

CONTROL OF NEGLECTED TROPICAL DISEASES

REQUEST FOR APPLICATION (RFA)

RFA SOLICITATION NUMBER:

Date: June 15, 2010



Due Date for Questions: 12:00 PM, Friday, May 21, 2010

Closing Date: Wednesday, June 30, 2010

Closing Time: 10:00 A.M. (EDT)

Subject: Request for Application (RFA) No., Global Health Bureau, Office of Health, Infectious Diseases, and Nutrition (HIDN) – Control of Neglected Tropical Diseases

Dear Prospective Applicant:

The United States Government (USG), represented by the Agency for International Development (USAID), Bureau for Global Health (GH), Office of Health, Infectious Diseases, and Nutrition (HIDN), proposes to enter into three (3) Cooperative Agreements for the implementation of the Control of Neglected Tropical Diseases activities specifically described in Section I of this RFA.

To this end, USAID is seeking applications from eligible institutions as described in Section II.B of the RFA, Eligibility Criteria.

The 3 Cooperative Agreements described in this RFA are divided into two (2) Tracks, as described in Section I of this RFA. Track One includes one Cooperative Agreement and Track Two includes two Cooperative Agreements.

USAID expects the level of funding to support the Track One Cooperative Agreement issued under this RFA will total \$250 million over the 5-year implementation period. It is anticipated that the Track Two Cooperative Agreements will total \$100 million each over the 5-year implementation period. A cost share minimum amount of 10% of the cooperative agreement is required under this RFA for each of the awards.

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.

Pursuant to 22 CFR 226.81, and in accordance with applicable cost standards (22 CFR 226, OMB) it is USAID's policy not to include profits of any nature under agreements. Reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program (Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for profit organizations), may be paid under the agreement.

This RFA consists of this cover letter and the following:

- |                |                                                                               |
|----------------|-------------------------------------------------------------------------------|
| 1. Section I   | Program Description;                                                          |
| 2. Section II  | Award and Administration Information;                                         |
| 3. Section III | Cooperative Agreement Application Format;                                     |
| 4. Section IV  | Technical Selection Criteria;                                                 |
| 5. Section V   | Required Forms, Certifications, Assurances, and Other Statements of Recipient |

The preferred method of distribution of USAID RFA information is via the Internet. This RFA and any future amendments can be downloaded from <http://www.grants.gov>. Those organizations unable to retrieve the RFA from Grants.gov may request a PDF version by emailing Patricia Bradley at [pbradley@usaid.gov](mailto:pbradley@usaid.gov).

Applications must be received by the closing date and time indicated at the top of this cover letter at the place designated below for receipt of applications. No late applications will be accepted.

Applications submitted via mail or courier service shall be submitted in two separate parts and delivered in two separate envelopes: (a) technical and (b) cost or business application. The technical application shall consist of one (1) original, five (5) copies and an electronic (CD-ROM) copy. The cost or business application shall also consist of one (1) original, two (2) copies and an electronic (CD-ROM) copy. Applications shall be submitted with the name and address of the applicant and RFA # (referenced above) inscribed thereon, to:

(By Mail)

U.S. Agency for International Development  
Attn: Patricia E. Bradley  
Agreement Specialist  
RRB 7.09-094, M/OAA/GH/HSR  
1300 Pennsylvania Avenue, NW  
Washington, D.C. 20523-3700

(By Courier Service/ Hand Delivery)

U.S. Agency for International Development  
1300 Pennsylvania Avenue, NW  
Ronald Reagan Building, 14<sup>th</sup> Street Entrance  
Washington, DC 20523-3700  
Please use the phone at the visitor's desk to contact:  
Ms. Patricia E. Bradley, Ext. 2-5421

Applications submitted via fax or email will not be accepted. Applicants should retain for their records one copy of all enclosures which accompany their application.

The federal grant process is now web-enabled, allowing for applications to be received on-line on the grants.gov website, <http://www.grants.gov>. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

USAID reserves the right to fund any or none of the applications submitted in response to this RFA. Awards will be made subject to the availability of funds. This FY 2010 RFA does

not commit USAID to funding a specific number of applications. 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 an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Any prospective applicant who has questions concerning the contents of this RFA must submit them in writing to Patricia E. Bradley at [pbradley@usaid.gov](mailto:pbradley@usaid.gov) and a copy to me at [bbaltas@usaid.gov](mailto:bbaltas@usaid.gov) by **12:00 PM, Friday, May 21, 2010**. Any additional information regarding this RFA will be furnished through an amendment to this RFA.

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

Sincerely,

Bruce Baltas  
Agreement Officer  
Division M/OAA/GH/HSR  
Office of Acquisition and Assistance

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## ABBREVIATIONS AND ACRONYMS

|       |                                                              |
|-------|--------------------------------------------------------------|
| AOTR  | Agreement Officer Technical Representative                   |
| APOC  | African Program for Onchocerciasis Control                   |
| CDC   | U.S. Centers for Disease Control and Prevention              |
| DFID  | U.K. Department for International Development                |
| FAR   | Federal Acquisition Regulation                               |
| GH    | Global Health Bureau (USAID)                                 |
| HIDN  | Office of Health, Infectious Diseases, and Nutrition (USAID) |
| IEC   | Information, Education, and Communication                    |
| M&E   | Monitoring and Evaluation                                    |
| NGO   | Nongovernmental Organization                                 |
| NTDs  | Neglected Tropical Diseases                                  |
| OEPA  | Onchocerciasis Elimination Programme of the Americas         |
| PCT   | Preventive Chemotherapy                                      |
| PMI   | President's Malaria Initiative                               |
| RFA   | Request for Application                                      |
| TEC   | Technical Evaluation Committee                               |
| USG   | United States Government                                     |
| USAID | U.S. Agency for International Development                    |
| WHO   | World Health Organization                                    |

## SECTION I. PROGRAM DESCRIPTION

### A. INTRODUCTION

The purpose of this Request for Application (RFA) is to provide the U.S. Agency for International Development (USAID) and the Bureau for Global Health (GH) with assistance to decrease the burden of seven diseases recognized as ‘the Neglected Tropical Diseases’ (NTDs) that inflict economic, psychosocial, and physical damage on the poorest populations in the developing world. More than one billion people, mostly in the developing world, suffer from one or more NTDs. These diseases disproportionately impact poor and rural populations who lack access to safe water, sanitation and essential medicines. They cause sickness and disability, contribute to childhood malnutrition, compromise children’s mental and physical development, and can result in blindness, severe disfigurement and appreciable loss of productivity.

USAID intends to award three cooperative agreements under this RFA. The focus of these cooperative agreements will be the control of seven NTDs - lymphatic filariasis (elephantiasis), onchocerciasis (river blindness), schistosomiasis (snail fever), three soil transmitted helminthes (hookworm, roundworm, and whipworm), and trachoma - that can be prevented and/or cured in an integrated fashion using cost-effective strategies for preventive chemotherapy (PCT)<sup>1</sup> with highly effective drugs, many of which are donated by major pharmaceutical companies.

The strategic intent of USAID to award three cooperative agreements under this RFA, described below as Track One, Track Two(A) and Track Two(B), is to enable the most efficient support for and management of technically excellent programs that support the plans of disease-endemic countries to control NTDs using integrated approaches for delivering PCT. The dual track approach outlined in this RFA will enable USAID to both rapidly expand support for NTD control in priority countries through support to experienced implementing partners and provide an opportunity to recruit new implementing partners and increase their technical and managerial capacity to effectively implement nationally-scaled, integrated NTD control programs.

Under Track One, USAID wishes to partner with an organization or consortium that has proven capability in implementing integrated NTD control programs, considerable technical expertise in all NTDs covered by the award, an established track record in grant management, and a history of supporting the programs of Ministries of Health and/or Ministries of Education in developing countries. The partner will have experience in global leadership, including the development of technical guidelines and standardized systems for ensuring quality program implementation. This award will include a grants component whereby the recipient will provide technical guidance, coordinate technical assistance, conduct training and provide careful managerial oversight of funds to grantees with limited or no experience implementing fully integrated NTD control programs and/or limited experience and/or expertise with advanced financial accounting and fiscal management systems. Priority countries under this award may be in Africa, Asia, and/or Latin America.

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<sup>1</sup> Note: Preventive chemotherapy (PCT) is the provision of single dose medication to all eligible individuals in an affected community at regular intervals, generally once or twice a year. Due to the strong safety profile of these medicines, the World Health Organization endorses their administration by non-medically trained personnel, such as community volunteers and teachers, without the need of individual diagnosis.

Under Track Two(A) and Track Two(B), USAID wishes to partner with an organization(s) with high-caliber managerial capacity, organizational skills, a proven track record in managerial technical assistance, including effective fiscal management, implementation of M&E systems, development of streamlined work plans and budgets, a history of working in close collaboration with Ministries of Health and/or Ministries of Education in developing countries, and access to monitoring and evaluation (M&E) expertise. These awards will include a grants component whereby the prime recipient will provide managerial assistance, support robust M&E systems, coordinate reporting of technical progress and provide careful managerial oversight of funds to grantees with successful experience and/or expertise implementing fully integrated NTD control programs and experience with advanced financial accounting and fiscal management systems. NTD-specific technical direction and decision-making under Track Two will be coordinated directly by USAID. The Track Two(A) award will focus on the expansion of NTD control in Africa and the Track Two(B) award will focus on the expansion of NTD control in Asia.

## **B. BACKGROUND**

### **B.1 USAID support for NTD control**

In 2006, the U.S. Congress expressed its support for NTD control with a \$15 million earmark, implemented by USAID with a specific focus on scaling-up PCT for the seven NTDs that can be targeted through an integrated mass treatment delivery approach, as opposed to vertical disease programs -- lymphatic filariasis (elephantiasis), onchocerciasis (river blindness), schistosomiasis (snail fever), three soil transmitted helminthes (hookworm, roundworm, and whipworm), and trachoma. These NTDs inflict economic, psychosocial, and physical damage on the poorest populations in the developing world, and can be prevented and/or cured in an integrated fashion using cost-effective strategies for PCT with highly effective drugs, many of which are donated by major pharmaceutical companies.

This major step raised the profile of NTD control on the US global health agenda and stimulated other high-level global commitments to NTDs, including a 2008 G8 commitment. The declaration by G8 countries stated that "... including through the mass administration of drugs, we will be able to reach at least 75% of the people affected by certain major neglected tropical diseases in the most affected countries in Africa, Asia, and Latin America, bearing in mind the WHO Plan. With sustained action for 3-5 years, this would enable a very significant reduction of the current burden with the elimination of some of these diseases."

The United Kingdom similarly increased its support for NTDs.

US Government support for NTDs culminated from the convergence of several factors:

- Safe and effective treatment strategies for each of the diseases were available
- Most of the necessary drugs were being donated by pharmaceutical companies
- Programs to target these diseases could be implemented and scaled-up by disease-endemic countries with limited technical and financial inputs from donors
- The drugs for these diseases could be delivered through similar platforms at country level through an "integrated approach"

Up until that time, there were few international programs targeting these diseases. USAID had long supported some of the well-established disease-specific programs, such as the African Program for Onchocerciasis Control (APOC). However, Congressional interest



supported one of the first global efforts to integrate existing disease-specific treatment programs for the control of these diseases.

The underlying rationale was that integration of NTD control programs would:

- Increase cost-efficiencies
- Allow greater numbers of people to be treated
- Improve the potential for sustainable programs

USAID's experience implementing integrated programs from 2006-2009 has demonstrated tremendous efficiency gains and increased population coverage for all relevant NTDs. In 3 years, USAID programs have supported the delivery of over 221 million NTD treatments to over 55 million people. USAID's program has seen the cost per treatment delivered reduced by 41% as formerly vertical programs have merged key operational activities. Training costs for community drug distributors have been cut by 30% where integrated training has been conducted. In districts where co-implementation of drugs takes place, only a single visit to the community to register target populations is required, where multiple visits were previously required to complete separate registers. Likewise, single reports for districts have streamlined data management burdens for the districts and at central level. This initial program began in five countries and has since expanded to 14 countries in Africa, Asia, and Latin America.

USAID recognizes the importance of partnerships in translating its investments into public health gains. There is a broad range of global NTD partners essential to the successful implementation of the NTD program. Foremost are the communities receiving treatment and the Governments and Ministries of Health and Education in disease endemic countries. These are the leaders of national NTD control programs and USAID invests in support of their efforts. Pharmaceutical companies, including GlaxoSmithKline, Johnson & Johnson, Merck & Co., Inc., and Pfizer Inc. are also extremely important partners, as it is their generous drug donations that make the ambitious targets of the Initiative feasible. The World Health Organization (WHO) plays a critical normative role in the development of technical guidelines and tools for integrated NTD control and in building capacity through regional support and technical assistance to countries. USAID supports WHO's work toward the development of country plans of action, completion of disease prevalence mapping, and robust global surveillance. There are also a number of other donor partners such as the United Kingdom's Department of International Development (DFID), the World Bank and the Bill & Melinda Gates Foundation.

In support of the cooperative agreements awarded through this RFA, USAID will continue to work with pharmaceutical partners to improve demand forecasting, enhance coordination with drug donation programs, provide support to countries for logistics, and jointly tackle severe adverse event management issues. Global and country-level coordination with these and other donors ensures complementarity in funding. USAID will also continue to collaborate with the national and international non-governmental organizations (NGOs) and other implementing partners who support disease-endemic countries in their NTD control efforts.

With this RFA, USAID intends to advance efforts to control, and in some cases eliminate, the targeted NTDs.

## B.2 USG Strategy for NTD Control 2009-2014

More than one billion people, mostly in the developing world, suffer from one or more NTDs. These diseases disproportionately impact poor and rural populations who lack access to safe water, sanitation and essential medicines. They cause sickness and disability, contribute to childhood malnutrition, compromise children's mental and physical development, and can result in blindness, severe disfigurement and appreciable loss of productivity.

Fortunately, seven of the most prevalent NTDs can be controlled using PCT that has been proven safe and effective and that can be delivered in an integrated manner through mass drug administration. These diseases include schistosomiasis, onchocerciasis, lymphatic filariasis, trachoma and three soil-transmitted helminthes. Significant quantities of the drugs needed to treat or prevent these NTDs are donated by pharmaceutical companies and are valued at hundreds of millions of dollars each year.

The US Congress recognized the opportunity for the United States Government (USG) to make a significant impact on these diseases and created an NTD earmark in 2006. With this funding, USAID has become a global leader in large-scale implementation of integrated treatment programs for NTDs. During 2006-2009, under various mechanisms of support (see Section I, B.6), USAID scaled-up its investments through a competitive grants program<sup>2</sup> and targeted support<sup>3</sup> to include 14 countries by the end of 2009. In only three years, USAID has supported the delivery of over 221 million NTD treatments to over 55 million people, and is using its country-level experiences to contribute to the development of global norms and standards for integrated NTD control.

Despite this tremendous success, few countries beyond those supported by USAID have been able to take an integrated approach to national scale due to insufficient technical assistance, lack of global norms and standards, and financial constraints. USAID now has a unique opportunity to make a significant impact on the global burden of these devastating diseases by expanding the NTD Initiative.

Building on USAID's successful foundation and experience, new approaches to scaling up will be employed to maximize the public health impact of investments. Given funding availability, USAID will lead an effort to reduce the prevalence of seven of the most prevalent NTDs by at least 50% among 70% of the world's affected populations

USAID will continue to support integrated NTD control in the 14 countries already supported under the NTD Initiative. USAID plans to expand up to an additional 16 countries by 2014 (see box below). The selection of additional countries has not been finalized as of the date of this solicitation.

| Category                                                      | Countries                                                                                                                      |
|---------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|
| Existing countries supported (14 countries)                   | Burkina Faso, Ghana, Mali, Niger, Uganda, Haiti, Sierra Leone, S. Sudan, Bangladesh, Nepal, Cameroon, Togo, Tanzania, DR Congo |
| Additional countries to be added by 2014 (up to 16 countries) | To be determined                                                                                                               |

<sup>2</sup> Burkina Faso, Ghana, Uganda, Sierra Leone, Mali, Haiti, S. Sudan, Cameroon, Togo, Bangladesh, Nepal, Niger under RTI International

<sup>3</sup> Tanzania, DRC under the African Program for Onchocerciasis Control (APOC)

Countries will be selected based on:

- Existing national policy and multi-year plan of action consistent with WHO guidelines, or government willingness to prepare a plan
- Focal point for the integrated approach to addressing the seven targeted NTDs, or government commitment to appoint one
- Existing government plan to sustain and/or increase national financing for NTD control
- Government willingness to actively plan for, seek and coordinate the delivery of drug donations for NTD control; and ensure duty-free import of drugs
- Prevalence of at least two overlapping NTD disease burdens (for the purposes of prioritization, STH will be considered as one disease), if in Africa or Asia
- Documented financial need for support (for example, an analysis of existing and potential financial resources among partners/donors in country and identified gaps in resources for NTD control)

### B.3 The Integrated Approach to NTD Control

Historically, Ministries of Health in disease-endemic countries have supported the control of NTDs through parallel programs. For example, a national schistosomiasis control program was managed alongside a national lymphatic filariasis control program. Each had its own plan, funding stream, drug supply chain systems, M&E, and PCT campaigns. If funding was available for one program, it may have been able to implement PCT while its sister program was unable to do so. Epidemiologically, there is considerable overlap of these diseases at the individual and community levels. Controlling one of the NTDs and not others that can be managed through a similar strategy is inefficient at best. Research has resulted in sufficient evidence to suggest that co-implementation is safe for communities, feasible to implement and efficient. WHO has endorsed the co-implementation of PCT, an approach also referred to as the integrated approach to PCT.

The goals of USAID's NTD Initiative represent an ambitious scale-up of the integrated approach to PCT promoted by WHO through its PCT Strategy. These new awards will contribute to the NTD Initiative by enabling USAID to continue to scale-up successful NTD control programs implemented by NGO partners in disease endemic countries.

It should be noted that even though the integrated approach taken by the Initiative combines certain elements of disease control programs, there are important technical considerations for each disease. Disease-specific expertise must be maintained at country-level and appropriate technical assistance made available to further the development of the response to each disease. The integrated package will continually be modified to take into account progress in any individual disease field. Well-established disease specific targets exist for most of the diseases that must be taken into account. The integrated approach to PCT recognizes the importance of these targets and presents an opportunity to accelerate their achievement.

The core principles that will guide USAID's investments in NTD control include the following:

- 1) The governments of disease-endemic countries are the owners and leaders of their national NTD control programs. USAID will stimulate increased government commitment for NTDs within disease-endemic countries and will support government leadership in the implementation of expanded integrated programs.
- 2) USAID funds will not replace government, community or other external funding. USAID will only support countries that have documented financial need for support. USAID will actively coordinate with other bi-lateral donors and international agencies to ensure the complementarity and leveraging of USG resources at global and country level.
- 3) At least 80% of USAID's funding will support the full continuum of activities related to provision of PCT in disease-endemic countries, such as social mobilization, drug supply chain management, training, supervision, surveillance, etc.<sup>4</sup> This principle has been achieved in the 3 years of implementation of the current USAID-funded NTD control program.
- 4) USAID will work closely with the pharmaceutical industry to expand existing and establish new public-private partnerships that facilitate access to an affordable, quality-assured drug supply in support of PCT implementation.
- 5) USAID funding for NTD control will leverage and complement the resources of other USG platforms, such as the President's Malaria Initiative (PMI), basic education, water & sanitation, and maternal and child health, through the development of linked country-level work plans in countries where USAID-supported NTD control programs overlap with other initiatives.

#### B.4 Phased Approach to Introduction and Scale-Up

Disease endemic countries are at various stages of implementing NTD control programs. The continuum includes:

- Some countries that require only limited inputs to expand existing programs to national scale.
- Many countries that do not yet have all the needed policies and systems in place to support integrated NTD control and are not in a position to scale-up until these issues are addressed. For example, countries new to the integrated approach to NTD control may not have developed a national plan for the strengthening of integrated NTD control, or may not have inventoried the available resources – human, organizational and financial – that exist in governmental and partner agencies across the country. Such countries may require focused technical assistance before proceeding with implementation of integrated NTD control.
- In others, the magnitude and geographical details of NTD prevalence have not been mapped sufficiently to inform programming of integrated PCT.

Accordingly, USAID will undertake a phased approach to introduction and scale-up of integrated PCT that will simultaneously target countries that are at various stages of implementation.

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<sup>4</sup> The target diseases are only those amenable to control through PCT, including trachoma, schistosomiasis, onchocerciasis, soil-transmitted helminthes, and lymphatic filariasis

## B.5 Global Technical Leadership and Surveillance

As the leading bi-lateral donor to NTD control, USAID boasts support for some of the first experiences in nationally-scaled programs for NTDs and is well-positioned to contribute its country-level experiences and disease expertise to the establishment or updating of international norms and standards for NTD control. All USAID-funded NTD control programs and activities will support and actively contribute to the development of evidence-based international guidelines, norms and standards for integrated NTD control in collaboration with international agencies such as WHO. In collaboration with WHO, USAID will also support the global surveillance and monitoring of NTDs and the progress toward their elimination.

## B.6 Other USAID support for NTD Control

**B.6.1 RTI International (RTI):** RTI was awarded a cooperative agreement for scaling up integrated control of NTDs, covering the period October 2006-September 2011. This has been USAID's flagship project for delivery of PCT, through integrated programs in 12 countries. The project was designed with an important grant-making component to direct funding to partners working closely with and in support of Ministries of Health in disease endemic countries. The project also contributes to the development of global technical standards and policies.

**B.6.2 African Programme for Onchocerciasis Control (APOC):** USAID has been a long-standing supporter of APOC, including a current grant to support the use of the community-directed treatment platform to provide integrated NTD control in selected countries. This agreement runs through 2013 and currently targets two countries.

**B.6.3 World Health Organization:** USAID supports WHO directly for its normative functions, targeted and long-term technical assistance in disease endemic countries, and global surveillance. This support will continue through an umbrella agreement.

**B.6.4 U.S. Centers for Disease Control and Prevention (CDC):** USAID provides funding to CDC to support their involvement in operational research, mapping and surveillance, and targeted technical assistance. This support will continue through an inter-agency agreement.

**B.6.5 Latin America:** Considerable efforts over the past 2 decades to control the NTDs currently targeted by the USAID NTD program in the region have largely contained the epidemiology in Latin America to pockets of individual diseases scattered across the continent. Thus, there is not the same need for national-scale integrated programs as in other regions, but intense surveillance and targeted programming is needed and will be supported as part of the USAID NTD program. Several public-private partnership platforms such as a trust fund established by the Inter-American Development Bank and the Onchocerciasis Elimination Programme of the Americas (OEPA) will be considered for support, in addition to support to individual countries. Funding to this region will be commensurate with the epidemiological burden.

## C. STRATEGIC INTENT

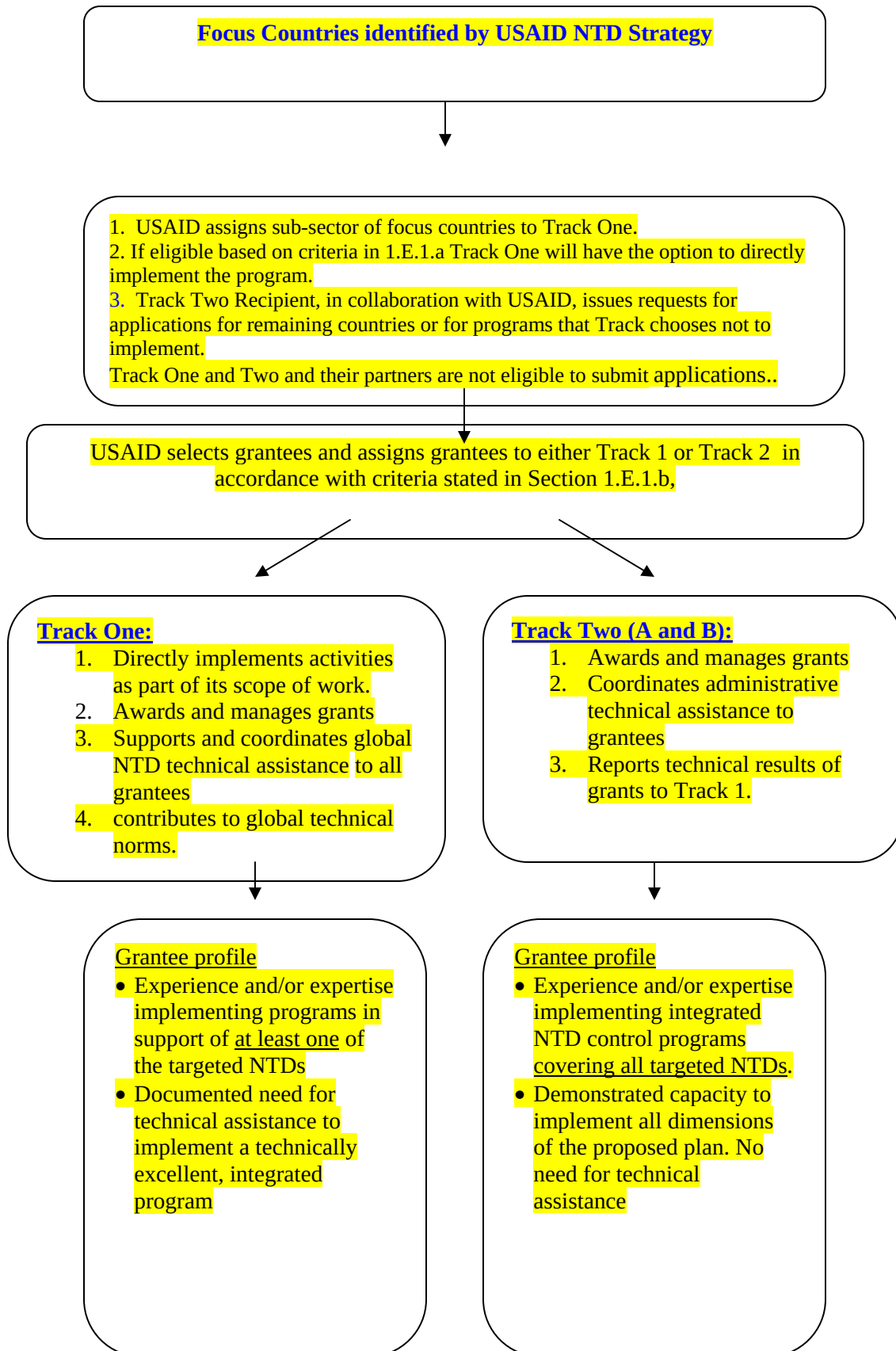
USAID intends to award three (3) cooperative agreements through this RFA (see figure 1). Applicants must identify the track under which they wish to be considered. A single applicant can only apply as the prime recipient for either Track One or Track Two. Applicants applying for Track Two must specify the region (Africa or Asia) for which they wish to be considered. A

single applicant can apply as the prime recipient for Track Two(A) and Track Two(B), however, separate applications must be submitted for each region and will be evaluated independently of one another. USAID is seeking three awards in order to achieve the following efficiencies over a single award, while maintaining technical excellence:

- a) Cost: The three awards enable USAID to support the minimally appropriate technical and managerial assistance to partners engaged in integrated NTD control to expand their coverage and scope, based on the experience and capacity of the partner and regional specificity. USAID anticipates higher costs to be incurred for the administration of Track One as the prime recipient will need to host considerable technical depth within its team to directly implement programs and/or support new partners requiring technical assistance to bolster implementation results and to contribute to the development of global technical norms and standards. Meanwhile, costs incurred under Track Two are expected to be lower as the same level of technical input will not be required for partners with more extensive experience in the full range of integrated NTD control activities.
- b) Timeliness: USAID seeks to minimize any delays in having support reach disease-endemic countries, while maintaining technical excellence. Having two tracks enables USAID to accelerate implementation among some partners not requiring technical assistance for most aspects of program design and implementation.

The cooperative agreements under Track One and Track Two differ with respect to the level of engagement required by the prime recipient(s) in providing NTD technical expertise in support of country programs and their level of scientific/technical contribution to the global NTD community.

Figure 1. Complementarity of Awards Schematic - Track One and Track Two (A and B)



## D. GOALS AND OBJECTIVES

The results of the Cooperative Agreements awarded under Track One and Track Two(A and B) will be measured by the number and proportion of affected people reached by the program, cost-savings of the integration efforts, and changes in disease prevalence. These results will contribute to USAID's efforts, given funding availability, to reduce the prevalence of seven of the most prevalent NTDs by at least 50% among 70% of the world's affected populations

All three Cooperative Agreements will support the introduction and/or scale-up of integrated NTD control programs by supporting country-level processes, as needed, including:

- Promoting political commitment by disease-endemic country governments to integrate formally vertical programs and build capacity by dedicating a staff person to the management of the integrated program.
- Mapping of the prevalence of the seven targeted NTDs to determine the appropriate treatment combinations for each community and to establish the baseline against which progress can be measured.
- Development of a 5-year plan of action for controlling the 7 NTDs that is fully costed, includes system strengthening and capacity building components and is led by the Ministries of Health and Education.
- Establishment of an intra-country coordinating committee led by the Ministry of Health to harmonize donor, NGO and government partner inputs; and ensure the inclusion of NTD control in relevant health sector strategies, poverty reduction plans and other development plans.
- Detailed annual implementation plans that highlight the role of all local implementing partners in creating a treatment network that covers all eligible communities that takes into account all financial and human resources available to the Ministries for implementation as well as the capacity building needs of the local implementing partners and Ministries to address NTDs, and that utilize existing service delivery platforms such as child health days, immunization campaigns, bed net and vitamin A distribution, school health weeks, etc.
- Coordinated and timely applications for drug donations, procurement of non-donated drugs, rational drug forecasting, and inventory and stock management.
- Preparation and implementation of PCT, including training community health workers, community and social mobilization and information, education, and communication (IEC), M&E, supply management, etc.
- Build capacity of health workers in morbidity management, including surgery, for lymphatic filariasis and trachoma.
- Strengthen surveillance systems and capacity to assess progress toward elimination, and status post-elimination.

If funding allows, awards under this RFA may include support for grants for the management of severe morbidity associated with the targeted diseases. In particular, health



systems may be supported to provide surgery to prevent blindness due to trachoma and surgery for hydroceles resulting from lymphatic filariasis. Care for lymphodema may be incorporated in health care messages and appropriate soap may included in care packages.

## E. TECHNICAL AREAS

### E.1 Track One

#### E.1.a Overview

The Cooperative Agreement awarded under Track One will comprise the following activities:

- Direct implementation of integrated NTD control activities in support of disease-endemic government NTD control plans
- Coordination of grants; provide guidance to grantees (building technical, administrative, and management capacity of implementing partners working in countries in support of disease-endemic government NTD control plans)
- Provide global technical leadership and policy development
- Coordinate technical assistance and capacity building
- Manage knowledge and data to capture prevalence, treatment, and other data related to NTD control, documentation and dissemination of experiences and best practices that contribute to lessons learned from implementation and which will contribute to future programs. The Track One Recipient will maintain a master database for compiling and analyzing all data across all the agreements.
- Collaborate and Coordinate among a wide variety of NTD stakeholders at various levels (e.g., Ministries of Health, NGO implementing partners, NTD drug donation programs, World Health Organization, etc.)

The Track One Recipient will be eligible to directly implement activities in selected countries where they meet the following criteria and in agreement with USAID:

- a) Has an existing presence in the country (e.g. currently registered as an official non-government organization with an office and relevant staff)
- b) Has at least 2 years of experience implementing NTD control activities in the country, and
- c) Disease-endemic country government agrees to work with the partner

If the Prime Recipient does not meet these criteria or chooses not to directly implement the program in a given country, the following process will ensue.

Track Two Recipient, in collaboration with USAID, will solicit applications for countries not directly implemented by Track One. Track One and Two recipients, sub-recipients, or their partners, if in a consortia, are not eligible to submit applications. Track Two Recipient, sends applications to USAID for review. USAID selects grantees and assigns grantees in accordance with criteria stated in Section 1.E.1.b, to either Track 1 or Track 2 to award

Grantees assigned by USAID to Track One will be those grantees with limited or no experience implementing fully integrated NTD control programs (i.e. experience in implementing control of one NTD but not all experience implementing a fully integrated NTD program for less than two years), and/or limited or no experience with advanced financial accounting and fiscal management systems, i.e. lack existing pre-award audit.

#### **E.1.b Coordination of Grants (reference figure 1)**

USAID recognizes that the integrated approach to managing NTDs is relatively new and reflects a shift away from vertical programs in many Ministries of Health. Some Ministries of Health may not yet have a plan for integrated NTD control or the human resource/administrative structure to support its implementation. Furthermore, many technical partners have expertise in one disease area but not across the range of the seven NTDs targeted by the USAID NTD program. For these reasons, the Cooperative Agreement awarded under Track One will include a grants component whereby the Prime Recipient will provide technical guidance, mentorship, training and careful managerial oversight of funds to grantees that are not eligible for grants under the Track Two agreement(s). Grantees assigned to Track One are those who have experience in implementing control of one NTD but not all, experience implementing a fully integrated NTD program for less than two years, and/or limited or no experience with advanced financial accounting and fiscal management systems, i.e. lack existing pre-award audit.

The grants component will ensure the flow of funding to appropriate technical partners with established working relationships with Ministries of Health and Education in disease-endemic countries, while building the capacity of these partners in technical and managerial aspects of implementing nationally-scaled, integrated NTD control programs.

The prime recipient of the Track One Cooperative Agreement will coordinate required technical assistance to the partner governments and grantees to ensure technical excellence in programming. The aim will be to support the nationwide expansion of integrated NTD control. It is anticipated that grantees may move between the two tracks during the life of the awards, based on their changing capacity. USAID will be substantially involved in this coordination process.

#### **E.1.c Technical leadership and policy development**

The recipient of the Track One Cooperative Agreement will have involvement with numerous country-level NTD control activities and as such, will be able to identify key technical constraints or uncertainties that require an evidence-based response. In collaboration with USAID, the Track One recipient will address technical assistance needs, convene periodic expert panels to reach consensus on appropriate responses, and disseminating guidance to country programs. The recipient will contribute country-level experiences and disease expertise to the establishment or updating of evidence-based international guidelines, norms and standards for integrated NTD control in collaboration with international agencies.

#### **E.1.d Coordination of technical assistance and capacity building**

The recipient of the Track One Cooperative Agreement will provide technical assistance and managerial mentorship to grantees. In addition, it is anticipated that the recipient will need

to provide technical assistance to countries/programs supported under USAID's other mechanisms, including Track Two grantees, and USAID Missions.

USAID recognizes that there are common technical assistance needs across many disease-endemic countries, while there remain needs specific to a given country. Meanwhile, the potential to provide sufficient technical assistance for the ambitious scale-up planned will be challenging given the global shortage of expertise for implementing integrated NTD programs. The Track One recipient will employ a technical assistance approach for NTD control that addresses the priority needs, supports individual country programs, maximizes cost-effectiveness and builds appropriate local and global capacity.

#### **E.1.e Data management, documentation and disseminating best practices**

The recipient of the Track One Cooperative Agreement will maintain a database to capture prevalence, treatment and other data related to NTD control for all countries supported under Track One. The recipient of the Track One Cooperative Agreement will also incorporate data received from the Track Two Recipient(s) into this database and analyze results from the aggregate data. The recipient will document the experiences of the integrated NTD programs supported under Track One, including lessons learned from implementation and best practices for future programs. The recipient will present these data and lessons learned through publications, international meetings, etc. The recipient will present to USAID both Track One-specific and aggregate data from all Tracks.

#### **E.1.f Collaboration and Coordination**

The success of Track One will depend largely on the recipient's ability and capacity to foster collaboration between Ministries of Health, Ministries of Education, pharmaceutical donation programs, networks of local NGOs and partners, international agencies and donors. In particular, the recipient must coordinate and collaborate with the WHO and participate in relevant global working groups. The recipient must also work with USAID missions in the provision of technical assistance and support at the country level.

### **E.2 Track Two (A and B)**

#### **E.2.a Overview**

The aim of Track Two is to expand integrated NTD control in highly prevalent countries. This award will provide support to and coordination of partners with significant expertise in implementing integrated NTD control programs and experience with advanced financial accounting and fiscal management systems to enable rapid expansion of integrated NTD control programs in priority countries, in alignment with the national plans of disease-endemic country governments. USAID intends to award two Cooperative Agreements under Track Two. Track Two(A) will focus on countries in Africa and Track Two(B) will focus on countries in Asia. The cooperative agreements awarded under Track Two will comprise the following:

- Support to partners to implement programs in support of disease-endemic government NTD control plans; including sub-grant management and support to ensure compliance with USAID accounting, procurement and other regulations
  - o Track Two(A) award in Africa; Track Two(B) award in Asia

- Coordination of technical assistance, such as budgeting, work planning, M&E systems, for strengthening management capacity among implementing partners and Ministries of Health
  - o Track Two(A) award in Africa; Track Two(B) award in Asia

### **E.2.b Issuance and management of grants (reference figure 1)**

USAID recognizes that there are partners with considerable expertise working with disease-endemic country governments in support of integrated NTD control. These partners will require less NTD technical mentoring and oversight. In addition, there are countries with networks of implementing partners working across the country that may be supported as a coalition under the technical leadership of the Ministry of Health. USAID wishes to accelerate the activities of these partners with streamlined management and oversight, while also benefitting from the potential cost savings of providing the required level of managerial oversight. The Cooperative Agreements under Track Two will support the management of grants to this group of partners and provide managerial technical support for budgeting, work planning, and M&E systems. NTD technical direction and decision-making will be coordinated directly by USAID. The Track Two(A) award will be granted in support of work in Africa and the Track Two(B) award will be granted in support of work in Asia.

USAID will identify any new countries to be added for support under each cooperative agreement in Track Two. The recipients of the corresponding Track Two Cooperative Agreements will coordinate the launch and management of a competitive process for selecting a sub-grantee(s) for each country identified for support by USAID, with USAID coordinating all technical inputs. Track Two(A) will include countries in Africa; Track Two(B) will include countries in Asia. USAID will mobilize disease-endemic country government counterparts, USAID mission staff and other relevant technical experts to select grantees. USAID will determine if the sub-grantee selected for each country will be managed under the Track One or Track Two management structure. It is anticipated that grantees may move between the two tracks during the life of the awards, based on their changing capacity.

### **E.2.c Coordination of technical assistance and capacity building**

Track Two recipients are not required to have extensive NTD-specific technical expertise, as all sub-awardees will house this expertise. However, USAID recognizes that some NTD-specific technical assistance needs may arise throughout the life of the project. USAID will directly coordinate the provision of NTD-specific technical assistance to countries supported under Track Two. Track Two recipients will be expected to communicate technical constraints or uncertainties to USAID directly to enable appropriate support to be initiated and conducted. The Track Two recipients will coordinate and ensure appropriate managerial technical assistance; e.g. work planning, M&E, to the grantees and countries supported under the Track Two Awards, to include implementing partners and Ministries of Health.

### **E.2.d Data management, documentation and disseminating best practices**

The recipients of the Track Two(A) and Track Two(B) Cooperative Agreements will maintain a database to capture prevalence, treatment and other data related to NTD control for all countries funded under the relevant Track. These results will be reported to USAID and the Track One Recipient. The Track One Recipient will maintain a master database for compiling and analyzing all data across the agreements.

### **E.2.e Collaboration and Coordination**

The success of the Track Two awards will depend largely on the recipients' ability to launch and effectively coordinate a competitive processes for selecting a sub-grantee(s) in countries identified for support by USAID and to efficiently provide streamlined financial management and to build management capacity among the sub-grantee(s) selected by USAID for support under the relevant Track (A or B).

## **F. MONITORING AND EVALUATION**

M&E is critical to demonstrating the additional therapeutic and geographic coverage attributable to USG funding as well as to document the reduction in the prevalence of the target diseases. Building on the existing M&E systems developed for the individual disease control programs, the USAID-funded NTD Program has worked closely with other key stakeholders, including WHO and the CDC, to develop a state of the art M&E framework for measuring the integrated delivery of PCT. This framework facilitates the collection of a standard set of data that allows comparison across time, geographical regions and diseases. The M&E framework includes a set of indicators and tools that both provide numbers for the donors as well as useful instruments for country program managers. This M&E framework to date has focussed on counting the number of drugs delivered, number of persons treated and number of diseases being targeted; on assessing treatment coverage; and on describing efficiencies gained through using an integrated approach.

This framework will be used in every country where USAID supports integrated NTD programs, including countries supported by Track One and Track Two of this RFA, and will include:

- Initial disease prevalence mapping with assessment of prevalence every five years
- Treatment monitoring during PCT campaigns
- Monitoring and reporting of serious adverse events
- Validation of treatment coverage results
- Drug forecasting and supply management
- Financial inputs to country NTD programs
- Global surveillance and tracking of LF elimination progress

The tools which have been developed and/or implemented with USAID funding and will be introduced in expansion countries include:

- M&E plan. This plan outlines the indicators that are to be measured and sets these within a strategic framework.
- Baseline Disease Prevalence and Monitoring Form: This form contains existing information on the current known endemicity of NTDs in each country, by district using the disease-specific mapping criteria for each NTD. The baseline data is collected at the start of country implementation and updated with subsequent assessment results. The baseline form also collects data on MDA activities prior to USAID funding.
- Annual Work plan Guidelines: The guidelines provide an outline for a successful country work plan, and specify annual program targets for coverage, geographic scale

up, numbers of workers trained, and proposed program implementation timelines. Appendix A of the work plan, contains the implementation targets and links to both the baseline and MDA coverage forms, as a means of checking for consistency and rational annual planning.

- **MDA Coverage Reporting Form:** This standard form collects MDA coverage information at the district level collected from the community level using PCT registers. The MDA results are compared to the baseline data, updating and confirming program progress by country, district, drug package and disease.
- **Post-MDA Survey Manual:** This monitoring tool provides country managers, program staff, and researchers with practical up-to-date guidelines on how to plan and implement a cluster design survey that is used to validate reported coverage rates, track gender inequities, measure the access of school age children to treatment, assess the effectiveness of social mobilization and of drug distributor adherence to guidelines.
- **Budgeting Tool:** The NTD Control Program developed a budgeting tool that allows country programs in developing budgets for integrated NTD control programs for national plans of action and annual work plan development. The budgeting tool allows NTD program managers to enter real cost information for local inputs into a standard template, and to generate data on the cost of implementation by program element (i.e., training, IEC, supervision, personnel, technical assistance, etc.) as well as the contribution of various donors. The tool specifically focuses on quantifying the in-kind contribution of local governments, often consisting of staff time, use of facilities and other difficult to determine inputs.

## **G. CROSS-CUTTING THEMES**

The Cross-Cutting Themes listed below are applicable to both Track One and Two:

### **G.1 Gender Considerations**

The ability to identify and address gender constraints is an important element in the design of appropriate and sustainable programs. The cultural norms and values associated with being male or female can affect access to treatment. The Cooperative Agreements awarded under this RFA will monitor equitable coverage of NTD treatment and services for all countries supported under both Track One and Track Two, and will explore ways to improve equality of services if needed.

### **G.2 Building on existing platforms**

This program will not provide funding beyond NTDs; however, USAID is interested in leveraging other platforms and resources to support NTD control/elimination. Integration efforts need not be limited to the seven targeted NTDs; integration with other infectious disease programs, immunization campaigns, Vitamin A or bed net distribution, water and sanitation activities and other platforms are also possible. The selection of the public health interventions to be linked with these NTD programs should reflect local opportunities (i.e., local needs, capabilities, resources). As a result, each integrated program will have a somewhat different 'look,' since program integration will be tailored by national health leaders to adapt to local circumstances. The principles underlying these programs, however, will remain the same.

## **SECTION II. AWARD AND ADMINISTRATION INFORMATION**

### **A. Anticipated Award Schedule**

It is anticipated that three (3) five-year, Cooperative Agreements will be awarded by September 30, 2010.

### **B. Eligibility Criteria**

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

1. Be a U.S. or non-U.S. based institution, for-profit, non-profit, or private voluntary organization
2. Have experience and/or capacity in awarding and administering grants (Tracks One and Two) and working in the area of NTDs described in this RFA (Track One only);
3. Agree to work with and hire individuals that have managerial expertise in managing grants (Tracks One and Two) and technical expertise in the NTDs described in this RFA (Track One only);
4. Have managerial, technical and institutional capacities to achieve the results outlined in this RFA; and,
5. Have the capacity to collaborate with other organizations/groups to mobilize resources and disseminate best practices.

### **C. USAID Management**

The Agreement Officers Technical Representative (AOTR) will serve as the primary contact between USAID and the Recipients of each cooperative agreement. The AOTR will be based in GH/HIDN and will assist the project in linking with other GH projects, Mission bilaterals, and other donors/foundations. In addition, technical input will be provided by Missions for management of activities supported by field support funds.

### **D. Substantial Involvement**

USAID shall be substantially involved during the implementation of the Cooperative Agreements issued under this RFA in the following ways:

#### **Track One**

1. Approval of the recipient's annual work plans, including: planned activities for the following year, international travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement;
2. Approval of and any changes to specified key personnel;

3. Agency and recipient joint participation, including: selection of technical oversight board members, sub-grant recipients, and concurrence on the substantive provisions of the grants; and coordination with other cooperating agencies; and
4. Approval of M&E Plan

### **Track Two**

1. USAID will assist the recipient of the Track Two awards to achieve the objectives of the agreement through technical support and joint drafting of the program description for the competitive grants, including the topics, selection criteria, and funding levels for grant applications
2. USAID will assist the recipient(s) of the Track Two to achieve the objectives of the agreement through USAID participation in Track Two convened technical review panels for review of grant applications and development of recommendations of the final list of grants for funding under Track Two.
3. Approval of the recipient's implementation plans, including: planned activities for the following year, international travel plans, planned expenditures, knowledge management plans, event planning/management, research studies/protocols, and changes to any activity to be carried out under the Cooperative Agreement;
4. Approval of and any changes to specified Key Personnel
5. Agency monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects as described in the Program Description.
6. Approval of M&E Plan.

### **E. Authorized Geographic Code**

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

### **F. Reporting Requirements**

The recipients will adhere to all reporting requirements listed below. As required under Substantial Involvement, all reports shall be submitted by the due date for approval of the USAID AOTR designated by the Bureau for Global Health. The recipient will consult the AOTR on the format and expected content of reports prior to submission. In addition to the reports below, the AOTR may request additional information to contribute to the internal USAID portfolio reviews.

#### **1) Financial Reports**

Financial reporting requirements will be in accordance with 22 CFR 226. A copy of the SF-269 and updated GH baseline pipeline/burn rate monitoring form shall be submitted



quarterly to the AOTR. In addition, analysis of the financial situation will be included in the semi-annual report and linked to performance.

## **2) Performance Monitoring and Reporting**

The Applicant will submit reports to the AOTR as described below. The exact format for preparation of and timing for submission of all reports will be determined in collaboration with the AOTR.

### *a. Annual Work Plan*

Within 60 days of signing the cooperative agreement, the Recipient will be required to submit a work plan following the requirements below. The work plan for subsequent years will be due to the AOTR for approval 30 days prior to the start of the new fiscal year. The work plan serves several purposes including a guide to program implementation, a demonstration of links between activities, strategic objectives and intended results, a basis for budget estimates and the foundation for the M&E plan for the activities under this agreement. The work plan, at a minimum, should include:

- Brief situation analysis that details how the program contributes to national, regional, or global strategic plans and poverty reduction strategies in the context of what other donors and implementing partners and host-country governments are contributing;
- Life-of-program achieved upon results;
- Milestones towards achieving those results;
- Activities to be accomplished that year related specifically toward achievement of milestones;
- Level of effort required in terms of key staff and support staff time and financial resources;
- Partner involvement and contributions to achieving the results;
- Timeline.

Work plans should be organized to clearly link activities to the goals and objectives, with delineation of core versus field-support funded activities. The work plan is negotiated with the AOTR in consultation with program managers and Mission staff. The plan will outline key activities under core and field support funds for the year and any anticipated core-funded country-specific work. Work plan budgets should delineate an overall budget, budget per activity, and core versus field-support.

All activities that cannot be completed within one year; i.e. one work planning cycle, will be proposed with multi-year budgets and timelines to reflect anticipated completion dates. In addition, the work plan should include a performance monitoring plan. This plan will be negotiated and approved as part of the work plan.

### *b. Semi-Annual Performance Monitoring Reports*

Throughout the life of the cooperative agreement, the recipient will be required to submit semi-annual technical reports to the AOTR within 45 days following the end of the reporting period. Reports should briefly document actual accomplishments toward the program objectives, intermediate results, and milestones. The performance monitoring report at the end

of the year should be a summation of the results and progress toward results made during that year and should be directly linked to the annual work plan. This will include information on activities in all countries and regions. The reports must include the following:

- Description of quantifiable output of the programs including accomplishments, lessons learned, and indicators;
- Description of the obstacles and their effect of meeting established goals, if appropriate, and remedies or actions undertaken or planned to address these obstacles;
- Analysis and explanation of costs including any overspending or high unit costs; and,
- Outline the next steps for the next reporting period.

Notification must be given in the case of problems, delays or adverse conditions which materially impair the ability to meet the reporting deadlines. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.

### *c. Final Report*

As USAID requires, 90 days after the completion date of this agreement, the Recipient(s) shall submit a final report which includes: an executive summary of the Recipient's accomplishments in achieving results and conclusions about areas in need of future assistance; an overall description of the Recipient's activities and attainment of results by country or region, as appropriate, during the life of the Cooperative Agreement; and assessment of progress made toward accomplishing the Objective and Expected Results; significance of these activities; comments and recommendations; and a fiscal report that describes how the Recipient's funds were used. Reference 22 CFR 226.51.

The Recipient(s) shall submit an original and one copy of the final report to the AOTR and one copy to the USAID Development Experience Clearinghouse: E-mail (the preferred means of submission) is: [docsubmit@dec.cdie.org](mailto:docsubmit@dec.cdie.org). The mailing address via U.S. Postal Service is: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210, Silver Spring, MD 20910.

## **G. Management Review and External Evaluations**

The annual work plan will form the basis for an annual management review by USAID and program staff to review program directions, achievement of the prior year implementation plan objectives, and major management and implementation issues, and to make recommendations for any changes as appropriate. During the third year of the project, USAID may conduct an external mid-term evaluation. In year five USAID may conduct a final evaluation to review overall progress.

### **SECTION III: COOPERATIVE AGREEMENT APPLICATION FORMAT**

#### **A. General Instructions**

Applicants are required to submit one (1) original plus five (5) copies of a technical application and one (1) original plus two (2) copies of the cost/business application. In addition to hard copies, technical and cost/business applications must be submitted on separate CD ROMs in Microsoft Word 2000. Any graphics/tables must be formatted in MS Word 2000 or Excel 2000. Additionally, both the Technical Application and the Cost Application should be double sided.

All copies of the technical and cost/business applications must be placed separately in sealed envelopes clearly marked on the outside with the following words **"RFA No. OAA-10-000007"** with the contents indicated: e.g. "Technical or Cost/Business (as appropriate) Application. Applications must be submitted to the location indicated in the cover letter accompanying this RFA by the date and time specified. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section IV.D addresses the technical evaluation criteria for the applications. Late applications will not be considered for award.

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

Applicants must specify if they are applying under Track One, Track Two(A) or Track Two(B). A single applicant can only apply as the prime recipient for either Track One or Track Two. Applicants applying for Track Two must specify the region (Africa or Asia) for which they wish to be considered. A single applicant can apply as the prime recipient for Track Two(A) and Track Two(B), however, separate applications must be submitted for each region and will be evaluated independently of one another.

The Government may award one or more Cooperative Agreements resulting from this RFA to the responsible applicant(s) whose application(s) meet the requirements of this RFA and offer the best value, cost and other factors considered. The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications meeting the applicable standards of this RFA, and (e) waive informalities and minor irregularities in the applications received. Applicants that do not meet the eligibility requirements of this RFA will not be considered for award.

A complete application shall address all items requested under the sections listed below. Page limitations are as stated. Pages in excess of stated limitations will not be considered. Specific instructions for submitting appendices are included in the relevant sections. Applicants may only include appendices that are requested in this RFA. Any additional appendices will not be considered. Applicants should define any acronyms used in the application.

A USAID Technical Evaluation Committee will review and evaluate the written components of the application in accordance with the selection criteria.

Cost Share<sup>5</sup>: A cost share minimum of 10% of the Award's projected value is required for Track One and Track Two applications. For this purpose, Applicants for Track One should use \$250 million as the estimated value of the award. Applicants for Track Two should use \$100 million each as the estimated value of an award under Track Two(A) or Track Two(B). 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.

## **B. Technical Application**

The technical application is limited to a total of 38 pages, including the cover page and executive summary. Please note that the requirements for the Cover Page and Executive Summary are the same for both Track One and Track Two. The instructions for the Narrative portion of the Technical Application differ by Track and are clearly delineated. An outline format using lists and/or other matrices, whenever possible, is recommended. All sections shall be written in 12 point Times New Roman font single spaced with one inch margins.

The Technical Application shall be prepared using the following format:

- Cover Page (1 page): Include proposed Project Title, RFA Number, name of the organization(s) submitting the application, the total proposed funding level, the estimated cost share, contact person and their telephone and fax numbers, e-mail, and address. The cover page must indicate the Track (One or Two) for which the Application should be considered. Applications for Track Two must specify Track Two(A) or Track Two(B).
- Executive Summary (not to exceed 2 pages): Briefly describe the proposed activities, goals, purposes, and anticipated results. Briefly describe the technical and managerial resources of the proposed organization(s). Describe how the overall program will be managed by summarizing the management and staffing arrangements. Indicate the names, roles and levels of effort of the people who prepared the technical application as well as the name of at least one representative of the Applicant who has reviewed the technical application in its entirety prior to submission.
- Narrative (not to exceed 35 pages, excluding appendices): The narrative section of the application should contain the following elements listed separately below for each track.

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<sup>5</sup> For guidance on cost sharing in grants and cooperative agreements, please see 22 CFR 226.23

<http://ecfr.gpoaccess.gov> and search under Title 22 Foreign Relations

## **B.1 TRACK ONE NARRATIVE ELEMENTS**

### ***1. Technical Approach (24 pages)***

- a) The applicant should present the proposed approach that will demonstrate an overall understanding of issues relating to implementing nationally scaled NTD program, demonstrates capacity to provide technical and/or managerial assistance to multiple countries and grantees. Applicants will need to specifically address the five component activities listed below for Track One.

#### **i. Direct implementation and /or Coordination of Grants**

To demonstrate the proposed approach, a 2-year work plan should be included for a sample country that will be newly introducing an integrated approach to the management of NTDs. The workplan must describe:

- How a decision will be made to either directly implement or to award a grant.
- How the level of budgetary support would be determined for the sample country.
- How the recipient will coordinate with local and international partners in developing and implementing a work plan, including exploration of opportunities for integration with other development platforms.
- How the recipient will identify the need for and provide technical assistance, including a description of how the Recipient will mentor, train and oversee grantees
- The process for implementing and monitoring activities.
- Any new tools or guidelines that the applicant plans to develop to support direct implementation or grants management
- How the grant coordination process would function, in the case that the Prime Recipient would provide grant coordination rather than directly implement.

#### **ii. Technical leadership and policy development**

Applicants should include a description of the priority technical areas to be addressed through expert panels or other means in the first 2 years of the project, as well as, a description of how priorities will be set in future years. A description of how the recipient will contribute to the development of international policies and technical guidelines/standards should also be included.

#### **iii. Coordination of technical assistance and capacity building**

Applicants should include a description of the priority technical assistance and capacity building needs that can be anticipated in NTD endemic countries (including that which may be needed by government and implementing partners). Global technical assistance needs should also be described. Applicants should describe how the composition of the team, and technical assistance structure, will ensure access to disease-specific experts for each of the seven NTDs. A description of how the recipient will structure technical assistance to address these priorities should also be included.

**iv. Data management, documentation and disseminating best practices**

Applicants should describe the modalities that will be employed to systematically capture data on the USAID-funded activities and to share results. Applicants should also describe how they will translate lessons learned into global and country-level policy.

**v. Collaboration and Coordination**

Applicants must describe how they will coordinate with other technical assistance partners. Building on the 2-year work plan developed for component (i) above, the applicant must describe how the technical assistance model would be engaged to support the sample country.

**b) Monitoring and Evaluation**

Following the framework described in Section I.F, the applicant should describe a proposed strategy for managing the M&E system. A description of how the Applicant will translate lessons learned from M&E data into more effective project implementation on an ongoing basis should be included. Given that the prime recipient shall be responsible for tracking treatment coverage across USAID-funded countries and for measuring progress toward decreasing NTD prevalence, and that multiple USAID funding sources including USAID Bureaus and USAID Missions may contribute funds toward a particular objective, the Applicant should show how this monitoring system will have the capacity to report timely results and monitor indicators.

**c) Gender**

Applicants must describe how gender issues discussed in Section I.G.1 of this RFA will be addressed.

**d) Building on existing platforms**

Applicants should describe how the program will build on existing platforms at country level, as discussed in Section I.G.2 of this RFA will be addressed.

***2. Staff (suggested 3 pages)***

Applicants are expected to develop a comprehensive staffing plan that will enable achievement of the project results and demonstrates an appropriate balance of skills. The staffing pattern should include highly experienced individuals that are renowned in their fields.

The cooperative agreement will have minimum core staff, but be able to add additional technical staff in response to evolving needs. The proposed staffing pattern should explain how the Applicant will access expertise and skills while keeping staff costs as low as possible consistent with achieving desired results.

**Key Personnel.** The Applicant shall designate 2 key personnel for the following positions listed below. The proposed Key Personnel must have the demonstrated ability to address the objectives of the project as described in this RFA.

The applicant should include in the body of the Technical Approach a summary of key personnel (short bios) and how these individuals fit into the overall staffing/management plan. In an appendix, the applicant must provide the following

information for each Key Personnel: name, position title, level of effort, resume (no more than 3 pages), a minimum of three references, signed letters of commitment, and the date the proposed individual is available to begin work.

**a) Project Director (Key Personnel)**

The applicant is required to specify a Project Director. The project director is considered “key personnel” and must meet or exceed the qualifications listed below. This individual will be responsible for reporting and meetings with the project AOTR. The Project director will provide vision, direction, leadership, and management to the award. The Project director will serve as a resource on NTDs within the USAID Bureau for Global Health community of partners.

The Project Director must have the following attributes and qualifications:

- Advanced degree in tropical medicine, epidemiology, health management, or related field; minimum of master’s degree, MD or PhD preferred
- Demonstrated international credibility as a leader on matters of tropical diseases in developing countries
- At least 10 years experience working on international projects related to the subject area of this RFA
- At least 5 years experience leading international development projects of this scope and complexity
- Demonstrated management, leadership, decision making, and interpersonal skills
- Full professional proficiency in English with excellent oral and written communications skills
- A demonstrated ability to create and maintain effective working relations with senior Government personnel, international organizations, NGO partners, host country governments, and U.S. Government Agencies.

**b) Deputy Project Director (Key Personnel)**

The applicant is required to specify a Deputy Project Director. The Deputy Project Director is considered “key personnel” and must meet or exceed the qualifications listed below. This individual will be responsible for supporting the Project Director with his/her responsibilities and is expected be able to carry out the functions of the Project Director in his/her absence. The Deputy Project director will support the Project Director to provide vision, direction, leadership, and management to the award and serve as a resource on NTDs within the USAID Bureau for Global Health community of partners.

The Deputy Project Director must have the following attributes and qualifications:

- Advanced degree (minimum of master’s degree) in tropical medicine, epidemiology, health management, or related field;
- At least 10 years experience working on international projects similar to the subject area of this RFA
- At least 3 years experience leading international development projects of this scope and complexity

- Demonstrated management, leadership, decision making, and interpersonal skills
- Demonstrated ability to work with multiple partners on collaborative projects
- Demonstrated ability to manage staff
- Full professional proficiency in English with excellent oral and written communications skills
- A demonstrated ability to create and maintain effective working relations with senior Government personnel, international organizations, NGO partners, host country governments, and U.S. Government Agencies.

### **c) Other Staff and Consultants**

The applicant should present a staffing plan that states positions, duties, and qualifications for the positions and demonstrates how all aspects of the scope of work presented for this Track in this RFA will be covered. The applicant should include in the body of the Technical Approach a summary and a table that identifies all proposed staff members and includes the percent of time each person would work on this project, the organization from which each person comes, the person's title, areas of expertise and geographic regions of experience. CVs should be provided in an appendix for these staff.

In an appendix, the Applicant must present a roster of consultants- or staff-on-demand that would be available for short-term technical assistance to grantees, as needed.

### **3. Management and Organization (suggested 5 pages)**

The Applicant should propose a management structure to address the breadth and depth of technical skills, development experience, and policy experience, including at the country level, which is required to successfully undertake this activity. A one page organizational diagram should be included as an appendix. The application should at a minimum present:

- a) Management and administrative arrangements for overall implementation of the program, including:
  - organizational structure with lines of authority
  - technical and financial reporting
  - logistical support, personnel management, and procurement arrangements for goods and services
- b) Description of an approach for managing and coordinating partners or other collaborating organizations, including non-traditional and innovative partnerships both at the country level and at the program level, including:
  - how each partner or other collaborating organizations will be utilized to contribute to the overall strategy and implementation
  - how decision-making authority and strategic planning will be managed across all partners and between prime and sub-grantee award activities. In this regard, an application would be strengthened by providing a model management structure and decision-making protocol of all proposed partners



- how management challenges will be addressed such that the comparative advantage of each partner is applied
- c) How technical assistance needs in multiple countries and regions of the world will be addressed
- d) Realistic strategies or approaches for containing costs and leveraging other resources. The Applicant should describe how the activity would be organized and managed to minimize non-productive costs to the government such as multiple overheads and to use the complementary capabilities of partners most effectively.
- e) Description of ways to ensure transfer of lessons among staff and partners from one country and activity to other related programs
- f) Description of systems to ensure positive client relations, quality assurance, and rapid problem resolution

#### ***4. Work planning and Performance Monitoring (suggested 3 pages)***

- a) The Applicant should describe how work planning will be transparent and participatory, and will meet needs for ongoing consultation with USAID and other stakeholders, allow for adjustments, and enhance opportunities for in-country impact and sharing of lessons.
- b) A detailed strategic framework for monitoring performance toward achieving each of the technical areas should be provided, including expected timelines, benchmarks and indicators to monitor progress and impact over the life of the project. This should also include a way to assess the extent of the capacity built among their sub-recipients and national governments. Applicants should include a one page chart with timelines and benchmarks in the appendix.
- c) The Applicant should propose an approach for a cost-effective, results-oriented, and timely project management information system that would be available to all implementers and constituents and that will provide USAID with the information needed to plan and budget activities, track progress, and meet diverse and sometimes ad hoc information and reporting requirements.

#### ***5. Past Performance***

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

As an annex, please complete past performance information (form attached at Annex C) for three (3) past performance references which describe any contracts, grants, or cooperative agreements which the applicant organization, as well as any substantive sub-grantee partners, has implemented involving similar or related programs over the past three years. Please include the following information: name and address of the organization for which the work was performed; name and current telephone

number and email address of responsible representative from the organization for which the work was performed; contract/grant name and number (if any), the period of contract/grant performance, annual amount received for each of the last three years and beginning and end dates; brief description of the project/assistance activity and key project accomplishments / results achieved to date.

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

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

## **TRACK TWO (A and B) NARRATIVE ELEMENTS**

### ***1. Technical Approach (24 pages)***

a) The applicant should present the proposed approach that will demonstrate an overall understanding of issues relating to a grants program for nationally-scaled, integrated NTD control activities. **Applicants will need to specifically address the four component activities listed below for Track Two A or Track Two B.**

#### **i. Coordination of Grants**

To demonstrate the proposed approach, a 2-year work plan should be included for a country that will be expanding an integrated approach to the management of NTDs; i.e. either scaling-up coverage of an existing integrated program or integrating formerly vertical NTD programs at the national level. The work plan must include a description of how the level of budgetary support would be determined for the sample country. This section should provide detail of how the recipient will coordinate with local and international partners in developing and implementing a work plan, including exploration of opportunities for integration with other development platforms. Any new tools or guidelines that the applicant plans to develop to support direct implementation or grants management should be described.

Description of how the grant coordination process would function, including the timeline/process for launching of new grants, provision of M&E and short-term managerial technical assistance, as required.

#### **ii. Coordination of technical assistance and capacity building**

Applicants should describe how they will coordinate and ensure appropriate managerial technical assistance to grantees and countries. A description of how the recipient will structure managerial technical assistance to address the needs of grantees should be included. USAID will be coordinating the technical direction and decision-making of grants under Track Two; e.g. review of technical aspects of the country-level work plans. However, applicants should describe how they will monitor and communicate technical constraints or uncertainties to USAID. Building on the 2-year work plan developed for component (i) above, the applicant must describe how the technical assistance model would be engaged to support the sample country.

**iii. Data management, documentation and disseminating best practices**

A description of the modalities that will be employed to systematically capture data on the USAID-funded activities and to share results should be included. Applicants should also describe how they will support USAID to translate lessons learned into global and country-level policies.

**iv. Collaboration and Coordination**

Applicants must describe how they will coordinate the launch and competitive processes for selection of grantees in USAID identified priority countries.

**b) Monitoring and Evaluation**

Using the framework described in Section I.F, the applicants should describe a proposed strategy for managing the M&E system. Given that the prime recipient shall be responsible for supporting the grantees in tracking treatment coverage across USAID-funded countries and for measuring progress toward decreasing NTD prevalence, and that multiple USAID funding sources including USAID Bureaus and USAID Missions may contribute funds toward a particular objective, the Applicant should show how this monitoring system will have the capacity to report timely results and monitor indicators specific to each source.

**c) Gender**

Applicants must describe how gender issues discussed in Section I.G.2.a of this RFA will be addressed.

**d) Building on existing platforms**

Applicants should describe how the program will build on existing platforms at country level, as discussed in Section I.G.2.b of this RFA will be addressed.

**2. Staff (suggested 3 pages)**

Applicants are expected to develop a comprehensive staffing plan that will enable achievement of the project results and demonstrates an appropriate balance of skills. The staffing pattern should include highly experienced individuals that are renowned in their fields.

The cooperative agreement will have minimum core staff but be able to add additional technical staff in response to evolving needs. The proposed staffing pattern should explain how the Applicant will access expertise and skills while keeping staff costs as low as possible consistent with achieving desired results.

**Key Personnel.** The Applicant shall designate 1 key personnel for the Project Director position described below." The proposed Key Personnel must have the demonstrated ability to address the objectives of the project as described in this RFA.

The applicant should include in the body of the Technical Approach a summary of key personnel (short bios) and how these individuals fit into the overall staffing/management plan. In an appendix, the applicant must provide the following information for all Key Personnel: name, position title, level of effort, resume (no

more than three pages), a minimum of three references, signed letters of commitment, and the date the proposed individual is available to begin work.

**a) Project Director (Key Personnel)**

The applicant is required to specify a project director. The project director is considered “key personnel” and must meet or exceed the qualifications listed below. This individual will be responsible for reporting and meetings with the project AOTR. The Project director will provide vision, direction, leadership, and management to the award. The Project director will serve as a resource on NTDs within the USAID Bureau for Global Health community of partners.

The Project Director must have the following attributes and qualifications:

- Master level degree or higher in business administration, management, finance or related field
- At least 10 years experience managing grants for international development projects
- Demonstrated management, leadership, decision making, and interpersonal skills
- Full professional proficiency in English with excellent oral and written communications skills
- At least 3 years experience serving government agencies
- At least 3 years experience interacting with developing country government and civil society representatives

**b) Other Staff and Consultants**

The applicant should present a staffing plan that states positions, duties, and qualifications for the positions and demonstrates how all aspects of the scope of work presented for this Track in this RFA will be covered. The applicant should include in the body of the Technical Approach a summary and a table that identifies all proposed staff members and includes the percent of time each person would work on this project, the organization from which each person comes, the person’s title, areas of expertise and geographic regions of experience. Resumes should be provided in an appendix for these staff, and should be no longer than three pages each.

In an appendix, the Applicant must present a roster of consultants- or staff-on-demand that would be available for short-term technical assistance to grantees, as needed.

**3. Management and Organization (suggested 5 pages)**

The Applicant should propose a management structure to address the breadth and depth of managerial skills and grant making expertise in developing countries, which is required to successfully undertake this activity. A one page organizational diagram should be included as an appendix. The application should at a minimum present:

- a) Management and administrative arrangements for overall implementation of the program, including:
  - organizational structure with lines of authority
  - technical and financial reporting
  - logistical support, personnel management, and procurement arrangements for goods and services
- b) Description of an approach for managing and coordinating partners or other collaborating organizations, including non-traditional and innovative partnerships both at the country level and at the program level, including:
  - how each partner or other collaborating organizations will be utilized to contribute to the overall strategy and implementation
  - how decision-making authority and strategic planning will be managed across all partners and between prime and sub-grantee award activities. In this regard, an application would be strengthened by providing a model management structure and decision-making protocol of all proposed partners
  - how management challenges will be addressed such that the comparative advantage of each partner is applied
- c) How technical assistance needs in multiple countries will be addressed
- d) Realistic strategies or approaches for containing costs and leveraging other resources. The Applicant should describe how the activity would be organized and managed to minimize non-productive costs to the government such as multiple overheads and to use the complementary capabilities of partners most effectively.
- e) Description of ways to ensure transfer of lessons among staff and partners from one country and activity to other related programs
- f) Description of systems to ensure positive client relations, quality assurance, and rapid problem resolution

#### ***4. Work planning and Performance Monitoring (suggested 3 pages)***

- a) The Applicant should describe how work planning will be transparent and participatory, and will meet needs for ongoing consultation with USAID and other stakeholders, allow for adjustments, and enhance opportunities for in-country impact and sharing of lessons.
- b) A detailed strategic framework for monitoring performance toward achieving each of the technical areas should be provided, including expected timelines, benchmarks and indicators to monitor progress and impact over the life of the project. This should also include a way to assess the extent of the capacity built among their sub-recipients and national governments. Applicants should include a one page chart with timelines and benchmarks in the appendix.

- c) The Applicant should propose an approach for a cost-effective, results-oriented, and timely project management information system that would be available to all implementers and constituents and that will provide USAID with the information needed to plan and budget activities, track progress, and meet diverse and sometimes ad hoc information and reporting requirements.

## **5. Past Performance**

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

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

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

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

## **C. Cost/Business Application**

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/](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. A cost share minimum of 10% of the Award's projected value is required for Track One and Track Two applications. For this purpose, Applicants for Track One should use \$250 million as the estimated value of the award. Applicants for Track Two should use \$100 million each as the estimated value of an award under Track Two(A) or Track Two(B). 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.

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.

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).

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.

#### **D. Unnecessarily Elaborate Applications**

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

#### **E. Cooperative Agreement Award**

a. The Government may, without discussions or negotiations, award an agreement resulting from this RFA to the responsible applicant whose application conforming to this RFA offers the best value. Therefore, the initial application should contain the applicant's best terms from a cost and technical standpoint. The Government may reject any or all applications, accept other than the lowest cost application, and waive informalities and minor irregularities in applications received.

b. Although technical evaluation factors are significantly more important than cost factors, the closer the technical evaluations of the various applications are to one another, the more important cost considerations become. The Agreement Officer may determine what a highly ranked application based on the technical evaluation factors would mean in terms of performance and what it would cost the Government to take advantage of it in determining the best overall value to the Government.

#### **F. 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 an agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.



## **G. 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), 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), 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), 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), 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), explain why marking would not be cost beneficial or practical.
- (vi), identify the relevant cultural or social norm, and explain why marking would violate that norm or otherwise be inappropriate.
- (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 country government) department, agency, establishment, or for profit or nonprofit organization that receives a USAID subaward, as defined in 22 C.F.R. 226.2.

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

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

#### (b) Marking of Program Deliverables

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) Implementation of marking requirements.

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

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

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

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

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

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

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

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

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

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

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



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

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

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

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.

## **H. Environmental Considerations**

### **1. Definitions:**

a. 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.

b. Initial Environmental Examination. An Initial Environmental Examination is the first review of the reasonably foreseeable effects of a proposed action on the environment. Its function is to provide a brief statement of the factual basis for a Threshold Decision as to whether an Environmental Assessment or an Environmental Impact Statement will be required.

c. Threshold Decision. A formal Agency decision which determines, based on an Initial Environmental Examination, whether a proposed Agency action is a major action significantly affecting the environment.

d. Environmental Assessment. A detailed study of the reasonably foreseeable significant effects, both beneficial and adverse, of a proposed action on the environment of a foreign country or countries.

e. Environmental Impact Statement. A detailed study of the reasonably foreseeable environmental impacts, both positive and negative, of a proposed A.I.D. action and its reasonable alternatives on the United States, the global environment or areas outside

the jurisdiction of any nation as described in §216.7 of these procedures. It is a specific document having a definite format and content, as provided in NEPA and the CEQ Regulations. The required form and content of an Environmental Impact Statement is further described in §216.7 infra.

2. The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) ([http://www.usaid.gov/our\\_work/environment/compliance/22cfr216.htm](http://www.usaid.gov/our_work/environment/compliance/22cfr216.htm)) 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.
3. As such, no activity funded under this Cooperative Agreement will be implemented unless an initial environmental impact assessment and subsequent threshold determination, as defined by 22 CFR 216, and signed by the Bureau Environmental Officer (BEO) has been reached for that activity.
4. Because the specific information required for meaningful environmental analysis is not available for the proposed activity at this time (22 CFR 216.3 (a)(7), an Initial Environmental Evaluation (IEE) threshold decision will be deferred. The deferral will identify a process for ensuring that the substantive requirements and intent of 22 CFR 216 are implemented. The Apparently Successful Applicant will include the requirements established in this Initial Environmental Evaluation (IEE) prior to final award. The Apparently Successful Applicant should be prepared to analyze, document and budget for environmental planning and compliance associated with this program.

The Apparently Successful Applicant will be required to develop an Environmental Assessment and secure USAID clearance of Environmental Assessment prior to funding

- a. The Apparently Successful Applicant will be required to include as part of the initial Implementation Plan, and all subsequent Implementation Plans, all ongoing and planned activities under this Cooperative Agreement and the subsequent 22 CFR 216 documentation.
- b. This evaluation will be done in collaboration with the Agreement Officer's Technical Representative (AOTR) and Mission Environmental Officer and Bureau Environmental Officer.
- c. A complete environmental mitigation and monitoring plan (EMMP) or a project mitigation and monitoring (M&M) plan shall be prepared by the recipient as part of the program implementation plan and integrated into each annual implementation plan.
  - i. This plan shall describe how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award.
  - ii. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.
  - iii. The results of the EMMP will be reported to the AOTR and the BEO annually, NLT Oct 1 of each year

## **SECTION IV: TECHNICAL EVALUATION CRITERIA**

### **A. Overview**

The criteria listed below are presented by major category in order of descending importance for each of the cooperative agreements (Track One and Track Two). Applicants should note that these criteria serve as the standard against which all technical information will be evaluated and serve to identify the significant matters which Applicants should address.

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

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

### **B. 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 application without taking exception to the terms and conditions of the RFA. If an applicant takes exception to any of the terms and conditions of the RFA, then USAID will consider its offer to be unacceptable. Applicants wishing to take exception to the terms and conditions stated within this RFA are strongly encouraged to contact the Agreement Officer before doing so. USAID reserves the right to change the terms and conditions of the RFA by amendment at any time prior to the source selection decision.

### **C. Adjectival Ranking**

Applications for the activity will be evaluated based on adjectival ranking for the overall application and each section of the application, respectively. The following adjectives will be used in assessing the criteria set forth:

Outstanding, Very Good, Good, Marginal, Unacceptable

### **D. Technical Application Evaluation Criteria**

#### **D.1 Criteria for Track One (Listed in descending order of importance)**

##### **1. Technical Approach** (30%) (sub-criteria are in descending order of importance)

- a. Degree to which the overall technical approach demonstrates a clear understanding of the issues relating to implementing nationally-scaled, integrated NTD control activities in support of disease-endemic countries and is consistent with the USAID principles for implementation

- b. Extent to which the sample 2-year work plan reflects a clear understanding of the challenges facing NTD endemic countries, takes into account USAID principles for implementation, and demonstrates a realistic approach in the sample country to: determining the level of budgetary support, coordinating with partners, providing effective technical assistance, supporting government-led national plans, developing any new tools or guidelines, directly implementing activities and undertaking grant management.
- c. Extent to which the approach demonstrates the ability to collaborate with partners in NTD disease endemic countries, including host governments.
- d. Degree to which the overall approach demonstrates capacity to provide technical guidance, mentorship, training and careful managerial oversight of funds to multiple grantees, perhaps simultaneously.
- e. Degree to which the overall approach demonstrates capacity to provide technical and/or managerial assistance to multiple countries, perhaps simultaneously.
- f. Extent to which the approach to technical leadership and policy development reflects an understanding of the current global needs for NTD technical leadership and the current gaps in global policies and guidelines for the targeted NTDs, and presents an efficient strategy for setting priorities and responding to these areas.
- g. Extent to which the proposed approach to coordination of technical assistance and capacity building reflects an understanding of the common country needs for NTD technical assistance and presents an efficient strategy for prioritizing and addressing those needs.
- h. Extent to which the approach to data management, documentation and dissemination of best practices is efficient, consistent with USAID principles for implementation, and demonstrates a realistic approach to translating lessons learned into global and country-level policy.

**2. *Monitoring and Evaluation* (10%)** (sub-criteria are in descending order of importance)

- a. Degree to which the overall approach demonstrates a clear understanding of the M&E issues and presents a clear and efficient strategy for M&E.
- b. Degree to which the approach to translating lessons learned from M&E data into more effective project implementation is creative and feasible.
- c. Degree to which the proposed approach appropriately incorporates the M&E tools discussed in the Program Description of this RFA
- d. Degree to which proposed monitoring system will report timely results and monitor indicators.

**3. *Gender* (5%)**

Degree to which the gender issues discussed in Section I.G.1 of this RFA are adequately addressed.

**4. Building on existing platforms (5%)**

Extent to which the program will build on existing platforms at country level, as discussed in Section I.G.2 of this RFA

**5. Staff (15%)** (sub-criteria are in descending order of importance)

- a. Proposed project director meets or exceeds requirements.
- b. Proposed deputy project director meets or exceeds requirements.
- c. Proposed personnel have the requisite skills, are placed appropriately in the organizational chart, and have the defined duties that will enable the Applicant to effectively implement the project.
- d. The roster of consultants and other staff shows an appropriate range of technical skills and experience

**6. Management and Organization (15%)** (sub-criteria are in descending order of importance)

- a. Degree to which the management plan and organizational structure addresses the breadth and depth of the technical skills, development experience, and policy experience required to successfully undertake the activity.
- b. Degree to which the proposed management and administrative arrangements present appropriate lines of authority for managing all project staff including sub-recipients, and outlines a stream-lined approach to managing technical and financial reporting, logistical support, personnel management, and procurement of good and services.
- c. Degree to which the approach to managing and coordinating partners and other collaborating organizations maximizes their input and expertise in a collaborative and efficient manner and demonstrates an efficient approach to managing multiple partners (including decision-making authority, strategic planning, and addressing challenges).
- d. Degree to which the approach to meeting the technical assistance needs of multiple countries is inventive and efficient.
- e. Degree to which the approach for containing costs and leveraging other resources is realistic and efficient.
- f. Degree to which overall approach to transferring lessons learned across partners, countries, and other programs is innovative and practical.
- g. Degree to which the approach to ensuring positive client relations, quality assurance, and rapid problem resolution is responsive to USAID needs.

**7. Work Planning and Performance Monitoring (10%)** (sub-criteria are in descending order of importance)



- a. Degree to which the proposed operational approach to work planning and performance monitoring is integrated, efficient, transparent, participatory and responsive to change.
- b. Clear demonstration of how progress and impact will be monitored and reported with clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.
- c. Degree to which the approach to work planning and performance monitoring is cost-effective and will meet USAID's ongoing needs for budgeting, tracking progressing, and meeting diverse and ad hoc information and reporting requirements.

**8. Past Performance (10%)** (sub-criteria are in descending order of importance)

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

**D.2 Technical Application Evaluation Criteria for Track Two(A) and Track Two(B) (Listed in descending order of importance)**

**1. Technical Approach (30%)** (sub-criteria are in descending order of importance)

- a. Degree to which the overall technical approach demonstrates a clear understanding of the issues relating to implementing a grants program for nationally-scaled, integrated NTD control activities in support of disease-endemic countries, and is consistent with the USAID principles for implementation.
- b. Extent to which the sample 2-year work plan demonstrates an efficient approach to grants coordination and presents feasible timelines and approaches to launching new grants and providing M&E and short-term managerial technical assistance to countries and grantees, as required.
- c. Extent to which the proposed approach to coordination of managerial technical assistance and capacity building is efficient and ensures the needs of grantees and countries are met; the approach to the technical assistance model in support of the sample country is efficient and feasible.
- d. Extent to which the approach to monitor and communicate technical constraints or uncertainties to USAID is timely and efficient.
- e. Extent to which the approach to data management, documentation and dissemination of best practices is efficient, consistent with USAID principles for implementation, and demonstrates a realistic approach to supporting USAID to translate lessons learned into global and country-level policy.
- f. Extent to which the approach demonstrates the ability to collaborate with partners in NTD disease endemic countries.
- g. Degree to which the overall approach demonstrates capacity to provide financial management and managerial assistance to multiple grantees.

**2. Monitoring and Evaluation (10%)** (sub-criteria are in descending order of importance)

- a. Degree to which the overall approach demonstrates a clear understanding of the M&E issues and presents a clear and efficient strategy for M&E.
- b. Degree to which the proposed approach appropriately incorporates the M&E tools discussed in the Program Description of this RFA
- c. Degree to which proposed monitoring system will report timely results and monitors indicators.

**3 Gender (5%)**

Degree to which the gender issues discussed in Section I.G.1 of this RFA are adequately addressed.

**4 Building on existing platforms (5%)**

Extent to which the program will build on existing platforms at country level, as discussed in Section I.G.2 of this RFA

**5. Staff (sub-criteria are in descending order of importance) (15%)**

- a. Proposed project director meets or exceeds requirements.
- b. Proposed key personnel have the requisite skills, are placed appropriately in the organizational chart, and have the defined duties that will enable the Applicant to effectively implement the project.
- c. The roster of consultants and other staff shows an appropriate range of technical skills and experience

**6. Management and Organization (sub-criteria are in descending order of importance) (15%)**

- a. Degree to which the management plan and organizational structure addresses the breadth and depth of managerial skills and grant making expertise in developing countries required to successfully undertake the activity.
- b. Degree to which the proposed management and administrative arrangements present appropriate lines of authority for managing all project staff including sub-recipients, and outlines a stream-lined approach to managing technical and financial reporting, logistical support, personnel management, and procurement of good and services.
- c. Degree to which the approach to managing and coordinating partners and other collaborating organizations maximizes their input and expertise in a collaborative and efficient manner and demonstrates an efficient approach to managing multiple partners (including decision-making authority, strategic planning, and addressing challenges).

- d. Degree to which the approach to meeting the technical assistance needs of multiple countries is inventive and efficient.
- e. Degree to which the approach for containing costs and leveraging other resources is realistic and efficient.
- f. Degree to which overall approach to transferring lessons learned across partners, countries, and other programs is innovative and practical.
- g. Degree to which the approach to ensuring positive client relations, quality assurance, and rapid problem resolution is responsive to program needs.

**7. Work Planning and Performance Monitoring** (sub-criteria are in descending order of importance) (10%)

- a. Degree to which the proposed operational approach to work planning and performance monitoring is integrated, efficient, transparent, participatory and responsive to change.
- b. Clear demonstration of how progress and impact will be monitored and reported with clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.
- c. Degree to which the approach to work planning and performance monitoring is cost-effective and will meet USAID's ongoing needs for budgeting, tracking progressing, and meeting diverse and ad hoc information and reporting requirements.

**8. Past Performance** (10%)

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

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

## **SECTION V: CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT**

### **REQUIRED FORMS, CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT (MAY 2006)**

#### **I. Certifications**

1. Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs
2. Certification Regarding Lobbying
3. Prohibition on Assistance to Drug Traffickers for Covered Countries
4. Terrorist Financing
5. Certification of Recipient

#### **II. Key Individual Certification Narcotics Offenses and Drug Trafficking**

#### **III. Participant Certification Narcotics Offenses and Drug Trafficking**

#### **IV. Certification of Compliance with the Standard Provisions entitled "Condoms" and "Prohibition of the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking."**

#### **V. Survey on Ensuring Equal Opportunity for Applicants**

#### **VI. Other Statements of Recipient**

1. Authorized Individuals
2. Taxpayer Identification Number
3. Contractor Identification Number – Data Universal Numbering System Number
4. Letter of Credit Number
5. Procurement Information
6. Past Performance Reference
7. Type of Organization
8. Estimated Cost of Communication Products

## CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT

(MAY 2006)

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

### PART I - CERTIFICATIONS AND ASSURANCES

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

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

(1) 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:

- (a) 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;
- (b) 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;
- (c) 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;
- (d) 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
- (e) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(2) 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.

(3) 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, subgrants, 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, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

- (c) Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
  - (d) The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
- (3) For purposes of this Certification-
- (a) "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
  - (b) "Terrorist act" means-
    - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
    - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
    - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
  - (c) "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
  - (d) References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist



acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

## 5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

substances.

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

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

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

**NOTICE:**

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

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

**PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

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

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

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

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

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

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

NOTICE:

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

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

*Applicability: This certification requirement only applies to the prime recipient. Before a U.S. or non-U.S. non-governmental organization receives FY04-FY08 HIV/AIDS funds under a grant or cooperative agreement, such recipient must provide to the Agreement Officer a certification substantially as follows:*

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

RFA/APS No. \_\_\_\_\_

Application No. \_\_\_\_\_

Date of Application \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

**PART V - SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS**

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

**PART VI - OTHER STATEMENTS OF RECIPIENT****1. AUTHORIZED INDIVIDUALS**

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

| Name  | Title | Telephone No. | Facsimile No. |
|-------|-------|---------------|---------------|
| <hr/> |       |               |               |
| <hr/> |       |               |               |
| <hr/> |       |               |               |

**2. TAXPAYER IDENTIFICATION NUMBER (TIN)**

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

TIN: \_\_\_\_\_

**3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER**

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

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

should be prepared to provide the following information:

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

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto: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 subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee'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 Components 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% components, 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<br>PROBABLE<br>(Generic) | QUANTITY | ESTIMATED<br>UNIT COST | GOODS<br>COMPONENTS | PROBABLE<br>SOURCE | GOODS<br>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<br>(Generic) | QUANTITY | ESTIMATED<br>UNIT COST | PROBABLE<br>SOURCE | INTENDED<br>ORIGIN | USE |
|-------------------------------|----------|------------------------|--------------------|--------------------|-----|
|-------------------------------|----------|------------------------|--------------------|--------------------|-----|

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

(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.

## **ANNEXES**



## **ANNEX A**

### **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](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](http://www.grants.gov/agencies/aapproved_standard_forms.jsp)

## **ANNEX B**

### **SF- 424 FORMS**

SF-424, Application for Federal Assistance  
SF-424A, Budget Information, Non-construction Programs  
SF-424B, Assurances, Non-construction Programs

This form can be downloaded from the website: <http://www.usaid.gov/forms/sf424.pdf>.

## ANNEX C

### PAST PERFORMANCE INFORMATION

|                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>PERFORMANCE REPORT - SHORT FORM</b>                                                                                                                                                                                                                                                                                              |
| <b>PART I: Award Information (to be completed by Prime)</b>                                                                                                                                                                                                                                                                         |
| 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 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. :                                                                                                                                                                                                                                                                                |
| <b>PART II: Performance Assessment (to be completed by Agency)</b>                                                                                                                                                                                                                                                                  |
| 1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the Prime in fixing problems. Comment:                                                                                                                                                                   |
| 2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:                                                                                                                                                                                                                                   |
| 3. Timeliness of performance, including adherence to contract schedules and other time-sensitive project conditions, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks. Comment:                                                                               |
| 4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment: |
| 5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problems with clients were identified. Comment:                                                                                                                      |

[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.]