Issuance Date: August 06, 2009
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4.00 PM (Uganda, Kampala Time)

Subject: **Request for Applications (RFA) Number: RFA-617-09-000003**
Comprehensive Faith-Based HIV/AIDS Prevention, Care and Treatment

Dear Prospective Applicants:

The United States Agency for International Development (USAID) is seeking applications from eligible and qualified Faith Based organizations and institutions in the East Africa Region that are interested in implementing a program to scale up access to comprehensive HIV/AIDS Prevention, Care and Treatment services through a network of Faith Based Organizations (FBOs).

The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended. Please refer to the Program Description for a complete statement of goals and expected results.

This is limited competition, under which local and regional (indigenous) organizations, large or small faith-based, from Uganda and East African Region, are eligible to compete. To be eligible, organizations must be faith-based, operated and managed within the East African Region, must have Head quarters in the Region, must be licensed or incorporated under the laws of one of the countries in the region and must have majority of its assets in the Region. The East African Region consists of countries: Burundi, Democratic Republic of Congo, Djibouti, Ethiopia, Eritrea, Kenya, Rwanda, Somalia, Sudan, Tanzania and Uganda.
In accordance with the Federal Grants and Cooperative Agreement Act, USAID encourages competition in order to identify and fund the best possible applications to achieve program objectives in the program description. Small FBOs may pair with one or more partners if they wish, and appear in several applications. USAID encourages applications from potential new partners.

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

Subject to the availability of funds, USAID intends to provide approximately $30,000,000 in total USAID funding to be allocated over the five (5) year period. USAID reserves the right to fund any or none of the applications submitted.

Section A: **Program Description**
Section B: **Award and Administration Information**
Section C: **Grant Application and Submission Instructions**

Section D:	**Evaluation Criteria and Selection Process**
Section E:	**Required Certifications Assurances and Other Statements of the Recipient**
Section F:	**Mandatory Standard Provisions**
Forms:	**- Survey on Ensuring and Equal Opportunity for Applicants**
	- Application for Assistance form SF – 424

Awards will be made to the responsible applicants whose applications offer the greatest value to the U.S. Government. 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.

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.

Applicants should also note that the documents listed in this RFA under "Useful References" are intended only as sources for background information that may be helpful to applicants, but are not a part of this RFA. All guidance included in this RFA takes precedence over any reference documents referred to in the RFA. Any clarification questions concerning this RFA should be submitted in writing to:

1) Godfrey Kyagaba, via email at gkyagaba@usaid.gov by the date listed above.
2) Geraldine Kyazze, via email at gkyazze@usaid.gov

If there are problems in downloading the RFA from the Internet, please contact the Grants.gov help desk at 1.800.518.4726 or support@grants.gov for technical assistance.

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".

The preferred method of distribution of USAID RFA information is via the Internet. This RFA and any future amendments can be downloaded from http://www.grants.gov.

REQUIRED USAID CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT:

ELECTRONIC SUBMISSION OF APPLICATIONS IS REQUIRED. Please submit your applications by email, up to 5 attachments (2MB limit) per email compatible with MS WORD, PDF, and Excel in a MS Windows environment, to all of the email addresses below. Receipt by any one of these two addresses before the closing date and time will constitute timely receipt of this RFA. RECEIPT TIME IS WHEN THE APPLICATION IS RECEIVED BY THE USAID/W INTERNET SERVER.

The addresses for the receipt of proposals are:

1) Godfrey Kyagaba at: gkyagaba@usaid.gov, Primary
2) Geraldine Kyazze at gkyazze@usaid.gov, Secondary

Applicants are encouraged to obtain confirmation of receipt of the applications.

Hard copies of the applications are NOT required.

Telegraphic or fax applications are not authorized for this RFA and will not be accepted.

After you have sent your applications by email, please immediately check your own email to confirm that the attachments you intended to send were indeed sent. If you discover an error in your transmission, please send the material again and note in the subject line of the email that it is a "corrected" submission. Please do not wait for USAID to advise you that certain documents intended to be sent were not sent, or that certain documents contained errors in formatting, missing sections, etc. Each applicant is responsible for its submissions, so please inspect your own emails.

Please do not send the same email to us more than one time unless there has been a change, and if so, please note that it is a corrected email. If you send multiple copies of the same email, we do not know if there has been any change from one email to the next.

If you send your application by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost proposal, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. "no. 1 of 4", etc.). For example, if your organization's name is ABXY Consulting, and your cost proposal is divided and being sent in as two emails, the first email should have a subject line which says: "ABXY, Cost Proposal, Part 1 of 2". If you do not do this clearly, we may not be sure of the correct order of the separate parts of your application. Our preference would be that each technical and each cost proposal be submitted as a single email attachment, e.g. that you consolidate the various parts of a technical proposal into a single document before sending it. But if this is not possible, please provide instructions on how the multiple parts are supposed to fit together, especially the sequence. What is obvious to you as the preparer of the document may not be obvious to us. Your application may not get optimal treatment if we are confused regarding the order and composition of your application.

Your organization should appoint one person to send email submissions. If we receive email submissions from more than one person in your organization, we do not know who the authorized person is, and we cannot tell whether there has been a change from one email to the next without considerable effort on our part. Applicants should retain for their records one copy of the application package

Applications must be received by the closing date and time indicated at the top of this cover letter. 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.

Sincerely,

//signed//
Bruce McFarland
Agreement Officer
USAID/Uganda

Strengthening the Faith-Based HIV/AIDS Response in Uganda

Program Description

A.1 Summary

USAID/Uganda anticipates making a $30 million five-year competitive award to improve access to comprehensive and quality HIV/AIDS services through networks of faith based organizations .Access to quality HIV/AIDS remains limited in Uganda, with key constraints being distance to facilities, which increases the opportunity cost of seeking services, lack of knowledge on the existence of services, as well as unreliability and poor quality of services. The activity will be implemented through the health and social service structures of Uganda's five traditional as well as Pentecostal religious institutions.

A.2 The Development Challenge

HIV/AIDS remains a daunting challenge to Uganda despite the country's incredible efforts expended in stemming the epidemic. HIV prevalence among the adult population (15-49 years) has declined considerably from an estimated 18% in the early 1990s to the current 6.5%. However, over the past five years, HIV prevalence has stagnated and no longer shows a downward tendency. There have been shifts in epidemiological patterns, with new infections now occurring more in married and co-habiting couples than in youth, as was the case a few years ago. Available data and analyses highlight that sexual transmission accounts for 76% of all new infections, followed by mother to child transmission at 22%. Women, urban dwellers and those living in the conflict regions are the most severely affected. Approximately 1.1 million Ugandans are HIV positive, of whom approximately 100,000 are children under the age of 18. Of the adults in married and co-habiting relationships, forty percent of those who are HIV positive have an HIV negative spouse.

Uganda has recently concluded a Modes-of-Transmission study which indicates, among other things, that there have been shifts in the risk factors and drivers of the epidemic. The key risk factors now include: multiple concurrent sexual partnerships, discordance and non-disclosure among couples, low condom use, transactional sex, cross-generational sex, and relaxed sexual behaviors due to antiretroviral treatment (ART). The study also pointed to serious flaws in programming by government and its partners as most data generated over the years have not been utilized in designing new prevention interventions that respond to the changes in the epidemic. As a result, interventions remain in discord with realities. Consequently, populations where available evidence indicators that are at a higher than average risk of HIV infection are not served with the kind of services that they need.

The prolonged armed conflict in Northern Uganda has been a double jeopardy to the affected communities. Conflict has resulted into situations that facilitate wide scale HIV transmission. For instance, disintegration of the social structures that previously bound families and communities together has in many ways heightened individual risk to HIV infection especially for women. In another way, conflict has precipitated the breakdown of the health care systems, thereby constraining interventions aimed HIV/AIDS prevention, care or mitigation. In 2005, the prevalence in the war-affected areas of Northern Uganda stood at 8.3% compared to the national rate of 6.5%[1].

[1] MoH and ORC Macro (2006), **Uganda HIV/AIDS Sero-Behavioural Survey 2004/2005**. Ministry of Health and ORC Macro

As peace returns to the region, Uganda and its development partners are faced with new challenges of providing services to satellite camps and villages. This wave of resettlement and peace is also likely to be associated with a rise in HIV incidence as people jubilate and find new meaning to their lives.

Uganda's HIV/AIDS response is still encumbered by serious challenges, notably the low coverage of services, especially in the rural areas. Currently, about 23% of Ugandan's aged 15-49 years know their HIV status; HIV/AIDS care and support services reach less than 50% of those in need while approximately 40% of individuals eligible for treatment are able to access it. In addition, high mortality of economically active adults witnessed over the last two decades has led to several children being orphaned and families economically devastated. There are an estimated 7.5 million orphans and other vulnerable children in Uganda. More than half of them are affected by HIV/AIDS and only 20% are receiving care, which often falls short of the total needs. Uganda is reported to have the highest fertility rate in the world, with population projected to hit 36.8 million in 2015 up from 12.6 million in 1980. The age group 10-24 years constitutes 33% of the entire population implying that there are more people who have to be reached with HIV prevention messages and services besides sexual and reproductive health if Uganda is to contain and manage the epidemic. In addition, reproductive health needs, particularly Family Planning (FP) services for HIV-positive individuals remain largely unaddressed, resulting in high incidences on unwanted pregnancies and inappropriate reproductive health choices which in many ways compromise the health of those infected.

The Government of Uganda (GOU) has finalized a National HIV and AIDS Strategic Plan (NSP) which provides a framework for HIV/AIDS interventions over the next five years. The five-year targets under this plan are that by 2012, Uganda should have: reduced the incidence of HIV by 40%, increase the number of for people living with AIDS accessing ART from 105,000 to 240,000, extensively scaled up access to counseling and testing to facilitate universal access to ART, and increased access to quality care for people living with HIV/AIDS as well as orphans and other vulnerable children. The NSP continues to emphasize the multi-sectoral approach in its response to the epidemic, which enlists the efforts and creativity of various players including public facilities, private not for profit, private for profit institutions, faith-based organizations and other civil society organizations. The new NSP was developed based on the key challenges that emerged from the performance evaluation of the NSF 2000/1-2005/6; the recent evidence base from National Sero-behavioural Survey 2004/5, which showed no decline in the trend of the epidemic during the NSF time frame (2000/1-2005/6); the need for greater effort and resources to scale up services to achieve universal access; and the need for implementation of effective interventions to significantly reduce new infections.

This activity aims to contribute to the national efforts towards increasing access to quality HIV/AIDS prevention, care and treatment services for individuals, families and communities. It will contribute to the national agenda for HIV prevention with particular emphasis on promoting abstinence for youth and mutual faithfulness for couples. The activity will also improve access to and utilization of quality, comprehensive HIV/AIDS care and treatment services by PLHA, orphans and other vulnerable children as well as their immediate families. HIV/AIDS services will have an integral component of family planning information to increase awareness among HIV positive individuals on the importance of making safe and informed reproductive choices that enhance positive living.

A. 3 USAID/Uganda

USAID/Uganda has been a key partner in Uganda's HIV/AIDS response since 1989. It has taken a two-pronged approach, supporting both public and private sector organizations. Support to the public sector is mainly targeted at policy development and systems strengthening as well as technical assistance with the aim of creating a supportive environment for the delivery of high quality services. Of recent, USAID has also supported innovative public sector HIV/AIDS work place initiatives focused on accessing HIV/AIDS services to employees in work place settings. Private not for profit sector support has mainly been provided through the civil society organizations including NGOs, Community Based Organizations (CBOs) and networks of people living with HIV/AIDS (PLHA) with a focus on rapidly rolling out HIV/AIDS services closer to families and the communities in which they live.

The private for profit sector, especially the manufacturing as well as large scale agricultural companies have also risen in prominence in realization of the cost of HIV/AIDS to their operations and hence the need to maintain a healthy workforce. With USAID support, many business firms have established HIV/AIDS work place programs through which employees and their immediate families access a variety of services ranging from HIV prevention information, counseling and testing, palliative care to treatment. As part of their corporate social responsibility, these organizations also access services to their immediate neighboring communities. Uganda has a very large and growing informal sector which employs the majority of youth and young adults. Reaching these individuals in their nebulous and fragile working environment remains a significant challenge in the Ugandan response.

Programming HIV/AIDS interventions through faith-based structures offers significant strategic opportunities. Uganda is a multi-religious country with five major traditional religions, namely; Anglican Protestant, Roman Catholic, Muslim, Seventh Day Adventist and Greek Orthodox. Respectively, these religious faiths constitute 35.9%, 41.9%, 12.1%, 1.5% and 1% of the total population. In addition, there is a growing Pentecostal movement, accounting for 4.6% of the population. Religious organizations pioneered delivery of health and education services in Uganda. The Anglican Missionaries set the pace by building the first Hospital at Mengo in 1897, which provided the impetus for the expansion of health and education infrastructure by other religious organizations. Currently, over 90% of the schools in Uganda are faith-based in origin while 42% of the hospitals, 22% of the lower level health centers and 71% of the nursing and midwifery training schools are owned and managed by the five traditional religious organizations. Typically, faith-based health institutions are located in areas considered very remote and hard to reach, hence bridging a critical gap in service delivery. Comparatively, their services are perceived by the public to be of better quality than those delivered in their counterpart government health units. Besides the formal health and education institutions, religious organizations also have integral volunteer networks and structures through which they promote moral and ethical behavior as well as other social services. Examples include the Mothers Union, Girl and Boy Scout Movement, the Women's Guild, the Boys and Girls Brigade, the annual youth confirmation classes, weekly fellowship meetings, as well as the Madrasa schools. These structures are decentralized up to the lowest level of the churches/mosques.

Since 1991, faith-based organizations have been and still remain a critical part of the Ugandan HIV/AIDS response. Some of the FBOs such as Church Human Services (CHUSA) and the Islamic Medical Association of Uganda (IMAU) were the early front runners in the response and were internationally recognized as best practices in mobilizing communities against HIV/AIDS.
In 2001, the Inter-Religious Council of Uganda was formed by the top most leaders of the five traditional religions as a body for fostering joint cooperation and harmonization of efforts of the religious bodies on mutually agreed issues of common interest. This body is still growing institutionally but has so far improved inter-religious dialogue and provided opportunities for harnessing expertise and resources across the member religious bodies in addressing community problems.

A.3.1 USAID/Uganda Results Framework

The USAID Program in Uganda contributes to Uganda's Revised Poverty Eradication Action Plan (PEAP), which is Uganda's blueprint for the national development agenda. The PEAP, revised in 2004 and currently under revision again, has guided the formulation of the GOU's policy since its inception in 1997. USAID's programs in economic growth; support to social sectors; promotion of democracy and governance; and assistance to people affected by conflict directly contribute to the five pillars of the PEAP, namely: Economic Management; Production, Competitiveness and Incomes; Security, Conflict-Resolution and Disaster Management; Governance; and Human Development.

The overall goal of USAID/Uganda is to assist Uganda to reduce mass poverty. Since 2001, the mission has been implementing a five-year Integrated Strategic Plan (ISP) which articulated the strategic interventions that contribute to the attainment of its overall goal. The ISP, currently under revision was implemented through three Strategic Objectives (SO), namely, Economic Growth (SO7); Improved Human Capacity (SO8); and Improved Governance and Decentralization (SO9).

The Improved Human Capacity (SO8) strategic objective aims to enhance individuals' ability to reduce their vulnerability to poverty and achieve a better quality of life by improving health and education status. SO8 has set three intermediate results (IRs) that contribute to achievement of this objective, namely: IR 8.1: Effective Use of Social Sector Services, IR 8.2: Increased Capacity to Sustain Social Sector Services, and IR 8.3: Strengthened Enabling Environment for Social Sector Services

This program will focus on the attainment of all three Intermediate Results under the strategic objective for Improved Human Capacity. Under Intermediate Result 8.1, the program will contribute to the attainment of IR 8.1.1 "Improved Quality of Social Sector Services; IR 8.1.2 "Increased Availability of Social Sector Services"; and IR 8.1.3 "Increased Accessibility of Social Sector Services"; and 8.1.4 "Increased Acceptability of Social Sector Services". The program will further contribute to attainment of IR 8.2, particularly IR 8.2.2 "Increased Private Sector Role in Service Delivery. Under IR 8.3, the activity will contribute to the attainment of IR 8.3.1, "Increased Transparency, Accountability and Ownership of Social Sector Processes and Outcomes"; IR 8.3.2, "Improved Leadership in the Social Sectors" and IR 8.3.3, "Evidence based Sectoral Policies and Programs Implemented". Under the Foreign Assistance Framework, this activity contributes to the program area of health and will cut across the program elements of HIV/AIDS including tuberculosis, malaria, and reproductive health/family planning.

The activity is anticipated to contribute significantly to the five year NSP targets to reduce the incidence of HIV by 40%, increase equitable access to ART by those in need from 105, 000 to 240,000, scale up HIV counseling and testing to facilitate universal access to treatment, support and expand the provision of home based care and strengthening referral systems to other services, and to increase provision of psychosocial support as well as formal, informal, vocational and the life skills education for orphans and other vulnerable children (OVC), PLHA and other vulnerable groups.

The activity also fits within the national Health Sector Strategic Plan (HSSP) II and will considerably contribute to its targets of increasing the proportion of the general population with knowledge of at least two correct methods of HIV prevention from 90% to 95%, increasing the proportion of health center IVs offering comprehensive care with ART to 75% by 2010, scaling up counseling and testing services to all health center IIIs by 2010 and reducing the prevalence of HIV among the general population from 7% to 4%[2].

A.3.2 The President's Emergency Plan for AIDS Relief (PEPFAR)

PEPFAR has provided an historic opportunity for Uganda to continue rolling back the HIV/AIDS epidemic. Over the last five years (2004-2008), PEPFAR, in partnership with the GOU, supported unprecedented access to HIV/AIDS prevention, care and treatment services. Through this global initiative, Uganda has increased access to treatment from 9,000 PLHA in 2004 to 175,000 to date. 357,000 PLHA are currently accessing chronic care while 206,000 orphans and other vulnerable children are receiving care.

PEPFAR supports 14 key program areas under the prevention, care, treatment, other policy system strengthening and strategic information categories, which are in line with the GOU HSSPII and NSP priorities. Specific program areas include: prevention of sexual transmission including abstinence only (A), abstinence and/or being faithful (AB), and prevention activities other than AB (OP); injection and blood safety; PMTCT; palliative care basic; tuberculosis (TB)/HIV; HCT; orphans and vulnerable children (OVC); care and support services; ART services and drugs; laboratory infrastructure; strategic information (SI); other policy and system strengthening (OPSS). Through PEPFAR support, Uganda has enjoyed remarkable achievement in rapidly scaling up services in most program areas. Support to system strengthening and national level policy/guidelines formulation and dissemination has been limited and will be the priority focus over the next PEPFAR phase.

The US government has renewed its commitment to continue supporting this initiative globally with an additional $39 billion over the next five years, with new global targets of ensuring that 2.5 million people access treatment, 12.5 million new infections are averted and 12 million PHAs and orphans access quality care services. In addition to these targets, PEPFAR will continue to support focus countries in addressing key systemic challenges that impede service delivery. The vision of the USG in Uganda under the U.S. President's Emergency Plan remains: "Within the framework of Uganda's multi-sectoral response, the Emergency Plan will contribute to strengthening national capacity to address the HIV/AIDS epidemic, achieving improved quality of life, equitable access to services, and sustainable systems". This will be done through a number of pillars that were identified by the Emergency Plan team:

- Strong family and community response to HIV/AIDS;
- Effective decentralization through broad national reach and work with a host of partners;
- Broad portfolio of quality activities, some of which have already proven to be effective, some of which are innovative new programs and pilots; and
- Focus on outcomes to reach Emergency Plan Uganda's five year targets

[2] Ministry of Health (2005), **Health Sector Stretegic Plan II**. Ministry of Health, Kampala

A. 4. Results, Relative Effort and Indicators

The overall goal of this activity is to build a strong, coordinated and sustainable faith-based HIV/AIDS response in Uganda. To realize this goal, the applicant will be expected to focus on the following:

i. Strengthen the overall faith-based HIV/AIDS response in Uganda.
ii. Facilitate access to and utilization of quality, comprehensive HIV/AIDS prevention, care and treatment services for PLHA and their immediate families.
iii. Strengthen the role of religious leaders in advocacy for HIV/AIDS and reproductive health including Family Planning.

Emphasis shall be placed on accessing services to hitherto underserved regions. The recipient will also be expected to work in partnership with other USG and non-USG supported partners to increase access to other essential services such as preventive care commodities, food assistance and support for income generating activities which play a complementary role in the achievement of program objectives.

In achieving the results, the recipient shall work closely with the Ministry of Health, Uganda AIDS Commission, Ministry of Gender, Labor and Social Affairs, as well as other in-country implementing partners to ensure that services conform to the national priorities and standards.

Following are key result areas and illustrative results. These results are not exhaustive and the applicant will be expected to present a detailed results plan with clear end of program outputs and outcomes. In addition, there are mandatory PEPFAR indicators **(Annex ---)** on which the recipient will be bound to report progress.

Result 1: Faith-based HIV/AIDS response in Uganda strengthened (20% LOE).

Under this result area, the applicant is expected to present clear approaches and strategies to build a coordinated and sustainable faith-based HIV/AIDS response in Uganda.

Illustrative Outcomes:

- Improved coordination of HIV/AIDS FBO interventions at district and national level to harness their individual structures for delivery of HIV/AIDS services and to develop mechanisms for sustaining services within their respective institutions.
- Religious leaders at community, district and national level actively engaged in HIV/AIDS mobilization and advocacy.
- Clear leadership at district and national level to provide the vision and strategy for the faith-based HIV/AIDS interventions.
- Strong faith-based forums exist at district and national level as avenues for information exchange, development of common positions and plans on HIV/AIDS issues.
- HIV/AIDS prevention, care and treatment services integrated into the health and social systems of religious organizations.
- Clear leadership at district and national level to provide the vision and strategy for the faith-based HIV/AIDS interventions.
- Diversified funding sources for faith-based HIV/AIDS activities are accessed.

<u>Result 2</u>: Quality and comprehensive HIV/AIDS services delivered through the network of

faith-based health and social structures (70% LOE).

The applicant is expected to expand the provision of HIV/AIDS prevention, care and treatment services delivered through faith-based organizations. The applicant is expected to present approaches that reflect innovation especially with regard to quality and cost efficiency that will allow expansion of services with minimal additional resources. The approaches should also be tailored to and responsive to the current and emerging evidence in HIV/AIDS prevention, care and treatment. Integration and networking should feature prominently, whereby synergies and opportunities for wrap around are maximized across HIV/AIDS and other services.

2.1 Access to palliative care: basic health care and support for PLHA and their immediate families improved (15%).

The applicant is expected to present realistic, context specific, and cost sensitive approaches that engender increased access to holistic palliative care for people living with HIV/AIDS and their immediate families. In addition, the applicant should include strategies that enhance active engagement of PLHA in the program. Activities should, at the minimum address: psychosocial support, diagnosis and treatment of opportunistic infections, preventive care (chemo-prophylaxis, insecticide treated nets, safe water, prevention with positives), pain assessment and management, reproductive health, family planning and promotion of positive living in general.

Illustrative Outcomes:

- Improved quality of HIV/AIDS care and support services for PLHA and their families
- Improved linkages and networks between families, communities and facilities that enhance easy access to comprehensive care and support services.
- Improved competence within faith-based health units and communities to deliver integrated HIV/AIDS care and support services.
- Improved knowledge and use of HIV/AIDS preventive care services by PLHA and their families.
- Number of individuals assessed and treated for pain.
- Strengthened community capacity to provide care and support to PLHA and their families.
- Reduction in risk behavior among PLHA, their families and communities.
- Number of facilities offering integrated HIV/AIDS/FP services

2.2 Access to HIV counseling and testing improved (10% LOE)

The applicant should present innovative and context–appropriate approaches that enhance easy access to counselling and testing services. The approach should outline the target beneficiaries, the rationale for targeting them, and the strategies to be used in accessing services to them. The applicant should also indicate how counselling and testing will be linked to other critical HIV/AIDS services.

Illustrative Outcomes:

- Increased utilization of counseling and testing services by high-risk populations and other community members.
- Improved capacity among provider institutions in delivery of high quality counseling and testing services.
- Improved linkages between counseling and testing, and care and treatment services.

2.3 Care and support for Orphans and other Vulnerable Children (OVC) improved (10% LOE)

Drawing from the current GOU policy and priorities in regard to care for OVC, the applicant should propose approaches to increase access to care for OVC, which are in currency with current needs and emerging evidence. In particular the applicant should present strategies on how orphan care can be integrated within the faith-based social and volunteer structures at community level. Special emphasis should be put on strategies that seek to develop OVC skills that enhance their self sustainability and those that build capacity at family and community level for on-going OVC care. In addition, the applicant should also propose strategies for linking OVC and their caretakers to HIV counseling and testing, and to care and treatment for those who are HIV-positive. In programming interventions and services, priority should be given to areas currently not covered by OVC services. In addition, activities should be harmonized with the district OVC plans and priorities.

Illustrative Outcomes:

- Improved capacity of care taker families to provide care for children orphaned and or affected by HIV/AIDS.
- Equitable geographical spread of OVC services.
- OVC care integrated within the faith based social structures

2.4 Tuberculosis (TB) diagnosis and care integrated as a routine practice in HIV/AIDS care and treatment settings (5% LOE)

TB/HIV co-infection continues to be a major issue in HIV/AIDS care. 50% of HIV-infected individuals are estimated to have TB, which ranks among the highest causes of morbidity and mortality among PLHA. The dual infection of TB and HIV presents challenges of confirming TB infection, making a choice of ART regimens and the timing when to start ART in patients on TB treatment. Therefore integration of TB in HIV/AIDS is of key strategic importance to facilitate early detection of TB in HIV infected individuals and HIV infection in TB patients.

The applicant is expected to present approaches that facilitate early detection of TB among HIV-positive individuals, HIV diagnosis among TB patients as well as improved TB treatment and its success among those diagnosed. Special attention should be put on monitoring individuals co-infected with HIV/TB with the aim of initiating them on ART as early as possible.

Illustrative Outcomes:

- Effective mechanisms for monitoring TB services established within partner facilities.
- TB case detection among PLHA improved
- Effective and efficient mechanisms for treatment adherence instituted.
- Improved TB cure rates
- Facility level mechanisms to facilitate uninterrupted supply of essential TB/HIV drugs and other commodities strengthened.
- Individuals and communities trained in TB adherence monitoring
- Infection control procedures as well as supportive infrastructure instituted to minimize cross infection and transmission of TB.
- External and internal TB and HIV laboratory quality assurance mechanisms in place.

2.5 Access to and utilization of anti-retroviral therapy (ART) for PLHA improved (20%

LOE)

Access to ART has improved greatly in Uganda but the country is still far from meeting the demand. Currently, about 175,000 individuals are estimated to be accessing ART, representing 40% of the total national need. This result area focuses on increasing access to ART.

The applicant should present strategies that enhance timely identification and initiation of individuals on treatment, routine assessment and treatment of pain and symptoms, and support for adherence to ART. Approaches should also indicate strategies for strengthening linkages between facility-to-facility and facility-community based care as well as improving access to laboratory support services particularly for infant diagnosis and routine ART monitoring. A strategy for capacity building, especially focusing on providers, support supervision, and quality assurance should be elaborated. Partnership with other providers is also an essential component of an effective ART service.

ARV drugs to support this program shall be procured through SCMS. However, the applicant is required to present clear strategies for managing forecasting, distribution, and accountability of drugs within country.

Illustrative Outcomes:

- Functional adherence support systems established at both facility and community level.
- % of HIV+ individuals who adhere to their treatment regimens.
- Functional logistics management system exist to support distribution of ARVs and other commodities.
- Functional laboratory services to conduct HIV/AIDS diagnosis and disease monitoring on site or through sample transfer networks.

2.6 Contribute to the national efforts to prevent further transmission of HIV (10%)

Prevention of new infections is the main pillar for HIV/AIDS programming in Uganda and a key determinant to the success of the national efforts to address the epidemic. The main focus of this result area is to prevent new infections in the population. This can be achieved through increasing knowledge on HIV/AIDS as well as enhancing self risk perception in the general population so that people are motivated to adopt preventive behavior. In light of the emerging scientific evidence, MOH is requesting partners to scale up access to voluntary male circumcision services as a measure of reducing sexual transmission of HIV.

The applicant should present approaches that embrace comprehensive HIV prevention strategies that target risky behaviors among adults, youth and PLHA. It is also important that cultural and gender norms that increase risk to HIV are appropriately addressed. Approaches to support HIV prevention among HIV-positive individuals should also be elaborated. The applicant should also provide insights into the current practices, capacity and potential demand for male circumcision within the target facilities.

Illustrative Outcomes:

The results under this activity manifest within the general population in terms of reduction in HIV incidence rates, reduction in the number of casual sexual partners and upward shifts in age of sex initiation among youths and adolescents.

The applicant will be expected to measure progress towards these changes using proxy indicators such as:

- Increased use of PMTCT services by HIV-positive pregnant women
- Increased use of counseling and testing services especially among couples
- Effective strategies exist to assist those testing HIV negative to maintain their status
- Increased risk perception among young people reached through the faith based networks.
- Adoption of positive behaviors such as positive living, and disclosure of status by PLHA.
- An assessment undertaken to determine current practices, capacity and potential demand for male circumcision services within supported health facilities.

Result 3: Increase the uptake of HIV/AIDS prevention, care and treatment services (10% LOE)

While efforts have been made by the government and its partners to expand access to services, actual utilization is often thwarted by lack of awareness of the existence of services as well as stigma especially with regard to HIV/AIDS and TB. This result area focuses on raising awareness of individuals and communities on the HIV/AIDS services available and improving literacy with regard to the importance of accessing these services. Integral within this result is the need and importance of building and/or strengthening community based structures that serve as catalysts for HIV/AIDS services demand and also as organic support systems for on-going HIV/AIDS information and care. Results sought will improve health seeking behavior, rational use of services, and continuity of use, ultimately complementing service delivery and contributing to improved outcomes.

While DHS surveys repeatedly reveal a high level of knowledge of contraceptive methods, many couples have failed to adopt a method that will allow them to have small and manageable families. The value placed on having children, often a symbol of marital security for women and of status for men persists, even among individuals with known HIV positive status.
The faith-based community has traditionally been in a position to influence positive family planning attitudes and practices. This result area will address family planning advocacy within the faith-based networks as well as context appropriate service delivery. Special attention will be paid to integrating reproductive health, particularly family planning in HIV/AIDS prevention, care and treatment to support individuals receiving services to make appropriate and informed reproductive health choices.

The applicant should present clear strategies for building community level support mechanisms that work to improve HIV/AIDS and family planning service seeking behavior as well as providing intermediate HIV/AIDS care and prevention. Also the applicant should present strategies for integrating FP information and services within faith-based HIV/AIDS health facility and community settings.

Illustrative Outcomes:

- Improved knowledge and utilization of HIV/AIDS services available within the community.
- Reduction in HIV/AIDS stigma.
- Functional linkages between facility and community services in place.
- Increased involvement of families and communities in HIV/AIDS prevention, care and treatment.
- Religious leaders actively advocating for Family Planning.

- Increased positive health and HIV/AIDS service seeking behaviors within target communities.

A.5 Requirements on Program Reporting, Monitoring and Evaluation

a. Annual Work Plans:

The successful applicant shall develop the Annual Work Plan, within two months of the program initiation. The plan will be reviewed and approved by the AOTR within two weeks of submission. <u>Within two months prior to the end of each activity year</u>, the successful applicant shall submit to the AOTR an annual work plan for the following year which will describe the activities and interventions required to meet the award outputs. The plans will include proposed activities for the given year, time frame for implementation of annual activities, detailed budget, review of previous year's accomplishments, problems, and progress towards achieving award outputs and proposed annual accomplishments and progress towards achieving outputs.

b. Performance Monitoring Plan (PMP):

Within 90 days of the signing of the award the successful applicant shall submit a Performance Monitoring Plan (PMP) for the life of the activity that derives from the activities outlined in the program description.
The Performance Monitoring Plan will outline key program activities, indicators of achievement, which should support the achievement of the President's Emergency Plan targets and USAID/Uganda's intermediate results. This plan will be reviewed and approved by the AOTR and the USAID/Uganda Performance Monitoring Specialist.

c. Progress Reporting

<u>Quarterly Reports</u>

The successful applicant shall submit quarterly narrative and monthly financial reports which give insight into the progress of planned activities. The narrative reports shall include qualitative and quantitative information which describes activities carried out and specific results achieved during the quarter. In addition the reports shall indicate key implementation challenges encountered and how they were or are planned to be resolved.

The program reports shall as much as possible include human case stories and pictures to reflect the real impact of activities on the lives of beneficiaries. Monthly financial reports shall indicate actual and accrued program costs for the month and planned expenditure for the next one.

<u>Annual Reports</u>

Within one month after the close of each activity year, the successful applicant shall submit to the AOTR an annual report which reflects the progress of the program activities over the last year. The report should indicate the outputs and impact the program is having on the target beneficiaries. Anecdotal and case stories, pictures and any other information that gives insight into the success of the program should be included. Within three months after the end of each activity year, the successful applicant shall submit to the AOTR annual statement of accounts, audited by an external and reputable organization. Following the signing of the Cooperative Agreement, the AOTR shall provide a list of firms approved to audit USG resources in Uganda.

President's Emergency Plan Reporting

Bi-annual reports will be required and the timing may vary according to funding schedules.

End of Activity Report

Within the last month of the program, the successful applicant shall submit to USAID/Uganda an end-of activity report, summarizing the major achievements, impact and issues generated by the activity. The report should also indicate the contextual opportunities remaining that could easily be harnessed to sustain the results of the program.

USAID/Uganda may request adhoc information and reports for use in the routine progress monitoring and in response to requests from Washington.

A.6 Monitoring and Evaluation

The progress of the program will be monitored in accordance with the Performance Monitoring Plan. In executing the monitoring and evaluation functions under this program, the recipient shall collaborate and coordinate with the USAID/Uganda's Monitoring and Evaluation Management Services (MEMS) and the Monitoring and Evaluation of the Emergency Plan Progress (MEEP) contractors or other designees.

USAID/Uganda may request special evaluation studies if deemed necessary to improve the quality of the services. USAID anticipates the commissioning of mid-term and end of project evaluations.

SECTION B- AWARD AND ADMINISTRATION INFORMATION

A. Available funding and award

Subject to the availability of funds, USAID intends to provide up to $30,000,000 in total funding to be allocated over the five-year period to support these activities. However, depending on the burden of need and subject to availability of funding, more resources may be committed to support additional work.

B. Substantial Involvement

USAID/Uganda will designate an Agreement Officer's Technical Representative (AOTR) who will bear the primary responsibility for providing oversight to the program. The AOTR shall be substantially involved in the following areas, among others:

- Approval of Personnel deemed key to the successful achievement of the program outputs.
- Approval of the Recipient's Annual Work Plans
- Approval of the recipient's Performance Monitoring Plan

C. Anticipated Award Date

It is anticipated that a five-year Cooperative Agreement will be awarded o/a October 30, 2009.

SECTION C. GRANT APPLICATION AND SUBMISSION INSTRUCTIONS

I. APPLICATION PREPARATION GUIDELINES

Application must be submitted in a format as stated below and it must include the completed form SF-424 which Applicant can download together with the RFA. Alternatively, the SF-424 and SF-424A "Application for Federal Assistance" is available for download at USAID's website: http://www.usaid.gov/forms/sf424.pdf.
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Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA. All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section B addresses the technical evaluation procedures for the applications. Applications which are submitted late or incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award unless the Agreement Officer determines it is in the best Government's interest."

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. The application shall be prepared according to the structural format set forth below.

Explanations to Prospective Recipients: Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing to the Specialist at the email address set forth in the RFA cover letter. Oral explanations or instructions given before award of a Cooperative Agreement will not be binding.
Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

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

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

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

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

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

II. TECHNICAL APPLICATION GUIDELINES

To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below:

Technical Applications are limited to thirty (30) pages only; any application **over 30 pages will not be evaluated**. The 30 pages consist of applicant response to the Technical Application Sections of this RFA. Applications shall be written in English, text should be left-justified using Microsoft Word 2000, 2001, or 2003; Time New Roman, 12 point font on standard 8 ½" X 11" papers, single spaced, with each page numbered consecutively, and no less than 1" margins on all sides. Supplementary materials such as the performance monitoring and evaluation plan, past performance reference information, personnel resumes and relevant letters of support are excluded from this page limitation.
However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the prospective recipient's lack of cost consciousness.

II.1 Technical Understanding and Approach

Applicants to this RFA must present how they intend to achieve these results highlighted in the Section A of this document.
The technical application must be specific, complete and presented concisely. The application must demonstrate the applicant's capabilities and expertise with respect to achieving the goal and outputs for this program. The technical approach will be evaluated on its overall merit and feasibility to achieve the results. Therefore the application should clearly elaborate the methodology **(how)**, and techniques to be used to successfully accomplish the stated objectives and activities. The approach should reflect a thorough understanding of the current HIV/AIDS context and policy environment in Uganda, to which activities and strategies should be aligned. The application must take into account the technical selection criteria and evaluation procedures found in Section 8.

Data and evidence-based interventions related to prevention, care and treatment of HIV are becoming increasingly available. It is expected that the applicant will develop strategies and technical approaches that are reflective of available data and evidence. The applicant should also highlight how new data and information will effectively be integrated into program strategies and activities as it becomes available.

The technical approach will be evaluated on the overall merit and feasibility of the program approach and strategies proposed to achieve the results. The technical approach must set forth the conceptual approach, methodology and techniques for the accomplishment of the stated objectives. The applicant should discuss how resources will be organized to obtain expected results.

This program has a substantial sub-granting component. Therefore, it is expected that the procurement of services and / or sub-grants will be effectively employed to expand services as needed. A separate mechanism will be used to centrally procure ARVs that will be used to support implementation of activities.

II.2 Essential Design Elements

Program strategies and approaches should be guided by and reflect the following principles:

a. Coordination, Collaboration and Partnership

Today, more than ever, the principals of coordination, collaboration and partnership are needed to ensure a comprehensive, quality response to the HIV/AIDS epidemic in Uganda. In the past seven years, Uganda has seen substantial increases in financial and technical resources flowing into the country for HIV/AIDS. As partners in the response, it is our collective responsibility to ensure that we are working in partnership with the GoU, civil society, private sector, development partners and other stakeholders to maximize use of our resources, harmonize our approaches and coordinate our activities.

It is expected that this activity will work in close partnership with the MoH and other key stakeholders at national, regional and district level and support and develop existing and relevant coordination mechanisms. Collaboration and communication with the central Ministry of Health and the faith-based medical bureaus is essential to ensure harmonization of technical and financial resources provided to the partner facilities. Coordination and complementarity with other USG and non-USG supported activities is critical and this activity should not in any way duplicate the support of other partners. The recipient is expected to coordinate, collaborate, and share best practices and lessons learned with other USG and non-USG supported activities operating in the same geographical zones.

b. Family and Community

Focus on families and communities is one of the pillars of USG Uganda team's strategy to achieve the Emergency Plan goals. Families and communities are the hub of all HIV/AIDS interventions, playing roles of service providers as well as consumers. They play key roles in mobilisation and referral of individuals for services and also provide supportive care to those who are HIV positive. At the same time, families and communities are the primary targets for HIV/AIDS interventions, such as counselling and testing, care and treatment. Majority of Ugandans prefer to spend their last days of life under the care of their families and friends. Therefore, their role in this program is more pronounced. The applicant should present strategies that reflect family and community focus in the implementation of this program.

c. Gender

Despite strong efforts made by the GOU and its development partners to address gender inequities, wide variations still remain between men and women and girls and boys with regard to access to health services, employment, nutrition, education and economic security. HIV prevalence for women is nearly twice that of men nationwide, speaking to biological factors that increase the likelihood of transmission, but also social factors related to sexual behavior such as gender violence and alcohol use/abuse. HIV/AIDS has also increased the burden for family care on women and girls, as they are the first and often primary responders/care providers to people suffering from the HIV/AIDS disease.

With regard to access to HIV/AIDS services, particularly palliative care, over 60% of the recipients are women. Over time, men have consistently been rare, both in direct service delivery and utilization. This compromises the efficacy of programs and services, even for those that access them. Care outcomes are optimized in an environment where there is mutual trust, shared confidentiality and responsibility.

For instance, adherence to treatment, practicing of safer sex and other positive living options become greater challenges for women who live with spouses that have not been counseled and tested, or received any form of care. The risk of HIV transmission also increases, especially in non-known discordant relationships.

The applicant should describe how this program will address gender issues, and provide viable strategies for increasing access to HIV/AIDS services by men. In addition, the applicant should present strategies for bolstering male involvement in the actual care and support of infected and affected individuals.

d. A focus on sustainability

One of the vital dimensions of rapid-scale up of HIV/AIDS prevention, care and treatment services is ensuring sustainability of not just the program but also the impact. The sustainability of HIV/AIDS prevention, care and treatment services and support to their families is dependent on the development of local capacity to design, manage and maintain these services. The applicant should indicate how this program will directly contribute to this principle. The applicant will be required to demonstrate how this activity builds upon existing structures and lessons learned from the previous programs. Applicants will be required to present an exit strategy together with their applications. Progress towards the realization of the exit strategy will be rigorously monitored through annual work plans and quarterly performance reviews. The applicant should also indicate how it plans to diversify funding with a potential decrease in USAID funding planned in years 4 and 5.

e. The Network Model

In Uganda, HIV/AIDS affects predominantly poor individuals and consequently creates physical, social, psychological and economic needs of varying intensity and dimensions. These needs should be addressed in order to optimize the quality of life for those affected. However, no single service provider can meet these needs holistically, hence the need for networking among the various providers in order to ensure that PLHA and their families access the full spectrum of services that they require.

A critical mandate in the President’s Emergency Plan (EP) legislation is for countries to develop and implement a network model approach for care and treatment. The USG defines the network model as a continuum of care focusing on identifying and supporting HIV positive individuals so that they can receive prevention, care and treatment services. The network model recognizes that any institution providing these services operates within a milieu of other institutions providing complementary services. By networking these service organizations, the range of services available to patients is greatly expanded. Through strong referral mechanisms between networked service facilities (both public and private), an individual who is identified in one part of the system, for example, a VCT site, will receive services at a clinic providing HIV care and treatment as well as psychosocial support at an AIDS support organization or home-based care.

PHA, families and communities are at the heart of the network model because of their instrumental role in identifying individuals needing care and supporting HIV positive individuals to enter and stay in the ‘network’. PHA groups play a central role in motivating HIV + individuals to enter a networked continuum of care through provision of appropriate and personalized basic prevention, care and social support services and through linking HIV+ individuals and their families to service delivery organizations that provide other elements of care, treatment and social support.

PHA groups liaise with families and communities to create supportive social environments that encourage people to get tested; to stay negative through effective prevention strategies; to prevent further transmission of the virus and to stay healthy when HIV+; to access care and treatment and other support services; and to adhere to opportunistic infection and ARV treatment regimens. In this way, PHA groups are vital to an effective network, creating demand for services and supporting adherence to these services.

The applicant is expected to present strategies that support linkages between families, communities, and formal health systems in a manner that enhances easy identification of people in need of HIV/AIDS services, accessing them these services and building family and community systems that ensure continued social and psychosocial support to enhance positive living, reduction in stigma and adherence to care and treatment. Approaches to build linkages and networks with public and other private sector providers should also be indicated.

f. The Greater Involvement of People with HIV/AIDS (GIPA) in Uganda

Uganda's Ministry of Health (MOH) and the Ugandan AIDS Commission have boldly acknowledged the important contribution of PHAs in the fight against HIV/AIDS. In 1994, the GOU signed the Paris Declaration publicly affirming that the greater involvement of people living with or affected by HIV/AIDS is critical to ethical and effective national responses to the epidemic. USAID/Uganda also strongly supports the involvement of PHA networks and groups in facilitating access to HIV/AIDS prevention, care and treatment services to their members. The applicant is required to demonstrate how PLHA will be involved in the implementation of this program.

g. People with Disabilities (PWD)

USAID Uganda encourages its partners to work with people with disabilities whenever possible to minimize discrimination and promote equal opportunity and their inclusion within USAID funded programs in Uganda. The applicant should include strategies for increasing opportunities for PWD to access HIV/AIDS services and to play active roles in the delivery of these services

II.3 Program Implementation and Coordination.

The program will be implemented through networks of faith-based health and social structures that are either affiliated to or directly fall under the management oversight of the major religious organizations in Uganda. In principle, this program will build upon the existing HIV/AIDS services especially in the health sector and support the providers to creatively expand the services to reach more people, improve quality and develop mechanisms for sustaining the services. In addition, the program will facilitate the integration of HIV/AIDS prevention and care into the existing social service structures of the major religious organizations.

Therefore, effective management, particularly, coordination of the various stakeholders directly engaged in implementation, capacity building for the implementing organizations, timely, efficient and equitable allocation of resources, as well as effective communication within and among implementing organizations, will be crucial.

II.4 Management Plan and Personnel

The applicant is expected to have achieved full mobilization of staff and all required inputs to be able to start implementation within 30 days after the award. The applicant shall provide a management plan consistent with the project's technical complexity and stakeholders. The composition and organization structure of the entire implementation team shall be provided. The staffing pattern will reflect the minimum number of highly experienced technical staff sufficient to manage and implement activities under this award. Key personnel will be proposed by name and position. Each key personnel position requires USAID approval, as noted in substantial involvement provisions.

The section on personnel capability in the main body of the application will include brief statements of staff member's role, technical expertise, and estimated amount of time each will devote to the project for each of the key personnel and other senior program staff. Resumes for key personnel, other senior program staff and any long-term professional staff/advisors will be limited to 4 pages in length and should be included in the annexes. The annexes will include letters of intent to participate for those not already employed by the proposing organization and letters of commitment from proposed key personnel.

The applicant should include:

- Organizational chart including governing bodies with roles and responsibilities. The overall governance systems for the organization should be described.
- Management structure of all proposed partners and their roles and contributions
- Lines of authority
- Plans for rapid start up, including first year work plan that identifies the major activities to be undertaken for each objective; a detailed timeline for implementation of activities is not necessary.
- Financial management, reporting and cost containment strategies.

II.5 Institutional Capacity and Past Performance

Implementation of this activity requires partners with the relevant strategic, technical and institutional experience. Partners will be required to demonstrate extensive practical experience in implementing development programs through faith-based structures. Knowledge and experience in coordinating inter and multi-faith interventions will also be desired. This activity will largely be implemented through the structures of the existing religious bodies in Uganda. Therefore to ensure a rapid start of the program, applicants will be required to include as annexes letters from the target religious bodies indicating their commitment to partner with the recipient.

Applicants are required to have a Dun and Bradstreet Data Universal Numbering System (DUNS) number to apply for a cooperative agreement from the US Federal government. The DUNS number is a nine-digit identification number, which uniquely identifies business entities. However this is not a mandatory requirement for local organizations to apply. If a local/indigenous organization does not hold a DUNS registration number at the time of application, it can continue with the application process and if determined to be one of the responsive applicants, it can contact the mission for the appropriate form.

Care should be taken to establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. Information in this section should include (but is not limited to) the following:

- Brief description of organizational history/expertise;
- Pertinent work experience and representative accomplishments in developing and implementing programs of the type required under the proposed RFA;
- Relevant experience with proposed approaches;
- Institutional strength as represented by the breadth and depth of experienced personnel in projects in relevant disciplines/areas;
- Sub-recipient capabilities and expertise;

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

USAID will contact the named references and use the past performance data along with other information, to evaluate the applicants' quality of performance and responsibility.

III. COST APPLICATION FORMAT

III.1. Budget Preparation and Submission Instructions

The Cost/Business application must be completely separate from the Applicant's technical application. The application must be submitted using SF-424 and SF-424A "Application for Federal Assistance," which is available for download at USAID's website: http://www.usaid.gov/forms/sf424.pdf.

The Cost/Business application should be for a period of five years using the budget format shown in the SF-424A. Graphic/tables must be formatted in Microsoft Excel 2000-2003 versions. The budget format must not be locked.

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

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

a. The breakdown of all costs associated with the program.
b. The breakdown of all costs according to each partner organization involved in the

program.

c. The costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance.
d. The breakdown of any financial and in-kind contributions of all organizations involved in implementing this agreement.
e. Potential contributions of non-USAID or private commercial donors to this agreement.
f. Procurement plan for commodities (if applicable).

The cost application should contain the following budget categories:

a. Salary and Wages: Direct salaries and wages should be proposed in accordance with the Applicant's personnel policies.

b. Fringe Benefits: If the Applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

c. Travel and Transportation: The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per Diem should be based on the Applicant's normal travel policies.

d. Equipment: Estimated types of equipment (i.e., model #, cost per unit, quantity).

e. Supplies: Office supplies and other related supply items related to this activity.

f. Contractual: Any goods and services being procured through a contract mechanism.

g. Other Direct Costs: This includes communications, report preparation costs, passports, visas, medical exams and inoculations, insurance (other than insurance included in the Applicant's fringe benefits), equipment, office rent abroad, etc. The narrative should provide a breakdown and support for all other direct costs.

h. Indirect Costs: The Applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency, a Negotiated Indirect Cost Recovery Agreement (NICRA), or with sufficient information for USAID to determine the reasonableness of the rates. (e.g. a breakdown of labor bases and overhead pools, the method of determining the rate, etc.).

Please include information on the organization's financial status and management including:

a. Copies of the Applicant's financial reports for the previous 3-year period, which have been audited by a reputable certified public accounting firm.

b. NICRA if applicable (This competition is restricted to local and Regional organizations (see cover letter)). A NICRA from such an organization would be unusual. However, if your organization has a NICRA, please submit it.

c. Organizational chart.

d. Copies of Applicant certification to USAID about personnel, procurement and travel policies that are compliant with applicable OMB circular and other applicable USAID and Federal regulations shall be required only from the responsive applicants during the subsequent negotiations. And for applicants whose certification has not been made to USAID/Washington, the Applicant shall be required during the later negotiations to submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. They might be required to provide the name, address, and phone number of the Cognizant reviewing official.

e. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the Applicant should advise which Federal Office has a copy.

The application should include information that substantiates that the Applicant:

a) Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement.

b) Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.

c) 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.

d) Has a satisfactory record of integrity and business ethics.

e) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunity laws).

f. Completed copy of certifications and representations (Section F).

IV. COOPERATIVE AGREEMENT AWARD

1. The Government will award only one or more cooperative agreement resulting from this RFA to the responsible applicant(S) whose application conforming to this RFA offers the greatest value. The Government may (a) reject any or all applications, or (b) accept other than the lowest cost application.

2. The Government may award a cooperative agreement on the basis of initial applications received, without discussion. Therefore, each initial application should contain the applicant's

best terms from a cost and technical standpoint. As part of its evaluation process, however, USAID may elect to discuss technical, cost or other pre-award issues with one or more applicants. Alternatively, USAID may proceed with awardee selection based on its evaluation of initial applications received and/or commence negotiations solely with one applicant.

3. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding cooperative agreement without further action by either party. Before the application's specified expiration time, if any, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations or discussions conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

4. Applicants are reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

5. Foreign Government Delegations to International Conferences - Funds in this prospective agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS 303 Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences [http://www.info.usaid.gov/pubs/ads/300/refindx3.htm] or as approved by the Agreement Officer.

6. "USAID Disability Policy - Assistance (December 2004)

    a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://www.usaid.gov/about/disability/DISABPOL.FIN.html.

    b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities."

8. If recommended for award, the Applicant must submit a Branding Strategy and Marking Plan according to the guidelines in the Standard Provisions, Branding Strategy and Marking Plan

(Attachment I).

V. AUTHORITY TO OBLIGATE THE GOVERNMENT

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

SECTION D- EVALUATION CRITERIA AND SELECTION PROCESS

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria. The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below.

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

Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary, if award is made based on initial applications, negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered. Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

A. Technical Approach (45 points)

The application demonstrates a clear understanding of cost-effective and sustainable approaches that will achieve the program objectives as described in the Program Description. Strategies to increase access to HIV/AIDS prevention, care and treatment for PLHA, their immediate families and communities are clearly elaborated. In addition, the applicant should synthesize and apply the lessons learned from similar programs or projects. Approaches that engender the integration and sustainability of HIV/AIDS prevention, care and treatment services within the health and social structures of the religious and faith-based organizations will be highly considered.

The proposal presents a feasible approach to enhance linkages between and among the various HIV/AIDS services, including prevention, counseling and testing, palliative care and treatment programs.

Presentation of a comprehensive performance monitoring plan to effectively monitor and report on activities and results and;

A coherent exit strategy reflecting an increase in other resources and a plan to minimize reliance on USAID funding especially in the last two years of the program.

A.2 Personnel & Management Structure (20 points)

- The applicant presents an effective and cost-efficient management structure to achieve project goals, objectives and targets.
- The proposed key staff have the requisite skills, and experience to successfully manage and implement the program to achieve the intended results. The staffing structure includes the skills mix required to effectively manage the program.
- There is demonstrated commitment to using Ugandan and regional professionals and managers in key positions in the management and implementation of this program.

A.3 Past Experience (35 Points)

Applicants will be evaluated on the basis of the extent to which they can:

- Demonstrate extensive experience in implementing HIV/AIDS programs through religious and faith-based structures in East Africa.
- Show proven experience in working with inter-faith networks and coalitions in East Africa.
- Demonstrate experience in provision of technical assistance to evolving indigenous organizations.
- Facilitate <u>rapid</u> roll-out and ensure a smooth transition from currently supported activities to this new program.
- Demonstrate sustainable development/programming.

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

B. Cost Evaluation Criteria (will be reviewed separately)

Besides the technical criteria, the proposal will be assessed for cost realism and should therefore address the following:

<u>Cost Effectiveness and Realism</u>
The proposed costs are realistic, reasonable, complete, and allowable. The costs are realistic for the effort and consistent with the technical components of the application. Strategies that maximize cost-efficiency will be highly evaluated.

<u>Adequacy of budget detail and financial feasibility</u>
The proposed budget is sufficient to support the proposed activities and all proposed costs are adequately supported by notes highlighting the key assumptions used in their determination. USAID reserves the right to determine the resulting level of funding for the Co-operative Agreement

Technical versus Cost considerations: For this RFA, technical considerations are more important than cost.

C. Award

To the extent that they are necessary (if award is not made based on initial applications), discussions and negotiations will be conducted with all the applicants whose applications have a reasonable chance of being selected 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 for the cooperative agreement. The selection process may involve Oral presentations, which will be conducted in Kampala, with those applicants whose application, has a reasonable chance of being selected for award.

Award will then be made to responsible applicant whose application offers the greatest value, cost and other factors considered.

SECTION E – REQUIRED USAID CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT:

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

PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

educational institution); and

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

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

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

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

   a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm.

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

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

3. For purposes of this Certification-

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

b. "Terrorist act" means-

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

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

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

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

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

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

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

5. CERTIFICATION OF RECIPIENT

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

RFA/APS No. ______________________________

Application No. ______________________________

Date of Application ______________________________

Name of Recipient ______________________________

Typed Name and Title ______________________________

Signature ______________________________

Date _______________

6. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

(a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the Cooperative Agreement. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;

2. The recipient's policy of maintaining a drug-free workplace;

3. Any available drug counseling, rehabilitation, and employee assistance programs; and

4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the Cooperative Agreement be given a copy of the statement required by paragraph (b) (1) (A);

(D) Notifying the employee in the statement required by paragraph (b) (1) (A) that, as a condition of employment under the Cooperative Agreement, the employee will--

1. Abide by the terms of the statement; and

2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b) (1) (D) 1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b) (1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific Cooperative Agreement:

Place of Performance (Street address, city, county, state, zip code)

____

____

____

____

Alternate II

The recipient certifies that, as a condition of the Cooperative Agreement, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the Cooperative Agreement.

7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

(a) Instructions for Certification

1. By signing and submitting this application, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to which this application is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this application is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this application that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1) (B) of this certification;

(D) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.

8. CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

As a condition of entering into the referenced agreement, ________________________ hereby certifies that it has not provided and will not provide material support or resources to any individual or entity that it knows, or has reason to know, is an individual or entity that advocates, plans, sponsors, engages in, or has engaged in terrorist activity, including but not limited to the individuals and entities listed in the Annex to Executive Order 13224 and other such individuals and entities that may be later designated by the United States under any of the following authorities: § 219 of the Immigration and Nationality Act, as amended (8 U.S.C. § 1189), the International Emergency Economic Powers Act (50 U.S.C. § 1701 et seq.), the National Emergencies Act (50 U.S.C. § 1601 et seq.), or § 212(a)(3)(B) of the Immigration and Nationality Act, as amended by the USA Patriot Act of 2001, Pub. L. 107-56 (October 26, 2001) (8 U.S.C. §1182). ________________________ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

For purposes of this certification, "material support and resources" includes currency or other financial securities, financial services, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

For purposes of this certification, "engage in terrorist activity" shall have the same meaning as in section 212(a)(3)(B)(iv) of the Immigration and Nationality Act, as amended (8 U.S.C. § 1182(a)(3)(B) (iv)).

For purposes of this certification, "entity" means a partnership, association, corporation, or other organization, group, or subgroup.

This certification is an express term and condition of the agreement and any violation of it shall be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

Signature: ________________________________

Name: _________________________________

Date: _________________________________

Address: _________________________________

NOTICE:

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

9. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____________________________

Date: _____________________________

Name: _____________________________

Title/Position: _____________________________

Organization: _____________________________

Address: _____________________________

____

Date of Birth: _____________________________

NOTICE:

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

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

10. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

Signature: ______________________________________

Name: ______________________________________

Date: ______________________________________

Address: ______________________________________

____

Date of Birth: ______________________________________

NOTICE:

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

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

11. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS

(a) Instructions for Certification

1. By signing and submitting this application, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction

originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to whom this application is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," ineligible, "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "application," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. 1/ You may contact the person to which this application is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this application that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this application that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this application, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this application.

Solicitation No. ________________________________

Application/Proposal No. ________________________________

Date of Application/Proposal ________________________________

Name of Applicant/Subgrantee ________________________________

Typed Name and Title ________________________________

____

Signature ________________________________

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

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

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

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

RFA No. ________________________________

Application No. ________________________________

Date of Application ________________________________

Name of Applicant/Subgrantee ________________________________

Typed Name and Title ________________________________

Signature ________________________________

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: ________________________________

3. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

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

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

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

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

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

DUNS: ____

4. PROCUREMENT INFORMATION

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

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

$__________________________

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

TYPE/DESCRIPTION (Generic) QUANTITY ESTIMATED UNIT COST

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

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

ORIGIN

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

TYPE/DESCRIPTION QUANTITY ESTIMATED PROBABLE INTENDED USE
(Generic) UNIT COST SOURCE ORIGIN

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

TYPE/DESCRIPTION QUANTITY ESTIMATED PROBABLE SLUPPIER
NATIONALITY RATIONALE (Generic) UNIT COST (Non-US Only) for NON-US

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

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

5. PAST PERFORMANCE REFERENCES

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

6. TYPE OF ORGANIZATION

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

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

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

7. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

SECTION F – STANDARD PROVISIONS AND OTHER REQUIREMENTS

1. IMPLEMENTATION OF E.O. 13224 - EXECUTIVE ORDER ON TERRORIST FINANCING

The Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the legal responsibility of the contractor/recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/sub-awards issued under this contract/agreement.

2. REVISED REGULATIONS CONCERNING DEBARMENT AND SUSPENSION AND DRUG-FREE WORKPLACE APPLICABLE TO ASSISTANCE

A. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JANUARY 2004)

(1) The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:

(a) Are presently excluded or disqualified from covered transactions by any Federal department or agency;

(b) Have been convicted within the preceding three-years period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

(c) Are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b); and

(d) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

(2) The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (http://epls.arnet.gov). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

B. DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

(3) The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

C. DRUG-FREE WORKPLACE (JANUARY 2004)

(1) The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must:

> (a) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
>
> (b) Specify the actions the recipient will take against employees for violating that prohibition; and
>
> (c) Let each employee know that, as a condition of employment under any award, he or she
>
> > (1) Must abide by the terms of the statement, and
> >
> > (2) Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
> >
> > (3) The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about
> >
> > > (a) The dangers of drug abuse in the workplace;
> > >
> > > (b) Your policy of maintaining a drug-free workplace;
> > >
> > > (c) Any available drug counseling, rehabilitation and employee assistance programs; and
> > >
> > > (d) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
> >
> > (4) Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.

(5) The recipient agrees to immediately notify the Agreement Officer if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.

(6) Within 30 calendar days of learning about an employee's conviction, the recipient must either

(a) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or

(b) Require the employee to participate satisfactorily in drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.

(7) The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

3. SUPPORTING USAID'S DISABILITY POLICY IN CONTRACTS, GRANTS AND COOPERATIVE AGREEMENTS

USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004):

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:
http://www.usaid.gov/about/disability/DISABPOL.FIN.html.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

4. MARKING UNDER ASSISTANCE INSTRUMENTS

I BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) **Definitions**

Branding Strategy means a strategy that is submitted at the specific request of a

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

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

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

(b) **Submission.**

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

(c) **Submission Requirements**

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

(1) Positioning

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

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

If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors]*. Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

(2) Program Communications and Publicity

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

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

What communications or program materials will be used to explain or market the program to beneficiaries?
Guidelines: These include training materials, posters, pamphlets, Public Service Announcements, billboards, websites, and so forth.

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

II MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) **Submission Requirements**. The Marking Plan will include the following:

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) **Presumptive Exceptions.**

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

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

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

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

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

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness. In consultation with the Cognizant Technical Officer and other agency personnel as necessary, the Agreement Officer will approve or disapprove the requested Presumptive Exception. Approved exceptions will be made part of the approved Marking Plan, and will apply for the term of the award, unless provided otherwise.

(e) **Award Criteria**: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the award; with the applicant's cost data submissions; with the applicant's actual project, activity, or program performance plan; and with the regulatory requirements of 22 C.F.R. 226.91. The Agreement Officer will approve or disapprove any requested Presumptive Exceptions (see paragraph (d)) on the basis of adequacy and reasonableness. The Agreement Officer may obtain advice and recommendations from technical experts while performing the evaluation.

III MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

(b) Marking of Program Deliverables

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

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

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

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

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

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

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

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

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

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

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

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

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

(c) Implementation of marking requirements.

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 60 days after the effective date of this provision. The plan will include:

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

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

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

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

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

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

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

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

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

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

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

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

(d) Waivers.

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

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

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

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

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

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

5. ANTI-TRAFFICKING ACTIVITIES--LIMITATION ON USE OF FUNDS; RESTRICTION ON ORGANIZATIONS PROMOTING, SUPPORTING, OR ADVOCATING PROSTITUTION

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"ORGANIZATIONS ELIGIBLE FOR TIP ASSISTANCE (MAY 2007)

The U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. No funds made available under an agreement resulting from this Request for Application or Annual Program Statement for the purpose of monitoring or combating trafficking in persons may be used to promote, support or advocate the legalization or practice of prostitution. Nothing in the immediately preceding sentence shall be
construed to preclude assistance designed to combat trafficking in persons, including programs for prevention, protection of victims, and prosecution of traffickers, by ameliorating the suffering of, or health risks to, victims while they are being trafficked or after they are out of the situation that resulted from such victims being trafficked. U.S. and foreign organizations, Public International Organizations and collaboration agreement non-traditional partners, in each case, whether prime or sub-recipients, that
receive U.S. Government funds to carry out programs that target victims of severe forms of trafficking, which means sex trafficking in which a commercial sex act is induced by force, fraud, or coercion, or in which the person induced to perform such act has not attained 18 years of age, cannot promote, support or advocate the legalization or practice of prostitution. The preceding sentence shall not apply to such organizations or non-traditional partners that provide services to individuals solely after they are no
longer engaged in activities that resulted from such victims being trafficked.
In accordance with the information-sharing requirements in Section 105(f)(4) of the 2003 TVPRA and subject to the review procedures of the Senior Policy Operating Group (SPOG) -- an inter-agency coordinating body statutorily established by the 2003 TVPRA -- before USAID makes any award for anti-trafficking programs or activities or makes an award with a significant anti-trafficking component, USAID is required, to the extent permitted by law, share information on its proposed action with the other primary grant-making SPOG member agencies (Department of State, USAID, Department of
Justice, Department of Labor, Department of Health and Human Services, and Department of Homeland Security). Such information shared by the awarding SPOG member agency shall include (i) the name of the funding recipient (including subgrantees or sub-awardees); (ii) location of proposed project; (iii) proposed amount of the award; and (iv) a one or two sentence description of the project. SPOG member
agencies shall have the opportunity to comment on (but not clear) any proposed anti trafficking award of USAID's with respect to (1) whether the proposed action will duplicate anti-trafficking activities of other member agencies; (2) whether the proposed action presents opportunities for partnership with anti-trafficking activities of other member agencies; or (3) whether the proposed action or award to a funding recipient is consistent with U.S. Government policies on combating trafficking in persons. This review and comment process may take twenty-seven business days or longer.

6. HOMELAND SECURITY PRESIDENTIAL DIRECTIVE-12 (HSPD-12) (SEPTEMBER 2006)

In response to the general threat of unauthorized access to federal facilities and information systems, the President issued Homeland Security Presidential Directive-12. HSPD-12 requires all Federal agencies to use a common Personal Identity Verification (PIV) standard when identifying and issuing access rights to users of Federally-controlled facilities and/or Federal Information Systems. USAID is applying the requirements of HSPD-12 to applicable assistance awards. USAID will begin issuing HSPD-12 “smart card” IDs to applicable recipients (and recipient employees), using a phased approach. Effective October 27, 2006, USAID will begin issuing new “smart card” IDs to new recipients (and recipient employees) requiring routine access to USAID controlled facilities and/or access to USAID’s information systems. USAID will begin issuance of the new smart card IDs to existing recipients (and existing recipient employees) on October 27, 2007. (Exceptions would include those situations where an existing recipient (or recipient employee) loses or damages his/her existing ID and would need a replacement ID prior to Oct 27, 2007. In those situations, the existing recipient (or recipient employee) would need to follow the PIV processes described below, and be issued one of the new smart cards.)

Accordingly, before a recipient (including a recipient employee) may obtain a USAID ID (new or replacement) authorizing him/her routine access to USAID facilities, or logical access to USAID’s information systems, the individual must provide two forms of identity source documents in original form and a passport size photo. One identity source document must be a valid Federal or state government-issued picture ID. (Overseas foreign nationals must comply with the requirements of the Regional Security Office.) USAID/W recipients (and recipient employee) must contact the USAID Security Office to obtain the list of acceptable forms of documentation, and recipients working in overseas Missions must obtain the acceptable documentation list from the Regional Security Officer. Submission of these documents, and related background checks, are mandatory in order for the recipient (or employee) to receive a building access ID, and before access will be granted to any of USAID’s information systems. All recipients (or employees) must physically present these two source documents for identity proofing at their USAID/W or Mission Security Briefing. The recipient (or employee) must return any issued building access ID and remote authentication token to USAID custody upon termination of the individual’s employment with the recipient or completion of the award, whichever occurs first.

The recipient must comply with all applicable HSPD-12 and PIV procedures, as described above, as well as any subsequent USAID or government-wide HSPD-12 and PIV procedures/policies, including any subsequent applicable USAID General Notices, Office of Security Directives and/or Automated Directives System (ADS) policy directives and required procedures. This includes HSPD-12 procedures established in USAID/Washington and those procedures established by the overseas Regional Security Office. In the event of inconsistencies between this clause and later issued Agency or government-wide HSPD-12 guidance, the most recent issued guidance should take precedence, unless otherwise instructed by the Agreement Officer.

The recipient is required to include this clause in any subawards (including subcontracts) that require the subawardee or subawardee employee to have routine physical access to USAID space or logical access to USAID’s information systems.

7. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)

Requirements for Voluntary Sterilization Programs

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

Prohibition on Abortion-Related Activities

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

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

VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)

a. Voluntary Participation and Family Planning Methods:

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

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

b. Requirements for Voluntary Family Planning Projects

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

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

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

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

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

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

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

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

(9) The recipient shall notify USAID when it learns about an alleged violation in a project of the requirements of subparagraphs (3), (4), (5) or (7) of this paragraph; the recipient shall investigate and take appropriate corrective action, if necessary, when it learns about an alleged violation in a project of subparagraph (6) of this paragraph and shall notify USAID about violations in a project affecting a number of

people over a period of time that indicate there is a systemic problem in the project. The recipient shall provide USAID such additional information about violations as USAID may request.

c. Additional Requirements for Voluntary Sterilization Programs

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

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

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

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

d. Prohibition on Abortion-Related Activities:

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

(2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of,

abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

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

8. IMPLEMENTATION OF THE UNITED STATES LEADERSHIP AGAINST HIV/AIDS, TUBERCULOSIS AND MALARIA ACT OF 2003 – ELIGIBILITY LIMITATION ON THE USE OF FUNDS AND OPPOSITION TO PROSTITUTION AND SEX TRAFFICKING

ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)
An organization that is otherwise eligible to receive funds under this agreement to prevent, treat, or monitor HIV/AIDS shall not be required to endorse or utilize a multisectoral approach to combating HIV/AIDS, or to endorse, utilize, or participate in a prevention method or treatment program to which the organization has a religious or moral objection.

CONDOMS (ASSISTANCE) (JUNE 2005)
Information provided about the use of condoms as part of projects or activities that are funded under this agreement shall be medically accurate and shall include the public health benefits and failure rates of such use and shall be consistent with USAID's fact sheet entitled, "USAID: HIV/STI Prevention and Condoms. This fact sheet may be accessed at: http://www.usaid.gov/our_work/global_health/aids/TechAreas/prevention/condomfactsheet.html"

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

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

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

(c) The following definition applies for purposes of this provision: Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C.7102(9).

(d) The recipient shall insert this provision, which is a standard provision, in all sub agreements.

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

Version 7/03

APPLICATION FOR FEDERAL ASSISTANCE

	2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: Application: ☐ **Construction** ☑ **Non-Construction**; Pre-application: ☐ **Construction** ☐ **Non-Construction**	**3. DATE RECEIVED BY STATE**	State Application Identifier
	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier

5. APPLICANT INFORMATION

Legal Name:	**Organizational Unit**: Department:
Organizational DUNS:	Division:
Address: Street:	**Name and telephone number of person to be contacted on matters involving this application (give area code)** Prefix: / First Name:
City:	Middle Name
County:	Last Name
State: / Zip Code	Suffix:
Country:	Email:
6. EMPLOYER IDENTIFICATION NUMBER *(EIN):* ☐☐-☐☐☐☐☐☐☐	Phone Number (give area code) / Fax Number (give area code)
8. TYPE OF APPLICATION: ☐ **New** ☐ **Continuation** ☐ **Revision** If Revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) ☐ ☐ Other (specify)	**7. TYPE OF APPLICANT: (**See back of form for Application Types) Other (specify)
	9. NAME OF FEDERAL AGENCY:
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: ☐☐-☐☐☐ TITLE (Name of Program):	**11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:**
12. AREAS AFFECTED BY PROJECT *(Cities, Counties, States, etc.):*	
13. PROPOSED PROJECT Start Date: / Ending Date:	**14. CONGRESSIONAL DISTRICTS OF:** a. Applicant / b. Project

15. ESTIMATED FUNDING:	
a. Federal	$ .00
b. Applicant	$ .00
c. State	$ .00
d. Local	$ .00
e. Other	$ .00
f. Program Income	$ .00
g. TOTAL	$ .00

16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?

a. Yes. ☐ THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON

DATE:

b. No. ☐ PROGRAM IS NOT COVERED BY E. O. 12372

☐ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW

17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?

☐ Yes If "Yes" attach an explanation. ☐ No

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.

a. Authorized Representative

Prefix	First Name	Middle Name
Last Name		Suffix
b. Title		c. Telephone Number (give area code)
d. Signature of Authorized Representative		e. Date Signed

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Standard Form 424 (Rev.9-2003)
Prescribed by OMB Circular A-102

Reset Form

INSTRUCTIONS FOR THE SF-424

Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0043), Washington, DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

This is a standard form used by applicants as a required face sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

Item:	Entry:	Item:	Entry:
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).
3.	State use only (if applicable).	13	Enter the proposed start date and end date of the project.
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.
7.	Select the appropriate letter in the space provided. A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School District I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) O. Not for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
8.	Select the type from the following list: • "New" means a new assistance award. • "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. • "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration	18	To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)
9.	Name of Federal agency from which assistance is being requested with this application.		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.		

Survey on Ensuring Equal Opportunity for Applicants

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

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

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

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

Applicant's (Organization) Name: ______________________

Applicant's DUNS Number: ______________________

Grant Name: ______________________ **CFDA Number:** __________

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

   ☐ Yes ☐ No

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

   ☐ 3 or Fewer ☐ 15-50
   ☐ 4-5 ☐ 51-100
   ☐ 6-12 ☐ over 100

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

   ☐ Less than $150,000
   ☐ $150,000 - $299,999
   ☐ $300,000 - $499,999
   ☐ $500,000 - $999,999
   ☐ $1,000,000 - $4,999,999
   ☐ $5,000,000 or more

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

   ☐ Yes ☐ No

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

   ☐ Yes ☐ No

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

   ☐ Yes ☐ No

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

   ☐ Yes ☐ No

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

   ☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

Provide the applicant's (organization) name and DUNS number and the grant name and CFDA number.

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.

2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.

3. Annual budget means the amount of money our organization spends each year on all of its activities.

4. Self-identify.

5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.

6. An "intermediary" is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651.

If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, D.C. 20202-4725.