a cohesive approach for scaling-up nutrition interventions in developing countries, especially social and behavior change communication, dietary diversity and quality, and the integration of nutrition interventions in health and other sector programming.
- The extent to which the Applicant demonstrates how principal activities under each IR will be implemented and how key approaches maximize opportunities to meet the overall project objective
- The degree to which the overall approach reflects a strong commitment to country ownership of nutrition activities, programs, and strategies, and demonstrates this commitment through real examples.
- The degree to which the technical approach builds upon global efforts for improving nutrition and presents a feasible plan for translating those efforts into country level action.

- The extent to which the approach to expanding the global evidence base for nutrition addresses global needs for effective approaches to scaling-up proven nutrition interventions, and, advances multi-sectoral approaches for addressing undernutrition.
- The extent to which the approach reflects a clear understanding of the GHI and FTF results frameworks and outlines an approach for assisting USAID in achieving these objectives.
- The degree to which gender issues and constraints are considered throughout the program description and presents specific approaches to tackle gender-related constraints in nutrition programming.

2. Key Personnel Qualifications and Staffing Capabilities (25 points)

- The extent to which the FIVE key personnel meet or exceed the requirements described in Section IV.C.7.
- The degree to which the proposed personnel, including other senior program staff, have the requisite skills and have clearly defined duties to enable the Applicant to effectively implement the project.

3. Management Plan (15 points)

- The degree to which the organizational chart and supporting management plan narrative clearly address the depth and technical skills necessary to successfully implement the proposed technical approach.
- The degree to which the management plan presents appropriate lines of authority for managing all staff, including partners and sub-Awardees, and outlines a clear approach to managing technical and financial reporting, project logistics, and procurement issues while taking advantage of each organization's strength, emphasizing cost effectiveness, and avoiding duplication of effort.
- Merit and feasibility of the presented approach for meeting both country and global technical needs that includes effective practices for coordinating and collaborating with other USAID and USG partners, as well as international, regional, and local partners that implement complementary food, health, and nutrition programming.
- The extent which the management plan presents a clear approach for disseminating program experiences and lessons learned across partners, countries, and other programs to scale-up country-specific nutrition interventions and build the global evidence base.
- The degree to which the management plan outlines an approach for external communication with USAID/Washington, Missions and other stakeholders to ensure project transparency and responsive program management.

4. Monitoring and Evaluation Plan (10 points)

- The extent to which the Applicants presents a clear performance monitoring plan with appropriate indicators for the project objective and IRs that identifies the data collection method, type, information source, and frequency of collection
- Merit and feasibility of presented approach for how evaluation results and lessons learned will be used on an on-going basis throughout project implementation

- The extent to which the M&E plan details how the Applicant will meet USAID reporting requirements.

5. Institutional Capability (5 points)

- The extent to which the Applicant and any proposed partners or sub-Awardees demonstrate institutional capacity in nutrition technical areas relevant to the SPRING goal and objectives.
- Clear and feasible anticipated roles for any proposed partners or sub-Awardees and the distribution of resources and responsibilities based on each group's demonstrated institutional capacity.
- The degree to which the Applicant and any proposed partners or sub-Awardees demonstrate the ability to fully utilize multiple partner organizations through project implementation cycle.

6. Past Performance (5 points)

- Past performance information obtained demonstrates successful past performance implementing previous work similar in scope to SPRING.

B. Acceptability of Proposed Non-Price Terms and Conditions

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

[END SECTION V]

SECTION VI. AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Branding & Marking Requirements

BRANDING & MARKING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

Branding Strategy means a strategy that is submitted at the specific request of a USAID Agreement Officer by an Apparently Successful Applicant after evaluation of an application for USAID funding, describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens. It identifies all donors and explains how they will be acknowledged.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer.

The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently, Successful Applicant status confers no right and constitutes no USAID commitment to an award. **USAID Identity (Identity)** means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or sub-awards.

(b) Submission

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

(c) Submission Requirements

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

(1) Positioning

What is the intended name of this program, project, or activity?

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center."

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.

Note: USAID prefers to fund projects that do NOT have a separate logo or identity that competes with the USAID Identity.

(2) Program Communications and Publicity

Who are the primary and secondary audiences for this project or program?

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers.*

What communications or program materials will be used to explain or market the program to beneficiaries?

Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."* Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

Will the recipient announce and promote publicly this program or project to host country citizens? If yes, what press and promotional activities are planned?

Guidelines: These may include media releases, press conferences, public events, and so forth.
Note: incorporating the message, “USAID from the American People,” and the USAID Identity is required.

Please provide any additional ideas about how to increase awareness that the American people support this project or program.

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people. "Please provide any initial ideas on how to further this goal.

(3) Acknowledgements

Will there be any direct involvement from a host-country government ministry? If yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?

Note: it is perfectly acceptable and often encouraged for USAID to "co-brand" programs with government ministries.

Please indicate if there are any other groups whose logo or identity the recipient will use on program materials and related communications.

Guidelines: Please indicate if they are also a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

(d) Award Criteria

The Agreement Officer will review the Branding Strategy for adequacy, ensuring that it contains the required information on naming and positioning the USAID-funded program, project, or activity, and promoting and communicating it to cooperating country beneficiaries and citizens. The Agreement Officer also will evaluate this information to ensure that it is consistent with the stated objectives of the award; with the Apparently Successful Applicant's project, activity, or program performance plan; and with the regulatory requirements set out in 22 CFR 226.91. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

Marking Plan means a plan that the Apparently Successful Applicant submits at the specific request of a USAID Agreement Officer after evaluation of an application for USAID funding, detailing the public communications, commodities, and program materials and other items that will visibly bear the USAID Identity. Recipients may request approval of Presumptive Exceptions to marking requirements in the Marking Plan.

Apparently Successful Applicant(s) means the Applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer. The Agreement Officer will request that Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently, Successful Applicant status confers no right and constitutes no USAID commitment to an award, which the Agreement Officer must still obligate.

USAID Identity (Identity) means the official marking for the Agency, comprised of the USAID logo and new brand mark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID funded grants, cooperative agreements, or other assistance awards or sub-awards.

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

Presumptive Exception (i). USAID marking requirements may not apply if they would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials, such as election monitoring or ballots, and voter information literature; political party support or public policy advocacy or reform; independent media, such as television and radio broadcasts, newspaper articles and editorials; and public service announcements or public opinion polls and surveys (22 C.F.R. 226.91(h)(1)).

Presumptive Exception (ii). USAID marking requirements may not apply if they would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent (22 C.F.R.226.91(h)(2)).

Presumptive Exception (iii). USAID marking requirements may not apply if they would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official (22 C.F.R. 226.91(h)(3)).

Presumptive Exception (iv). USAID marking requirements may not apply if they would impair the functionality of an item, such as sterilized equipment or spare parts (22 C.F.R. 226.91(h)(4)).

Presumptive Exception (v). USAID marking requirements may not apply if they would incur substantial costs or be impractical, such as items too small or otherwise unsuited for individual marking, such as food in bulk (22 C.F.R. 226.91(h)(5)).

Presumptive Exception (vi). USAID marking requirements may not apply if they would offend local cultural or social norms, or be considered inappropriate on such items as condoms, toilets, bed pans, or similar commodities (22 C.F.R. 226.91(h)(6)).

Presumptive Exception (vii). USAID marking requirements may not apply if they would conflict with international law (22 C.F.R. 226.91(h)(7)).

(b) Submission

The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the Applicant ineligible for award of a grant or cooperative agreement.

(c) Submission Requirements

The Marking Plan will include the following:

(1) A description of the public communications, commodities, and program materials that the recipient will produce as a part of the grant or cooperative agreement and which will visibly bear the USAID Identity. These include:

(i) program, project, or activity sites funded by USAID, including visible infrastructure projects or other programs, projects, or activities that are physical in nature;

(ii) technical assistance, studies, reports, papers, publications, audiovisual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID;

(iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

(iv) all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies and other materials funded by USAID, and their export packaging.

(2) A table specifying:

(i) the program deliverables that the recipient will mark with the USAID Identity,

(ii) the type of marking and what materials the Applicant will be used to mark the program deliverables with the USAID Identity, and

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

(3) A table specifying:

(i) what program deliverables will not be marked with the USAID Identity, and

(ii) the rationale for not marking these program deliverables.

(d) Presumptive Exceptions

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's application and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

(2) Specific guidelines for addressing each Presumptive Exception are:

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking an exception.

(ii) For Presumptive Exception (ii), state what data, studies, or other deliverables will be produced under the USAID funded award, and explain why the data, studies, or deliverables must be seen as credible.

(iii) For Presumptive Exception (iii), identify the item or media product produced under the USAID funded award, and explain why each item or product, or category of item and product, is better positioned as an item or product produced by the cooperating country government.

(iv) For Presumptive Exception (iv), identify the item or commodity to be marked, or categories of items or commodities, and explain how marking would impair the item's or commodity's functionality.

(v) For Presumptive Exception (v), explain why marking would not be cost beneficial or practical.

(vi) For Presumptive Exception (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.

(vii) For Presumptive Exception (vii), identify the applicable international law violated by marking.

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Agreement Officer's Technical Representative and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive

Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) Award Criteria

The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the Applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R.

226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

MARKING UNDER ASSISTANCE INSTRUMENTS (DEC 2005)

(a) Definitions

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

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

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

Public communications are documents and messages intended for distribution to audiences external to the recipient's organization. They include, but are not limited to, correspondence,

publications, studies, reports, audio visual productions, and other informational products; applications, forms, press and promotional materials used in connection with USAID funded programs, projects or activities, including signage and plaques; Web sites/Internet activities; and events such as training courses, conferences, seminars, press conferences and so forth.

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

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

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

(b) Marking of Program Deliverables

(1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.

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

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

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

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

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

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

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

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

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

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

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International

Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government.”

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

(c) Implementation of marking requirements.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(d) Waivers.

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

(2) The request will describe the compelling political, safety, security concerns, or adverse impact that require a waiver, detail the circumstances and rationale for the waiver, detail the specific requirements to be waived, the specific portion of the Marking Plan to be waived, or specific marking to be waived, and include a description of how program materials will be marked (if at all) if the USAID Identity is removed. The request should also provide a rationale for any use of recipient’s own identity/logo or that of a third party on materials that will be subject to the waiver.

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

(4) Approved waivers “flow down” to recipients of sub-awards unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

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

C. Standard Provisions

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

[END SECTION VI]

SECTION VII – AGENCY CONTACTS

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

Primary Point of Contact:

Shanon Krause

USAID Office of Acquisition & Assistance

M/OAA/GH

SA-44, Room 569B

Federal Center Plaza

301 C Street, SW

Washington, DC 20024

Email: skrause@usaid.gov

Alternate Point of Contact

Patricia Bradley

USAID Office of Acquisition & Assistance

M/OAA/GH

SA-44, Room 549 S

Federal Center Plaza

301 C Street, SW

Washington, DC 20024

Email: pbradley@usaid.gov

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

[END SECTION VII]

SECTION VIII. OTHER INFORMATION

A. USAID Rights and Funding

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

B. Applicable Regulations & References

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

[END SECTION VIII]

Annex A –USAID FTF, BEST, and GHI Priority Countries

	FTF Potential Focus Country*	BEST**	GHI+***
AFGHANISTAN		✓	
ANGOLA		✓	
BANGLADESH	✓	✓	✓
BENIN		✓	
CAMBODIA	✓	✓	
DR CONGO		✓	
ETHIOPIA	✓	✓	✓
GHANA	✓	✓	
GUATEMALA	✓	✓	✓
HAITI	✓	✓	
HONDURAS	✓		
INDIA		✓	
INDONESIA		✓	
KENYA	✓	✓	✓
LIBERIA	✓	✓	
MADAGASCAR		✓	
MALAWI	✓	✓	✓
MALI	✓	✓	✓
MOZAMBIQUE	✓	✓	
NEPAL	✓	✓	✓
NICARAGUA			
NIGERIA		✓	
PAKISTAN		✓	
PHILIPPINES		✓	
RWANDA	✓	✓	✓
SENEGAL	✓	✓	
SUDAN		✓	
TANZANIA	✓	✓	
UGANDA	✓	TBD	
YEMEN		✓	
ZAMBIA	✓	✓	

* Focus countries subject to change.

** Represents countries participating in the planning process known as BEST—Best Practices at Scale in the Home, Community and Facilities: An Action Plan for Smart Integrated Programming in Family Planning, Maternal and Child Health, and Nutrition under the Global Health Initiative.

*** All countries receiving health funding are considered GHI countries. GHI+ refers to those countries receiving increased management support during the initial round of GHI strategy development.

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

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

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

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Osama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

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

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

3. For purposes of this Certification-

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

b. “Terrorist act” means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. _____

Application No. _____

Date of Application _____

Name of Recipient _____

Typed Name and Title _____

Signature _____

Date _____

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

PART IV - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

This survey can be found at the following website:

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

PART V - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. PROCUREMENT INFORMATION

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

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

\$ _____

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

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

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

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

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

TYPE/DESCRIPTION	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	UNIT COST (Non-US Only)	for NON-US
(Generic)			

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

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

6. PAST PERFORMANCE REFERENCES

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

7. TYPE OF ORGANIZATION

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

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

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

ANNEX C: REGULATIONS & REFERENCES

REGULATIONS & REFERENCES

A. Applicable Regulations & References

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

ANNEX D: PAST PERFORMANCE INFORMATION

Past Performance Report – Short Form

PERFORMANCE REPORT - SHORT FORM
PART I: Award Information (to be completed by Prime)
1. Name of Awarding Entity:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if subagreement, subagreement value)
5. Problems: (if problems encountered on this award, explain corrective action taken)
6. Contacts: (Name, Telephone Number and E-mail address)
6a. Agreement/Contract Officer:
6b. Technical Officer (AOTR/COTR):
6c. Other:
7. Recipient:
8. Title/Brief Description of Product/Service Provided:
9. Information Provided in Response to RFA/RFP No. :
PART II: Performance Assessment (to be completed by Agency)
1. How well Recipient/Contractor performed:
1a. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness in fixing problems. Comment:
1b. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
1c. Timeliness of performance, including adherence to schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:
1d. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subawardees and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:

1e. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients where identified. Comment:
2. Specify instances of good or poor performance, especially in the most critical areas. Comment:
3. List significant achievements and/or problems. Comment:

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

ANNEX E: INITIAL ENVIRONMENTAL EVALUATION

INITIAL ENVIRONMENTAL EVALUATION

**INITIAL ENVIRONMENTAL EXAMINATION
AND REQUEST FOR CATEGORICAL EXCLUSION**

PROGRAM/ACTIVITY DATA:

Environmental Document Number: GH-11-014

RFA Solicitation Number:

Country/Region: Global

Program Title: Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING)

Funding Begin: FY 2012 **Funding End:** FY 2017 (IEE expires at funding end)

LOP Amount: US\$ 200 Million

IEE Prepared By: Newal Sherif, USAID Bureau for Global Health

IEE Amendment (Y/N): N

Current Date: 03-02-2011

ENVIRONMENTAL ACTION RECOMMENDED:

Categorical Exclusion: X Negative Determination:
Positive Determination: Deferral:

ADDITIONAL ELEMENTS: (Place X where applicable)

CONDITIONS

Recommendation:

The purpose of this IEE, in accordance with 22CFR216, is to provide the review of the reasonably foreseeable effects on the environment, as well as recommended Threshold Decisions, for Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING).

Program Background:

SPRING is designed to support USAID in promoting appropriate policies and programs that strengthen country-owned and -designed nutrition programs to reach the most at risk populations of women, infants, and young children. The focus is on a core package of proven nutrition interventions, based on the extensive experience of USAID's predecessor nutrition programs, and targeted at the population and individual levels.

The award will support technical assistance for the formulation of nutrition policies, build the capacity of countries to design, implement and evaluate effective nutrition programs in both the public and private sectors, and conduct operations research and knowledge management activities. The award will enhance partner coordination and collaboration in countries with other USG activities and with national stakeholders. In addition, the award will fill critical gaps in nutrition program knowledge by conducting operations and field validation research to expand the evidence base on food and nutrition.

SPRING will provide technical assistant in following areas;

IR 1: Advance new tools and approaches and increase availability and use of information to strengthen consensus around nutrition priorities, interventions, and programs

IR 2: Strengthen the capacity of global and country systems to ensure scalability and quality of nutrition services in emergency and non-emergency situations

IR 3: Improve the capacity of country nutrition programs to reach household and community levels through effective social and behavior change.

Category Exclusion:

A Categorical Exclusion is recommended for SPRING except to the extent that the activities directly affect the environment (such as procurement of specialized food products), pursuant to 22 CFR 216.2(c)(2) and:

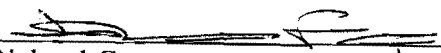
a) 22 CFR 216.2(c)(2)(i), Education, technical assistance, or training programs except to the extent such programs include activities directly affecting the environment (such as construction of facilities, etc).

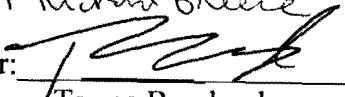
As required by ADS 204.3.4, the Cognizant Technical Officer (CTO) will actively monitor and evaluate whether environmental consequences unforeseen by this Request for Categorical Exclusion arise during implementation of this program, and modify or end activities as appropriate. If additional activities not described in this document are added to this program, an environmental examination must be prepared and approved.

APPROVAL OF ENVIRONMENTAL ACTION RECOMMENDED:

Activity Title: Strengthening Partnerships, Results, and Innovations in Nutrition Globally (SPRING)

CLEARANCE:

Officer Director  Date: 3/3/11
Richard Greene *For Richard Greene*

GH Bureau Environnemental Officer:  Date: 3/5/2011
Teresa Bernhard

Approved: _____
Disapproved: _____

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ADMINISTRATION\MEMOS\SPRING IEE

