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**FUNDING OPPORTUNITY COVER PAGE**

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| Issuance Date: | August 27, 2014 |
| RFA Questions Due: | September 5, 2014 4pm EDT (Washington DC) |
| Anticipated date of response to Questions: | September 12, 2014 |
| Closing Date and Time for Application Submission: | October 17, 2014 4pm EDT (Washington DC) |

**Subject: Request for Applications (RFA) No: RFA-617-14-000009**
**USAID Better Outcomes for Children and Youth in Eastern and Northern Uganda**

The United States Agency for International Development (USAID) Uganda is seeking applications to fund one or more organizations through a five-year Cooperative Agreement to improve health, nutrition, education, and psychosocial wellbeing, and reduce abuse, exploitation and neglect among children and youth orphaned and made vulnerable by HIV (OVC) and other adversities in Uganda, and particularly in the Eastern and Northern Regions; as described in Section I of this RFA. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Subject to the availability of funds, USAID intends to provide up to $23,500,000 dollars, to be allocated over the five-year period. USAID reserves the right to fund any or none of the applications submitted and expects one award as a result of this solicitation; however, more than one award may result.

This is a full and open competition, under which any type of organization, large or small, commercial (for-profit) firms, faith-based, and non-profit organizations in partnerships or consortia, are eligible to compete. In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible application(s) to achieve program objectives.

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."

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 organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant.

This RFA and any future amendments can be downloaded from http://www.grants.gov. Select “Find Grant Opportunities,” then click on “Browse by Agency,” and select the “U.S. Agency for International Development” and search for the RFA. In the event of an inconsistency between the documents comprising this RFA, it shall be resolved at the discretion of the Agreement Officer. 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@grants.gov for technical assistance.

Any questions concerning this RFA must be submitted in writing to KampalaUSAIDSolicita@usaid.gov, by the date stated above. Questions sent to any other e-mail address will not be answered. The e-mail transmitting the questions must reference the RFA number and title on the subject line of the e-mail. The deadline for receiving questions is September 5, 2014.

If you decide to submit an application, please note that electronic submission is required. Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov, to the attention of Alimo Florence, Acquisition and Assistance Assistant and Tracy J. Miller, Agreement Officer. Late applications will not be considered for award. Applications must be directly responsive to the terms and conditions of this RFA. Telegraphic or fax applications (entire proposal) are not authorized for this RFA and will not be accepted.

An applicant under consideration for an award that has never received funding from USAID may be subject to a pre-award survey to determine fiscal responsibility, capacity, and ensure adequacy of financial controls. Applicants are encouraged to register with the Data Universal Numbering System (DUNS) and System for Award Management at https://www.sam.gov/portal/public/SAM/. as these are mandatory requirements before any award can be made. In the event the submission deadline is due before the registration is complete, applicants shall proceed with the submission of their applications. All Applicants are encouraged to complete the process as this will ease doing business with the USG.

Award will be made to the responsible applicant whose application best meets the requirements of this RFA and the selection criteria contained herein.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant. Should circumstances prevent USAID from making an award, all preparation and submission costs are at the applicant's expense.

Sincerely,

Tracy J. Miller
Supervisory Agreement Officer

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## SECTION I – FUNDING OPPORTUNITY DESCRIPTION

## PROGRAM DESCRIPTION

### A. Introduction

Millions of children and youth in Uganda face an especially precarious, uncertain future. Disease, poverty, domestic violence and other adversities threaten their well-being and protection. In Uganda's Northern and Eastern regions, HIV infection rates are particularly high and have left large numbers of children orphaned and vulnerable (OVC). Building upon USAID's already considerable OVC response experience, both in Uganda and other countries, this five-year investment in social protection is intended to improve health, nutrition, education, and psychosocial wellbeing, and reduce abuse, exploitation and neglect among a minimum of 367,187 children and youth orphaned and made vulnerable by HIV (OVC) and other adversities, particularly in Uganda's Northern and Eastern regions. The activity will contribute not only to the development of young people in these regions but also Uganda's broader national progress.

This five-year, $23,500,000 contribution to Uganda's development of social protection services incorporates recommendations and evidence highlighted in the new 2012 PEPFAR Guidance for Orphans and Vulnerable Children Programming, priorities outlined in USAID/Uganda's Country Development Cooperation Strategy, key Government of Uganda policies and strategies, as well as experiences gained and lessons learned from previous projects for vulnerable children and youth. In line with USAID's 2012 PEPFAR Guidance for OVC Programming[1] and the USG Action Plan for Children in Adversity[2], this activity highlights priority interventions to improve the protection and development of OVC and youth in a number of strategic technical areas. *These technical areas represent an important evolution in programming from direct service provision for vulnerable children to investment in broader systems strengthening for protecting OVCs and youth, building the capacity of families, communities, government as well as a wide range of complimentary, informal structures to provide especially valuable services for children and youth.* In addition, the new PEPFAR Guidance firmly situates OVC programming within the Continuum of Response (CoR), which addresses the lifetime needs of target populations to assure access to a wide range of prevention, care and treatment services based on individuals' changing needs and circumstances. The CoR emphasizes developing stronger inter-institutional relationships and fostering more productive relationships between clinical and a range of social and economic community based partners, using the respective contributions of each as best providing a platform for integrated and complimentary services.

The purpose of this substantial investment is to enable more than 367,000 Ugandan children, youth and their caregivers, particularly HIV affected children and youth in Northern and Eastern Regions, to access core services for improving health, nutrition, food security, education, and psychosocial well-being and to prevent, and respond to child abuse, exploitation and neglect. The activity will achieve this purpose by looking at most promising international practices and providing carefully conceived, well-studied measures for building the capacity of children and youth, families, communities and government systems. The activity will further strengthen linkages between clinical and community-based socio-economic services in Northern and Eastern Regions to provide better coordinated, regionalized support, particularly for very young children and youth, at the most local level.

[1] Available online at http://www.pepfar.gov/documents/organization/195702.pdf
[2] Available online at http://pdf.usaid.gov/pdf_docs/PDACU700.pdf

Districts targeted in these two regions include: Amuria, Bugiri, Iganga, Jinja, Kamuli, Mbale, Mayuge, Apac,Arua, Gulu, Kitgum, Lira and Oyam.

It is vital that prospective USAID partners carefully appreciate Uganda's current development environment, which has prompted the U.S. Government to conduct an in-depth policy review of its assistance program. It is evident that USAID/Uganda's current and prospective implementation partners may need to become increasingly adaptive in meeting USAID's assistance objectives. Depending on the political climate in the country the implementing partner may need to adjust level of engagement with governmental authorities and should explore fostering stronger community level engagements as well as private sector and civil society. The Implementing partner should also seek effective means of working with and through Ugandan citizens and private entities to achieve developmental objectives

## B. Program Description

### 1. Background:

#### *a. Vulnerability factors*

Vulnerability in Uganda remains persistent and pervasive with many children frequently categorized as vulnerable to a range of risks due to a number of factors.

HIV/AIDS has had a devastating impact on Uganda's population, including, and perhaps most importantly among children and youth. In spite of nearly two decades of concerted attention, Uganda is still experiencing a severe generalized HIV epidemic. Although prevalence has substantially decreased since the early 1990s to a current rate of 7.2 percent complacency, unabated population growth and life-sustaining treatment (ARVs) mean that a comparable number of individuals are still becoming infected and, recent surveys indicate that Uganda's HIV/AIDS rate is on an upward trend. In particular, the rate of infection is rising among most at risk populations, youth, and in the Northern region where populations were previously isolated as a result of the conflict between the Lord's Resistance Army (LRA) and Uganda Peoples Defense Force.

Vulnerable children in Uganda are also susceptible to violence in multifaceted forms, including neglect and abandonment, hazardous labor, child trafficking, sexual abuse, emotional and physical abuse in homes, communities, schools, and/or, in the justice system. According to the Demographic and Health Survey (DHS) 2011, 25 percent of Uganda women report that their first sexual encounter was coerced and more than half have experienced physical violence. These women and other children who suffer from sexual abuse and/or girls subjected to early marriages and other forms of violence are at a higher risk of HIV infection. Many children in Uganda are routinely exposed to violence in their homes and schools, within state institutions, care and justice systems, places of work and in other settings. In many cases, children experience violence at the hands of individuals responsible for their protection and well-being, including their parents and guardians, teachers, caregivers in residential care institutions, the police and other law enforcement officials. In addition, there has been an increase in reports of child trafficking for child labor, especially girls to serve as house helpers, and even child sacrifice. Children with disabilities also face serious challenges, ranging from exclusion from their homes to denial of education, sexual reproductive health and HIV and AIDS information and services. Children and the mothers of children in Northern districts that suffer from Nodding Syndrome, an irreversible, catatonic state, also face serious protection issues, including abandonment, rape/defilement of girls, denial of schooling, and starvation.

Although the LRA is no longer active in the North of the country, the long history of civil unrest has left this region fractured and impoverished. Service providers and community leaders report tensions between community members and returning citizen combatants, as well as widespread depression and a growing number of suicides. Last year, there were over 100 suicides in Gulu district alone and approximately 54 percent of northern Ugandans are estimated to have PTSD. Family dissolution and an erosion of traditional family values is also a concern. In addition, many children and their caregivers continue to suffer psychological post-conflict after effects.

Although national poverty rates have broadly dropped and relatively improved since a number of years ago, poverty among households affected by HIV/AIDS remains especially high. According to Uganda's Child Poverty Report, over six million children are estimated to live in *extreme* poverty, comprising 62 percent of the estimated 9.6 million Ugandans experiencing absolute poverty. Many of these children live in Uganda's Eastern and Northern districts. Northern districts are especially impoverished and if radical changes are not made to the economy in the North, 45 percent of the population is expected to fall into poverty in the next 25 years.

Malnutrition is also usually a chronic problem for many HIV affected households and particularly HIV-affected households. According to Uganda's Health Sector Strategic Plan III, 38 percent of Ugandan children under-five years are still stunted, 16 percent are underweight, and 6 percent are wasted. Seventy-three percent of children under-5 years are anemic, and 20 percent of children under-5 years as well as 19 percent of women have vitamin A deficiencies.

Uganda's educational conditions are also still highly fragile. Years ago, the introduction of universal primary education has increased school enrollment, however, school completion rates among children and youth remain low, especially among girls. School completion rates are particularly low in the Eastern and Northern Regions. In the North, for example, approximately 8 percent of children attend secondary school, while national enrollment in secondary school education is also alarmingly low – approximately 17 percent (16.2 percent for boys and 18.2 percent for girls).

Youth in Uganda also face a number of challenges. Uganda has also one of the highest youth unemployment rates in Sub-Saharan Africa. Resources and curricula in both formal education and vocational institutions are not aligned with market opportunities. In the North, youth report especially low levels of optimism about the future after having spent most of their lives in camps, which limited their exposure to opportunities that help develop a sense of personal agency. As a result, many youth in the North do not easily value education or investing in their futures. In addition, low rates of contraceptive use and high rates of high risk sexual activity continue to leave young Ugandans highly vulnerable to sexually transmitted diseases, HIV, and unwanted pregnancy.

Gender can influence the ways in which young people experience these risks. For example, girls in Uganda who become pregnant at an early age are more likely to drop out of school and live the rest of their lives in poverty, while boys in Uganda are more likely to suffer from alcoholism and substance abuse, particularly in the Northern region.

### b. Magnitude of vulnerability

As many as an estimated 105,000 Ugandans living with HIV/AIDS are under the age of 18 years, of which only 27 percent are currently on care and treatment.[3] However, practices and

[3] Ministry of Gender, Labor and Social Development (2011). "National Strategic Programme Plan of Interventions for Orphans and Other Vulnerable Children 2011/12-2015/16"

systems for early detection and treatment among children are still limited and the actual number of pediatric HIV cases is almost certainly considerably higher than reported.

Ugandan OVC policy defines Vulnerable Children as including orphans (children below the age of 18 years who have lost one or both parents) and other vulnerable children (children who are likely to be in a risky situation, and /or likely to suffer significant physical, emotional or mental harm that may result in violating their human rights). Throughout this document, the terms orphans and vulnerable children (OVC) and vulnerable children (VC) are used to describe this population.

Accurate information about OVC in Uganda is not easily available, but the Government of Uganda's 2009/2010 OVC Situation Analysis estimated that 14 percent (approximately 2.43 million) of the then 17.1 million Ugandan children below the age of 18 years had been orphaned, with nearly half (48 percent) of these children orphaned by HIV/AIDS. Up to 96 percent of Ugandan children were considered to be vulnerable, of which 43 percent (7.3 million) suffered from moderate and 8 percent (1.3 million) critical vulnerability. The Eastern districts targeted by this activity are home to an estimated 567,348 OVC, while the Northern districts are home to an estimated 710,635 OVC.

Uganda's National Youth Policy defines youth as young people between the ages of 12 and 30 years. However, this activity is intended to focus on youth in their early and middle adolescence - between the ages of 10 and 18 years. Throughout this document, the terms youth and adolescents are used to describe this population. A 2011 demographics survey estimated approximately 8,326,000 young people in this age group, about 24 percent of Ugandans.

### *c. Systems of care and support for vulnerable children and families in Uganda*

Uganda's still rising number of vulnerable children has overwhelmed the capacity of the extended family system to provide care and support to them. Today, it is estimated that over 35,450 children between the ages of 10 to 19 are already heading households, while over 40,000 live in institutions and approximately 10,000 simply live on the streets. The 2009/2010 Situation Analysis also indicated that about 63 percent of the orphans lived with caregivers other than a biological parent who themselves were typically impoverished and/or elderly grandparents – many of whom lacked access to basic services.

Still not galvanizing more serious political or social interest, the Government of Uganda's response to the OVC crisis is only fairly nascent and evolving. At this time, external care and support for vulnerable children is largely provided by donor-financed civil society organizations (CSOs). Reliable information is still difficult to collect, but a 2011 mapping exercise conducted by individual districts with support from SUNRISE project found over 2,000 CSOs offering services to vulnerable children and families in Uganda through a variety of approaches. Inventories of service providers are housed both at sub county CDO office and with District Probation and Social Welfare Officers. These are used to support coordination and referrals between programs. The report generated by the mapping exercise indicated that the USG's PEPFAR provided the bulk of these resources to support civil society activities, followed by the Civil Society Fund (CSF), a coordinated mechanism which various donors including PEPFAR/USAID However, CSF that provided support to OVC issues ended in June, 2012. UKaid, Irish Aid, UNICEF and World Bank are piloting a social protection program in Uganda to reach approximately 95,000 households around 600,000 people.

The Ministry of Gender Labor and Social Development (MGLSD) is Uganda's national body responsible for the welfare and protection of Ugandan children and youth. It is also the Ministry charged with ensuring that gender dimensions and dynamics are integrated and mainstreamed in programs. However, the MGLSD has been institutionally weak for a number of years and receives only 0.3 percent of the national budget. The Government of Uganda's (GoU) persistent failure to recruit, deploy, and fund social welfare and community workers has long negatively impacted the uptake of essential services among vulnerable populations that are provided by the MGLSD, other Ministries, and government offices and programs at the local government - including primary and secondary education and critical health services.

With support from PEPFAR, UNICEF has also assisted the MGLSD to set policies, oversee implementation, provide technical direction, establish an OVC Information Management System (MIS) that reports coverage and generally carry out its mandate to strategically direct and coordinate services for vulnerable youth and children in Uganda. However, the absence of social service workers has also hampered MIS operationalization. Data is expected to flow from service providers through sub counties to districts under supervision of technical staff. Without these staff, timely data collection and reporting is unlikely. Low funding and insufficient social service workers, combined with inadequate capacity of child and youth-focused national institutions to roll-out polices, provide technical support to local government to implement policies, and collect data on the implementation of policies, has resulted in weak policy framework and poor development outcomes for children and youth.

### *d. USAID Engagement*

USAID Health, HIV/AIDS, and Education programs incorporate the principles, practices, and priorities of a number of U.S. Presidential and other initiatives while at the same time ensuring that programs are aligned to Government of Uganda policies, plans and strategies. USAID is Uganda's largest international funder of OVC programs with its portfolio including innovative service delivery programs as well as initiatives intended to strengthen OVC systems of care and support. Within the context of the GoU's Strategic Program Plan of Interventions for Orphans and Vulnerable Children, the Uganda National Youth Policy, and the USAID Youth Strategic Framework, USAID invests in efforts to strengthen systems that support: (i) the development of national services and community ownership; and (ii) the capacity to deliver effective child-related social services at all levels. From 2011 to 2013, the USAID funded Strengthening Ministry of Gender's Management of the OVC Response (SMMORE) project, implemented by UNICEF, supported the MGLSD, and the National Council for Children (NCC), to enable them plan, lead and manage the national OVC response. The project also supported the MGLSD to coordinate implementation of both Uganda's National Strategic Program Plan of Interventions (NSPPI) for OVC and oversee the implementation of MGLSD's OVC Monitoring and Evaluation (M&E) plan, OVC management information system (MIS) to improve data collection, production and dissemination.

Currently, USAID supports local government leadership, coordination, and implementation through the Strengthening the Ugandan National Response for Implementation of Services for OVC (SUNRISE OVC) project, implemented by the International HIV/AIDs Alliance. Through Applying Science to Strengthen and Improve Systems (ASSIST) Project, USAID is also supporting the MGLSD to enforce and ensure quality service delivery by all OVC service providers. USAID also has plans to launch a Health Advocacy Project which will among others encourage communities to take stronger interest protection and welfare of children and youth.

To economically empower families and other caregivers of children, USAID has also supported a range of livelihood opportunities for youth and OVC households, including promoting savings and asset building approaches and linkages to formal financial services. The largest of these activities is the Sustainable Comprehensive Responses (SCORE) for Vulnerable Children and their families' project, implemented by AVSI in 35 districts. To date, SCORE has reached over 80,000 OVC. In addition, USAID/Uganda also funds the Community Connector (CC) activity to assist local governments to improve the nutrition of women and children and the livelihoods of more than 80,000 vulnerable households by integrating a range of poverty-abating, nutrition and agricultural interventions.

USAID/Uganda has also funded a number of projects to address the protection of children, youth and their caregivers, especially girls and young women. The Gender Roles Equality and Transformation project (GREAT) improves adolescent sexual and reproductive health and decreases gender-based violence in the post-conflict areas of Northern Uganda by facilitating the adoption of gender equitable norms, attitudes and behaviors which positively influence health outcomes among boys and girls aged 10 to 19 years. USAID policy also serves to reinforce and ensure that gender equality and female empowerment is integrated into programming in order to yield stronger development results. This approach is guided by a series of policies including the USAID Policy on Gender Equality and Female Empowerment, the U.S. Strategy to respond and Prevent Gender-Based Violence Globally, the Ending Child Marriage and Meeting the Needs of Married Children: USAID Vision for Action and the USG Action Plan Children in Adversity.

#### *e. Development Hypothesis*

The Development Hypothesis for this project is: If (1) local governments, CSOs and informal community structures increase and improve core services for OVC, youth and their caregivers, and (2) community-based clinical and socio-economic services become more responsive and collaborate more effectively, then an enhanced, social support system will develop through which a minimum of 367,187 OVC, youth and 59,802 households will access core services,[4] for improving health, nutrition, education, and psychosocial well-being and reducing abuse, exploitation and neglect.

### 2. Activity Description:

#### *a. Goal*

The goal of this five-year investment is to improve wellbeing[5] of children who have lost a parent to HIV/AIDS, who are otherwise directly affected by the disease, or who live in areas of high HIV prevalence and may be vulnerable to the disease or its socioeconomic effects in Uganda.

The recipient will identify age dis-aggregated outcome[6] indicators to demonstrate a positive shift for OVC from vulnerabilities. Outcome indicators should measure meaningful change at the human, institutional and system levels

For more information on child wellbeing impact indicators see the PEPFAR OVC Program Evaluation Toolkit http://www.cpc.unc.edu/measure/our-work/ovc/ovc-program-evaluation-tool-

[4] 367,187 is approximately 28.7% of total OVC living in these districts, a proportion substantial enough to generate making a substantial contribution to Uganda's social protection interests. 60,000 caregivers is based on a birthrate of 6.14 births per woman in Uganda.

[5] Wellbeing refers to improving health, nutrition, education, and psychosocial well-being and reducing abuse, exploitation and neglect.

[6] Age disaggregation should include the following cohorts:<1, 1-4, 5-9, 10-14, 15-17, 18+

kit and the USG Action Plan. USAID has also recently issued a new USAID Local Capacity Development Policy which offers promising approaches to fostering local institutional development.

### *b. Purpose*

The activity's purpose is to enable more children, youth and their caregivers' access and utilize core services for improving health, nutrition, education, and psychosocial well-being and reducing abuse, exploitation and neglect in Uganda's Northern and Eastern Regions.

Such a substantial USAID investment stresses the importance of adopting and developing an inter-dependent, ecological model in which families, communities and formal government and informal structures all have particular roles to play in child wellbeing and protection. Although families most frequently serve as the primary caregivers to children they often find this role challenging without the support of communities. In order for communities to better support families and ensure that children and families have access to essential services, such communities must be able to more effectively solicit the support of government and other formal structures. A well-organized, well-functioning child and youth protection and development system creates this environment in which formal government and informal institutions, communities, and families have the capacity to care for and support the development of children and youth as well as they possibly can.

The types of services and support provided by actors within this system will vary depending on the type of actor, the specific actors' resources and capacities the context in which a child or young person lives, and the specific child or youth characteristics. For example, a child or youth's needs and resources available change depending on his or her age, gender, ability, whether or not he or she lives with a family, and other characteristics. They are also influenced by the relationship between a child or youth with his or her family, community, and government.

This project will achieve its purpose by building the capacity of children and youth, their families and communities, formal and informal child welfare and protection institutions and linking community-based and clinical services to promote and develop a comprehensive care system for vulnerable children and youth. Capacity-building support for government counterparts will primarily focus on local government counterparts such as Probation and Social Welfare Officers and Community Development Officers at sub county level. Support for national counterparts may be provided on a limited basis, where implementation of activities at the local government level requires building the capacity from national level, national coordination, technical support supervision and policy dissemination among others.

### *c. Beneficiary Identification*

By any estimate, the vast numbers of children within the Northern and Eastern Regions who are potential beneficiaries far outstrip donor-based resources available. The intended beneficiaries of PEPFAR programs as defined in the Hyde-Lantos Act include "Children who have lost a parent to HIV/AIDS, who are otherwise directly affected by the disease, or who live in areas of high HIV prevalence and may be vulnerable to the disease or its socioeconomic effects." For the purpose of this RFA children are persons 0-18 years old as defined by the international community. This is the age range to be used for beneficiary identification Youth are defined as members of an OVC household between the ages of 10-29 years. As defined in the USAID Youth in Development Policy, adolescents are defined as 10-19 year olds (10-14 early adolescence and 15-19 adolescence).

Data on project beneficiaries reported to PEPFAR must be disaggregated by Sex & Age: Male <1, Male 1-4, Male 5-9, Male 10-14, Male 15-17, Male 18+; Female <1, Female 1-4, Female 5-9, Female 10-14, Female 15-17, Female 18+. Youth data collection should include age brackets 18-24 and 25-29.

To ensure a continuum of care for children and families in targeted districts, it is imperative that the project develop productive, complimentary relationships between existing and planned PEPFAR supported HIV services. In districts where PEPFAR (both USAID and CDC) is actively supporting HIV and AIDS programming beneficiaries shall be identified through several channels including:

- *Health service referrals*

  Providers at sites offering HIV specific services like PMTCT, VCT/HCT, pediatric treatment and general health like nutrition, malaria and immunization provide ample opportunities to identify children in need of further support. Additional opportunities include home-based care activities and support groups for people living with HIV. The activity will also not discriminate or overlook initiatives addressing key population groups (e.g. sex workers) as a potential referral point.

- *Social service referrals*

  Social service providers cater for many children and families already affected or at high risk of HIV. Therefore Probation and Social Welfare Officers (POs), Community Development Officers (CDO), para-social workers, post-rape care centers, police, children's homes and institutions, youth centers and programs for street children all serve as important conduits to identifying potential project beneficiaries.

- *Community identification*

  Stigma, discrimination and apathy coupled with lack of knowledge and access mean that some of the most vulnerable children and families never, or rarely, present themselves at formal services such as health centers. Therefore, community outreach through civil society and faith based organizations as well as teachers; Community Development Officers, local Youth Councils, local police, human rights organizations and other community leaders are important conduits for identification of potential activity beneficiaries. To avoid causing families to experience further stigma, it is critical that beneficiary identification and selection criteria are fully transparent and optimally involve community-participation. Development of criteria for program inclusion requires a thoughtful balance of community understood contextual vulnerabilities with awareness of the unique situation of those at risk of or infected and affected by HIV and AIDS.

  The activity shall strive to be champions for the inclusion of children and families affected (or at high risk) of HIV and AIDS while not excluding other highly vulnerable groups, such as malnourished children, child mothers, vulnerable females, children who are out-of-school, children involved in hazardous forms of child labor, or children living in extreme poverty. For example, savings groups in high prevalence areas shall seek the participation of families affected by AIDS but not limit group membership to HIV positive members. Such an approach would limit opportunity to promote social inclusion of HIV affected children and families and potentially lead to greater stigma. Where possible, the activity shall also review, update and screen for potential support the list of OVC households identified through mapping processes supported by SUNRISE, Community Connector (USAID/Uganda's poverty alleviation activity, if active in such districts) and Strengthening

Decentralization for Sustainability (SDS) at the sub-county level.

Aligned with the principle of helping children by strengthening families, the activity shall employ a "child-focused, family-centered" approach to identification that underlines the importance of avoiding situations that may foment family discord (for example, providing assistance to only one of several children within the same household) and stresses the value of interventions that support holistic family health.

***d. Alignment with Government of Uganda National Strategic Program Plan of Interventions (NSPPI), other national policies and regional strategies***

The Government of Uganda's National Strategic Program Plan of Interventions (NSPPI) offers guidelines for a comprehensive, coordinated approach to planning, implementation and monitoring and evaluation (M&E) for Vulnerable Children. Beyond the NSSPI, the Government of Uganda has also developed a number of sectoral policies and programs that address the welfare of orphans and other VC. These include the National Development Plan (NDP, 2009/10-2014/15) that aims at increasing access to quality social services reaching vulnerable populations, the Peace, Recovery and Development Plan (PRDP) for Northern Uganda (Strategic Objective 2: Empowering Communities), Universal Primary Education (UPE) and Universal Secondary Education (USE), both giving priority to orphans, and Uganda's National Youth Policy that aims at empowering youth, with special attention on living circumstances and vulnerability and seeking to develop youth's social, economic, cultural and political capacities. This activity is intended to contribute to several of NSSPI's Core Program Areas and other relevant policies, including economic strengthening, access to essential services, and improved protection and legal services for vulnerable children and families. The investment is also intended to support NSSPI and other key policies' implementation by working with the local governments, CSOs and informal community structures to operationalizes policies and plans, familiarize stakeholders with their the policies and plans, particularly at the district, sub-county, parish and village levels in targeted districts.

Recipient may be challenged as a result of new acts and policies being implemented by the Government of Uganda, effectively restricting the democratic space in which these activities will be implemented. The activity structure, management team, and interventions are expected to be flexible and responsive to this changing environment. The recipient must have a documented plan within the technical approach for adapting and modifying engagement with the GOU and non-governmental, including private sector, actors in order to achieve expected results.

The recipient shall implement the activity in a manner that does not foster nor result in discrimination- *refer to Special Provision 4)c) under Section IV*. The recipient is expected to manage the activity with a plan to ensure that its staff, employees, and sub-awardees at all levels have in place training and/or other measures to ensure that this is carried out.

***e. Alignment with the USAID Country Development Cooperation Strategy (CDCS)***

USAID/Uganda's five-year CDCS echoes the Government of Uganda's (GOU) vision for national development, as outlined in the National Development Plan: Uganda's transition to a modern and prosperous country accelerated. This goal will be pursued through three Development Objectives (DOs) and one Special Objective (SpO):

- DO1: Economic growth from agriculture and the natural resource base expanded in selected areas and population groups
- DO2: Democracy and governance systems strengthened and made more accountable

- DO3: Improved health and nutrition status in focus areas and population groups
- SpO1: Peace and security improved in Karamoja

Like the CDCS, this work aims to increase Ugandans' financial security, particularly among vulnerable populations while achieving improved health and nutritional conditions. Specifically, this activity aligns with the Project Appraisal Document developed for DO3 and is expected to make major contributions to IR 3.1.3 "Health Seeking Behavior and Demand for Quality Services," Expected Outcome 7: Increased children and youth access to quality social, psychological, economic and protective services. Because addressing youth needs in Uganda is so urgent, this project then is intended to both address the needs of youth more comprehensively as well as engage youth as partners in development.

***f. Child Safeguarding***

Because this RFA's activities involve direct contact with children and therefore could raise the potential of child abuse, the recipient of the award resulting from this RFA must conduct a comprehensive assessment of potential risks, and develop and/or implement appropriate measures to prevent, mitigate, and respond to child abuse by activity personnel for both the prime and its sub-awardees. A description of these measures shall be submitted with the first annual work plan for approval by USAID. The recipient of this award will also be required to conduct a gender analysis to inform gender appropriate interventions, including gender-based violence, and integration in the work planning and interventions. It is also a requirement for the applicant to conduct a risk assessment to inform their Risk Mitigation and Contingency Plans. Prospective recipient will be able to have to demonstrate their ability to provide policies and procedures that reflect entirely non-discriminatory program employment and implementation practices

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Goal: Improved wellbeing of children and youth orphaned and made vulnerable by HIV and other adversities in Uganda.

Purpose: More orphaned and vulnerable children, youth and their caregivers access and utilize core services for improving health, nutrition, education, and psychosocial well-being and reducing abuse, exploitation and neglect in the Northern and Eastern Regions of Uganda

**Result 1: Orphaned and vulnerable children, youth and their caregivers are better economically empowered to access core services**

**IR 1.1:** Increased temporary consumption support

**IR 1.2:** Increased savings and credit opportunities

**IR 1.3:** Increased opportunities for growing income and assets

**IR 1.4:** Increased group-based education and support programming

**Result 2: Local governments, CSOs and informal community structures increase and improve core services for orphaned and vulnerable children, youth and their caregivers**

**IR 2.1:** Improved planning and coordination for orphaned and vulnerable children, youth, and their caregivers
**IR 2.2:** Increased financing for orphaned and vulnerable children, youth, and their caregivers
**IR 2.3:** Increased staffing levels and higher-performing workforce for orphaned and vulnerable children, youth, and their caregivers
**IR 2.4:** Increased use of evidence in OVC programming at local government level
**IR 2.5:** Improved quality service models and delivery mechanisms for orphaned and vulnerable children, youth, and their caregivers

**Result 3: Improved coordination of community-based clinical and socio-economic services for efficiency and effectiveness along the continuum of care**

**IR 3.1:** Improved referral systems and linkages between community-based clinical and socio-economic services
**IR 3.2:** Improved models for integrating clinical and socio-economic services for very young orphaned and vulnerable children and their caregivers
**IR 3.3:** Improved models for integrating clinical and socio-economic services for orphaned and vulnerable youth and their caregivers

## 3. Intended Results:

### Result 1: Orphaned and vulnerable children, youth and their caregivers are better economically empowered to access core services

In Uganda, over 80 percent of children live with at least one biological parent and nearly one third of Ugandan households host a non-biological child. Likewise, orphan hood does not imply living outside of family care. An estimated 1.1 million Ugandan households care for at least one orphan with more than half of these households accommodating multiple orphans. These statistics and other research on the relationship between children and their caregivers on child well-being indicate that reinforcing this relationship and building families' capacities to meet such children's health, nutrition, educational, psychosocial, and protection needs in their care are the most effective, sustainable strategies for improving child well-being.

In Uganda, as in other parts of the world, poverty is the most significant constraint compromising the ability of caregivers to protect children from the effects of HIV and AIDS and facilitate core services for children, including adequate material and psychosocial support. HIV and AIDS have further exacerbated pre-existing economic vulnerability by interrupting income streams, depleting assets, introducing labor constraints, and increasing dependency ratios. In addition, poverty limits the uptake and impact of HIV and AIDS prevention and treatment services. However, reducing socioeconomic vulnerability among caregivers, through a range of economic strengthening activities frequently contributes to greater investment of caregivers' own resources towards meeting the essential needs of the children in their care. Complementing these economic strengthening activities with education and support activities for caregivers, as well as critical life skills and other training opportunities will better enable OVC and youth to access core services and improve health, nutrition, education, and psychosocial wellbeing, as well as reduce abuse, exploitation and neglect among children and youth.

This investment is strengthening Uganda's social safety net capacities will focus on the improving the "strengths and resources" of children and families rather than on meeting their "needs and deficits". Providing direct support to children rather than empowering families to provide for children's needs can undermine family relationships and capacity to care for children long term. Interventions in this activity shall be designed to strengthen the capacity of families to achieve child wellbeing outcomes through lowering their socioeconomic vulnerability. Education and support initiatives shall ensure that families and caregivers have access to basic support and are able to access resources to meet important family needs (e.g. school fees, health costs, food, etc…). They shall also enable families and caregivers to provide children with regular, nutritious meals and address health concerns among children and child mothers in a timely, appropriate manner and ensure that children are fully immunized. Finally, interventions shall help families and caregivers to provide children with appropriate shelter, basic support (including positive discipline, psycho-social support, love and affection), register children for birth certificates and develop succession plans that clearly identify inheritance claims and legal guardians for children should their parents pass away.

The Recipient shall use promising, effective methods for assessing the economic vulnerability of households, determining which economic strengthening interventions would be most appropriate, to decrease vulnerability. The Recipient shall also implement strategies for facilitating and measuring the progression and eventual "graduation" of households, as appropriate, from activity support.

***IR 1.1:*** *Increased temporary consumption support*
Consumption support interventions are direct transfers of resources, usually in the form of cash or food supplements, to families to support basic needs of household members, particularly children. Consumption support is most appropriate for the most vulnerable families (“families in destitution”) and aims to build their capacity to meet basic necessities. It may be appropriate for a small number of children, youth and their caregivers living in destitution to be facilitated to receive temporary consumption support through linkages with established social assistance or cash transfer programs. Individuals or households might qualify due to their socio-economic status (as families in destitution or ultra-poor) or because they are HIV positive and clinical providers referred them to the activity when other economic strengthening interventions were in mid-cycle. The program will not provide any direct cash assistance however, any leveraged direct assistance shall be small and infrequent to reduce fostering unnecessary dependency and distortion of productive incentives or behaviors, AND should be provided only as one part of a comprehensive social protection system. These families should transition to Savings groups, farmer field schools, and other group-based income generation activities, as soon as possible and when the activity identifies a critical mass of beneficiaries, or can otherwise justify working with a new cohort.

Bearing these characteristics in mind, as well as other, tested experiences, the Recipient shall implement approaches and methods for facilitating only temporary consumption support through social funds established by Savings and Loan Associations, other community-based fundraising initiatives, and/or the Social Assistance Grants for Empowerment (SAGE) cash transfer program or other social protection schemes. Under this activity, any direct assistance must be time-limited and beneficiaries should be transitioned to other economic strengthening activities as soon as possible but no later than a period of one year.

*Other targeting considerations:*
The Recipient shall facilitate limited consumption support for orphaned and vulnerable children, youth and their caregivers who are “living in destitution” or recently referred to the OVC program in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of households assisted/participating (disaggregated by households caring for orphaned and vulnerable children and the age of the children and those households not caring for vulnerable children)
- Number of youth assisted/participating (disaggregated by gender and age)
- Value of monthly/weekly household consumption, especially during lean season

***IR 1.2:*** *Increased savings and credit opportunities*
Money management interventions introduce mechanisms for saving financial and other assets, accessing prudent consumer credit, and fostering the knowledge and behaviors families need to better match their expenses with their income. Informal mechanisms that are independent of financial institutions, which are often concentrated in urban areas, are often more appropriate and accessible for rural or vulnerable households. Such mechanisms use self- selected groups of individuals or households to mutually pool and guarantee each other’s savings, and they are derived from traditional arrangements easily understood by most households.
These interventions are helpful and appropriate for many families, particularly those with access to some income sources but still unable to invest adequately in their

children ("families struggling to make ends meet" or moderately poor). Savings group approaches are optimized to deliver welfare improvements at the family level. Impacts on individuals within these families – such as vulnerable children – do occur but are more subject to variation and confounding from other family-level priorities on spending and investment. Already with several years of implementation experience, Uganda's flexible (Village Savings and Loan Associations (VSLA) methodology lends itself to many potential adjustments, refinements, and even substantial scale ups and linkages with formal financial institutions that could more sustainably enable families to better realize the intentions and aspirations they have for their children.

Building upon Uganda's earlier VSLA experiences, the Recipient shall pursue approaches for organizing, managing and taking to significant scale Savings and Loan Associations, providing complimentary money management education and counseling, and working with appropriate institutions to roll out appropriate, broader methods to benefit households beyond the activity's scope. The Recipient will also be expected to work with the USAID funded OVC Evaluation partner to test techniques derived from behavioral economics research, such as goal-setting, reminders, and timing savings group share-outs to coincide with major annual expenditures (e.g., agricultural input purchases, educational expenses), to investigate vexing, social considerations, or examine other issues/perspectives. In addition, the Recipient shall look for opportunities to test the concept of earmarked or commitment accounts (e.g., separate savings funds for educational expenses), and matched-savings approaches (such as the Child Savings Accounts), as well as partnership with financial institutions to leverage appropriate financial services to support post-secondary education especially for female adolescents.

*Other targeting considerations:*
The Recipient shall support savings and credit opportunities for OVC, youth and their caregivers who are "struggling to make ends meet" in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of savers and borrowers (disaggregated by gender/ and those caring for OVC and those who are not)
- Value of participant savings and loans
- Return on savings
- Value of matched savings
- Value of household assets
- Improved wellbeing to members in VSLA
- No of female adolescents benefiting from partnerships with financial institutions for post-secondary education
- Integration of HIV and health services in VSLA

The Recipient is encouraged to monitor/report savings group results through the SAVIX (Saving Groups Information Exchange).7

**IR 1.3:** *Increased opportunities for growing income and assets*
Income promotion helps families invest in appropriate low-risk activities to diversify and stimulate moderate growth in household income. Because these interventions require families to invest some of their own resources, they are most appropriate for households who have adequate mechanisms to manage risk and more access to lump sums of money (least vulnerable families or "families ready to grow"). Multiple, diversified, reliable, and frequent income streams tend to receive higher priority than simply maximizing profit from an individual activity. Moreover, households will tend to

seek activities that require a low investment and have a low risk of failure, although such activities also feature relatively low returns. Microenterprise activities, where families operate their own businesses or farms, are a frequent focus. However, labor-based opportunities (such as formal employment or casual labor) are equally, if not more, important because they may be less risky for families to engage in. Effective interventions shall yield self-sustaining outcomes: families shall be equipped to finance their ongoing participation in these income opportunities and to manage the natural evolution of the markets in which they operate.

The Recipient shall identify or develop replicable business models that are linked to larger economic development endeavors including fostering promising partnerships with companies with established markets, brands, and/or distribution channels. (E.g. micro-franchises selling airtime, retailing prepared/processed food (such as bread), or providing key business inputs (such as ice for fishermen and or certified seeds for farmers.) Where appropriate, the Recipient shall also support agricultural businesses to increase productivity for participants' existing activities as well as diversification into new farming ventures (e.g. using the Farmer Field School or other promising models). The Recipient shall avoid purchasing inputs or raw materials for beneficiaries directly but rather find ways for lowering the barriers for beneficiaries to purchase inputs themselves, sell outputs to buyers, and equip them to manage the risks associated with these processes. When and where circumstances permit, consideration shall be given to how income generation ideas could become associated with advancing Uganda's value-chain approach to key agricultural commodities as well as amplifying the benefits as estimated 50,000 households are soon realizing under USAID's Community Connector work.

*Other targeting considerations:*
The Recipient shall support money management for OVC, youth and their caregivers who are "ready to grow" in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of households assisted (disaggregated by households caring for OVC and those who are not)
- Number of youth assisted (disaggregated by gender and age)
- Value of monthly/weekly household income, especially during lean season.

**IR 1.4:** *Increased group-based education and support programming*
Parents subjected to psychological stress frequently associated with poverty may be more likely to exhibit poor or unhealthy parenting styles. Unhealthy relationships between caregivers in the family can also translate into poor interactions with their children. A rich evidence base explores a range of interventions to improve the family care environment for children, including group-based caregiver education and support programming. A basic foundation of parenting skills reinforced with social support appears to be effective for most families. Moreover, several curricula have been developed and validated in developing country contexts to improve relationships within families (e.g., parent-child interactions, early childhood development, adolescent development, positive discipline, child protection, and intimate partner violence) using adult learning methods. Recent efforts have also explored integrating these curricula with savings group interventions with promising success. The trusting peer environment engendered by effective savings groups provides unique opportunities to introduce relevant curricula combined with reinforcing social support to simultaneously improve family functioning and strengthen economic security. In addition to education and support groups for OVC caregivers, many schools and local community social service organizations have implemented highly effective group-based education and support activities targeting

OVC and youth themselves. Activities cover topics such as basic life skills, protection and safety skills, financial education, sexual reproductive health, leadership, health topics, leadership, etc. Activities can also include recreational activities and opportunities to discuss issues of concern to young people in Uganda. Facilitating peer support and mentorship among young people and between young people and other supportive adults in their community can also generate positive psycho-social benefits – particularly for girls.

As appropriate, the Recipient should draw lessons and adapt tools and resources from similar activities in Uganda and other relevant contexts. In northern Uganda, USAID has piloted a the Responsible Engaged and Loving (REAL) Fathers Initiative, mentoring 300 fathers in how to become more effective parents and father role models as well as another broader GREAT program directed by the Institute for Reproductive Health. These have implementation experiences and offer ethnographic research insights which could be germane for advancing USAID/Uganda's interest in better developing effective OVC and youth educational and support groups. Similarly, BRAC is one example in Uganda of a promising approach to empowering thousands of vulnerable, adolescent girls, characteristics of which could also be useful for this project.

The Recipient shall adopt culturally appropriate, gender-sensitive strategies for facilitating education and support groups for OVC, youth and caregivers (particularly young caregivers), including suggesting specific topics and describing evidence-based curricula or training materials.

*Other targeting considerations:*
The Recipient shall support group-based education and support for OVC, youth and their caregivers in all districts targeted by this activity.

**Illustrative Indicators:**

- Number and types of training/discussion groups facilitated (participants disaggregated by age).
- Percentage of group participants reporting improved caregiving skills as a result of group participation.
- Percentage of children reporting improved caregiving skills among caregivers as a resent of group participation.

**Result 2:** *Local governments, CSOs and informal community structures increase and improve core services for orphaned and vulnerable children, youth, and their caregivers*

Government institutions are responsible for protection and development of orphaned and vulnerable children and youth include both formal government and informal community-based structures. Formal protection and development structures tend to be led by government ministries responsible for social services. In Uganda, this Ministry is the Ministry of Gender, Labor and Social Development (MGLSD) which has the mandate and authority to develop and implement policies, action plans, and programs. The Ministry collects and manages official data, coordinates and monitors services offered by NGOs, as well as provides certain public benefits, public services, and case management support. Much of this work is carried out at the local district and sub-county level and complemented by the efforts of informal institutions, such the Local Council System, traditional and religious leaders, community and youth leaders, and other community-based organizations (e.g. parish and village levels) to prevent and resolve protection concerns and develop leadership on child and youth issues. Building the capacity of these institutions at the local government levels, strengthening the relationships between them, and contributing to Ugandans' increasingly socially and politically valuing child and youth protection and development strategies can have a significant impact on the lives of young Ugandans.

With support from PEPFAR, the SMMORE Project, implemented by UNICEF Uganda has assisted the MGLSD to set policies, develop the new NSPPI, oversee implementation, provide technical direction, and generally carry out its mandate to strategically direct and coordinate services for youth and children in Uganda, including vulnerable youth and children. The PEPFAR funded project SUNRISE project supports implementation of the NSPPI for Orphans and Vulnerable Children at the local level. These initiatives have generated positive results, including increased funding for child and youth programming at the district level, better coordination among stakeholders, and ultimately more effective and efficient services. However, local governments, CSOs and informal community structures continue to suffer from significant capacity gaps. The Civil Society Fund and other OVC projects have provided similar assistance to civil society organizations (CSOs) to develop their organizational capacity and ensure that they are able to provide services to OVC but many local CSOs still lack the capacity to manage large-scale, multi-year programming.

The Recipient will continue to reinforce Ugandan ownership and oversight of services for children and families, and build systems necessary to ensure access to a range of high quality, comprehensive child abuse, exploitation, violence and neglect prevention and response services. The activity will primarily focus on building the capacity of local governments, informal community structures and CSOS to implement these initiatives and complement and coordinate with institutional capacity building efforts implemented by other OVC projects in the Eastern and Northern Regions, and other OVC projects working at the national level. In addition, the activity will continue to improve the organizational capacity of civil society organizations receiving sub-grants to enable them to more effectively deliver support to OVC, youth, their caregivers, communities, and formal and information child welfare and protection institutions both during and beyond the activity's life. The Recipient shall use evidence-based mechanisms or promising, practical tools and approaches for measuring capacity improvements and making progress towards preparing sub-partners to either receive direct funding from the US government under future procurements or to solicit resources from other entities.

***IR 2.1:*** *Improved planning and coordination for orphaned and vulnerable children and youth*

Sub-partners and formal and informal institutions that address child and youth protection and development at the district, sub-county, parish and village levels shall have strong leadership able to communicate clear goals, and convene processes for coming to consensus around and implementing plans, policies, procedures, guidelines, standards and regulations. Institutions shall be guided by child and youth protection and development policies that reflect international standards. Leadership shall have processes for engaging stakeholders in decision-making, and a sound organizational structure, which clearly identifies roles and responsibilities and lines of communication between different departments, offices, and representatives at various levels both within the sector and within other sectors. At the district, sub-county, and village level in Uganda, Probation Officers (POs), Community Development Officers (CDOs), and the Local Council System function as "coordinators" of child and youth protection and development sector-level activities.

They are the primary actors with the authority to coordinate planning and direct service providers to geographic and technical areas that require their assistance. These actors shall have complete, up to date information about all organizations working in the field of child protection and development as well as mechanisms for engaging with and regularly coordinating with stakeholders. Local governments, CSOs and informal community, leadership structures shall be diverse and include representation from a range of perspectives, including less powerful but equally valuable segments of the population, such as women, young people, adolescent females, and those with disabilities.

The Recipient shall build on the efforts of SUNRISE and other initiatives to develop, harmonize, and/or roll out relevant policies, strategies, and plans at the local government levels, including integration of child and youth protection and development issues within relevant sector plans (including social protection plans). The Recipient shall also pursue strategies for strengthening the leadership and governance of sub-partner organizations, and formal and informal child and youth protection and development institutions and supporting and harmonizing relevant coordination structures.

In addition, the Recipient shall review and/or develop Quality Standards for specific child protection prevention and response service models (See IR 2.5).

*Other targeting considerations:*
The Recipient shall support planning and coordination by sub-partners, and formal and informal institutions for OVC, youth, and their caregivers in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of local sub-grantees demonstrating improved planning, leadership and coordination structures
- Number of district probation and community development officers demonstrating improved planning, leadership and coordination structures
- Number of districts with current OVC and youth development plans
- Number of district plans that integrate child and youth protection and development in key sectors
- Number of districts convening regular coordination meetings and follow up recommendations

***IR 2.2:*** *Increased financing to local governments, CSOs and informal community structures to support orphaned and vulnerable children, youth, and their caregivers*
Ugandans authorities and institutions themselves must make more tangible progress in directing more financing to these vulnerable Ugandans. To adequately finance child and youth protection and development services, Parliamentarians, local governments, CSOs and informal community structures must know the financial cost and benefits of such services, making more politically and socially persuasive case to the Ministry of Finance, district and local government, and others, including certain well-known Ugandan private sector actors, to secure necessary funding. Child and youth protection and development institutions shall have complete, up to date, and well-understood financial management systems, financial control and reporting procedures. In some cases, institutions may benefit from developing well-defined business development plans and, ideally, attracting multiple funding sources, including using local revenue generation. The SUNRISE project identified promising strategies for increase funding for child and youth programming at the local government level and coordinated with other partners to develop an Issues Paper to

advocate for increased funding and an expanded workforce nationwide[7]. In addition, the SDS project is already assisting many institutions to build the capacity of their financial systems while USAID's Governance, Accountability, participation and Performance (GAPP) project is examining methods for raising local district revenues. The Recipient shall plan to work closely with these projects, other CSOs, and possibly certain private sector entities locally active in advancing these issues to ensure that child and youth protection and development services are increasingly better financed, and carrying out complimentary activities where necessary.

The Recipient will propose how it will pursue strategies for continuing to increase funding for children and youth and track expenditures.

*Other targeting considerations:*
The Recipient shall support financing for OVC, youth, and their caregivers in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of local governments, CSOs and informal community structures receiving an increase in funds beyond this activity's support
- Number of sub-partners with the capacity to manage direct USG funding
- Number of districts demonstrating an increase in funds allocated to OVC and youth compared to the previous year
- Number of sectors leveraging resources for OVC households through public poverty eradication programs such as the National Uganda Social Action Fund (NUSAF) and Savings and Credit Cooperative Organization (SACCOs).

***IR 2.3:*** *Increased local government staffing levels and higher-performing workforce for orphaned and vulnerable children, youth, and their caregivers*
Sub-partners and child and youth protection and development institutions shall have accurate, up to date human resources data, clearly defined and realistic job descriptions, well-informed and costed staffing plans, and transparent and efficient recruitment and deployment mechanisms. They shall also have a strong understanding of staff skills and qualifications, and access to high quality training programs with experienced and knowledgeable faculty, up to date teaching curriculum, interactive and practical teaching methods, opportunities for internships and field placements, flexible education delivery mechanisms (pre-service, in-service, and distance learning), and opportunities for ongoing professional development. In addition, a strong workforce requires appropriate supervision, mentoring, systems for evaluating performance, performance incentives, opportunities for promotion and addressing underperformance, a well-understood set of professional ethics, accrediting and licensing mechanisms, and professional associations Under the SUNRISE project, more than 1,100 CDOs, their assistants and selected POs in more than 1,000 sub-counties completed a practice oriented in service training program and attained a Makerere University accredited professional qualification in child protection. In addition, SUNRISE is supporting the introduction of a new informal cadre of para-social workers.

The Recipient shall plan to assess the strengths and gaps within the staffing structures of local governments, CSOs and informal community structures addressing findings of assessments (including examples of common findings), and working with the USAID-funded OVC Evaluation Partner to test the impact of specific

[7] Data on project beneficiaries reported to PEPFAR must be disaggregated by Sex & Age: Male <1, Male 1-4, Male 5-9, Male 10-14, Male 15-17, Male 18+; Female <1, Female 1-4, Female 5-9, Female 10-14, Female 15-17, Female 18+.
[7]This project could benefit from learning about DO 3's 2009-2014 CAPACITY effort which developed an advocacy strategy to have the Ministry of Health in 2013 substantially increase the number of health workers deployed to districts

workforce strengthening interventions through rigorous research.

*Other targeting considerations:*
The Recipient shall support the workforce for OVC, youth, and their caregivers in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of sub-partners with adequate Human Resource policies and procedures
- Number of districts with adequate Human Resource policies and procedures for Probation and Community Development Officers
- Number of districts with at least 80% of key DCDO, PO, and CDO positions filled
  Number of districts with at least 80% of key DCDO, PO, and CDO staff meeting minimum performance standards
- Number of districts with para-social workers
- Number of clients, para-social workers have served and referred for professionalized services

***IR 2.4:*** *Improved information management, accountability and evidence building systems for orphaned and vulnerable children, youth, and their caregivers*
Sub-partners and formal and informal child and youth protection and development institutions must have strong systems for generating up to date, accurate child and youth protection programming and population data as well as coordinating with other sectors to collect and analyze other relevant data (e.g. education enrollment and completion statistics, birth and death registration, criminal cases involving children, health data, etc…).

This information helps to identify child protection trends and estimate the impact of child and youth protection and development programming. This data can also be used to advocate for GoU financial contributions, design new programs and interventions, develop policies, plans, laws, etc., improve existing ones, establish and assess performance targets for specific departments and programs and enhance inter-institutional accountability. M&E systems shall document both quantitative and qualitative data and facilitate the collection of lessons learned and best practices. In Uganda, a national Monitoring and Information Systems (MIS), developed to measure NSPPI implementation with assistance from the SMMORE project, and managed by the MGLSD, has recently begun to collect data nationwide. In addition, Ministry of Gender Labor and Social Development's Vulnerability Index (VI) has been developed to assist with the identification of vulnerable children nationwide.

The Recipient shall support sub-partners to maintain strong M&E systems, and enabling district stakeholders to identify useful information to inform programming, identify information sources, collect and use data to improve the health, nutrition, education, and psychosocial wellbeing, and reduce abuse, exploitation and neglect among OVC and youth, and submit data to the national MIS.

*Other targeting considerations:*
The Recipient shall support information management, accountability and evidence building systems for OVC, youth and their caregivers in all districts targeted by this activity.

**Illustrative Indicators:**

- Number of sub-partners with strong M&E systems
- Number of districts with strong M&E systems
- Number of districts regularly updating OVC MIS with accurate information
- Number of districts/sub counties using OVC MIS for planning and to make decisions
- Number of partners using OVC MIS for planning and to make decisions

***IR 2.5:*** *Improved service models and delivery mechanisms for orphaned and vulnerable children, youth, and their caregivers*
Child protection service models tend to include both child abuse prevention and response strategies, involving both formal and informal institutions and actors. Prevention strategies are intended to prevent violence among the general population, but particularly among children and families who are at risk of violence or who have already experienced violence. Response strategies exclusively support children who have already experienced violence and are intended to ensure the safety of abused children and protect them from re-abuse. Both prevention and response strategies shall involve formal and informal institutions and actors. In Uganda, traditional leaders, Local Councils, religious leaders and other community leaders strongly influence perceptions about child abuse and discourage abuse among their constituents. They also adjudicate minor offenses and refer more serious cases to the formal child protection system.

Research indicates that group-based education and support programming similar to the activities described under IR 1.4, and particularly parent/caregiver education and support groups and programs to teach children how to protect themselves against abuse, is a critical component of child abuse prevention. Other evidence suggests that raising public awareness about the dangers of child abuse and about available resources and solutions can also reduce child abuse. Community Services Outreach Camps supported under the SUNRISE project have generated positive results by bringing protection and other services directly to OVC, youth and their caregivers at the sub-county level. For children and families at high risk of abuse, time-limited, structured home visits that educate parents about positive parenting practices, nonviolent discipline techniques, child development, maternal and child health, how to access social services and other relevant subjects are also effective.

In Uganda, as in most countries, child abuse response strategies are primarily under the authority of the government. Response strategies include: child abuse identification and reporting mechanisms (e.g. community based referral systems, and hotlines), investigations and initial risk assessments (e.g. forensic exams and interviews), individual and family casework (e.g. the development and monitoring of case plans to reduce risks and prevent re-abuse), emergency and interim care, systems for achieving permanency (e.g. adoption, independent living for adolescents), and justice systems. Because many of these are statutory functions, the recipient shall not plan to implement these strategies directly but rather to build the capacity of formal government institutions to carry out these functions.

The Recipient shall work with government partners and other stakeholders to develop and implement service models for preventing and responding to child violence and neglect including supporting implementation of the Alternative Framework. Such models shall support the establishment or strengthening of *family-based* emergency and interim care options (e.g. kinship care, family-based foster homes, treatment foster homes, or group or residential care) and strengthening systems for achieving permanency. In addition, the Recipient shall strengthen formal and informal justice systems as well as work with the USAID-funded OVC Evaluation partner to explore opportunities for testing the impact of child protection prevention and response models through rigorous research.

*Other targeting considerations:*
For these strategies to be successful, they must be comprehensive and intensive. The Recipient shall identify a few districts in which the activity could work closely with government and other partners to pilot high-quality child protection prevention and response activities.

**Illustrative Indicators**

- Number of child abuse cases reported
- % of reported child abuse cases investigated to conclusion
- Number of families demonstrating a decrease in risk of child abuse (disaggregate by families affected by conflict in Northern districts)
- Percent of children who experience re-abuse
- Number of new family-based emergency or interim care options
- Number of children transitioned from institutional care to family-based alternative care or other permanent family-based care
- Number of child abuse cases resolved through formal or informal justice systems
- % of children who receive appropriate care and protection after experiencing violence, exploitation, abuse, or neglect increased
- Number of adolescent groups supported with comprehensive services

**Result 3:** *Improved coordination of community-based clinical and socio-economic services for efficiency and effectiveness along the continuum of care*

The benefits of a coordinated, integrated HIV Continuum of Response (HIV) are well documented and OVC programming is a critical component of this response. Keeping parents alive and healthy, treatment reduces childhood adversity and the likelihood that children will be orphaned or made vulnerable by HIV and AIDS for example, a child whose mother dies in childbirth is 3 to 10 times more likely to die before his or her second birth day. Treatment allows for adults to remain alive and healthy, in a care-giving and economically productive role. OVC programming in turn makes key contributions to other infection-related goals of the epidemic. By supporting efforts to keep children in school, OVC programming can have a positive impact on prevention. Economic strengthening activities also help remove barriers to accessing facility-based services, and child-focused health interventions are important platforms for reaching mothers for Prevention of Mother to Child Transition (PMTCT). OVC community-based programming helps to reduce stigma and discrimination and creates an enabling environment for people suffering from and affected by HIV/AIDS to access services. Finally, efforts to strengthen the capacity of formal and informal institutions and other influential stakeholders (Resident District Commissioners (RDCs), Parliamentarians, Ministry of Finance) are central considerations to realizing better functioning child and youth protection and development systems. These are, in turn, essential to realizing the objectives of other health system and programs. By addressing socio-emotional effects of the epidemic, OVC programs help to break the cycle of HIV infection.

Because programming for vulnerable children and youth is inherently multi-sectoral, inter-institutional and ‘systems sensitive’, creating a functional community referral network and reinforcing complimentary relationships between a range of essential sectors, actors, institutions and local services is critical. Among children orphaned and made vulnerable by HIV and AIDS, the influence, information and services relationship between clinical and community-based services are particularly important. Through integrated, coordinated systems and advocacy, vulnerable children, youth and their families can have improved access to essential health, nutrition, and social services, resulting in better health status and lower HIV/AIDS vulnerability.

Uganda has already developed tools to support referrals and several HIV, health, and OVC projects have begun to establish relationships, joint initiatives and other integrated programming, including The AIDS Support Organization (TASO), Strengthening TB and HIV&AIDS Responses (STAR), Production for Improved Nutrition (PIN), the Community-Based HIV/AIDS Prevention Care and Support implemented by Reproductive Health Uganda (RHU), SDS, and USAID's expected, new regional health projects. Using earlier programming experience to further develop, strengthen and expand these tools and networks to anchor and capitalize the development of a truly functional OVC and vulnerable youth support system for Uganda is a key, expected activity outcome, building on existing platforms as well as possibly other, promising opportunities/models to create better integrated health and socio-economic services for very young children and adolescents – two often neglected sub-groups within the OVC population.

This activity will also ensure that OVC programming, like all HIV services, are part of the larger HIV and AIDS Continuum of Response (COR). Activity interventions will support community-based programs to identify HIV positive pregnant women, children, and particularly vulnerable youth, such as adolescent females, and refer them for HIV testing, counseling, and treatment. They will also support efforts to identify children with other health and nutrition concerns and refer them for child survival health services[8]. Interventions will facilitate augmenting clinical programs capacities' for treating HIV clients and referring positive pregnant women and adolescents, children and youth for complementary community-based services, particularly age appropriate services for very young children and adolescents. In addition, interventions will coordinate care with community-based services providers, including those benefiting from other USAID-financed health efforts, to improve treatment adherence and retention.

***IR3.1:*** *Improved referral systems and linkages between community-based clinical and socio-economic services*

Referral systems must have clear plans that specify the roles and responsibilities of all OVC-oriented partners including and especially local stakeholders in civil society and government to reduce confusion or duplication. As this activity progresses, these key partners must develop plans to secure sufficient funding to cover the cost of carrying out these roles (beyond funding provided by USAID and other temporary project funding) as well as systems for monitoring effectiveness and identifying areas for improvement within referral systems among services to which clients are referred. Referral systems must have user-friendly tools and resources (including referral forms, referral books, and other case management tools) to support better follow up and efficiencies between socio-economic, clinic, nutrition, and other essential services. Staff within local schools or other community-based socio-economic programs will develop the observational aptitudes and have mechanisms for identifying vulnerable children, youth and their caregivers and particularly pregnant woman at a high risk for HIV infection for testing, counseling and treatment. This activity will empower clinical staff to actively identify and refer clients for complementary socio-economic and other community-based services.

[8] Ministry of Health, National Child Survival Strategy ,2009/10 – 2014/15

In addition, staff within community-based socio-economic programs will have the skills and resources required to promote healthy living using Integrated Management of Childhood Illnesses and identify and refer OVC and youth in need of certain, intensive health, HIV and nutrition services.

The Recipient will review and improve existing referral and coordination mechanisms, including assessing the potential for developing mobile phone based referral mechanisms or other innovative systems involving new technologies. The Recipient will also support the identification, referral, and testing of OVC, youth and their caregivers who are at a high risk for HIV infection, malnutrition and other health issues, and strategies for supporting health workers to identify and refer clients for community-based socio-economic services. In addition, but only when appropriate, the Recipient will reinforce key health, water, sanitation and hygiene messaging and connect clients with health and Water, Sanitation and Hygiene (WASH) resources.

*Other targeting considerations:*
The Recipient will improve referral systems and linkages between community-based clinical and socio-economic services in all districts benefitting from this activity.

**Illustrative Indicators:**

- Number of districts with health workers able to identify and refer OVC/youth for community OVC services
- Number of referrals
- Percentage cases referred that receive services
- Number of OVC, youth and caregivers who know their status
- Percent of HIV + OVC, youth and caregivers who receive ART or pre-ART
- Number of HIV+ OVC, youth and caregivers referred by clinical services who receive socio-economic services
- % of children and youth in OVC program that have received age-appropriate preventive and effectively referred for curative care services
- % change in institutional deliveries for pregnant and youth referred from the community

***IR3.2:*** *Improved models for integrating clinical and social services for very young orphaned and vulnerable children and their caregivers*
Early childhood is the period of an individual's greatest growth and development. For the purposes of this activity, that period is defined as between zero to five years. Building Strong Beginning is one of the Key Objectives under the USG Action Plan on Children in Adversity and emphasized throughout PEPFAR Guidance for OVC programming. The physical and emotional environment that nurtures children during this period has a profound impact on their future opportunities, setting the stage for educational achievement and psychological attachment. Developmental risks, such as poor nutrition, abuse, neglect, lack of stimulation, and extreme stress, demonstrably have a profoundly negative impact on a child's development. Early childhood development (ECD) programs can reduce these risks by ensuring young children have access to comprehensive and multi-sectoral services designed to meet their development needs, including but not limited to lifesaving pediatric HIV/AIDS care, other health services, nutrition support, as well as those to stimulate their cognitive development. Legal and protection services can also be important, and perhaps most importantly, services to educate and support parents and caregivers. ECD programs can take a range of forms, from the more familiar but often expensive early childhood development centers that offer child care, nutritious meals, health screening, and opportunities for young children to safely explore, learn about their environment and begin to socialize with one another, to home visiting programs and

informal playgroups that support new parents, monitor milestones and ensure that parents and care givers are able to access other essential services. Some of the most effective ECD interventions include smaller, targeted initiatives intended to 'wrap around" and build on more established health or education programs to support more comprehensive care to young children and their families. The success of these interventions depends on the degree to which programs facilitate easy access to a range of services and support HIV identification, treatment and retention.[9]

The Recipient shall implement evidence-based strategies for organizing ECD activities, giving priority to strategies for building ECD into existing platforms (e.g. health programs, early reading and other education programs, economic strengthening and food and nutrition initiatives).

*Other targeting considerations:*
Because PEPFAR has not directly supported ECD in Uganda previously, the Recipient shall identify a few districts in which the activity could partner with USAID-funded regional health projects and other USAID Health and HIV projects to pilot high-quality, integrated ECD interventions and work with the OVC Evaluation Partner to empirically test the impact of interventions.

**Illustrative Indicators**

- Number of children under 5 years reached with a combination of health, nutrition and stimulation activities disaggregated by sex
- Number of children under 5 year targeted who meet age appropriate growth and development milestones disaggregated by sex
- Number of children under 5 years of age demonstrating secure attachment with a primary caregiver disaggregated by sex

***IR 3.3:*** *Improved models for integrating clinical and socio-economic services for orphaned and vulnerable youth*

Like early childhood, adolescence also represents a period of significant and rapid development. The environment in which young people transition to adulthood can influence their future opportunities as well as the well-being of their families, communities and nation in powerful ways. Limited and impractical educational and training opportunities, poor employment prospects and inadequate opportunities to build assets and productively engage with the market through entrepreneurial activities, limited access to health facilities and ineffective reproductive health education and services, and marginalization and manipulation by political leaders and elders can negatively affect both the individual's development as well as threaten Uganda's economic development and political stability.

Programs to support and nurture young Ugandans' social development can reduce these risks by ensuring they have access to comprehensive, multi-sectoral services as well as engaging youth themselves in programming design and implementation. Ascertaining the true needs of vulnerable youth remains a delicate art but once identified, youth programs can take a range of forms, including stand-alone activities designed to support youth in specific ways, comprehensive but often expensive "one-stop shops" designed to address multiple needs of youth, as well as activities intended to leverage resources available through other, even non-PEPFAR financed programs, having youth benefit from other social and economic development opportunities.

[9] For more examples of evidence-based ECD strategies see the 2012 PEPFAR Guidance for OVC Programming and the APCA Objective 1: Strong Beginnings.

Drawing lessons from other promising, youth development models[10], the Recipient shall implement culturally appropriate, gender-sensitive youth programming opportunities to build on and scale up successful youth activities funded under previous projects.

*Other targeting considerations:*
The Recipient shall identify a few districts in which the activity could partner with or work alongside USAID-funded regional health projects and other USAID Health and HIV projects—and potentially other governance, poverty alleviation or economic development efforts -- to pilot and/or scale up high-quality, integrated youth interventions.

**Illustrative Targets:**

- Number of adolescents reached with a combination of economic, protection, health, HIV services, and sexual and reproductive health services (disaggregated by adolescent parents with children and without children)
- Number of adolescents reporting an increase in health seeking behaviors school retention, skills, assets and/or income, leadership within their community
- Number of child mothers mobilized and empowered to access essential services for them and their children

**4. Activity Monitoring & Evaluating**:
Once the activity's inception phase in completed, the Recipient shall provide an illustrative Monitoring and Evaluation and Learning Plan including indicators that will be used to measure activity objectives and results, and evaluate the effectiveness of activities. The Recipient shall identify the approximate dates for data collection, the method, type, and source of information to be collected. Key information sets describing current key conditions for vulnerable children and youth could be collected from current such efforts, will help shape baseline understandings what types of future targets could be reached. The recipient will be responsible for conducting the baseline data and regular monitoring.

Please note that USAID will award a separate OVC Research and Evaluation Activity to carry out performance and impact evaluations, as well as this activity's operational research.
Still, this activity is expected to work closely with the Evaluation partner to coordinate planning and implementation of an OVC-oriented learning, research, and evaluation agenda. In addition, the activity is not only expected to have, and enable key Ugandan partner institutions to develop, a strong M&E system for collecting and analyzing activity data but also devote resources to more broadly sharing implementation experiences among other advocates, both in Uganda and beyond. The OVC Evaluation Partner will not carry out regular activity monitoring.

The overall research and evaluation approach shall include:

- Operational Research: The activity shall work with the OVC Evaluation partner determine the impact of specific innovative or pilot OVC interventions proposed in the design. Specific research opportunities may include: Testing the impact of techniques for managing savings and loan associations derived from behavioral economics research, testing the impact of earmarked or commitment accounts within savings and loan associations, testing the

[10] Models proposed should reflect the Guiding Principles of USAID's Youth in Development Policy and characteristics of effective programming. Reference USAID, 2013. State of the Field Report: Holistic, Cross-Sectoral Youth Development

impact of specific workforce strengthening interventions, testing the impact of child protection prevention and response models, and testing the impact specific ECD interventions.

- Performance evaluations: The activity shall plan coordinate with the OVC Evaluation Partner to carry ongoing performance evaluation to evaluate the overall activity performance and determine the extent to which the activity has achieved results and indicators. Activity designs and approval processes will prioritize evaluations to ensure that key questions are articulated and appropriate baseline data collected at the outset.
- Impact evaluations: The activity will be expected to collaborate with the OVC Evaluation Partner to carry out evaluations including mid-term and final impact evaluations, following guidelines provided in the Survey Tools for OVC Programs developed by MEASURE Evaluation.[11]
- Special, rapid studies: The activity will also be expected to collaborate with the OVC Evaluation Partner to carry out focused studies for a selected number and type of interventions that might provide valuable information for program management and eventual GoU policy development decisions related to activity implementation and key perspectives and considerations[12] for measuring program impact and effective expansion.
- Data warehousing: Any quantitative data collected under this activity will be archived in any central database indicated or made available by PPL/LER.
- Learning and utilization of evaluation findings: As with any knowledge products produced under this activity, all evaluation documentation and other M&E data will be archived in USAID's Development Experience Clearinghouse and disseminated through other appropriate communication channels. The Government of Uganda also has key institutional repositories for considering where such program data, including studies and evaluation findings, shall be included, and how these could well influence shaping the GoU national evaluation policy agenda and GoU's interest in advancing key policies for fostering the development of sound, self-GoU financed social protection programs. The Recipient shall seek to present data in a way that is useful and user-friendly. For example, the Recipient might consider using Geographic Information Systems to present data.
- Range of data collected: The activity will track a range of appropriate indicators (input, output, outcome) that are relevant for each of its components and consistent with PEPFAR and USAID's Performance Monitoring and Evaluation policies, including using financial data to permit costing and financial analysis.

The Recipient shall track any relevant required PEPFAR and consider other recommended PEPFAR indicators, or even certain aspects what other, non-PEPFAR financed OVC and youth development endeavors could offer, disaggregating by age and gender, as appropriate. (See Section II. Reporting Requirements, 6. PEPFAR Reporting).

### 5. Collaborating, Learning and Adapting (CLA)

This activity is expected to contribute to USAID/Uganda's CDCS's commitment to a multi-faceted Collaborating, Learning and Adapting (CLA) approach to development. The CLA approach is based on the understanding that development efforts yield more effective results if they are coordinated and collaborative, test promising, new approaches in a continuous yet also rapid, targeted search for generating

[11] Survey Tools for OVC Programs http://www.cpc.unc.edu/measure/our-work/ovc/ovc-program-evaluation-tool-kit
[12] These often include cost-effectiveness, sustainability and associated features

improvements and efficiencies, and build on what works and eliminate what doesn't. CLA creates the conditions for fostering broader development success by:

- Collaborating: Facilitating collaboration internally and with external stakeholders to promote increasingly national-led OVC and youth-oriented socio-economic development opportunities; e.g. enhancing existing stakeholder engagement into learning platforms, substantially coordinating with other USG- or other complementary activities to ensure complementarity and reduce overlap, sharing lessons learned with other OVC projects in the region and globally through conferences and other venues, facilitating learning among activities (to reduce the collective cost while enhancing shared results faster); as well as enhancing other programs that are complementary to this activity;
- Learning: Generating and feeding new learning, innovations, and performance information back into the program strategy to inform program management, design, USG-GoU policy dialogue opportunities and funding allocations; (e.g. Creating pauses for reflection within the activity implementation scheme, engaging stakeholders for shared 'learning moments', conducting analytical review of existing and/or new evidence that may support or contradict common understanding);
- Adapting: Building from other OVC and vulnerable youth development experience and translating learning (from within the implementation experience or external sources and programs) and considering changing conditions, along the lines of the risks, assumptions and game changers, into strategic and programmatic adjustments. (E.g. adjusting work plans to account for contextual shifts or tacit learning from a team's experience, while clearly and explicitly capturing and sharing the rationale for adjustments along the way).

The Recipient is expected to propose an activity management staffing structure that explicitly compliments M&E with advancing learning and implementing an adaptive program.

## 6. Implementation Approach:

### a. Geographic Focus

Given the widespread high prevalence of both HIV and OVCs, geographic focus is necessary to invest limited resources effectively yet challenging to achieve. Districts targeted under this activity represent those with the higher estimated HIV and OVC prevalence and burden from two regions of the country. Districts were selected to achieve maximum impact on children and leverage synergies with the continuum of HIV prevention, care, and treatment. See below for a list of districts and Attachment Demographics for HIV, OVC, and poverty burden in these districts.

| Eastern Region | Northern Region |
|---|---|
| Bugiri* ±<br>Iganga±<br>Jinja<br>Kamuli*±<br>Mayuge*±<br>Mbale*± | Apac<br>Arua<br>Gulu*<br>Kitgum<br>Lira*<br>Oyam*<br>Amuria |

*Indicates USAID Focus District
± Indicates SDS Focus District

The Recipient is required to build on ongoing activities in focus districts currently supported by SUNRISE and other USAID activities after SUNRISE closes in June 2015. The Recipient shall also coordinate programming with the SCORE project in focus districts prior to the closure of this project in 2016 as well as supporting ongoing SCORE activities in these districts after 2016. The Recipient shall likewise identify strategies for coordinating and sustaining programming in focus districts where the PIN project operates. PIN implements in a few sub counties and the Recipient shall ensure services to the rest of the sub counties and shall plan to take on sub counties PIN is implementing when it closes in 2017. The Recipient is expected to plan for support of all OVC in the targeted districts. However, the recipient will only take over beneficiaries from current programs once those programs close and if the beneficiaries have not yet graduated. Such strategies will be further developed during this activity's early inception and start-up phase as it conducts and reviews findings from needs assessments for OVC and vulnerable youth. Strategies will become foundational for advancing the activity's long-term implementation plan.

**b. Coordination with Government Entities & District Operational Plans**

USAID/Uganda is committed to promoting greater coordination, efficiency, and effective division of resources and labor while also ensuring inter-sectoral program and *beneficiary integration* as much as possible. A major component of USAID/Uganda's Country Development Cooperation Strategy applies the principles of selectivity and geographic focus by coordinating programming across USAID/Uganda's Development Objectives (DO) in the 19 districts where all three of USAID's DOs have activities. The 19 Focus Districts include: Amuru, Bugiri, Bushenyi, Dokolo, Gulu, Ibanda, Iganga, Isingiro,Kamuli, Kamwenge, Kapchowra, Kasese, Lira, Luwero, Mayuge, Mbale, Pader, Oyam,and Sironko. These "Focus Districts" operationalize this concept through a coordinating mechanism known as the District Operational Plan (DOP). The Mission has signed District Operational Plans (DOPs) (essentially, memoranda of understanding) with the District Government leadership and the Chiefs of Party of each USAID implementing partner operating in "Focus Districts".

This activity will be expected to participate in the implementation of District Operational Plans (DOPs), sometimes through Districts' Community Development Officers' representational talents to draw attention to youth issues associated with vulnerable children and youth, when working in any of the USAID/Uganda's 19 Mission Focus Districts. In practice, this will mean using the DOP Memorandum of Understanding (MOU) as the framework for coordinating district-based interventions rather than signing bilateral MOUs with the local government. This activity will also participate in key district development planning and investment exercise, developing work plans that contribute to district and sub county priority areas. Ensuring that key district authorities are fully up to date and co-contributing to directing the activity's resources, this activity will also provide quarterly reports and work plans to the district, attend quarterly District Management Committee meetings (approximate) with other implementing partners. Senior activity staff representation will be expected at some quarterly meetings.

In districts that are not a part of the DOP process, but supported by the Strengthening Decentralization for Sustainability (SDS) project, the activity will participate in the development of DOPs under SDS. In districts that are not a part of the DOP process or supported by SDS, the activity will work directly with district leadership to coordinate planning.

**c. Sustainability**

Commitment to sustainability can be understood as the ability to carry on the activities after USAID's involvement is completed, or otherwise ensure results continue beyond this activity's life. The fundamental design and implementation features of USAID's programs, whether in democracy building, environmental management, economic development, or population and health shall carefully strive to build indigenous capacity, enhancing participation, accountability, transparency, decentralization, and communities' empowerment.. These features shall include carefully directing technical support to develop a wide range of financial and operational capacities, foster public-private partnerships, or how to realize stronger GoU political and budgetary commitments, including measures for enabling local government and NGO interests to continue certain key services after USAID's involvement is ended.

Tangible measures for advancing sustainability could also be concrete example(s) or expression of commitment such as:

i) Activity/SOWs developed in close collaboration with the appropriate set of counterparts including discussions of post USAID involvement,
ii) Cost share of at least 5 percent is required for this activity. Cost share will be evaluated as a component of cost effectiveness and may have an impact in the evaluation of the cost application. In addition, the Recipient's cost share contribution will be reviewed for realism and to verify that the Recipient meets the standards set in 22 CFR 226.23 for U.S. organizations, or the Standard Provision entitled "Cost Sharing" for Non-U.S. organizations (see 22 CFR 226.23 and Standard Provisions for Non-U.S. Non-Governmental Recipients.)
iii) Improved Counterpart Capacity to successfully implement (potentially including the capacity to respond to changing contexts and emerging needs with adapted approaches),
iv) An explicit plan with counterparts to gradually assume the costs of delivering or maintaining key services and processes, proposing and reasoning measures through which how the Ugandan government and OVC and vulnerable youth-oriented stakeholders of reasonable capacity demonstrate commitment to continuity of the program outcome.

Apart from striving to establish the more foundational, inter-institutional social services and protection systems, the activity shall also seek to build sustainability at the household level by setting targets for "graduating" households from activity support.

#### d. Local Capacity Development(LCD):

Given that an estimated 40 percent of activity financing is expected to be programmed through local partners, this activity should work carefully to identify and develop productive relations with those local partners who are best positioned to become Uganda's leading OVC and vulnerable youth development institutions. Developing local capacity, and managing the oversight of numerous sub-grants, will require considerable staffing aptitude and oversight requirements. Activity management should be structured to promote activities to enhance partners' technical and operational capacities to sustain activities, manage similar activities, or otherwise become stronger, self-governing institutions. Local partners should include both government at central, local and district levels as well as non-governmental partners at the national, and local levels. However, the Recipient is prohibited from providing sub-awards directly to government partners. Local partners do not include locally registered international organizations. The Recipient shall begin with a thorough assessment of partner capacity prior to issuing a sub-award and use the result of the assessment to guide capacity building approaches. The Recipient shall also monitor capacity improvements through use of a capacity building scale or tool.

At the activity's conclusion, it is expected that a number of local partners might be ready for transition awards or in a position to compete for USAID awards directly[13].

### e. Gender

The Recipient must be cognizant of gender distinctions and factors that drive gender inequities, and, at minimum, ensure that proposed activities are mitigating those factors and not heightening risk. The Recipient must also take into account and explain how women and men, boys and girls in the East and North of the country may differ from one another and from others in the rest of the country.

Gender disparity, and gender-oriented development and well-being conditions for Uganda, broadly remains miserable, but Uganda scores relatively positively on two gender indices: 79th of 155 countries in the Gender-Related Development Index and 33rd of 134 countries in the Global Gender Gap Index.

The Ugandan Constitution guarantees both men and women equality before the law, and a National Gender Policy and Gender Action Plan have been formulated to ensure that all Government policies and programs are consistent with the long-term goal of eliminating gender inequalities. Through several affirmative action policies, women have seen major gains in local and national representation in recent years, though such gains have not been commensurate with their numbers.

But in fact, the actual situation of women, particularly adolescent girls, belies these rankings in certain respects, as shown by: the world's second highest fertility rate (6.2 children per woman), low contraceptive prevalence (in the North, contraceptive prevalence is 15.4 percent compared to an already low 26 percent nationally), poor nutrition (50 percent of women and 75 percent of children less than 5 years are anemic), and lower primary school retention rates and secondary school enrolment for girls than for boys. The National Development Plan (NDP) notes that gender inequality has led to unequal distribution of resources, opportunities and violations of human rights but the NDP is weak in proposing promising, tangible measures for redressing this situation.

Gender norms and inequities play a critical role in HIV risk and vulnerability, as well as access to and demand for prevention, treatment and care services. According to the 2011 AIDS Indicator Survey, the HIV prevalence rate is significantly higher for women than men aged 15-59: 8.2 percent versus 6.1 percent. This is due, in part, to the socially and culturally constructed expectations of how women and girls or men and boys are supposed to behave, think and feel, in tandem with the rights and opportunities afforded or denied them because of their sex. These factors are still poorly understood by social change actors and negatively impact health outcomes. Such norms influence how boys and girls are valued, decisions about health and education, and expectations about the roles they play in the family, community and society. They may also influence perceptions about caregiving in the family. These dynamics, combined with structural, community inequities, impact women and girls' access to and control over essential resources continue to foster socio-economic vulnerability; and affect men and boy's interest in accessing HIV care and treatment. They also frequently interact with HIV related stigma and discrimination to impact boys' and girls' rates of adherence and retention.

The Recipient shall consider how proposed programming will respond to USAIDs

[13] Applicants considering Lessons Learned from USAID's Local Capacity Development and how features could be incorporated into this project's application should be considered. http://www.developmentiscapacity.org/home

Gender Equality and Female Empowerment Policy, and U.S. Strategy to Respond and Prevent Gender-Based Violence, contribute to the evidence base around the importance of gender integration in programmatic interventions, and foster broader gender equality[14]. Proposed activities shall reflect findings from a full gender analysis including Uganda-specific analysis for activities that capture gender related considerations that need to be addressed when programming for children affected by HIV and AIDS and other adversities. Analyses shall be based on Uganda's context specific, sex-disaggregated epidemiological and programmatic data that elucidate gender related factors that affect HIV risk and vulnerability and impact epidemiology. Such analyses shall also look at inequalities in legal and policy frameworks, gender norms that affect knowledge, attitudes and behaviors, as well as family roles, community participation, inequalities in socio-economic status and power dynamics in relationships.

Proposals shall also demonstrate relevant experience and capacity in implementing interventions that can tangibly, measurably address gender inequalities and barriers. Proposals are expected to include a monitoring and evaluation plan with appropriate, feasible methods for data collection (disaggregated by sex and age), tracking, verification, analysis and reporting, including attention to differential impacts by sex. Evaluation of proposals under the award will include a focus on the strength of the analysis of gender issues and description of how the different activities will address gender norms and equity.
The Recipient will be expected to demonstrate compliance with USAID Policy ADS 205, and shall explicitly state how this activity supports the gender policies and strategies of the United States and the Government of Uganda[15].

### f. Youth

USAID/Uganda is committed to ensuring the integration of youth considerations into its activities. At the inception of this Agreement, the recipient shall develop a Youth Action Plan, as an addendum to the Implementation Plan, to ensure that youth issues are appropriately and effectively integrated, not only into the activity's analyses, approach and activities, but also into the outcomes realized by it. As part of the Youth Action Plan the applicant will propose its strategy for providing internship opportunities to enhance practical skills of youth, in an efficient and effective manner. The recipient shall also ensure the systematic monitoring of gender and youth activities, outcomes and results is an integral part of the M&E Plan for the activity.

The Recipient shall be aware of vulnerabilities and capacities associated with adolescence and young adulthood, particularly in the context of HIV, and propose strategies for minimizing risks and maximizing assets. This activity is intended to advance USAID/Uganda's Strategic Framework for Youth Programing by enhancing the capacity of youth directly as well as the capacity of those who support their transition to adulthood.

For any meaningful, transformational change to be realized, Uganda's young citizens must be at the forefront of addressing Uganda's economic, health, political and social issues. Available evidence indicates, however, that Uganda is far from reaping any potential demographic dividends.

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[14] Another reason why Applicants utilizing findings from USAID's GREAT activity in northern Uganda could influence the design of some of the features of this OVC and vulnerable youth project
[15] These U.S. policies and strategies include: The Gender Equality and Female Empowerment Policy; The U.S. National Action Plan on Women, Peace and Security; The U.S. Strategy to Prevent and Respond to Gender-Based Violence Globally; The USAID Vision for Ending Child Marriage and Meeting the Needs of Married Children; The USAID Counter-Trafficking in Persons Policy.

In the North, an estimated 3.2 million young people are currently preparing to enter the workforce, but by 2040, this number will climb to 7.8 million. Current informal economic activities, such as agriculture, will not provide sufficient income over next 25 years, and strategies like the National Development Plan (NDP) and the Peace, Recovery, and Development Plan (PRDP) do not offer solutions for how to educate and engage this majority of society.

Globally, young people aged 15–24 accounted for 42 percent of new HIV infections in people aged 15 and older in 2010 and among young people living with HIV, nearly 80 percent (4 million) live in sub-Saharan Africa. Uganda is no exception. Many adolescents living with HIV were born with the virus. Yet as noted previously, evidence suggests that more and younger people are becoming infected in adolescence. Young women are especially vulnerable to HIV and other risks. Those aged 15-24, are twice as likely to be infected with HIV as young men are, accounting for 22 percent of all new HIV infections and 31 percent of new infections in Sub-Saharan Africa. In Uganda, 49 percent of girls marry by the age of 18, and the average age of first child is 17 years. In northern Uganda, girls may often be more likely to have children at a younger age than their peers in other parts of the country Young adolescent girls are not only biologically more susceptible to HIV infection; they are more likely to have older sexual partners who are practicing certain at-risk behaviors which increase these girls' exposure to HIV.

The Recipient shall carefully investigate local conditions and needs in collaboration with youth-oriented institutions to respond to these concerns. In addition, the Recipient shall respond to USAID's Youth in Development Policy, how the Recipient's programmatic interventions will feature this policy's guiding implementation principles as well as contributing to the evidence base around integration of youth and sometimes inter-sectoral programmatic interventions. Proposed activities, the first wave of which will be identified and carried out during the activity's early start-up and inception period, shall reflect findings from the activity's own early youth analysis using, benefiting and building from already known youth conditions in Uganda that need to be addressed, and also, programming for children affected by HIV and AIDS and other adversities. Analyses shall be based on specific, sex and age disaggregated epidemiological and programmatic data from Uganda that elucidate age related factors that affect HIV risk and vulnerability and impact epidemiology. Such youth analyses shall review Uganda's legal and policy frameworks that affect knowledge, attitudes and behaviors, identifying key gaps, and how youth could become more effective, valuable and appreciated community actors. Applications shall also demonstrate relevant partners' experiences capacities and effective track records in implementing interventions to support youth, including a monitoring and evaluation plan with appropriate and feasible methods for data collection (disaggregated by sex and age), tracking, verification, analysis and reporting, including attention to differential impacts by sex and age.

### g. Environmental Considerations

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 includes 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 211.3.2.b and 204 (http://www.usaid.gov/policy/ads/200/), which in part require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. Recipient environmental compliance obligations under these regulations and procedures are specified in the following paragraphs of this RFA.

1b) 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.

1c) No activity funded under this cooperative agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in an Initial Environmental Examination (IEE) or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as "approved Regulation 216 environmental documentation."

2) An Initial Environmental Examination (IEE) Uganda_FY08_SO8_IIP_IEE_092408.doc (See attachment N) has been approved for DO3: Investing in People which includes USAID funding for this cooperative agreement (Better Outcomes for Children and Youth in Eastern and Northern Uganda). The IEE covers activities expected to be implemented under this cooperative agreement. USAID has determined that a **NEGATIVE WITH CONDITIONS DETERMINATION** applies to 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 solicitation.

3a) As part of its initial work plan, and all annual performance reports (including annual work plans) thereafter, the Recipient, in collaboration with the USAID Agreement Officer's Representative and Mission Environmental Officer or Bureau Environmental Officer as appropriate, shall review all on-going and planned activities under this cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3b) The recipient will be responsible for periodic reporting to the USAID Agreement Officer's Representative, as specified in the Schedule/Program Description of this solicitation.

3c) If the recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

3d) Any on-going activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is written and approved by USAID.

4) **Cost and technical proposals must reflect environmental documentation preparation costs and approaches where applicable. This may include costs towards the preparation of an environmental mitigation and monitoring plan (EMMP) during the post award stage. The recipient will be expected to comply with all conditions specified in the approved IEE.**

5a) USAID anticipates that environmental compliance and achieving optimal development outcomes for the proposed activities will require environmental management expertise. Respondents to the RFA shall therefore include as part of their application their approach to achieving **environmental compliance and management,** to include:

5b) The respondent's approach to developing and implementing an environmental review process for a grant and an EMMP.

5c) The respondent's approach to providing necessary environmental management expertise, including examples of past experience of environmental management of similar activities.

5d) The respondent's illustrative budget for implementing the environmental compliance activities /EMMP. For the purposes of this solicitation, recipients shall reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

6a) A provision for sub-grants is included under this solicitation requiring the recipient to use the Environmental Review Form (ERF) or Environmental Review (ER) checklist to screen grant proposals to ensure that the funded proposals will result in no adverse environmental impact, to develop necessary mitigation measures and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not known well enough, to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed by the recipient and approved by USAID. The recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented and addressed in annual reports. Guidance on the ERF and ER checklist process is available at http://www.encapafrica.org/meoEntry.htm

6b) The recipient will be responsible for periodic reporting to the USAID Agreement Officer's Representative, as specified in the Program Description of this solicitation.

**h. Grants**

Grant management will be a key feature or this effort and activity activities will primarily be implemented through local partners. The Recipient will be expected to sub-grant at least 40 percent of activity funds through local partners. Local partners will use fund to build the capacity of children and youth and their families directly in order to better equip them to access services, as well as build the capacity of communities and government systems to provide and facilitate core services. USAID will wish to see how the Recipient will manage a grant scheme which could, in some cases, attract and cultivate more private-public sector partnerships, as well as encourage key Ugandan businesses to match funds or directly support certain grant activities. The Recipient will be expected to develop a detailed plan for how sub-awards will be efficiently administered.

Beyond the grants provided through this activity, USAID's Health, HIV/AIDS and Education Office (DO3) also programs service delivery grants to the districts through the SDS program in collaboration with the STAR program located in regions throughout Uganda. In East Central, SDS is providing grants to district local governments for service delivery, and the Recipient will be expected to work in collaboration with SDS to develop grant activities that shall be funded by SDS to the local governments. In the event that DO3 approach to grant support to districts changes, the recipient will be informed and required to adapt new approaches with USAID/Uganda approval. What follows are additional details regarding the grants program:

- The Recipient must comply in all material respects with USAID's Automated Directives System (ADS) Chapter 303 (including mandatory and supplementary references) in awarding and administering grants.
- The total value of an individual grant to a U.S. organization must not exceed $100,000.
- USAID retains the ability to terminate the grant activities unilaterally in extraordinary circumstances.

- Construction activities are not allowed under grants. The definition of construction is available here: http://inside.usaid.gov/ADS/300/303maw.pdf.
- The Recipient must not award grants to **host country (Ugandan) government entities** including, but not limited to, public universities, district and regional office and/or national Ministries.
- All grants must be completed six months prior to the end of the activity.

**KEY PERSONNEL**

***Chief of Party (CoP): 100% Level of Effort***
The CoP will have overall responsibility for coordination of all project activities and staff. S/he will be responsible for technical leadership and administrative oversight of the program and will serve as the principal institutional liaison to USAID. S/he will manage a team of senior staff and sub-partners and ensure quality, timeliness, and efficiency of all products and activities generated under the project.

- Master's Degree or higher in international development, business administration, social sciences, public health, or a closely related field is required.
- Two years of experience living or working in a developing country is required; experience living and working in Uganda is preferred.
- The CoP must have strong leadership qualities and depth and breadth of technical and management expertise, as demonstrated by at least ten years of experience designing, implementing and managing large, complex projects involving multiple partners, in/for developing countries, of which at least five years has been spent in the position of CoP or Deputy CoP of a large development program of equivalent size and scope.
- Management experience with a USG cooperative agreement preferred. Experience with child welfare and protection programs, systems strengthening, capacity building, economic strengthening, service delivery, quality improvement or policy development is required.
- S/he must also have demonstrated international credibility as a leader on matters of the social service sector in developing countries. Experience working in East Africa is preferred.
- S/he must have experience interacting with government agencies, host country governments and counterparts, and international donor agencies.
- Strong interpersonal, writing and oral presentation skills in English are also required.

The COP experience and education shall be complementary to those of the Deputy Chief of Party

***Deputy Chief of Party (DCoP): 100% Level of Effort***
The proposed DCoP will be responsible for technical leadership of the program and manage a team of senior staff and sub-partners and ensure quality, timeliness, and efficiency of all products and activities generated under the project.

- Master's Degree or higher in international development, social sciences, public health, or a closely related field is required.
- The DCoP must be experienced in addressing the challenges faced by children affected by HIV or otherwise living in adverse circumstances, as demonstrated by at least five years of experience designing, implementing and managing large, complex projects involving multiple partners, in/for developing countries. Experience in Uganda is preferred.

- Experience with child welfare and protection programs, systems strengthening, capacity building, economic strengthening, service delivery, quality improvement or policy development is required.
- Experience with programming to address gender concerns and programming for very young children and adolescents/youth required.
- Strong interpersonal, writing and oral presentation skills in English are also required.
- Minimum of five years of experience living or working in a developing country is desirable; experience living and working in Uganda is preferred.

The DCoP experience and education shall be complementary to those of the CoP.

***Finance and Operations Director: 100% Level of Effort***
The proposed Finance and Operations Director will oversee all financial and operational matters within the project, including managing financial systems, generating financial reports, tracking expenses, administering sub-awards, managing finance and operational issues and staff at headquarters and supporting staff in district offices.

- Master's Degree or higher in accounting, finance, business management or a related field is required.
- S/he must have at least three years of experience managing the finances and operations of a project this size and at least two years administering sub-grants comparable to those under this award.
- The candidate must have strong demonstrated leadership qualities, depth and breadth of technical and management expertise and experience, and strong interpersonal, writing, and oral presentation skills.
- Two years of experience living or working in a developing country is also desirable.

***Monitoring, Evaluation, and Learning (MEL) Director: 100% Level of Effort***
The proposed MEL Director will have responsibility for all monitoring, evaluation and research activities associated with the project.

- Master's Degree or higher in monitoring and evaluation, public health, demography, health management, social science, biostatistics, statistics, or a related field is required.
- S/he must have at least three years of experience supervising monitoring, evaluation and research efforts, preferably with respect to child welfare and protection systems strengthening, capacity building, economic strengthening, and service delivery.
- The candidate must have strong quantitative or mixed-method and analytical skills and ability to articulate technical information clearly and effectively to both technical and non-technical audiences.
- S/he must have strong skills using MS Excel Word, PowerPoint and Access, and at least one data management software program (SAS, SPSS) and experience training others in its use is highly desirable.
- S/he must have demonstrated leadership qualities, depth and breadth of technical and management expertise and experience, and strong interpersonal, writing, and oral presentation skills.
- Two years of experience living or working in a developing country is also desirable.

***Economic Strengthening Technical Director*: *100% Level of Effort***
The proposed Economic Strengthening Technical Director will have responsibility for all activities associated with improving the economic stability of households caring for

OVC.

- Master's Degree or higher in social sciences or social work, or a closely related field is required.
- S/he must have at least three years of experience designing, implementing and managing household economic strengthening initiatives in/for developing countries.
- Experience in leveraging private public partnerships is preferred. Strong interpersonal, writing and oral presentation skills in English are also required.
- Two years of experience living or working in a developing country is desired.

***The complement of other management/administration and technical staff and organizational structure***

The staffing pattern and the number and type of positions proposed are responsive to the management/administration and technical requirements and the Recipient's approach, with an optimal configuration for efficiency and cost containment. The proposed management/administration and technical specialists have demonstrated financial, administrative, technical and operational experience in the subject areas for which they are proposed. The proposed technical specialists cover the technical areas needed to achieve the project results. Regarding the organizational arrangements (e.g., consortium, recipient/sub-recipients), the staffing pattern and the number and type of positions proposed reflect the specific expertise of each organization, are not duplicative and represent an efficient use of resources.

Note: USAID reserves the right to determine relevance of education and experience.

## SPECIAL CONSIDERATIONS

Partnerships:

There are a wide variety of private, public, non-governmental organizations, and academic institutions engaged in activities similar to those described in this RFA. Diverse partnerships are critical to the achievement of project objectives. The Recipient shall plan to engage a wide range of partners, including local, regional and international partners through a consortium or similar arrangement, where these partnerships might contribute to the project's success. Each member within the consortium shall have a defined role under the agreement. The Prime Recipient will be named in the agreement and will be responsible to USAID for all administrative, management, and reporting requirements. (For more information, please refer to 22 CFR 226.25 on Sub-awards).

**[END OF SECTION I]**

## SECTION II – BASIC AWARD INFORMATION

**II.1 ESTIMATED FUNDING**: The total estimated budget for this RFA is US$ 23,500,000 million.

**II.2 PERFORMANCE PERIOD**: The **five-year period from date of Agreement Officer's signature**

**II.3 AWARD TYPE**: USAID anticipates the award will be a **Cooperative Agreement**. **Substantial Involvement** under the award is expected to be as follows:

a. Approval of the Recipient's Implementation Plans
b. Approval of Specified Key Personnel
c. Agency and Recipient Collaboration or Joint Participation.
   (1) USAID participation as a member of any program advisory committee. The advisory committee will only deal with programmatic or technical issues, not routine administrative matters.
   (2) Concurrence on the substantive provisions of sub-awards. **22 CFR 226.25**
   (3) Approval of the recipient's monitoring and evaluation plans.
   (4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.
d. Agency Authority to Immediately Halt a Construction Activity.

The Government may issue one or more awards resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA are the most responsive to the objectives set forth in this RFA. The Government may (a) reject any or all applications, (b) conduct cost evaluation for only applicants whose technical applications are most highly ranked (c) accept other than the lowest cost application, (d) accept more than one application, (e) accept alternate applications, and (f) waive informalities and minor irregularities in applications received.

The Government may make award on the basis of initial applications received, without discussions or negotiations. Therefore, each initial application shall contain the applicant's best terms from a cost and technical standpoint. The Government reserves the right (but is not under obligation to do so), however, to enter into discussions with one or more applicants in order to obtain clarifications, additional detail, or to suggest refinements in the activity description, budget, or other aspects of an application.

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

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

**II.4 AUTHORIZED GEOGRAPHIC CODE**: The Authorized Geographic Code is 935 for the procurement of goods and services. Reference is made to ADS 308 for current information.

**[END OF SECTION II]**

## SECTION III – ELIGIBILITY INFORMATION

III.1 USAID policy encourages competition in the award of Grants and Cooperative Agreements. In response to this RFA, any U.S. or non-U.S. organizations, non-profit, or for-profit entity is eligible to apply.

III.2 USAID encourages applications from potential new partners.

III.3 There shall be a minimum cost share of 5% in all applications. Cost Sharing, once accepted, becomes a condition of payment of the federal share. 5% cost share will be in addition to the total estimated budget for this RFA of USD$ 23,500,000. Applications with a cost share less than 5% are non-responsive and will not be considered for award.

**[END OF SECTION III]**

## SECTION IV - APPLICATION AND SUBMISSION INFORMATION

### IV.1 Electronic Submission of Applications via E-mail is Required

Applications are to be submitted via email. Please submit your applications to the email address below by **4pm EDT (Washington, DC),** October 14, 2014**. Paper copies of the applications are not accepted**. The address for the receipt of proposals is: KampalaUSAIDSolicita@USAID.gov, to the attention of Alimo Florence**,** Acquisition & Assistance Assistant and Tracy J. Miller, Supervisory Agreement Officer. Applications which are submitted late or do not follow the instructions contained herein run the risk of not being considered in the review process.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format.

Applications must take into account the evaluation criteria provided in **Section V** and must include the Representations and Certifications provided in **Attachment E** in the event Representations and Certifications are not submitted with the Application; they must be completed before final award is made.

Please note that Technical and Cost Applications shall be kept separate.

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

### IV.2 Technical Application Format

Applications must be submitted electronically in Times New Roman 11pt., MS Word and .pdf (Adobe Acrobat) versions. In case of any conflicts between the MS Word and .pdf versions of the application, the .pdf version will govern as it will be the version presented to the Technical Evaluation Panel.

Applicants are advised that any pages exceeding any of the prescribed limits below will not be considered for evaluation.

The technical application (**maximum 35 pages – excluding annexes**) shall clearly demonstrate an in-depth understanding of the development challenges in Uganda, outline specific activities and explain how the proposed activities would help achieve the activity objectives stated in Section I. Applicants are encouraged to propose innovative yet realistic approaches that are most appropriate in the context of Uganda, as well as methods by which new approaches will be analyzed and adapted as needed throughout implementation.

Depending on the political climate in the country the implementing partner may need to adjust level of engagement with governmental authorities. The Applicant must describe steps that will be taken, if necessary, to foster stronger community level, non-governmental, including private sector, relationships.
The technical approach must clearly address the factors outlined in the evaluation criteria of this solicitation.

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, shall:

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, an award results from - 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 award. 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.
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."

The technical application must include the following, in the order presented below:

**a) Cover Sheet (not to exceed one page, not part of the 35 page limitation for the technical application)** that includes the following:
- Name and contact information of the primary Applicant
- Name of all organizations that are members of the partnership, if applicable
- DUNS and EIN number for primary Applicant
- System of Award Management (SAM) registration Status; and
- Approval signatures by appropriate officials of the primary Applicant

**b) Table of Contents (not to exceed one page, not part of the 35 page limitation for the technical application)**

**c) Executive Summary (not to exceed two pages and not part of the 35 page limitation for the technical application)**

**d) Technical Approach (not to exceed 18 pages)**

The Technical Approach must reflect an understanding of challenges faced by OVC, youth, their caregivers, communities, and government systems, and challenges associated with providing and linking clinical and community-based socio-economic services particularly for very young children and youth, girls and boys in Eastern and Northern Uganda. Applicant must propose strategies to address adolescent sexual reproductive health to reduce teenage pregnancies.

The applicant will propose age appropriate interventions for children using the following age brackets : <1, 1-4, 5-9, 10-14, 15-17, 18+. Special consideration:

The approach for addressing challenges and achieving the activity purpose and objectives must build upon existing systems, USAID supported achievements, and potential partnerships. Demonstration of creativity, innovation and efficiency will be an added advantage.

The strategies described in the application must be evidence-based, scalable, high-quality community based approaches that are sustainable in the Ugandan context. They must be consistent with all applicable PEPFAR and USAID guidance, including but not limited to the 2012 PEPFAR Guidance for OVC Programming, all other PEPFAR programming guidance, and the USG Action Plan for Children in Adversity (APCA).

The Applicant will propose effective methods for: assessing the economic vulnerability of households; appropriately determining economic strengthening interventions; measuring the impact of interventions.

The Applicant will propose an implementation strategy for facilitating and measuring the “graduation” of households, as appropriate, from activity support.

The Applicant will describe how this activity will contribute to HIV prevention among OVC and their caregivers and how they will reach HIV infected children in community through partnerships with HIV care and treatment programs.

The Applicant will propose evidence-based mechanisms or promising, practical tools and approaches for measuring capacity improvements of sub counties, institutions and CSOs.

The Applicant will identify a few districts in which the activity could work closely with government and other partners to pilot high-quality child protection prevention and response activities.

The Applicant will propose how OVC programs links with the HIV and AIDS Continuum of Response (COR). A detailed description must be provided on how referral networks will be strengthened and where they are non-existent will be established. Furthermore it is expected that the activity will continue to support existing linkage structures.

The Applicant will describe how this Activity will apply gender analyses to identify any gender disparities and issues within areas of operation and ensure that the activity will close the gender gaps among the proposed target populations.

**e) Personnel and Staffing (not to exceed 3 pages)**

The application shall include key personnel who meet or exceed the requirements described in this RFA. The staffing pattern described and the number and type of positions proposed shall be responsive to the management/administration and technical requirements of Applicant’s approach, with an optimal configuration for efficiency and cost containment. The application shall clearly define roles and responsibilities proposed under the staffing pattern and levels of effort. Levels of effort for staff shall be sufficient to carry out key functions. Any additional management/administration and technical specialists proposed shall have the appropriate and necessary technical skills, expertise, and experience to achieve the activity purpose and objectives. Regarding the organizational arrangements (e.g., consortium, recipient/sub-recipients), the staffing pattern shall reflect the specific expertise of each organization, avoid duplication, and represent an efficient use of resources.

**f) Management and Institutional Capability (not to exceed 9 pages)**

**i) Management**

The application shall describe an effective management and administrative structure and sound policies and practices for overall implementation of the program, including sound policies for personnel management, child safeguarding, and financial and logistical support. Applicants shall outline a realistic plan for monitoring technical and financial activities, reporting on results, and addressing efficiency and cost-effectiveness in overall activity management. Applicants shall also describe plans for rapid startup of the activity, including the first year plan of activities and timeline. Implementing a program of this nature in Northern and Eastern Uganda may present unique management challenges. The application shall address how the activity will manage a complex set of activities in a range of technical areas in this region. Applicants shall indicate how they will work in a collaborative and inclusive team oriented manner with local partners, the Government of Uganda, other USAID activities/programs, and other implementing organizations to achieve results. They shall also describe how they will facilitate external communication with USAID/Uganda other donors and stakeholders (e.g. other USG agencies, private foundations, international organizations, development partners), and other USAID-supported activities to ensure activity transparency and responsive program management.

USAID/Uganda expects the activity to be managed locally, with all management decisions, including financial decisions, and administrative responsibilities delegated to the implementation team office. If applicable, the Recipient's home office is expected to provide managerial oversight and administrative backstop, and technical assistance as needed. Given these parameters, the application shall clearly delineate roles, responsibilities, lines of authority, and processes for decision making within Applicant's implementation team and between the Recipient/home office and the implementation team. In addition, Applicants shall indicate where activity offices outside of Kampala will be located, and how the activity will empower and support offices, while at the same time ensuring good collaboration and communication, high quality field activities, and efficiency across programming.

Applicants shall describe their grants management plan including the process of identifying, selecting, vetting, managing, overseeing, building capacity and monitoring results of local partners, and how the Applicant will ensure that each partnering organization contributes to the overall strategy. If proposing a consortium, the application shall outline anticipated management arrangements between consortium partners as well as local partners, including funding allocated to each consortium partner, lines of communication and authority, how the prime will assure the effective implementation of all program activities (implemented by both consortium and local partners), and mechanisms by which coordination and knowledge flow across partners will be assured. Applicants shall also describe how they will meet cost share.

Throughout the description of the activity's management plan, Applicants shall describe how they plan to address gender gaps and to empower women and girls.

**ii) Institutional Capability**

The application shall demonstrate the institutional capability, technical expertise, and experience of the proposed prime and any sub-partners relevant to achieving the activity purpose and three objectives in Eastern and Northern Uganda. The application shall also describe how partners will divide responsibilities, including consortium and local development partners, as outlined in USAID Forward guidance and policies. Furthermore, the application shall describe how the Applicant will work with and build the technical and organizational capacity of local partners and other implementing organizations to achieve results.

Applicant shall describe experience implementing activities of similar size and scope including past performance demonstrating their ability to address gender gaps and to empower women and girls. This can include a description of both prime and any consortium member/partner experience. Within this section, the Applicant must describe previous success in implementing activities in changing political or regulatory contexts, specifically focusing on how the Applicant was able to adapt and change as necessary, due to political and other constraints, to meet activity objectives. This section compliments Annex 5 and as such shall not be repetitive or lengthy

**iii) Performance Monitoring, Evaluation and Learning**

The application shall present a clear, illustrative structure of how the Applicant will manage the Performance Monitoring, Evaluation and Learning Plan with its appropriate indicators for the activity purpose and three objectives, that identifies the data collection method, type, information source, and frequency of collection. Applicants shall also describe how the activity will work with the OVC Evaluation Partner to evaluate the impact of the overall activity, as well as the impact of specific interventions. In addition, the application shall describe how data generated through monitoring, evaluation and research efforts and lessons learned will be used on an on-going basis throughout activity implementation to improve activity results. Finally, the application shall describe how the Applicant will successfully meet all USAID reporting and monitoring and evaluation requirements.

**g) Past Performance (not to exceed 5 pages)**

Past Performance summaries shall demonstrate successful past performance implementing programs to equip OVC, youth and their caregivers to access core services (through both economic strengthening and complimentary education and psychosocial activities), to facilitate national, local government, CSOs and informal community structures to increase and improve core services (through systems strengthening activities), and to enable community-based clinical and socio-economic services to collaborate more effectively (particularly to meet the need of very young children and adolescents).Summaries shall also demonstrate successful past performance achieving objectives and outcomes similar to those described in any related PEPPAR and USAID strategies, guidance, and policies, including, but not limited to the 2012 PEPFAR Guidance for OVC Programming and all other PEPFAR programming guidance; and APCA. The past performance references shall have direct relevance to the activity.

In addition, summaries shall demonstrate the Applicant's experience implementing an activity of similar size, scope and complexity, especially large, complex activities involving multiple partners in Eastern and Northern Uganda, preferably, or a context similar to Uganda.

Summaries shall describe the Applicant's ability to deliver quality products or services including compliance with activity requirements, standards of good workmanship, customer satisfaction and performance of key individuals, and the Applicant's adherence to activity schedules including timeliness against milestones and administrative requirements and responsiveness to technical direction. Summaries shall also address the Applicant's ability to maintain cost controls including the ability to complete the project within or below budget, use of cost efficiencies, forecasting accurate and timeliness and the ability to provide timely, current, complete and accurate billings. Finally, summaries shall highlight the Applicant's ability to manage staff effectively, including selecting, retaining, supporting high-quality staff, and, where necessary, replacing staff.

Note that USAID reserves the right to obtain past performance references from other sources, which may include those not named in the Applicant's submission.

## IV.3 Annexes

The following seven annexes shall be submitted within the page limits indicated; any pages exceeding the limits for each annex will not be considered. No other supporting documentation will be reviewed and evaluated:

**Annex I. CVs for Key Personnel & Letter of Commitment (3 pages maximum per CV)**
This section shall include resume for all key personnel candidates and any other personnel proposed for significant positions. Resumes may not exceed three pages in length and shall be in chronological order starting with the most rest experience. Each resume shall be accompanied with a commitment letter from each candidate indicating his or her: (a) availability to serve in the stated position, in terms of days after the award; (b) intention to serve for the stated term of service; and (c) agreement to the compensation levels which correspond to the levels set forth in the cost application. Each resume shall include three past performance references, up-to-date telephone numbers and email contact information.

The use of local expertise is highly encouraged. Equal consideration shall be given to equally-qualified women and men when recruiting for the project.

**Annex II. Draft Activity Monitoring and Evaluation Plan (5 not to exceed pages)**
A draft Activity Monitoring and Evaluation plan shall be submitted with the application and shall include:

- Performance indicators, planned data sources, data collection and calculation methods, baseline data and annual targets directly linked to proposed activities

- Specific steps to achieve the proposed results in year 1, including outputs, outcomes, deliverables and milestones.

**Annex III. Past Performance References and Information (1 page per award)**
Please provide a list of current US Government and/or privately funded contracts, grants, cooperative agreements, etc., for similar or related programs during the past three years. Include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers and email contacts (name and title of person's outside the applicant's organization who supervised/oversaw the activity).

**Annex IV. Representations and Certifications, Assurances**: **(see attachment K)** for the required representations and certifications that are included as Annex IV to the technical proposal).

**Annex V. Organizational Chart:** Showing the staff reporting lines and relationships between the different positions.

**Annex VI. Sustainability Plan (1 page maximum)**
A one-page sustainability plan, which demonstrates that the Applicant will ensure that the activity results will be sustained after completion of the Activity.

**Annex VII. Mobilization Plan (1 page maximum)**
A mobilization plan, which shall include at a minimum, a timeline for mobilization of key personnel and technical leads, plan for hiring, startup of office (s), and major equipment procurement.

No additional annexes shall be accepted. Failure to provide the required annexes will result in an "unsatisfactory" technical score.

## IV.4 Cost Application Format

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

- **SF-424***, Application for Federal Assistance;
- **SF-424A***, Budget Information – Non-Construction Program;
- **SF-424B***, Assurances – Non-Construction Programs;
- A summary budget;
- A detailed/itemized budget; including illustrative costs for environmental compliance implementation and monitoring;
- One page certification for each key personnel, listing:
  1. Name of proposed key personnel
  2. Proposed title
  3. Proposed annual salary
  4. For the prior 3 years - a list of previous employment including: annual salary or daily consulting salary (inclusive of relevant fringe such as insurance, but exclusive of travel and other allowances), number of days worked (for consultancies) or start and end date of full time employment, job title, name and address of employer, and a certification from the applicant's authorized point of contact that the candidate's salary and education information have been verified.
- A budget narrative explaining costs to be incurred; and
- Other administrative documentation as required.

*These forms may be downloaded from the following website: http://www.grants.gov/agencies/aforms_repository_information.jsp

The following sections describe the documentation that Applicants for the 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:

The required budget format is found in Attachment D of this RFA.

Please be sure that the budget includes at least the following elements:

- The breakdown of all costs associated with the activity 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 activity, in the same detail and format as the budget template;
- Potential contributions of non-USAID or private commercial donors to this Cooperative Agreement, including, the breakdown of the financial and in-kind contributions (cost sharing) of all organizations involved in implementing this Cooperative Agreement.

**NOTE: The award will not provide for the reimbursement of pre-award/proposal/application costs.**

Also include:

a) Information that confirms and ensures that the proposed cost sharing will materialize.

b) Costs supporting the establishment of a secure working environment and that mitigate the risk in implementing the activity must be included in the cost proposal with sufficient description/explanation in the cost application narrative.

c) Details of sub-award arrangements to the extent they are known at the time of application development: In case there are multiple organizations and partners, please explain as clearly as possible the management structure and how the parties are going to interact. If there are formal legal arrangements such as sub awards or sub contracts please clearly explain how these are to be structured and list past experience between the organizations.

NOTE: If sub-awards are anticipated and not explained in the original application, the agreement officer's approval (after award) is required before the sub-agreement may be executed.

d) A copy of the self-certification for compliance with USAID policies and procedures for personnel, procurement, and travel.

e) A copy of the organization's U.S. Government Negotiated Indirect Cost Rate Agreement (NICRA), if applicable.

f) Applicants which do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. Copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. Projected budget, cash flow and organizational chart; and
3. A copy of the organization's accounting manual.

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

1. Have 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, non-governmental 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 cooperative agreement under applicable laws and regulations (e.g; EEO).

## IV.5 Marking and Branding

**MARKING AND BRANDING:** Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful Applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded. These plans shall be prepared in accordance with the guidance in ADS 320.3.3, 22 CFR 226.91 and the references therein. **Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.**

**[END OF SECTION IV]**

# SECTION V – APPLICATION REVIEW INFORMATION

## Overview

The Technical Evaluation Criteria are tailored to the requirements of this particular RFA and are set forth below. Applicants shall note that these criteria serve to: (a) identify the significant matters which applicants shall address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants must organize the narrative sections of their applications <u>with the same headings and in the same order</u> as the selection criteria.

USAID Uganda intends to evaluate the applications and award an agreement without discussions with the applicants. However, USAID reserves the right to conduct discussions if the latter is determined by the Agreement Officer to be necessary. Therefore, the initial application shall contain the applicant's best terms from a Technical and Cost/Price stand point.

The criteria by which the Applications will be assessed are equally weighted:

Technical Criteria:

- Technical Approach
- Personnel and Staffing
- Management and Institutional capability
- Past Performance

## A. Technical Approach

Extent to which the Applicant proposed technical approach (including: development context, core principals, implementation strategy, proposed activities, draft first year work plan, cross-cutting issues, and performance management plan) represents a strategic, convincing, sound, and realistic approach to achieve the objectives and results specified in the Statement of Work and is adaptable to a changing political and/or regulatory environment.

## B. Personnel and Staffing

Extent to which the proposed personnel, team composition and staffing plan provide the technical, analytical and interpersonal skills and experience to convincingly demonstrate the Applicants' ability to achieve activity objectives and results specified in the Funding Opportunity Description.

## C. Management and Institutional capability

Extent to which the Applicant convincingly demonstrates how its management approach and institutional capability will lead to successful and effective implementation of the proposed technical approach, objectives and results including demonstrated capacity for reaching high priority populations (children, youth and women) and addressing gender issues and flexibility to work in the Ugandan context.

## D. Past Performance

Extent to which the Applicant demonstrates previous success in implementing programs of similar size and scope including: quality of product or service, consistency in meeting goals and targets, schedule (timeliness of performance), cost control, business relations, and management of key personnel, and non-discrimination in the delivery of services.

Note: In cases where (i) an Applicant lacks relevant past performance history, (ii) information on past performance is not available; the Applicant will not be evaluated either as favorable or unfavorable on past performance.

USAID reserves the right to obtain past performance information from other sources including those not named in the applicant's application. Past performance references will not be checked for applicants that receive an 'Unsatisfactory' rating.

## COST EVALUATION

Cost has not been assigned a weight but will be evaluated for cost reasonableness, allocability, allowability, cost effectiveness, and realism, and adequacy of budget detail. While cost may be a determining factor in the final award(s) decision, especially between closely ranked applicants, the technical merit of applications is substantially more important under this RFA. Applications providing the best value to the Government, including a realistic cost share, will be more favorably considered for award. Applications will be ranked in accordance with the selection criteria identified above. USAID reserves the right to determine the resulting level of funding selected for award. Cost evaluation shall **ONLY** be conducted for applicants whose technical applications are most highly ranked.

**[END OF SECTION V]**

## SECTION VI – AWARD ADMINISTRATION INFORMATION

1) USAID/Uganda has developed a guidance document to assist implementing partners (IPs) and its sub awardees/grantees in assessing risk towards implementation of a planned or current activity. All IPs are encouraged, though not required, to review the document on the link www.usaid.gov/documents/1860/usaid-uganda-risk-assessment-instrument-2014 to the extent possible, utilize the information to ensure the safety and security of staff, employees, facilities, records, sub awardees, and all recipients. To the extent that costs associated with mitigating the risk environment are identified and included in the cost application, approval for these costs must be agreed to by the Agreement Officer.

2) Following selection for award, a Recipient will receive an electronic copy of the notice of award signed by the Agreement Officer which serves as the authorizing document. USAID will issue the award to the contacts specified by the Applicant in its application documents and/or the Authorized Individuals submitted by the Applicant.

3) The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site: http://www.usaid.gov/policy/ads/300/303.pdf

4) **Special Provisions for this RFA include:**

   **a)** New Acquisition & Assistance Policy Directive No:14-03
   Representation by Organization regarding a Delinquent Tax Liability or a Felony Criminal Conviction (August 2014)

   (a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

   (1)Was "convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

   (2)Has any "unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government".

   For the purposes of section 7073, it is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

(b) **Applicant Representation:**

(1)The Applicant represents that it is [ ] is not [ ] an organization that was convicted of a felony criminal violation under a Federal law within the preceding 24 months.

(2)The Applicant represents that it is [ ] is not [ ] an organization that has any unpaid
Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

(End of provision)

**b)** Value Added Tax and Customs Duties
Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this contract / agreement by the Contractor/Recipient and by non-local subcontractors/sub recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not allow tax exemption at the point of sale. The Contractor/Recipient must follow the guidance noted below to ensure VAT funds are appropriately refunded to USAID Uganda:

- The Recipient must include VAT expenses in the award budget and bill USAID for payment of VAT.
- USAID will lead the process for obtaining a refund from the GOU. The refund takes process currently takes several years and as such will not be credited back to the Recipient award.
- The Recipient shall maintain complete files with original VAT tax invoices/receipts from vendors.
- The Recipient is responsible for ensuring that subcontractors and sub grantees comply with this requirement.
- All VAT claims, for the Recipient, subcontractors and sub grantees, shall be submitted to USAID through the prime Recipient.
- USAID will assist the Recipient to obtain customs exemption certificate on imports.

The USAID point of contact for submission of quarterly VAT information is: kampalavatusaid@usaid.gov

[End of Provision]

**c)** Non-Discrimination in implementation of USAID-funded Programs:
In the implementation of USAID-funded programs, the [recipient or sub recipient] will not/must not discriminate against any beneficiary or potential beneficiary, such as but not limited to, by capriciously or selectively withholding or denying assistance or benefits under the project, on the basis of any non-merit factor, including one or more of the following bases: race, color, religion, sex (including gender identity or perceived gender non-conformity, and pregnancy) national origin, disability, age, sexual orientation, genetic information, marital status, parental status, political affiliation, veteran's status, or other factors that adversely impact the beneficiaries' access to, or participation in, services provided under the award. Nothing in this provision is intended to limit the ability of a recipient to target assistance to certain populations as defined in the approved workplan of a USAID-funded program.

[End of Provision]

**d)** Support to the Government of Uganda:
Salary supplements are not to be paid to GOU officials, except in very exceptional circumstances. Salary supplements are payments made that augment an employee's base salary or premiums, overtime, extra payments, incentive payment, and allowances for which the GOU employee or official would normally qualify under GOU rules or practice for the performance of their regular duties, or for work performed during their regular office hours. Examples of salary supplements include, but are not limited to, Sitting Fees and Facilitation Fees. Shall such a need arise, salary supplements can only be paid after obtaining specific written approval (waiver) by the USAID Assistant Administrator in Washington D.C. Recipient shall submit waiver requests to the AOR/COR for action.
Notwithstanding the waiver process, no GOU policy-making officials can ever receive salary supplements. Policy-making officials are high level elected or appointed officials, such as those serving on the cabinet or in an immediately subordinate sub-cabinet position.
Any costs determined to be salary supplement by the CO/AO may be deemed unallowable.

[End of Provision]

**e)** Support to the Ministry of Health:
The recipient is not authorized to enter into agreements with the Government of Uganda, Ministry of Health (MOH) central headquarters staff, to provide salaries, travel expenses or other financial support, including secondment of staff, without specific written authorization from the USAID/Uganda Mission Director. Any costs supporting GOU MOH officials may be deemed unallowable.

[End of Provision]

5) New Procurement Executive's Bulletin No. 2014-06

Electronic Payments System

1. Definitions:

a. "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

b. "Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2. The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, subrecipients, or contractors.

3. Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.

b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.

c. Cash payments to vendors below $3000, when payment through an electronic payment system is not reasonably available.

d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4. More information about how to establish, implement, and manage electronic payment methods is available to recipients at http://solutionscenter.nethope.org/programs/c2e-toolkit."

6) The following programmatic reporting requirements shall be made part of any award issued under this RFA:

**Activity Reporting**

1. **Annual Implementation Plan:** Based on the Program Description the recipient shall prepare and submit an initial, detailed annual work plan to guide the implementation process with a breakdown of activities and timelines and anticipated progress in the achievement of the activity results (consistent with the Activity M&E Plan), as well as the associated costs. The initial work plan will capture the key features and activities to pursue the activity's three-month start-up and inception phase which will illuminate what the final Performance Management Plan will look like. For every annual planning period, the recipient shall ensure a collaborative process in work plan development, consulting beneficiaries, partners, USAID and other relevant stakeholders in preparing the first and subsequent annual work plan to ensure complementarity and shared ownership. The Agreement Officer's Representative (AOR) may work with the Recipient to define particularly relevant sections of the work plan that would enhance implementation, such as soliciting perspectives or joint work planning opportunities from other USAID partners, key assumptions and risks (as well as plans to mitigate and update these), lessons learned and work plan adjustments going forward.

2. **Quarterly Activity Reports:** The Recipient shall submit quarterly reports that include narratives of quarterly achievements, and progress against the work plan, and agreed upon performance indicators. A format for the quarterly report shall be approved by the AOR. The quarterly report shall describe and assess the overall progress to date based upon agreed performance indicators. The reports shall also describe the accomplishments of the Recipient and the progress made during the past quarter; include information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, and grants).

The quarterly reports shall provide information on how gender issues have been addressed, whether and how certain gaps between males and females were closed; how the activity's actors and key activities created any new opportunities for men and women, what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. Quarterly reports will document the Recipient's interactions with district authorities, including participation and associated issues raised in District Management Committees and DOP meetings. Recipients shall notify USAID of developments that have a significant impact on the award-supported activities.

The quarterly report provides the opportunity to discuss impacts of learning on the program, updates in key assumptions and the underlying development hypotheses. Notification shall also be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award or which may have an impact on the development hypothesis or theory of change for the activity, and/or other activities (USG-funded or not) which might be informed by such learning. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation. The Recipient shall also prepare quarterly financial reports showing the amount of funding and level of effort spent and accrued during the quarter, cumulative spending, and estimates for the next quarter. The quarterly activity and financial reports are to be submitted within 60 days after the end of each fiscal quarter to the AOR at USAID/Uganda.

3. **Annual Performance Reports:** Annual performance reports on the activity activities and progress against indicators are the responsibility of the Recipient and are needed by USAID/Uganda to provide timely input to the USG's Operational Plan. To the extent possible, the annual performance report shall cover activities and results through the end of the fiscal year, and shall review the cumulative experience, learning, adaptations and the implications of these for the year. However, the draft annual performance reports must be received by USAID 30 days after the end of the year and in final no later than 90 days after the end of the year.

4. **Final Performance Report:** A draft final report shall be submitted to the AOR no later than 30 calendar days after the completion of the activity. The final report is due 90 calendar days after the end of the award. Three copies shall be submitted to the AOR. The report shall summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation, as well as key learnings from the total implementation experience. In addition the report shall specifically address how the activity addressed gaps between males and females were closed; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. It shall cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories (or challenges), and detailed financial information. It shall be grounded in evidence and data. The final/completion report shall also contain an index of all reports and information products produced under the award.

**5. Financial Reporting**

- In accordance with 22 CFR 226.52 the Federal Financial Reporting Form (FFR) will be required on a quarterly basis. FFR 425 must be submitted.
- Accrual reports: Shall be due three weeks before the end of each quarter.
- Quarterly Financial Reports: *45* days after the end of each calendar quarter along with the progress report. Shall include a report on expenditures accrued during the report period and activity accrued expenditures for the next quarter, against Award line items.

**6. PEPFAR Reporting**

The Recipient must report on all required indicators relevant to their proposed program activities, as laid out by the Office of the Global AIDS Coordinator in the new Monitoring Evaluation and Reporting (MER) Guidelines. At minimum, the Recipient must report on the new OVC-specific Level 1 indicator (OVC-SERV), the replaced umbrella care indicator.

- Number of active beneficiaries served by PEPFAR OVC programs for children and families affected by HIV/AIDS.
- Recipients of PEPFAR funds must report annually on program expenditures. Specifically, recipients must use the form PEPFAR Program Expenditures (DS-4213 OMB 1405-0208) as a part of completing the PEPFAR Annual Progress Report at the end of each USG fiscal year (September 30).

**7. Close-out and disposition plan**

The Recipient will develop and implement an AOR-approved closeout plan (administration, information, grants, finance, procurement and management). The Recipient and AOR will agree upon a format and content of the report. The closeout plan will be submitted to the AOR six months prior to the award end date.

**8. Activity Monitoring and Evaluation Plan** [ADS203.3.4] – The activity M&E plan is a management tool that enables the Recipient and USAID to track whether desired results are being achieved and activity implementation is being adapted to changing conditions. This plan shall define critical performance indicators, data collection methods and the Recipient's plans for analyzing utilizing and sharing information for reporting, accountability, learning and adaptation. The activity M&E plan is a required document, due within 90 days of the award.

**9. Baseline report**: The activity baseline study and report will be carried out by the recipient with technical input from an independent evaluation partner using the OVC Program Evaluation Toolkit http://www.cpc.unc.edu/measure/our-work/ovc/ovc-program-evaluation-tool-kit. The baseline survey will establish pre-intervention conditions to inform the development of tailored interventions and provide a basis for monitoring activity results and impacts. The assessment should provide gender disaggregated statistics and also investigate specific gaps that exist between males and females with respect to the problem that is being addressed, and explain or indicate potential causes of those gaps and indicate what opportunities there are to promote women's leadership and empowerment to activity outcomes. This baseline and the baseline report should be conducted after the Recipient has secured an approved activity M&E plan but within 6 months of award.

**Synopsis of Reports/Plans:**

| **Type of Document/Report** | **Due Date** | **Distribution** |
|---|---|---|
| First Year Implementation Plan | First draft due no later than 60 days after effective date of the award. | AOR |
| Activity Monitoring and Evaluation Plan | First draft due no later than 90 days after effective date of the award. | AOR, PPD |
| Quarterly Reports | No later than 30 days after the end of each fiscal quarter | AOR |
| Annual Implementation Plans | First draft due no later than 30 days before beginning of each fiscal year | AOR |
| Annual Performance Report | 30 days following the end of the fiscal year | AOR |
| Final Performance Report | Draft – 30 days after the End of award. Final due 90 days after the award end date. | AOR |
| Financial Reporting | Accrual reports - 3 weeks before end of each quarter<br>Quarterly Financial Reports -45 days after the end of each calendar quarter | AOR |
| PEPFAR Reporting | Annual report due September<br>Expenditure Analysis due September | AOR |
| Close out & Disposition plan | Six months before end of award | AOR and AO |
| Baseline Report | Initial Baseline Report shall be submitted no later than 180 days after effective date of the award | AOR |

**[END SECTION VI]**

## SECTION VII – AGENCY CONTACTS

Agreement Officer
USAID/Uganda
US Embassy Compound
Plot 1577 Ggaba Road
Kampala, Uganda

**[END SECTION VII]**

## SECTION VIII – OTHER INFORMATION

Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 22 CFR 226, applicable OMB Circulars (i.e., A-21 for Universities or A-122 for Non-Profit Organizations, and A-133), and Standard Provisions for Non-Governmental Organizations.

- ADS 303 is available at: http://www.usaid.gov/policy/ads/300/303maa.pdf.
- 22 CFR 226 is available at: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html Applicable
- OMB Circulars are available at: http://www.whitehouse.gov/omb/circulars_default
- Standard Provisions for U.S. Non-Governmental Organizations are available at: http://www.usaid.gov/policy/ads/300/303maa.pdf

Resulting award to Public International Organizations (PIOs, or IOs) will be administered in accordance with Chapter 308 of USAID's ADS including the Standard Provisions set forth in ADS 308.5.15.

Potential for-profit applicants shall note that USAID policy prohibits the payment of fee/profit to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a subcontract with a for-profit organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the subcontractor is authorized.

Standard Provisions for Non-U.S. Non-Governmental Organizations are available at:
http://www.usaid.gov/policy/ads/300/303mab.pdf ADS 308 is available at:
http://www.usaid.gov/policy/ads/300/308mab.pdf
The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

**[END SECTION VIII]**

## SECTION IX – REFERENCES AND ATTACHMENTS

| | |
|---|---|
| Attachment A | USAID Gender Policy (http://www.usaid.gov/sites/default/files/documents/1870/GenderEqualityPolicy.pdf) |
| Attachment B | USAID Uganda Country Development and Cooperation Strategy (CDCS)(http://www.usaid.gov/sites/default/files/documents/1860/UgandaCDCS.pdf) |
| Attachment C | USAID Youth Development Policy (http://www.usaid.gov/sites/default/files/documents/1870/Youth_in_Development_Policy.pdf) |
| Attachment D | Budget Format |
| Attachment E | Bio data Form |
| Attachment F | PEPFAR Guidance for Orphans and Vulnerable Children Programming (http://www.pepfar.gov/documents/organization/195702.pdf) |
| Attachment G | OVC Program Evaluation Toolkit (http://www.cpc.unc.edu/measure/networks/childstatusnet/evaluating-the-impact-of-ovc-programs) |
| Attachment H | National Strategic Programme Plan for Interventions (http://www.mglsd.go.ug/wp-content/uploads/2013/07/Plans/National%20OVC%20M&E%20Framework%202012.pdf |
| Attachment I | Local Systems: A framework for supporting sustained development http://www.usaid.gov/sites/default/files/documents/1870/localSystemsFramework.pdf |
| Attachment J | Demographics Eastern and Northern Uganda |
| Attachment K | Representations, Certificates and Assurance |
| Attachment L | Digitizing Payments for USAID Beneficiaries in Uganda - Pilot Report http://www.usaid.gov/documents/1860/digitizing-payments-usaid-beneficiaries-uganda-pilot-report |
| Attachment M | Curriculum sample from SUNRISE |
| Attachment N | Uganda_FY08_S08_IIP_IEE_092408 |