



USAID | RUSSIA

FROM THE AMERICAN PEOPLE

Issuance Date: 17 September 2009
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Subject: Request for Applications No. USAID-Russia-OH-09-0004-RFA
“HIV Prevention for At-Risk Populations in Russia”

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Russia, is seeking applications (proposals for assistance funding) from U.S. non-governmental and non-U.S. non-governmental organizations for implementation of the HIV Prevention for At-Risk Populations Project in the Russian Federation. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended, and the U.S. Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003 (the “Leadership Act”).

This activity will be implemented over the course of the next five years. Implementation should be scheduled to begin in early calendar year 2010. USAID intends to award one (1) Cooperative Agreement providing approximately \$7.5-9.5 million in total USAID funding, subject to the availability of funds.

USAID/Russia reserves the right to reduce, revise, or increase the application budget in accordance with the needs of the program and the availability of funds. Award made will be subject to periodic reporting and evaluation requirements and substantial involvement by USAID/Russia. Final authority for assistance awards resides with the USAID/Russia Mission Agreement Officer.

While any type of organization is eligible for the award, it is USAID policy not to award profit under assistance instruments (grants and cooperative agreements). However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards may be paid under assistance instruments.

Prospective applicants are advised that the applicant funded under this RFA will be required to comply with Russian laws and regulations. This includes changes to the registration and reporting obligations for foreign and Russian NGOs working in Russia (see Russian Federal Law # 18-FZ, “On Introducing Amendments to Certain Legislative Acts of the Russian Federation” dated January 10, 2006). A copy of this law can be found in Federal Registration Service Web site (at <http://www.rosregistr.ru>) and in Russian Legal databases).

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

- Section I – Funding Opportunity Description
- Section II – Award Information
- Section III – Eligibility Information
- Section IV – Application and Submission Information
- Section V – Application Review Information
- Section VI – Award and Administration Information
- Section VII – Agency Contacts
- Section VIII – Other Information

Annex A – Certifications, Assurances and Other Statements of the Recipient
Annex B – Optional Survey on Ensuring Equal Opportunity for Applicants
Annex C – Further Information on USAID-supported HIV/AIDS Activities

The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World Wide Web (www) to allow for electronic submission of applications. This RFA and any future amendments can be downloaded from this website: www.grants.gov. It is the responsibility of the recipient of the application document to ensure that it has been received from www.grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

If your organization decides to submit an application, it should be received at USAID/Russia by the closing date and time specified by this RFA. To be eligible for award, the applicant must provide all required information in its application, including the requirements found in any attachments to this Grants.gov opportunity. Applicants must submit the full application package by one of the methods indicated in Section IV of this RFA.

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. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures and an exception to the Single Partner Funding Limit received from the Office of the U.S. Global AIDS Coordinator. 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 questions or comments concerning this RFA should be submitted in writing to Donella J. Russell, Agreement Officer, **and** Galina Ponkratova, A&A Specialist, via internet at drussell@usaid.gov and gponkratova@usaid.gov no later than 1700 hours local Moscow Time, October 5, 2009.

Sincerely,

Donella J. Russell
Agreement Officer
USAID/Russia

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

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. Title

The United States Agency for International Development (USAID) is seeking applications for a grant to implement a program entitled "HIV Prevention for At-Risk Populations in Russia".

B. Authorizing Legislation

The authority for the Request for Applications (RFA) is found in the Foreign Assistance Act of 1961, as amended, and the U.S. Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003 (the "Leadership Act").

C. Award Administration

22 CFR 226, OMB Circulars and the Standard Provisions for U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a U.S. organization. OMB Circulars and the Standard Provisions for Non-U.S. Nongovernmental Recipients will be applicable to the resulting grant if it is awarded to a non-U.S. organization. The Standard Provisions for Public International Organizations and any special provisions negotiated will be applicable to the resulting grant if it is awarded to a Public International Organization (PIO). These documents may be accessed through the worldwide website at: <http://www.usaid.gov/business/regulations/>

D. Applicability of 22 CFR 226

The following provision will be included in any award to a U.S. entity resulting from this RFA:

APPLICABILITY OF 22 CFR PART 226 (May 2005)

(a) All provisions of 22 CFR Part 226 and all Standard Provisions attached to this agreement are applicable to the recipient and to subrecipients which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage. The recipient shall assure that subrecipients have copies of all the attached standard provisions.

(b) For any subawards made with Non-US subrecipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees." Recipients are required to ensure compliance with subrecipient monitoring procedures in accordance with OMB Circular A-133.

E. Program Description Framework

HIV Prevention in At-Risk Populations Project in the Russian Federation

Part A - BACKGROUND

Purpose of Project

The HIV Prevention in At-Risk Populations Project aims to contribute to the Government of Russia's fight against HIV/AIDS specifically promoting HIV prevention programs targeting most-at-risk-populations (MARPs). For the purposes of this project there is a special focus on developing and disseminating HIV prevention programs working with MARPs, particularly injecting drug users (IDUs), the primary drivers of the epidemic. In collaboration with key stakeholders working in the area of HIV, the project is intended to provide technical expertise and support that will contribute to the endorsement at the federal level of an essential package of HIV prevention services for IDUs. With a growing number of prevention programs and models developed in Russia today, the new project aims to assist in a consolidation of the various prevention approaches into a broad, yet targeted menu of effective services for prevention programs, particularly for IDUs. The project will also emphasize strengthening the technical capacity of civil society and government organizations implementing HIV prevention activities targeting IDUs.

Background

The HIV/AIDS epidemic in Russia continues to evolve. Approximately 44,000 new cases of HIV were registered in 2007, an increase of approximately 10-12% since 2004. While an increased percentage of newly-detected cases of HIV in Russia are attributed to heterosexual transmission (34% in 2007), available data from routine and surveillance data supports the continued concentration of the HIV epidemic in Russia among injecting drug users (IDUs), mostly male, and their sex partners. A majority of the newly detected cases (65% in 2007) are attributed to injecting drug use.

The estimated injecting drug user population in Russia is between 1.5–3 million (2-4% of adults 15–49 years of age), similar to the number in the US and China; however, the US and China have populations that are two to eight times larger than Russia. Men account for 70% of all IDUs in Russia and they accounted for 57% of newly-detected cases of HIV in 2007. Among the cases of HIV among women (44% of all cases), two-thirds of these were attributed to heterosexual contact; however, there is evidence that this is also linked with IDUs. A 2006 study of HIV-infected women in five cities found high rates of personal IDU (15% - 50%) and sexual contact with known IDUs (25% – 61%). Similarly, a case-control study found that having regular sex partners who were HIV-positive or IDUs was a strong risk factor for HIV among women. Further evidence for the role of injecting drug use in HIV sexual transmission comes from a two city survey in 2007 which found HIV sero-prevalence levels under 5% among non-IDU, hepatitis C-negative commercial sex workers (CSWs). These data suggest that among individuals with high numbers of non-IDU sex partners, HIV transmission remains limited and HIV rates are low.

Estimated HIV prevalence varies widely (0-64%) among IDUs in regions surveyed between 2005 and 2007. Due to high numbers of IDUs and the sexual diffusion of HIV transmission to marginalized

groups associated with injecting drug use, HIV is now established in marginalized groups including commercial sex workers, prisoners, street youth, and to a lesser extent, men having sex with men (MSMs). For example, among CSWs, HIV infection is tightly linked to injecting drug use. Among 1,016 CSW surveyed in 10 cities in 2006, CSWs that are also IDUs had an HIV sero-prevalence rate of 11.2% versus 0.6% among non-IDUs CSW. Among prisoners, 4%-5% are HIV-positive and IDU is the overwhelming risk factor (GOR statistics). Among street youth in St. Petersburg, more than 90% of HIV infections were in the half of street youth that self reported IDU in recent surveys. Among MSMs, rates of HIV infection in available surveys are low (0–9%); where evaluated, the majority of these HIV infections are not linked to injecting drug use. However, self reported drug use among MSMs dramatically increases the risk of being HIV positive.

The Government of Russia's Response to HIV Prevention

The Government of Russia (GOR) has supported a holistic response to HIV/AIDS that has grown significantly in strength and impact in recent years. The GOR's HIV/AIDS program is rooted in Universal Access goals, with a stated commitment to:

1. Ensure a reduction of new HIV infections by developing and implementing on the governmental level an inter-sector strategy for prevention among the general population with a special focus on youth, including school children; to increase the funding and the scale of information and education programs and increase the quality and effectiveness of programs in line with the scientific evidence-base.
2. Increase coverage of vulnerable groups through comprehensive prevention programs building on the already important work that has been done with government support in this area.
3. Pursue further research on the risk behaviors and size of vulnerable groups, including IDUs.
4. Develop and implement mechanisms for interagency collaboration, especially with law enforcement agencies and substance abuse treatment services.
5. Improve the mechanisms for NGO participation and funding.

Since 2006, the GOR has demonstrated continuous commitment to the fight against HIV, continually increasing funding for HIV programs through the federal National Priority Project on Health, with a current 2009 annual budget for HIV/AIDS of \$400 million (13.2 billion rubles). The National Priority Project administered through the Ministry of Health and Social Development, Federal Service for Consumer Rights Protection and Human Well Being (Rospotrebnadzor) is the leading mechanism for federal support for HIV/AIDS programs along with the Federal AIDS Center. Despite progress, however, funding for prevention represents less than five percent of the total GOR spending on HIV and only 25% of this figure was targeted directly for most at-risk populations. For the past few years, external partners including the USG, the Global Fund for AIDs, Malaria and TB (Global Fund) and to a lesser extent other donors such, as the Dutch, have been more focused on prevention programs, especially for vulnerable populations. The GOR has endorsed Global Fund grants which have comprised a significant portion of the support for HIV prevention services among most at-risk populations, including IDUs, and in particular, the Round 3 Global Fund grant to GLOBUS (a consortium of five NGOs) for \$89 million which was primarily for HIV prevention implemented by Russian NGOs. Round 4, to the Russian Health Care Foundation, although primarily for treatment and care programs, has also provided support to NGOs working in prevention. In Round 5, a \$16 million grant to the Harm Reduction Network targets harm reduction interventions, another major contribution to HIV prevention in Russia. With these grants ending in 2009, 2010 and 2011,

respectively, the GOR is now exploring how best to address the most vulnerable populations in the future.

The Prominent Role of Civil Society in HIV Prevention

In recent years there has been an increase in the number of NGOs working in HIV prevention among most at-risk populations. According to UNAIDS data, more than 200 NGOs are working in HIV. According to the 2008 UNGASS report, about 24% of IDUs, 36% of SW, and 16% of MSMs are reached with prevention activities, largely by NGOs. The GOR has stressed that prevention among MARPS is one of the priorities and that civil society can continue to play a role in its implementation. At the federal level, the GOR has been supporting civil society to deliver prevention programs targeting MARPs, primarily through federal grants. As noted above, several national tenders for prevention activities have been opened for applications from NGOs as well as government organizations. Representatives of NGOs sit on a number of GOR senior level commissions, including the Government HIV Commission and the Global Fund Country Coordinating Mechanism (CCM). To date, as the capacity of a number of NGOs to deliver prevention programs has strengthened, the GOR's funding for prevention through government tenders has largely been contracted to NGOs. Two such NGOs are the principal recipients of Global Fund grants, namely the Open Health Institute (the lead NGO in GLOBUS) and the Russian Health Care Foundation (Round 4 grant recipient). Both principal recipients also provide smaller sub grants to multiple NGOs and institutions in Russia. At the regional level, there are also examples of government support to NGOs and civil society programs: Humanitarian Action, Center for Drug Prevention, and Stellit in Saint Petersburg and Positive Initiative in Orenburg, as well as NGOs in some other regions (Lipetsk, Krasnoyarsk, Voronezh, Orel, etc.) have received regional funding to support their activities targeting MARPs.

At the same time a number of challenges still exist for NGOs. There are still many barriers which limit NGO access to GOR resources. For example, GOR tenders, although open to NGOs, provide only 30% forward funding, which makes it difficult for many smaller NGOs to meet this requirement. Moreover, there are only a limited number of such tenders at federal and regional levels. When the Global Fund Rounds 3, 4 and 5 grants end in 2009, 2010 and 2011, respectively, there are limited resources and mechanisms to take over on-going prevention programs for MARPs. There is also no formal system for vetting NGO program strengths and weaknesses which may be necessary to gain the confidence of policy makers and decision makers for future support. The project is envisioned as an opportunity to contribute to this transition process and help further efforts for a sustainable HIV prevention program for MARPs by the GOR.

Barriers to HIV Prevention in Russia

Insufficient GOR funding for prevention, especially among MARPs, is one of the major challenges. In addition, there are a number of other challenges, especially for IDUs. Importantly, the complexities related to drug addiction and effective prevention, treatment and care interventions for substance abuse are challenging and compound the issues for decision-makers, affected families and the public. Within Russian society, considerable stigma and discrimination is associated with HIV and drug abuse. Governmental health and social services lack adequate numbers of trained specialists and services tailored to the needs of IDUs. The legal status of prevention programs among IDUs, such as for risk reduction, are ambiguous, and substitution therapy for opioid dependency utilizing methadone and buprenorphine is prohibited by law. Medication assisted treatment (MAT) with Naltrexone is primarily authorized for alcohol abuse and limited drug abuse treatment in Russia, but IDUs have limited access to treatment with naltrexone after detoxification, due largely to high drug

costs. Russian policy on needle exchange is slightly more flexible: needle exchange is not prohibited by law, and there are needle exchanges operating in some regions of Russia. The limited availability of modern drug treatment and rehabilitation services and the limited rehabilitation options pose another barrier. Relapse rates for substance abuse treatment services are high, and the requirement to register as a drug user often deters those in need from seeking treatment services. Further, the links between narcology and HIV/AIDS services, particularly HIV prevention and risk reduction is growing but nascent. And while effective outreach to IDUs and innovative case management systems for IDUs exists to facilitate access to services and encourage adherence of treatment, these still require further technical assistance and monitoring.

International Collaboration on HIV in Russia

USG support for HIV/AIDS prevention and care has been a regionally-focused program, concentrating efforts first in five regions and most recently (since 2006) in St. Petersburg and Orenburg. The goal of USG-supported programs in these regions has been to develop pilot models or demonstration sites of high-quality, effective services with the goal of working with regional level programs to develop strong programs that can be picked up primarily by the GOR but also by other civil society and private sector partners. There have been many successes and lessons learned through the regional focus in St. Petersburg and Orenburg, and many of these lessons will be carried through to inform this project. Successes include HIV prevention and care activities that have been accepted as evidence-based best practice and incorporated into standard operating procedures by local and regional officials.

The Dutch provide funds for Drug Demand Reduction in a limited number of regions and the only other significant international donor for HIV/AIDS in Russia has been the Global Fund. The Global Fund provided three grants to Russia for HIV/AIDS activities as described above and the GOR considers Global Fund programs to be part of its HIV/AIDS efforts.

Future Priorities for USG Collaboration on HIV Prevention

Future HIV priorities for US government (USG), primarily through USAID/Russia will be HIV prevention and care for most-at-risk populations and an associated supportive policy environment. The U.S. President's Emergency Plan for AIDS Relief (PEPFAR) has recently developed a model of measuring progress towards the achievement of policy reform goals and objectives. Progress is monitored through six stages of policy development, which include: identification of baseline policy issues; engagement of stakeholders in developing common policy agenda; development of policy; official government endorsement of policy; implementation of policy; and evaluation of policy implementation.

Since the launch of the USG/Russia Five-Year Strategy (FY2006-2010) that outlines a robust approach to prevention and care, progress has been seen in many areas. In order to better understand how to best target USAID/Russia's decreasing funding to help improve HIV prevention and care in Russia, USAID/Russia arranged for an assessment of the sector in February/March 2009. Highlights from the assessment related to this procurement include the following:

- USG-supported bilateral programs offer solid models of prevention and care for most at-risk populations, some of which may be considered for broader dissemination throughout Russia.

- Effective prevention programs in Russia should still include emphasis on prevention activities among populations most at risk in order to adequately address the epidemic.
- Prevention activities including peer and street outreach programs; case management training and activities for MARPS; HIV and substance abuse training; support groups for people living with HIV/AIDS, MARPS, and their families; and, drop-in centers are key interventions for an effective prevention program addressing a concentrated epidemic, largely driven by IDUs.
- Effective drug dependency and rehabilitation options are limited in Russia. There are minimal medication-assisted options for detoxification or rehabilitation (Naltrexone only) and few options for rehabilitation in therapeutic communities or outpatient programs which may limit impact of the HIV program.
- Effective dissemination of key HIV policy needs coordination among key stakeholders and related ministries.
- A systematic approach to assess the models and determine success and adaptability of models for disseminated on a broader scale is warranted.

Experiences from other USAID-funded programs can be found in Annex C.

Development Challenge

Many partners have worked together to provide HIV prevention and care, especially for marginalized populations such as drug users. Future support must build on on-going efforts and strengthen Russian stakeholders' ability to implement services on a sustained basis. HIV prevention services offered to IDUs include a number of proven interventions, but there has been no standardized package approved and agreed on by various stakeholders. Both WHO and PEPFAR have recently released statements endorsing a "package" approach to prevention interventions for different risk populations. Substantial evidence points to supporting a core set of interventions as an effective means of addressing the needs of high-risk populations in a more holistic manner. For example, a core set of interventions may include peer education and outreach, individual risk reduction counseling, condom promotion and access, HIV counseling and testing, and access to variety of care and treatment services. While each intervention has value on its own, access to this menu of services appears to increase the likelihood of prevention impact. An integrated approach to implementation of such services includes government counterparts from health, social services, substance abuse services as well as the NGO community and others.

Program implementers, primarily civil society organizations, have for many years conducted numerous studies and surveys, gathered program outcomes data, which now need to be synthesized in order to agree on an effective approach based on Russian and international evidence and lessons learnt. Existing gaps should be analyzed and addressed. The coverage of IDUs with HIV prevention is around 24%, while according to UNAIDS estimates for HIV low prevalence regions it should be 65%, and for high prevalence it should be up to 95% of most at-risk populations. It is critical to increase coverage with prevention interventions among most at-risk populations.

HIV prevention interventions, which will potentially make up a recommended package of services, are implemented primarily by NGOs, but the role of government providers cannot be underestimated. A standard package should include not only a menu of essential services, but recommended modes of interaction between government and NGOs for the implementation of services in a most coordinated fashion. A particular challenge will be HIV prevention among the

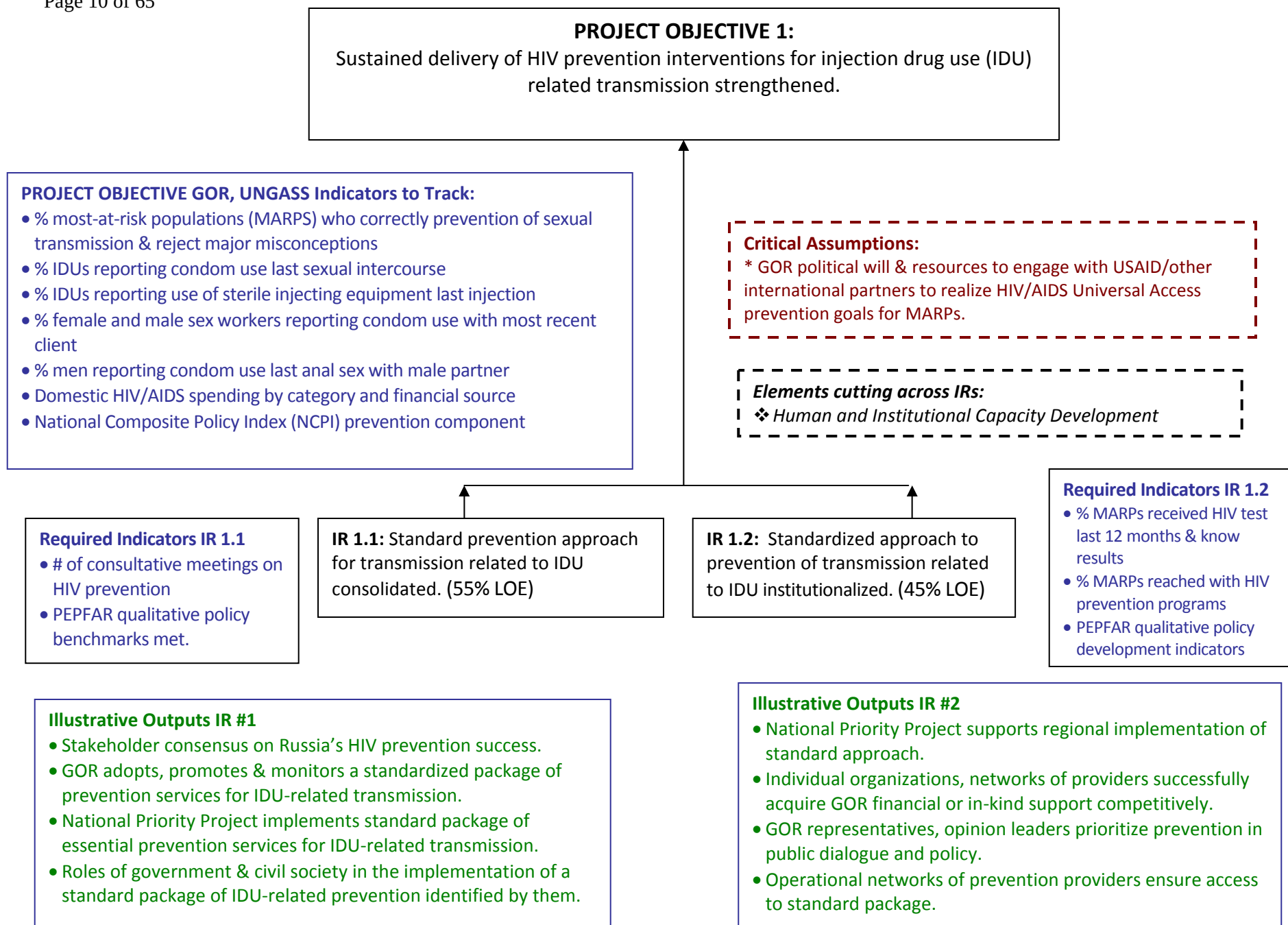
difficult to reach IDU population and the co-challenge of drug dependency. There is also a low perception of personal risk of HIV infection among MARPs, stigma against HIV positive individuals and their families is still strong, and there is low motivation among MARPs for prevention. Behavior change communication must be a core component of accessible, non-stigmatized, quality services, which will help MARPS to see the benefits of prevention versus "it doesn't relate to me" behavior.

As already noted above, civil society organizations, many of which have been implementing HIV programs for 5-10 years, do not have sustainable funding from external sources or from the government. For several years, the National Priority Project has been contracting with a number of NGOs to implement national tenders for prevention. The GOR, now interested in securing an effective prevention program, is considering how best to reach MARPS, including work through NGOs, strengthening government institutions and an integrated system within which to work. Opportunities for progress include exploring ways to make procurement mechanisms more accessible for qualified NGOs, measuring the effect of NGO programs and endorsement of an essential package of prevention services.

Part B - TECHNICAL APPROACH AND EXPECTED RESULTS

Considerable progress in establishing HIV/AIDS prevention, treatment and care has been made with Russian and external funding from the Global Fund, the UN and the USG. Building upon the significant achievements in piloting HIV prevention for MARPS, future HIV prevention activities supported through USAID will shift programming from technical assistance for capacity building and the development of high-quality models of HIV/AIDS services to the dissemination and institutionalization of best practices.

Over the next five years, the USG will emphasize support for the Government of Russia's national HIV/AIDS response through its National Priority Project in a limited number of areas, namely: (1) HIV prevention, (2) HIV care, and (3) policy and systems strengthening support associated with improved prevention and care for most-at-risk populations. At the highest conceptual level, USG/Russia will support the efforts of the GOR and Russian civil society to reduce the transmission of HIV and to mitigate the impact of HIV/AIDS. To achieve this joint goal, USG assistance will reinforce the National Priority Project's support for HIV prevention and care among those most affected.



PROJECT'S OBJECTIVE AND INTERMEDIATE RESULTS:

To contribute to the Mission's Intermediate Result "Increased Prevention & Control of HIV/AIDS" (IR 3.1), the Project's Objective of continued USAID assistance for this HIV prevention project will be a **"Sustained Delivery of HIV Prevention Interventions for Injection Drug Use (IDU) Related Transmission Strengthened"**.

There are two main priority results for the project: (1) to develop a standardized approach to prevention of IDU-related transmission and (2) to institutionalize and disseminate the standard HIV prevention approach broadly within the Russian Federation.

The USG program will contribute to, and work with, leading GOR decision makers who develop national policies, oversee and manage HIV programs, NGOs and other stakeholders to define and endorse an essential package of prevention services for IDUs and other high-risk populations. With a concentrated, primarily IDU-driven epidemic in Russia, addressing the most-at-risk groups is a critical element of an effective prevention response. Within the scope of risks related to injection drug use, there are several key populations who are often categorized by other vulnerability factors but whose risk for HIV is related to injection drug use: sexual partners of IDUs, commercial sex workers who are also IDU, street children who inject, prisoners who inject, and MSMs. who inject are key sub-populations who may be targeted under the broader definition of IDU. Risks related to both drug use and sexual-risk taking among these populations should be addressed in this project. The primary focus of the project will be on IDUs and their sexual partners as the major vulnerable groups. The project is intended to facilitate the dissemination and practical implementation of an essential prevention package for these most-at-risk populations.

Recommended indicators:

- Percentage of most-at-risk populations (IDUs, SW, men having sex with men) who both correctly identify ways of preventing the sexual transmission of HIV and who reject major misconceptions about HIV transmission, disaggregated by sex and age (*UNGASS, GOR, PEPFAR indicator*)
- Percentage of injecting drug users reporting the use of a condom the last time they had sexual intercourse, disaggregated by sex and age (*UNGASS, GOR, PEPFAR*)
- Percentage of injecting drug users reporting the use of sterile injecting equipment the last time they injected, disaggregated by sex and age (*UNGASS, GOR, PEPFAR*)
- Percentage of female and male sex workers reporting the use of a condom with their most recent client, disaggregated by sex and age (*UNGASS, GOR, PEPFAR*)
- Domestic HIV/AIDS spending by category and financial source (*UNGASS, GOR, PEPFAR*)
- National Composite Policy Index (NCPI) prevention component score (*UNGASS, GOR, PEPFAR*)

The implementing partner will track GOR and project-reported results for the above indicators. If appropriate, the implementing partner may propose additional indicators to track the progress in the implementation of the consolidated package of services for IDUs.

To achieve the project's objective, this HIV prevention project will target two intermediate results:

1. Standard prevention approach for transmission related to IDU consolidated.
2. Standardized approach to prevention of transmission related to IDU institutionalized.

Intermediate Result 1:

Standardized approach to prevention of IDU-related transmission consolidated.

Prevention efforts in Russia have progressed and expanded in the last few years and certainly multiple models and programs exist that target to some degree the injecting drug user population. With the need for continued emphasis on HIV prevention as part of the overarching GOR program, the GOR is poised to assume greater responsibility addressing these and other most-at-risk groups. Under this intermediate result, the successful Applicant will need to work with key GOR partners such as the Ministry of Health and Social Development and the Federal Service for Surveillance in Consumer Rights Protection and Human Well-being, regional counterparts, social services administrations, substance abuse centers, NGOs and others to develop a process for defining and endorsing an essential package of prevention services for IDUs and other high-risk populations. The process should be developed and supported by GOR decision-makers and stakeholders so as to contribute to GOR efforts for developing an effective prevention program.

There are a number of regions in Russia already implementing a range of prevention services, including some services geared specifically for risks related to IDUs, such as risk reduction counseling and case management of patients. Other regions have experience in needle and syringe exchange programs or behavior change interventions; few have a full compendium of prevention services that are now being recommended by international experts. There exists much variability across regions in terms of the types of services that are available, the quality of available services, and the extent to which different prevention providers collaborate in order to assure access to a basic package of prevention services for IDUs.

With the ongoing efforts, both at the individual activity level as well as from regions where government programs, NGOs and international partners have been working collaboratively to ensure prevention services, particularly for MARPs, the successful Applicant should seek to draw on current experiences and lessons learned and work with GOR and other stakeholders to consolidate efforts into a standard approach to prevention for IDU-related risk populations in Russia and to ensure that a defined range of services is increasingly available. The project is envisioned as supporting a process for collecting this information, vetting it with appropriate stakeholders, federal and regional agencies and ministries working on HIV/AIDS programming in Russia, evaluating the materials and approaches and, once endorsed, developing a dissemination plan in collaboration with the appropriate stakeholders to support broad dissemination of the package. Applicants may propose options such as the establishment of a consultative committee (or a steering commission) consisting of leading government, academic, and NGO specialists, PLWHA in the HIV prevention area, both at the federal and regional levels, to involve them in the process of design, monitoring, and evaluation of the proposed package for final endorsement of the GOR.

The WHO guidance on the comprehensive package of services for drug users outlines an effective recommended package and approach to prevention interventions for different risk populations, specifically IDUs. Applicants are strongly encouraged to use this guidance as a reference for developing an essential package of effective prevention services for Russia. Substantial evidence points to supporting a core set of interventions as an effective means of addressing the needs of high-risk populations in a more holistic manner. For example, a core set of interventions includes peer education and outreach, individual risk reduction counseling, condom promotion and access,

HIV counseling and testing, needle/syringe exchange, drug rehabilitation and access to variety of care and treatment services. While each intervention has value on its own, access to this menu of services appears to increase the likelihood of prevention impact. Needle/syringe exchange is an important component of IDU-related preventive programs and the successful Applicant could potentially explore with the GOR the feasibility of including needle exchange within the standard approach, if permitted by USG policy in the future.

An important component of an effective prevention program is the issue of demand for services by MARPs. "Hidden" populations tend to avoid contact with government providers. IDUs in the first two years of injection tend to ignore drug dependence issues. The perception of personal risk of HIV infection is quite low among young people in general and most at-risk populations are no exception. Worldwide, different approaches have proven to be effective in reaching most at-risk groups with services, for example through low threshold facilities, case management, and provider-initiated counseling and testing. Demand for, and the availability of effective drug dependence treatment is one of the most challenging issues in Russia. Applicants should describe how this and other related issues regarding the effectiveness, intensity, and quality of a prevention program will be addressed.

As noted above, opioid substitution therapy as an option is currently prohibited by law in Russia. At the same time, the GOR is concerned with the situation in the area of drug dependence treatment. The Ministry of Health and Social Development is also looking at issues of drug prevention and dependency treatment in order to raise the effectiveness of drug rehabilitation, to develop approaches to early detection of addiction, and to introduce innovative approaches for patients with low motivation for treatment. Referrals of IDUs to drug dependence treatment and drug rehabilitation are an important component of a prevention package and it is envisioned that the successful Applicant would include this within the essential package of prevention services. Applicants should describe how they would collect information, such as existing models and different providers within the health, social services, substance abuse centers and the NGO community for such links between the HIV prevention, care and treatment services and drug dependence treatment and rehabilitation services, in order to improve access of IDUs to effective drug treatment services.

Illustrative Outputs for IR 1:

- Consensus among key stakeholders, such as GOR agencies, civil society organizations, policy makers, clinical and social care providers, community of PLWHA, achieved for new policies on HIV prevention priorities.
- The GOR adopts, promotes and monitors a package of prevention services as a standard approach for IDU-related transmission.
- Key stakeholders commit to supporting National Priority Project implementation of a standard package of essential prevention services for IDU-related transmission.
- Roles of governmental and civil society partners in the implementation of a standard package of IDU-related prevention identified and guidelines for implementation developed.

Illustrative Activities for IR 1:

While the interventions listed below demonstrate the feasibility of the envisioned outcomes, they are meant to be illustrative only. USAID encourages a broad range of ideas and creative approaches that will contribute to the achievement of strengthened approach and system for support for an essential HIV prevention package. In partnership with GOR and other stakeholders, possible activities may include but are not limited to:

- Inventory of program experiences including development of criteria for evaluation of such programs and lessons learned from ongoing Russian HIV prevention efforts to reach IDUs.
- Formulation of a panel of experts (advisory council) to review best practices, evaluate and discuss best approach for development of an essential package of prevention programs.
- Facilitation and coordination with GOR and other stakeholders to identify gaps in approaches for IDUs, including funding issues, barriers for collaboration between government and NGOs, critical data needs, policy or advocacy needs.
- Development of recommendations for an essential package of prevention interventions for a standard approach to IDU prevention including plans for dissemination.
- Policy briefs and convening actions, in collaboration with key counterparts, to bring together key stakeholders at federal and regional level to advance the concepts and address effectiveness.
- Development of a dissemination strategy for prevention tools and approaches (and new tools if appropriate that includes guidelines for adaptation at the regional level.
- Technical assistance in monitoring the rollout of a standard approach to prevention for IDUs.
- Small grants to advance the work on drug dependency and expand the spectrum of available services to improve HIV prevention among at-risk groups.

Suggested Benchmarks for Policy and Advocacy

PEPFAR monitors policy reform in stages. Applicants may develop measures for monitoring policy reform under IR 1 based on the following benchmarks:

- Policy analysis research conducted.
- Stakeholders involved and engaged.
- Situation assessment implemented.
- Assessment report available as baseline.
- Policy dialogue and advocacy conducted.
- Specific policy issues to be addressed in policy reform or development defined.
- “White paper” or equivalent defining the policy issues and response completed.
- Policy and strategy developed.
- Implications of proposed policy with existing legal, policy and regulatory environments assessed.
- Operational barriers identified.
- Operational policy issues integrated into policy draft.
- Jointly draft formal policy text circulated amongst stakeholders.

If relevant, additional qualitative indicators may be proposed by Applicants.

INTERMEDIATE RESULT 2: Standardized approach to prevention of transmission related to IDUs institutionalized.

In addition to facilitating policy-level efforts to adopt a standard prevention approach for risks related to IDUs, this project will seek to promote the standardization of the essential prevention package through work with the GOR and civil society. At the federal level, the MOHSD and the Federal Service for Surveillance on Consumer Rights Protection and Human Well-being, through the National Priority Project and the Federal HIV/AIDS Program, working under the broader policy framework of Universal Access, have the overall responsibility for prevention programs. The National Priority Project is the GOR’s means of providing funding and support to Universal Access goals, which include access to prevention services for most at-risk populations. The intent of the project is to work

collaboratively with appropriate representatives from stakeholders and GOR, such as MOHSD and Rospotrebnadzor to assist in the institutionalization of an effective standardized approach to HIV prevention programs.

As already mentioned above, most HIV prevention activities for MARPs have been implemented by civil society organizations. NGOs provide outreach, peer education, risk reduction counseling, follow-up, case management, referrals, and other services, which play an important role in prevention among marginalized populations. Government entities work in close collaboration with civil society organizations by providing testing and counseling, ARV therapy, and other clinical and social services. Given the uncertainty of the external support such as donors and GOR funding for NGOs, it is important to identify barriers to continued NGO involvement and linkages with GOR programs, both federal and regional. In some cases, regional government staff have taken on greater responsibility in working with vulnerable populations. Barriers to NGO involvement, such as applications for GOR funding, remain challenging as the GOR lacks understanding of NGO financing and operations. Training for GOR staff to take on greater roles in prevention programs also has both budgetary and human capacity implications. Applicants should propose approaches to addressing, with the GOR and other stakeholders, the issue of funding mechanisms for sustainable HIV prevention programs for IDUs which may include a variety of procurement and grant-making mechanisms to allow both civil society and government to continue to contribute to the HIV prevention programs for MARPs.

Dissemination of the endorsed approach is another issue to address during the implementation of the project. Applicants should describe how they will work with stakeholders and leading HIV policy-makers through existing regulators such as the MOHSD, Rospotrebnadzor and the Federal AIDS Center and describe how they would propose to these bodies dissemination of new policies and guidance more broadly, such as through the federal okrugs or other options.

The process may include development of recommendations for implementation of programs targeting MARPs or other actions as there is a wide range of approaches that may be considered for assisting the GOR in the development of policy regulatory documents. Those may include: working groups, technical experts panels, consultations, conferences, normative documents and recommendations. The Applicant should describe how they will utilize existing fora and approaches to assist in the development of policy documents for a standardized package of HIV prevention services for IDUs.

Applicants should also propose how they would implement a sustainable approach to regional implementation of the standard package of prevention services. Recommendations for regional HIV prevention strategies, use of or development of resource centers, training of trainers (TOT), involvement of social services administrations and post-graduate medical training institutions in the dissemination are just some of the examples that may be considered by the Applicant.

To facilitate the achievement of both IRs, applicants may consider a small grants program for Russian NGOs. Such grants may seek to:

- test most efficient models of providing a recommended package of services for IDU-related transmission of HIV;
- strengthen the technical capacity of organizations implementing the grants through additional training, oversight, and consultations; and

- serve as resources centers for support to other NGOs taking in new responsibilities in prevention for MARPs.

Applicants should describe how such a grant program would assist with the implementation of a standard prevention package as described in this project description. Criteria for selection might be based on regional experience, the potential for impact of an NGO's work or testing of potential models, innovative monitoring of a program approach, demonstration of cost-effectiveness, or improving access to, and increasing demand for, services. Some regional implementers have demonstrated strong outcomes and may provide leadership, guidance, and technical support to other regions. Applicants should describe how they plan to use the data and results of such small grants.

Advocacy and policy dialogue for HIV prevention activities targeting IDUs and other vulnerable populations with the support of national and regional stakeholders and especially policy makers will be critical for the implementation of the project's objective and results. The Parliamentary Working Group on HIV/AIDS, TB, and other social significant diseases, has recently taken the lead in advocating for endorsement of, and funding by, the GOR of HIV prevention programs targeting MARPs, including harm reduction programs reaching IDUs. In March - April 2009 there were two important resolutions adopted by the Parliamentary Working Group: 1) on the need to educate regional and national decision-makers on HIV/AIDS issues and 2) on support for the on-going National Priority Project prevention programs to target most at-risk populations. In July 2009, the Parliamentary Working Group on HIV/AIDS initiated the establishment of a national expert group to analyze the effectiveness of harm reduction programs in Russia. Applicants should present their approaches to supporting HIV advocacy activities with such partners as the Duma and different working groups and describe priority areas of focus to help facilitate dissemination of a prevention package.

Illustrative Outputs for IR2:

- The GOR National Priority Project provides the guidance and, as appropriate, financial support for regional implementation of a standard prevention approach for IDU-related transmission.
- Individual organizations and networks of prevention providers successfully acquire GOR financial or in-kind support through grants and competitive processes.
- GOR representatives and other opinion leaders prioritize prevention for IDU-related transmission in public dialogue and policy.
- Operational networks of prevention providers ensure access to the standard essential prevention package.

Illustrative Activities for IR.2:

- Project advisory council meetings to review and endorse prevention package and review opportunities for appropriate HIV prevention budget allocations.
- Advocacy with GOR health and social service sector providers to endorse a standard prevention approach.
- Policy briefs developed to advocate with key stakeholders, such as the Parliamentary Working Group on AIDS and other Russian opinion leaders for HIV prevention and IDU-related programs.

- Dissemination plan developed for new policies and guidelines through federal districts (okrugs) or other options; including plans for training of trainers as needed.
- Technical support for recommendations or guidelines for regional implementation, potentially promoting development of a Regional HIV prevention strategy.
- Coordination with NGOs, civil society, PLWA groups and others for planning, advocacy and implementation.
- Small grants technical support program to strengthen dissemination or implementation of the standardized package.

Required Prevention indicators:

- Percentage of most-at-risk populations (IDUs, SW, men having sex with men) who received an HIV test in the last 12 months and who know their results, disaggregated by sex (female, male) and age (<25, 25+) (*UNGASS indicator*)
- Percentage of most-at-risk populations (IDUs, SW, men having sex with men) reached with HIV prevention programs, disaggregated by most-at-risk population (IDU, SW, men having sex with men), sex (female, male) and age (<25, 25+) (*GOR, UNGASS indicators*).

Suggested qualitative policy development benchmarks:

- Leadership engagement/mobilization.
- Revision of draft policy accordingly.
- Government act/approval making policy official.
- Costed action/implementation plan developed.
- Dissemination, awareness raising and education activities.
- Strategy implementation/capacity strengthening activities carried out.
- Accountability measures/monitoring plan for implementation determined.
- Resources to support implementation provided.
- Implementation monitored.
- Implementation barriers identified and mitigated.
- Gaps between policy and practice evaluated.
- Health impact of policy reform evaluated.

The successful Applicant will be asked to track GOR- and project-reported results for the above indicators and may propose additional indicators to measure progress and success.

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

Subject to the availability of funds and approval of USAID/Russia's Country Operational Plan (COP) and annual Operational Plan, USAID intends to provide approximately \$7.5-9.5 million in total USAID funding for the life of the activity (five years).

B. Type and Number of Awards

USAID intends to award one (1) Cooperative Agreement pursuant to this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value to the U.S. Government.

Note: 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, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

USAID anticipates making an award on or about January 15, 2010. The period of performance anticipated herein is five (5) years.

D. Substantial Involvement

USAID considers collaboration with the Recipient crucial for the successful implementation of this project. A Cooperative Agreement implies a level of "substantial involvement" by USAID through the Agreement Officer's Technical Representative (AOTR) or the Agreement Officer. The intended purpose of USAID involvement during the award is to assist the recipient in achieving the supported objectives of the agreement. USAID expects to be substantially involved in the cooperative agreement in the following ways:

1. Approval, in writing by the USAID AOTR, of the recipient's implementation and monitoring and evaluation plans and substantive modifications thereto.
2. Approval of key personnel, in writing by the USAID AOTR.
3. Concurrence, in writing by the USAID AOTR, on selection criteria for sub-awards.
4. Concurrence, in writing by the USAID AOTR, on selection of sub-awardees.
5. Collaborative involvement on the establishment and operations of a working level advisory committee with Ministry of Health and Social Development representatives, as appropriate, to oversee the project.
5. Concurrence on any private sector partnerships where award funds are used as leverage.

SECTION III – ELIGIBILITY INFORMATION

A. Eligible Applicants

Qualified applicants may be U.S. private voluntary organizations (U.S. PVOs) and/or U.S., Russian or other non-U.S. non-governmental organizations (NGOs) or private, non-profit organizations (or for-profit companies willing to forego profits), including universities, research organizations, professional associations, and relevant special interest associations. Public International Organizations (PIOs) and faith-based and community organizations are also eligible for award. In support of the Agency's interest in fostering a larger assistance base and expanding the number and sustainability of development partners, USAID encourages applications from potential new partners, particularly if they are joined with a more experienced organization.

B. Local Registration

All local institutions or affiliates of international organizations must be registered as a legal entity in Russia. Local registration is not a requirement at application time, but **it is required prior to the launch of project activities.**

C. Cost Sharing or Matching

No cost share has been recommended for this program. However, applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this project.

Contributions can be either cash or in-kind and can include contributions from the applicant, local counterpart organizations, project clients, and other donors (but not other U.S. government funding sources). Cost sharing contributions must be in accordance with OMB Circular A-122 - Cost Principles for Non-Profit Organizations which can be found at the following link <http://www.whitehouse.gov/omb/circulars/a122/a122.html> Information regarding the proposed cost share, if any, should be included in the SF 424 (for U.S. organizations only) and the Budget as indicated on those documents. The cost sharing plan should be discussed in the Budget Notes to the extent necessary to demonstrate its feasibility and applicability to the activity.

In addition, USAID strongly encourages applicants to actively leverage funds and in-kind contributions from all available and interested local funding sources, including, but not limited to, government and public institutions, individuals, corporations, NGOs, foundations, etc.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Application Package

The federal grant process is now web-enabled. Beginning November 1, 2005, the preferred method of distribution of USAID RFAs and submission/receipt of applications is electronically via Grants.gov, which provides a single source for Federal government-wide competitive grant opportunities. This RFA and any future amendments can be downloaded from www.grants.gov. In order to use this method, an applicant must first register on-line with Grants.gov. If you have difficulty registering or accessing the RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via e-mail at support@usaid.gov for technical assistance. Applicants may upload applications to www.grants.gov or they may choose to submit them directly to USAID/Russia. It is the responsibility of the recipient of the application document to ensure that it has been received from Grants.gov in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion processes.

Potential applicants may also request a copy of the RFA application package by sending a fax to USAID/Russia, Attn. Contracting Office, at (7-495-960-2141 or 2142), referring to USAID-Russia-OH-09-0004-RFA “HIV/AIDS Prevention in At-Risk Populations in Russia”.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (1) Section V.B - Evaluation Criteria;
- (2) Section IV.D – Submission of Applications
- (3) Section IV.E - Content and Form of Application Submission; and
- (4) Section I - Funding Opportunity Description

B. Point of Contact

Donella J. Russell, Agreement Officer
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation

C. Questions

Any questions concerning this RFA must be submitted in writing to Donella J. Russell, via internet at drussell@usaid.gov and to Galina Ponkratova at gponkratova@usaid.gov or via facsimile at (7-495) 960-2140 by 1700 hours local Moscow time on October 5, 2009. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

D. Submission of Applications

Applications must be submitted no later than 1700 hours local Moscow time on November 4, 2009. Late applications will be accepted and reviewed at the discretion of the Agreement Officer.

Applications may be submitted using any one of the following methods:

- 1. Submission through www.grants.gov:** Applicants are encouraged to up-load applications to www.grants.gov. Please go to <http://www.grants.gov> for application instructions. For Grants.gov technical support, call 1-800-518-4726. Applications will be considered received by USAID on the date and time when the application has been submitted to Grants.gov for validation. Grants.gov will certify and electronically stamp applications upon receipt. Applicants are encouraged to contact USAID/Russia for confirmation that applications submitted via Grants.gov have been successfully received.
- 2. By Email Submission:** Applicants e-mailing submissions shall forward them to the following e-mail address: Russia-Applications@usaid.gov with the e-mail SUBJECT line to read: "Application for HIV Prevention in At-Risk Populations Project." Applicants submitting electronic applications are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the usaid.gov e-mail server. USAID servers may automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. Acceptable file formats are Word, Adobe Acrobat and Excel.
- 3. Hard Copy Submissions:** Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

Donella J. Russell, Agreement Officer
American Embassy Moscow
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation
Tel: (7-495) 728-5000

- 4. Faxed Applications:** Faxed applications will not be accepted. However, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications.

E. Application Preparation Guidelines

Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the technical and cost application format.

All applications must be submitted in English in two separate parts: (a) technical and (b) cost or business application.

Applications must in MS Word and/or Excel in letter or A4 format and single-spaced, using 10 or 12 font. Use of smaller font or other page format may result in removal of application material provided to the evaluation panel.

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

1. Technical Application Format

The technical application will be the most important item of consideration in selection for award of the proposed activity. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this project. Therefore, it should be specific, complete and concise and arranged in the order of the evaluation criteria contained in Section V.

Technical applications should not exceed 28 pages in length, exclusive of the two annexes. The technical application shall consist of the following:

- Cover Page (1 page)
- Application Summary (2 pages)
- Narrative (25 pages)
 - Technical Approach (15 pages)
 - Illustrative First Year Implementation Plan (2 pages)
 - Illustrative Award Monitoring Plan (2 pages)
 - Project Team (3 pages)
 - Management & Institutional Capacity, including Management Plan (3 page)
- Annexes
 - Resumes (limit of 2 pages per resume)
 - Past Performance References (3 pages)

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the prescribed format and page limitations. Any other information submitted will not be provided to the evaluation panel and will not be evaluated. Letters of support are not requested and will not be provided to the evaluation panel.

Technical applications shall include:

Cover Page: A single page with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed subgrantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

Application Summary: The Application Summary **shall not exceed two pages** and should summarize the key elements of the Applicant's strategy and approach. The Application Summary should be concise and accurate.

Narrative (25 pages or less): The narrative should contain the following elements:

a. Technical Approach (15 pages or less)

i. The Program Approach must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed and must reflect a thorough understanding of HIV prevention programs for at-risk populations in Russia; a description of the target population, and challenges; describe coordination efforts planned to promote endorsement of project approach by Russian counterparts; outline dissemination approach be it through Federal or District level for dissemination; identify mechanisms to ensure ongoing coordination with other stakeholders, implementing agencies, and related projects; outline specific, focused activities; describe the strategy for collaborating and getting buy-in from Russian counterparts and organizations; include a well-articulated strategy for dissemination and long-term impact; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the intermediate results identified in the Program Description Framework. Applicants are encouraged to propose innovative programs designed to reach the desired outcomes/results.

ii. Applications shall discuss how resources will be organized to obtain expected results. The applicant should discuss fully the "what" and the "how" of its plan. The purpose of this approach is to allow the applicant greater creative freedom to develop a plan for resource organization and use.

iii. Applicants must provide a description of any partnerships and sub-recipient relationships planned with partners. Applicants should detail any existing relationships with partner organizations and/or the methods proposed to establish new relationships. In this regard it is necessary to describe how elements of the grant will be implemented with non-government organization partners and other types of partners.

iv. **Gender equality:** In accordance with USAID policies, activities will address gender issues as appropriate, and promote gender equality as a goal of program activities. Applicants should address gender concerns in a fundamental way. USAID encourages all applicants to provide additional or alternative recommendations on how to address gender equality in this project.

b. Illustrative First Year Implementation Plan (2 pages or less)

The application must provide an illustrative First Year Implementation Plan for achieving expected program results. The applicant is encouraged to propose innovative implementation mechanisms to reach the desired results and an aggressive but realistic schedule of performance milestones as steps toward achieving proposed results. The implementation plan should clearly outline links between the proposed results, conceptual approach, and performance milestones, and should include a realistic timeline for achieving the annual and end-of-program results. This plan will be considered illustrative for the purposes of evaluating applications; however, once the award is made, finalizing the implementation plan will be a key activity. Within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised first year implementation plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR).

c. Illustrative Award Monitoring Plan (2 pages or less)

As part of the program approach, applicants shall submit an Award Monitoring Plan (AMP). However, within 60 days of the effective date of the award, the successful Applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR). Applicants shall propose a plan for establishment of baseline data for indicators and performance targets, data collection and annual reporting. In particular, applicants must include clear benchmarks and indicators of strengthened collaboration and advocacy for HIV prevention interventions through GOR institutions, NGOs, professional associations and people living with HIV/AIDS groups and others involved in HIV/AIDS programs. Applicants should also include benchmarks and indicators of progress made in reaching the target populations with a portion or all of the new prevention HIV approach supported by counterparts.

Indicators: There are two types of indicators that will be used to measure performance under this award: 1) impact indicators to measure the annual and end-of-project results which are to be developed by the Applicant and 2) USAID COP output indicators which must be reported annually (please see below).

Depending on the nature of the Applicant's technical approach, one or more of the following HIV Country Operational Plan (COP) indicators must be included in the AMP:

- Number of MARPs reached with prevention interventions, disaggregated by sex and risk group (UNGASS, GF, PEPFAR)
- Percentage of MARPs (IDUs, SW, men having sex with men) who both correctly identify ways of preventing the sexual transmission of HIV and who reject major misconceptions about HIV transmission, disaggregated by sex and age (UNGASS, GOR, PEPFAR indicator)
- Percentage of IDUs reporting the use of a condom the last time they had sexual intercourse, disaggregated by sex and age (UNGASS, GOR, PEPFAR)
- Percentage of IDUs reporting the use of sterile injecting equipment the last time they injected, disaggregated by sex and age (UNGASS, GOR, PEPFAR)
- Percentage of female and male sex workers reporting the use of a condom with their most recent client, disaggregated by sex and age (UNGASS, GOR, PEPFAR)
- Domestic HIV spending by category and financial source (UNGASS, GOR, PEPFAR)
- National Composite Policy Index prevention component score (UNGASS, GOR, PEPFAR)
- Percentage of MARPS (IDU, MSM, SW) who received an HIV test in the last 12 months and who know the results (UNGASS, PEPFAR)

d. Project Team (3 pages or less)

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Chief of Party must have a proven track record working on similar programs, with a preference for individuals who have worked in Russia or the former Soviet Union. The Chief of Party should preferably also be able to use both Russian and English languages in professional settings. Applicants must propose which positions should be Key Personnel (no more than five positions or five percent of recipient employees employed under the award). In an annex to the technical application, applicants should provide resumes for the candidates proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Applicants

must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

Applicants must provide evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in addressing similar relevant programs and issues in the past.

e. Management & Institutional Capacity (3 pages or less)

As part of the technical application, applicants must submit a **Management Plan**. The applicant should specify the organizational structure of the entire project team, including home office support and implementing partners, if any, for the entire project, and describe how each of the components will be managed. “Implementing partners” are organizations that will have substantial implementation responsibilities. The management plan should identify potential implementing partners and clearly state the responsibilities of each proposed implementing partner in achieving the proposed results and the unique capacities/skills they bring to the program. Please note that documentation that reflects an “exclusive” relationship between implementing partners is not requested and should not be submitted.

Applicants must also offer evidence of their technical and managerial resources and expertise (or their ability to obtain such) in program management and their experience in managing similar programs in the past. Information in this section should include (but is not limited to) the following information:

- a. Brief description of organizational history and experience
- b. Examples of accomplishments in developing and implementing similar programs
- c. Relevant experience with proposed approaches
- d. Institutional strength as represented by breadth and depth of experienced personnel in project relevant disciplines and areas
- e. Sub-recipient or subcontractor capabilities and expertise, if applicable;
- f. Proposed field management structure and financial controls;
- g. Home office backstopping and its purpose.

Annexes:

Resumes: Resumes are to be included as an Annex for each individual who is proposed as key personnel and/or long-term staff on the program, for both the Applicant and proposed implementing partners, if any. Resumes should use a common format, not exceed two pages and should include at least three references with telephone numbers and e-mail addresses for each reference. Please note that documentation that reflects an “exclusive” relationship between an individual and an applicant is not requested and should not be submitted.

Past Performance References: Describe all contracts, grants and cooperative agreements which the organization (both the primary Applicant as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. Past performance information should not exceed 3 pages.

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant’s

responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

2. Cost Application Format

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

The Cost Application shall consist of the following:

- Cover Page
- SF-424, SF-424A and SF-424B (U.S. organizations only)
- Mandatory Certifications and Assurances
- Acknowledgement of any amendments to the RFA
- Budget
- Budget Narrative
- Current Negotiated Indirect Cost Rate Agreement (NICRA)
- Teaming documents (if any)
- Documentation from applicants who do not have a current NICRA or who have never received an award from the U.S. government as explained more fully below.

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

Cover Page: A **single page** with the names of the organizations/institutions involved and the lead or primary Applicant clearly identified. Any proposed sub grantees (or implementing partners) should be listed separately. In addition, the Cover Page should provide a contact person for the prime Applicant, including this individual's name (both typed and his/her signature), title or position with the organization/institution, address, telephone and fax numbers and e-mail address. State whether the contact person is the person with authority to contract for the Applicant, and if not, that person should also be listed with contact information. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office. Erasures or other changes must be initialed by the person signing the application. The TIN and DUNS numbers of the Applicant should also be listed on the cover page.

SF-424, SF-424A and SF-424B (U.S. organizations only)

U.S. applicants must submit their applications using the SF-424 series which includes:

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

The SF 424, SF 424A and SF 424B documents are not included in this RFA but can be found at the following website:

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

Mandatory Certifications and Assurances

All applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
 - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
 - Certification Regarding Lobbying
 - Certification Covering Terrorist Financing
 - Certification of Compliance with standard provisions entitled “Condoms” and “Prohibition on the Promotion or Advocacy of the Legalization or Practice of Prostitution or Sex Trafficking”
- PART II – Other Statements of Recipient

These certifications and assurances are attached as Annex A to this RFA.

Acknowledgement of Any Amendments to the RFA

Applicants shall acknowledge receipt of all amendments, if any, to this RFA by signing and returning the amendment as part of the cost application. The Government must receive the acknowledgement by the time specified for receipt of applications.

Budget

Applicants must submit an overall summary budget as well as a detailed annual budget defined by result area or component. Stated another way, the budget should relate to results while also showing the type of cost for each result. The budget must clearly display:

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Grant; and
- the potential contributions of non-USAID or private commercial donors to this Grant.

Budget Narrative

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical experience, etc. The combination of the cost data and breakdowns specified above and the budget

narrative must be sufficient to allow a determination whether the costs estimated are reasonable and realistic. If the information described below is provided in the budget described above, then the information need not be included in the Budget Notes. The following section provides guidance on issues involving specific types of costs. Please note that applicants are **not** required to present their costs in the budget or budget narrative in the format or order below.

i) Salary and Wages - Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.

ii) 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 include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.

iii) Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies (applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).

iv) Equipment – Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

v) Materials and Supplies – Specify all materials and supplies expected to be purchased, including type, unit cost and units.

vi) Communications – Specific information regarding the type of communication cost at issue (*i.e.* mail, telephone, cellular phones, internet *etc.*) must be included in order to allow an assessment of the realism and reasonableness of this types of costs.

vii) Subcontracts/Subwards/Consultants – Information sufficient to determine the reasonableness of the cost of each specific subcontract/subaward and consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.

viii) Allowances – Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.

ix) Direct Facilities Costs – Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.

x) Other Direct Costs - This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should

indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

xi) Indirect Costs - The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency or with sufficient information for USAID to determine the reasonableness of any such cost proposed to be associated with this agreement. (For example, a breakdown of labor bases and overhead pools, the method of determining the direct versus the indirect costs, a description of all costs in the pools, *etc.*).

Current Negotiated Indirect Cost Rate Agreement (NICRA)

A current Negotiated Indirect Cost Rate Agreement must be submitted, if the applicant has one.

Other Documentation

a. Teaming: If the applicant is a group of organizations that has actually formed a separate entity – *i.e.* a joint venture -- for the purposes of this application, then the cost application must include a copy of the documents that set forth the legal relationship between the partner organizations. If no joint venture is involved, the cost application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated and how work will be organized and managed. The Budget Narrative described above should discuss which team member is bearing a particular cost where appropriate and justify and explain the cost in question.

b. Financial and Other Resources: The cost application should include information on the applicant's financial status and management. All applicants should submit information relating to whether there has been approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application.

Organizations that have never been awarded a U.S. government contract or grant must present the following documentation:

(a) Audited financial statements for the past three years;

(b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable;

(c) Copies of the applicant's accounting, personnel, travel and procurement policies. Please indicate whether any of these policies have been reviewed and approved by any agency of the U.S. government. If so, provide the name, address, email and phone number of the cognizant reviewing official. **Similar information should be submitted for all partner organizations.**

c. Responsibility: Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.

2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations.

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

For organizations that are new to USAID or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey.

d. Single-Partner Funding Limit

The President's Emergency Plan for AIDS Relief (PEPFAR) seeks to promote sustainability for programs through the development, use, and strengthening of local partners. The diversification of partners also ensures additional robust capacity at the local and national levels.

To achieve this goal, the Office of the Global AIDS Coordinator (OGAC) establishes an annual funding guideline for grants and cooperative agreement planning. Within each annual PEPFAR country budget, OGAC establishes a limit for the total amount of U.S. Government funding for HIV/AIDS activities provided to a single partner organization under all grant and cooperative agreements for that country. For U.S. Government fiscal year (FY) 2009, the limit is no more than 8 percent of the country's FY 2009 PEPFAR program funding (excluding U.S. Government management and staffing costs), or \$2 million, whichever is greater. The total amount of funding to a partner organization includes any PEPFAR funding provided to the partner, whether directly as prime partner or indirectly as sub-grantee. In addition, subject to the exclusion for umbrella awards and drug/commodity costs discussed below, all funds provided to a prime partner, even if passed through to sub-partners, are applicable to the limit. PEPFAR funds provided to an organization under contracts are not applied to the 8 percent/\$2 million single partner ceiling.

PEPFAR publishes the single-partner funding limits annually as part of guidance for preparing the Country Operational Plan (COP). U.S. Government Departments and agencies must use the limits in the planning process to develop Requests for Applications (RFAs), Annual Program Statements (APSSs), or Funding Opportunity Announcements (FOAs). However, as PEPFAR country budgets are not final at the COP planning stage, the single partner limits remain subject to adjustment. The current limit applicable to this RFA is \$560,000 which is 8 percent of the country budget (minus management and operational costs) or \$2 million, whichever is greater, of the country's PEPFAR program funding).

Exclusions from the 8 percent/\$2 million single-partner ceiling are made for (a) umbrella awards, (b) commodity/drug costs, and (c) Government Ministries and parastatal organizations. A parastatal organization is defined as a fully or partially state-owned corporation or government agency. For umbrella awards, Grants officers will determine whether an award is an umbrella for purposes of exception from the cap on an award-by-award basis. Grants or cooperative agreements in which the

primary objective is for the organization to make sub-awards and at least 75 percent of the grant is used for sub-awards, with the remainder of the grant used for administrative expenses and technical assistance to sub-awardees, will be considered umbrella awards and, therefore, exempted from the cap. Agreements that merely include sub-grants as an activity in implementation of the award but do not meet these criteria will not be considered umbrella awards, and the full amount of the award will count against the cap. All commodity/drug costs will be excluded from partners' funding for the purpose of the cap. The remaining portion of awards, including all overhead/management costs, will be counted against the cap.

Applicants should be aware that evaluation of proposals will include an assessment of grant/cooperative agreement award amounts applicable to the applicant by U.S. Government fiscal year in the relevant country. An applicant whose grants or cooperative agreements have already met or exceeded the maximum, annual single-partner limit may submit an application in response to this RFA. However, applicants whose total PEPFAR funding for this country in a U.S. Government fiscal year exceeds the 8 percent/\$2 million single partner ceiling at the time of award decision will be ineligible to receive an award under this RFA unless the U.S. Global AIDS Coordinator approves an exception to the cap. USAID/Russia intends to seek an exception to this cap for the proposed award.

Applicants must provide in their proposals the dollar value by U.S. Government fiscal year of current grants and cooperative agreements (including sub-grants and sub-agreements) financed by the Emergency Plan, which are for programs in the country covered by this RFA. For example, the proposal should state that the applicant has \$X in FY0X grants and cooperative agreements (for as many fiscal years as applicable) in country X.

F. Disclosure of Data

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

(a) Mark the title page with the following legend:

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

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

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

SECTION V – APPLICATION REVIEW INFORMATION

A. Basis for Award

Award will be made to the responsible applicant whose application offers the greatest value, cost and other factors considered. The final award decision is made by the Grant Officer, with consideration of the Technical Evaluation Committee recommendations.

B. Technical Evaluation

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

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Subcriteria are listed in descending order of importance.

1. Technical Approach - 50 points

- a. Extent to which the application sets forth creative and clear approaches to achieve project goals and objectives, and demonstrates a thorough understanding of HIV prevention issues and challenges
- b. Quality of performance monitoring plan with sound benchmarks and indicators to measure progress and evaluate outcomes and overall impact of the activity
- c. Extent to which the application integrates gender considerations in the technical approach.

2. Institutional Capacity and Experience – 25 points

- a. Extent to which the applicant demonstrates organizational capacity and expertise to work collaboratively with host government and local civil society organizations for sustained delivery of HIV prevention among MARPs
- b. Extent to which the applicant proposes a clear management plan and organizational structure to manage the project with a clear division of duties and responsibilities among the applicant and proposed partnering organization(s), if any
- c. Extent to which the application draws on local expertise and includes a focus on capacity building of local organizations and institutions

3. Project Staff – 15 points

- a. Demonstrated experience and qualifications of the applicant's proposed key personnel and long-term staff in the technical and management skills appropriate to their proposed roles, including language skills
- b. Relevant past performance of key personnel and long-term staff, including demonstrated capacity to successfully deal with a broad range of stakeholders, including regional and federal government authorities.

4. Past Performance – 10 points

- a. Past performance in managing and implementing similar technical assistance programs for HIV prevention, particularly in the Russian Federation and/or the former Soviet Union
- b. Past performance in working collaboratively with various public and private institutions, including host country government agencies, at the regional and national levels, particularly in the Russian Federation or the former Soviet Union

C. Cost Evaluation

Cost has not been assigned a weight but will be evaluated for realism, reasonableness, allocability, allowability and cost-effectiveness. Cost sharing, if any, will be evaluated on the level of financial participation proposed and the added value it represents to the program.

Cost realism will be performed as part of the evaluation process to:

- Assess the accuracy with which proposed costs represent the most probable and realistic cost of performance;
- Reflect a clear understanding of the requirements; and
- Ensure costs are consistent with the various elements of the applicant's technical application.

Cost proposals should be submitted under separate cover from the technical application. The budget should reflect the proposed approach for the two results described in the statement of work for the five-year period, including all core staff proposed. The budget should also reflect all cost sharing to be provided by the applicant. Actual funding for this agreement will be negotiated based on the cost of the proposed approach and staff over the five-year period, subject to the availability of funds. While there is no page limit for this portion of the application, applicants are encouraged to be as concise as possible but still provide the necessary detail to enable USAID to perform a meaningful cost analysis. The cost section of the application should be supported by documentation and budget notes.

D. Review and Selection Process

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened. To the extent that they are necessary, negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. The Grant Officer will then select an Apparently Successful Applicant. The Apparently Successful Applicant means the applicant recommended for an award after evaluation, but

who has not yet been awarded a grant, cooperative agreement or other assistance award by the Grant Officer. The Grant 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.

The Apparently Successful Applicant, upon the request of the Grant 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 Grant Officer. **Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement.** The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Grant Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

The Grant 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 Grant Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Grant Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Grant Officer may obtain advice and recommendations from technical experts while performing the evaluation.

E. Anticipated Announcement and Award Dates

An award is anticipated on or about January 15, 2010.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Award Notices

All applicants will be notified in writing of the final decision regarding their application.

C. Administrative and National Policy Requirements

1. Award Format: If award is made to a U.S. or non-U.S. organization, the standard format for award of a grant to a U.S. or non-U.S. organization, as prescribed in ADS 303, will be used. If award is made to a public international organization, the standard format for an award to a PIO, as prescribed in ADS 308 but modified for a cooperative agreement, and with special provisions negotiated as necessary, will be used.

2. Allowable Costs: Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., Nongovernmental recipients, and the Mandatory Standard Provision entitled “Allowable Costs (DEC 2003)” for public international organizations), may be paid under the grant.

3. Funding Restrictions: The award resulting from this RFA may have restrictions on funding activities that benefit the central government of the Russian Federation and its institutions.

4. Reporting

Initial Implementation Plan: Within 60 days of award, the Recipient will be required to submit a draft detailed work plan for the first year of activities to the USAID/Russia AOTR for review and approval (two hard copies and an electronic copy). The AOTR must provide written comments on the draft plan within three weeks of receipt and when the plan is finalized, the AOTR will provide written approval.

The work plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the recipient should: 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) assign responsibilities for completing those steps; 4) provide any quantitative or qualitative targets (e.g., number of persons to be trained, topics of the trainings, etc); and 5) a timeline for the implementation of the task.

The initial work plan must include the recipient's proposed **Award Monitoring Plan**, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date by which all baseline data will be established. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals. Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender. One or more of the following COP or USAID Operational Plan indicators must be used:

- Percentage of MARPs reached with HIV prevention programs, disaggregation by sex and risk group
- Percentage of IDUs reporting the use of a condom the last time they had sexual intercourse, disaggregated by sex and age (UNGASS, GOR, PEPFAR)
- Percentage of female and male sex workers reporting the use of a condom with their most recent client, disaggregated by sex and age (UNGASS, GOR, PEPFAR)
- Percentage of MARPS (IDU, MSM, SW) who received an HIV test in the last 12 months and who know the results (UNGASS, GOR, PEPFAR)

Annual Implementation Plan: Annual implementation plans for subsequent years are due to the AOTR 30 days before the end of the preceding award year (two hard copies and an electronic copy). The implementation plan should include a list of the tasks to be completed during the year, grouped under the objective that they seek to support. For each task, the Recipient should 1) explain in brief its connection to the objective; 2) define the necessary steps to complete the tasks; 3) outline any special issues that the recipient will target for that year; 4) assign responsibilities for completing those steps; 5) provide any quantitative or qualitative targets (e.g., number of persons to be trained); and 6) a timeline for the implementation of the task.

Performance Reporting: Quarterly performance reporting will be required under any award made hereunder. The performance reports must contain, among other things, report on annual and life-of-project results when applicable.

5. Other Considerations: In responding to this RFA, potential applicants should bear in mind the following special considerations:

a. Authorized Geographic Code: The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

The authorized Geographic Codes for procurement of goods and services under the proposed award are 000 (United States) and 110 (NIS or Newly Independent States). The countries of Eastern Europe are not included in these Geographic Codes.

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in a Code not included in

Code 941 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured, applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

b. *Environmental Requirements:* The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

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

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

c. An Initial Environmental Examination (IEE) [DCN_2007_RUS_010 dated 9/2007] has been approved for the program funded under this award. The IEE covers activities expected to be implemented under this award. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award as set forth in the Mitigating Measures in paragraph g. below.

d. No further environmental review is required unless the Recipient proposes changes to the activities specified in the IEE. If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it must notify the Agreement Officer in advance and in writing and it shall provide documentation to USAID for review and approval of appropriate amendments to the IEE. No such new activities shall be undertaken prior to receiving written notice from the Agreement Officer of environmental documentation amendments. Examples of common situations which require additional environmental review include but are not limited to: activities which involve generation, handling or disposal of medical waste, refurbishment (painting, retrofitting, etc.), renovation or construction of facilities; rehabilitation or construction of infrastructure; sub-grants, and agricultural activities.

e. As part of its initial implementation plan, and all implementation plans thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Technical Representative and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this award to determine if they are within the scope of the approved Regulation 216 environmental documentation. A brief statement describing how the Recipient ensures that program activities comply with these terms should be included in performance reports.

f. Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from the Agreement Officer.

g. **Mitigating Measures:** The Recipient agrees to encourage, promote, and monitor adherence to protocols concerning the proper handling, storage, use, and disposal of the following materials:

- General medical equipment, including ventilators, infusion pumps, infant monitors, and diagnostic equipment;
- Medical supplies likely to be contaminated with blood or other body fluids, including sharps (this requires special protocol) catheters, bandages, sutures, syringes, and scalpels;
- Pharmaceuticals, including over-the-counter, and medications;
- Controlled substances; and
- Packaging materials.

The Recipient agrees to contact facility, local, oblast, and national officials as appropriate to design, implement, and apply appropriate medical waste use, storage, and disposal practices. The Recipient will:

- Briefly examine the storage, use and disposal practices of each participating facility;
- Provide information, operational manuals, and training as appropriate;
- Assist facilities to strengthen medical waste use, storage and disposal practices; and
- Periodically monitor implementation of those practices.

The Recipient is expected to apply, at a minimum, practicable guidance found in Chapter 16: “Minimal programmes for health-care waste management,” *Safe Management of Wastes from Health Care Activities*, edited by A. Prüss, E. Giroult, P. Rushbrook. Geneva, WHO, August 1999 or the *WHO Healthcare Waste Management Handbook* (September 1997 draft and as revised).

The Recipient agrees to include actions taken to comply with these mitigating measures in its performance reporting.

c. **HIV AIDs Activities:** The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (JUNE 2005)

An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

[END OF PROVISION]

CONDOMS (JUNE 2005)

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

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

[END OF PROVISION]

PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (JUNE 2005)

a. The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex

trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.

b. Except as noted in the second sentence of this paragraph, as a condition of entering into this agreement or any subagreement, a non-governmental organization or public international organization recipient/subrecipient must have a policy explicitly opposing prostitution and sex trafficking.¹ The following organizations are exempt from this paragraph: the Global Fund to Fight AIDS, Tuberculosis and Malaria; the World Health Organization; the International AIDS Vaccine Initiative; and any United Nations agency.

c. The following definition applies for purposes of this provision:

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

d. The recipient shall insert this provision, which is a standard provision, in all subagreements.

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

[END OF PROVISION]

d. Voluntary Population Planning Activities: The following provision is applicable to this RFA and will be incorporated into any award made hereunder:

VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS
(JANUARY 2009)

a. Voluntary Participation and Family Planning Methods:

(1) The recipient agrees to take any steps necessary to ensure that funds made available under this award will not be used to coerce any individual to practice methods of family planning inconsistent with such individual's moral, philosophical, or religious beliefs. Further, the recipient agrees to conduct its activities in a manner which safeguards the rights, health and welfare of all individuals who take part in the program.

(2) Activities which provide family planning services or information to individuals, financed in whole or in part under this agreement, shall provide a broad range of family planning methods and services available in the country in which the activity is conducted or shall provide information to such individuals regarding where such methods and services may be obtained.

b. Requirements for Voluntary Family Planning Projects

(1) A Family planning project must comply with the requirements of this paragraph.

(2) A project is a discrete activity through which a governmental or nongovernmental organization or public international organization provides family planning services to people and for which funds obligated under this award, or goods or services financed with such funds, are provided under this award, except funds solely for the participation of personnel in short-term, widely attended training conferences or programs.

¹ [1] Any enforcement of this clause is subject to *Alliance for Open Society International v. USAID*, 05 Civ. 8209 (S.D.N.Y., Orders filed on June 29, 2006 and August 8, 2008) (orders granting preliminary injunction) for the term of the Orders.

(3) Service providers and referral agents in the project shall not implement or be subject to quotas or other numerical targets of total number of births, number of family planning acceptors, or acceptors of a particular method of family planning. Quantitative estimates or indicators of the number of births, acceptors, and acceptors of a particular method that are used for the purpose of budgeting, planning, or reporting with respect to the project are not quotas or targets under this paragraph, unless service providers or referral agents in the project are required to achieve the estimates or indicators.

(4) The project shall not include the payment of incentives, bribes, gratuities or financial rewards to (i) any individual in exchange for becoming a family planning acceptor or (ii) any personnel performing functions under the project for achieving a numerical quota or target of total number of births, number of family planning acceptors, or acceptors of a particular method of contraception. This restriction applies to salaries or payments paid or made to personnel performing functions under the project if the amount of the salary or payment increases or decreases based on a predetermined number of births, number of family planning acceptors, or number of acceptors of a particular method of contraception that the personnel affect or achieve.

(5) No person shall be denied any right or benefit, including the right of access to participate in any program of general welfare or health care, based on the person's decision not to accept family planning services offered by the project.

(6) The project shall provide family planning acceptors comprehensible information about the health benefits and risks of the method chosen, including those conditions that might render the use of the method inadvisable and those adverse side effects known to be consequent to the use of the method. This requirement may be satisfied by providing information in accordance with the medical practices and standards and health conditions in the country where the project is conducted through counseling, brochures, posters, or package inserts.

(7) The project shall ensure that experimental contraceptive drugs and devices and medical procedures are provided only in the context of a scientific study in which participants are advised of potential risks and benefits.

(8) With respect to projects for which USAID provides, or finances the contribution of, contraceptive commodities or technical services and for which there is no subaward or contract under this award, the organization implementing a project for which such assistance is provided shall agree that the project will comply with the requirements of this paragraph while using such commodities or receiving such services.

(9)

i) The recipient shall notify USAID when it learns about an alleged violation in a project of the requirements of subparagraphs (3), (4), (5) or (7) of this paragraph;

ii) the recipient shall investigate and take appropriate corrective action, if necessary, when it learns about an alleged violation in a project of subparagraph (6) of this paragraph and shall notify USAID about violations in a project affecting a number of people over a period of time that indicate there is a systemic problem in the project.

iii) The recipient shall provide USAID such additional information about violations as USAID may request.

c. Additional Requirements for Voluntary Sterilization Programs

(1) None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

(2) The recipient shall ensure that any surgical sterilization procedures supported in whole or in part by funds from this award are performed only after the individual has voluntarily appeared at the treatment facility and has given informed consent to the sterilization procedure. Informed consent means the voluntary, knowing assent from the individual after being advised of the surgical procedures to be followed, the attendant discomforts and risks, the benefits to be expected, the availability of alternative methods of family planning, the purpose of the operation and its irreversibility, and the option to withdraw consent anytime prior to the operation. An individual's consent is considered voluntary if it is based upon the exercise of free choice and is not obtained by any special inducement or any element of force, fraud, deceit, duress, or other forms of coercion or misrepresentation.

(3) Further, the recipient shall document the patient's informed consent by (i) a written consent document in a language the patient understands and speaks, which explains the basic elements of informed consent, as set out above, and which is signed by the individual and by the attending physician or by the authorized assistant of the attending physician; or (ii) when a patient is unable to read adequately a written certification by the attending physician or by the authorized assistant of the attending physician that the basic elements of informed consent above were orally presented to the patient, and that the patient thereafter consented to the performance of the operation. The receipt of this oral explanation shall be acknowledged by the patient's mark on the certification and by the signature or mark of a witness who shall speak the same language as the patient.

(4) The recipient must retain copies of informed consent forms and certification documents for each voluntary sterilization procedure for a period of three years after performance of the sterilization procedure.

d. Prohibition on Abortion-Related Activities:

(1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term "motivate", as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

e. The recipient shall insert this provision in all subsequent subagreements and contracts involving family planning or population activities that will be supported in whole or in part from funds under this award. The term subagreement means subgrants and subcooperative agreements.

e. Branding and Marking: The following provisions are applicable to this RFA and will be incorporated into any award made hereunder:

BRANDING 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 brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and is provided without royalty, license, or other fee to recipients of USAID-funded grants or cooperative agreements or other assistance awards or subawards.

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

(c) **Submission Requirements**

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

(1) Positioning

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

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

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

Note: the Agency prefers "made possible by (or with) the generous support of the American" 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 cost data submissions; 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 brandmark, which clearly communicates that our assistance is from the American people. The USAID Identity is available on the USAID website and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, cooperative agreements, or other assistance awards or subawards.

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

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

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

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

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

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

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

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

(b) **Submission.** The Apparently Successful Applicant, upon the request of the Agreement Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Agreement Officer. Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement. The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its

application. These costs are subject to revision and negotiation with the Agreement Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

(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, audio-visual 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 technical proposal and in the context of the program description or program statement in the USAID Request For Application or Annual Program Statement, marking requirements should not be required.

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

(i) For Presumptive Exception (i), identify the USAID Strategic Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why the program, project, activity, commodity, or communication is 'intrinsically neutral.' Identify, by category or deliverable item, examples of program materials funded under the award for which you are seeking exception 1.

(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 Cognizant Technical Officer 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 cost data submissions; 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 USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

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

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

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

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

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

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

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

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

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

(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 [**Agreement Officer fill-in**] 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 in 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 Cognizant Technical Officer. The Principal Officer is responsible for approvals or disapprovals of waiver requests.

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

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

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

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

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

SECTION VII – AGENCY CONTACTS

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SECTION VIII – OTHER INFORMATION

Applicable Regulations & References

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

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

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

- 22 CFR 226

http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html

- OMB Circular A-122

<http://www.whitehouse.gov/omb/circulars/a122/a122.html>

- OMB Circular A-110

<http://www.whitehouse.gov/omb/circulars/a110/a110.html>

- ADS Series 300 Acquisition and Assistance

<http://www.usaid.gov/pubs/ads/>

- SF-424 Downloads

http://www.grants.gov/agencies/aapproved_standard_forms.jsp

ANNEX A

U.S. Agency for International Development

PART I

CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

Signed: _____
(Typed Name and Title)

Date: _____

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 grant, 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 sub awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

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

Signed: _____ Date: _____
(Typed Name and Title)

3. CERTIFICATION REGARDING TERRORIST FINANCING

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, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
 - b. "Terrorist act" means-
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site: <http://untreaty.un.org/English/Terrorism.asp>); or
 - (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
 - c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.
 - d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
 - e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

Signed: _____ Date: _____
(Typed Name and Title)

4. CERTIFICATION USING HIV-AIDS FUNDS

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 agreement.”

Signed: _____ Date: _____
(Typed Name and Title)

5. CERTIFICATION OF RECIPIENT

The recipient certifies to the best of its knowledge and belief all of the above and that it has reviewed and is familiar with the proposed grant format and the provisions and regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

As applicable:

Grant/Agreement No.: _____
Solicitation No.: _____
Application/Proposal No.: _____
Date of Application/Proposal: _____
Name of Recipient: _____
Typed Name and Title: _____
Signature: _____
Date: _____

PART II

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:

<u>Name</u>	<u>Title</u>	<u>Telephone Number</u>	<u>Facsimile Number</u>

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 applicant's/grantee's TIN:

TIN: _____

3. CONTRACTOR IDENTIFICATION NUMBER -DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. 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 non-governmental 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 U.S. entity, it ☐ is, ☐ is not a Gray Amendment entity, as defined below.
- (c) If the recipient is a Gray Amendment Entity, it is ☐ a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101), ☐ an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU), ☐ a college or university having a student body in which more than 40% of the students are Hispanic American, or ☐ a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).
- (d) 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.

6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Grant Officer or other contact person.

7. OMB CIRCULAR A-133 OR SIMILAR AUDITS

If applicable, please provide the date of your most recent A-133 or similar audit, including findings and results of such audits.

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.

9. PROCUREMENT INFORMATION

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

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

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment, which would require the approval of the Grant Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Non-expendable equipment for which the Grant 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.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>
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(d) Source, Origin, and Component 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% component entry 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 does 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.

[illegible]

(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.

[illegible]

(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.

<u>Type/Description (Generic)</u>	<u>Estimated Quantity</u>	<u>Probable Unit Cost</u>	<u>Supplier Nationality (Non-U.S. Only)</u>	<u>Rationale for Non-U.S.</u>
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(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.

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed Disposition</u>
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- END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF RECIPIENT -

ANNEX B

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Applicability: All RFA's must include the 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.)*

PLEASE REFER TO AAPD 04-08 - "Ensuring Equal Opportunity for Faith-Based and Community Organizations" At The Following Website:

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd04_08.pdf

ANNEX C

ADDITIONAL RESOURCES

Building on Previous USG Assistance for HIV/AIDS: This project builds on previous USG-assistance under the 2006-2010 HIV/AIDS Strategy, including:

American International Health Alliance (AIHA)

<http://www.aiha.com/en/>

AIHA has implemented twinning HIV/AIDS projects in four regions of Russia. AIHA also worked on the national level, and its experts contributed to the development and adoption on the national level of a series of HIV/AIDS-related curricula for post-graduate training. In FY09-FY10, AIHA will contribute to finalizing curricula and training materials for use in post-graduate medical educational facilities. This component of USG assistance, which was initiated for the first time in Russia in 2005, will be completed and handed-over to Russian partners. AIHA will also consolidate the establishment of a resource center for case management at the Pavlov Medical University in St. Petersburg, thereby handing over this USG-initiated model to improve access and adherence to prevention and care services.

HealthRight International (formerly Doctors of the World)

<http://www.healthright.org/>

HealthRight International has been involved in developing and establishing HIV outreach, prevention and for street children in St. Petersburg. In FY09-FY10 HealthRight will also institutionalize training on HIV prevention for social service providers working with street youth. This project is implemented through municipal health and social services in partnership with local NGOs. Best practices from the program will be made available to the new HIV partners by the USAID team.

International Federation of the Red Cross (IFRC)

<http://www.ifrc.org/>

In FY09, IFRC will finalize its support for HIV prevention and care in detention centers. Efforts to train detention officials and collaborating NGOs in HIV prevention and care for pre- and post-detainees will be completed. Best practices from the program will be made available to the new HIV partners by the USAID team.

IREX, in partnership with the SANAM Foundation

<http://www.irex.org/>

IREX/SANAM provided technical assistance to Orenburg oblast to replicate a low-threshold model of STI/HIV prevention targeting commercial sex workers. Its Moscow-based clinic serves as model and for health care providers in Orenburg to establish similar services. Lessons learnt will be documented and shared with government and other stakeholders.

IREX, in partnership with the National Foundation for the Prevention of Cruelty to Children

<http://www.irex.org/>

IREX/Stellit developed and implemented an HIV prevention program for vulnerable youth in Saint Petersburg. It will complete the introduction of HIV prevention in vocational schools in FY09. Lessons learnt will be made available by the USAID team to other implementing partners.

Population Services International (PSI)

<http://www.psi.org/>

PSI has provided technical assistance and training to NGOs engaged in HIV prevention and care targeting most-at-risk population, including IDUs. A package of services provided to IDUs by NGOs included counseling, case management, outreach, referrals, VCT, family therapy and support, peer education. A model of substance abuse prevention, including HIV prevention, has been implemented by PSI in Leningrad oblast, Saint Petersburg, and Orenburg oblast. In FY09-FY10, PSI will package their technical assistance tools and disseminate them to other regions.

John Hopkins University

<http://www.jhu.edu/>

Since 2002, JHU has developed a number of communication and counseling models and assisted target regions in capacity building and institutionalization of the modules and approaches. JHU developed an HIV/AIDS peer education module, an HIV prevention school-based curriculum, and an HIV counseling model to accompany HIV testing. In FY09, its local implementing partner, the Healthy Russia Foundation (HRF), will complete the implementation of the substance abuse treatment and rehabilitation project and assess the effectiveness of integrating HIV prevention into selected substance abuse treatment services. Lessons learnt will be documented and shared with government and other stakeholders.

University Research Corporation, Health Care Improvement Project

www.urc-chs.com/

URC has been providing technical assistance to Russia to support the decentralized, multi-sector standardized approach to HIV care. They also facilitate cooperation between the network of people living with HIV/AIDS and health providers, and they work on criteria and assessment tools to assure the quality of HIV care.

United Nations Office for Drugs and Crime (UNODC)

www.unodc.org/russia

UNODC has addressed the issue of injecting drug use and worked with the Federal Drug Control Agency and substance abuse treatment service providers to improve access of IDUs to drug abuse services, including treatment and rehabilitation. In FY09-FY10 UNODC will support their unique role in advocating for HIV interventions tailored to IDUs.

World Vision (WV)

www.wvi.org/wvi/wviweb.nsf

World Vision completed its activities in August 2009. Led by WV, faith-based organizations have combined HIV prevention education with extra-curricular activities for vulnerable youth in training schools. WV is disseminating this prevention approach to governmental authorities responsible for youth training schools, and the curricula for the abstinence and risk-avoidance training will be adapted for training of trainers within the faith-based community for its wider dissemination and use.

Centers for Disease Control (CDC)

<http://www.cdc.gov/>

In FY09-FY10, CDC and its implementing partner, WHO, will complete enhanced surveillance activities among key risk and bridge groups in target regions. Workshops will be supported to integrate these data with data from routine surveillance and other sources, and continued work will be undertaken with federal authorities to incorporate these activities into national guidelines and programs.

United Nations Development Program (UNDP)

www.undp.ru

Under a USAID grant, UNDP has been implementing an HIV prevention and care program with faith-based organizations. In FY09-FY10, UNDP will support the institutionalization of faith-based organizations as key stakeholders with the GOR and civil society in setting HIV policies and programming for the prevention among most at-risk populations and the care and support of highly marginalized people living with HIV/AIDS. The Church will also be supported in promoting volunteerism and engaging civil society in care and support to those affected by HIV/AIDS and in reducing stigma and discrimination. Continued emphasis will be placed on improving interfaith coordination at the national and local levels, and on engaging a range of faiths in the Russian fight against HIV/AIDS.

Joint United Nations Program on HIV/AIDS (UNAIDS)

www.unaids.ru

UNAIDS supports national level policy and systems strengthening through their Universal Access and “Three Ones” global programs. In FY09 –FY10, UNAIDS will continue their collaboration with the Ministry of Health and Social Development, the Federal Service on Consumer Rights, and the Federal AIDS Center to advocate for and support the GOR to adopt, implement and assess progress towards both Russia’s adherence to the ‘Three Ones’ (one national plan, one national coordinating authority, and one national monitoring & evaluation system) and appropriate Universal Access goals for HIV prevention and care in Russia. UNAIDS will continue to build the capacity of national decision-makers in both government and civil society, and ensure that civil society is fully involved in policy-making forums at national and regional levels.

Global Business Coalition (GBC)

www.gbciimpact.ru/ru

The Global Business Coalition for HIV/AIDS (GBC), formerly Transatlantic Partners Against AIDS (TPAA), has implemented a policy leadership, business mobilization and public awareness campaign and activities related to HIV prevention. In FY09 GBC will

continue HIV advocacy and policy support to the Federal Parliament (Duma). They will specifically support the Parliamentary Committee to advance the April 9 resolution regarding HIV prevention for high risk groups.

Other related sources:

WHO Technical Guidelines for IDU populations

www.who.int/HIV/pub/idu/en/