



USAID | RUSSIA

FROM THE AMERICAN PEOPLE

Issuance Date: August 11, 2010
Closing Date: September 29, 2010
Closing Time: 1700 hours local Moscow Time

Subject: Request for Applications No. USAID-Russia-OH-10-0007-RFA
"Tuberculosis Control Project"

The United States Government, as represented by the United States Agency for International Development (USAID) Mission in Russia, is seeking applications (proposals for assistance funding) from U.S. non-governmental and non-U.S. non-governmental organizations for implementation of the Tuberculosis Control Project in the Russian Federation. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

This activity will be implemented over the course of the next five years. Implementation should be scheduled to begin in early fiscal year 2011. USAID intends to award one (1) Cooperative Agreement providing approximately \$10.0-10.7 million in total USAID funding, subject to the availability of funds.

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

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

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

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

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

Annex A – Certifications, Assurances and Other Statements of the Recipient
Annex B – Optional Survey on Ensuring Equal Opportunity for Applicants

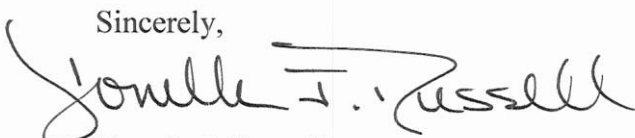
The federal grant process is now web-enabled. As of December 19, 2005, grant and cooperative agreement Request for Application (RFA) and Annual Program Statement (APS) announcements, modifications to the announcements, and the corresponding application packages must be posted via Grants.gov on the World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

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

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

Any questions or comments concerning this RFA should be submitted in writing to Donella J. Russell, Agreement Officer, **and** Galina Ponkratova, A&A Specialist, via internet at drussell@usaid.gov and gponkratova@usaid.gov no later than 1700 hours local Moscow Time, August 25, 2010.

Sincerely,



Donella J. Russell
Agreement Officer
USAID/Russia

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

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. Title

The United States Agency for International Development (USAID) is seeking applications for a grant to implement a program entitled "Tuberculosis Control".

B. Authorizing Legislation

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

C. Award Administration

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

D. Applicability of 22 CFR 226

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

APPLICABILITY OF 22 CFR PART 226 (May 2005)

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

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

E. Program Description Framework

PART A – BACKGROUND

A.1 Purpose of the project

The overall goal of this project is to contribute to the Russian Federation's (RF) efforts to reduce tuberculosis (TB)-related mortality, morbidity and transmission of infection and prevent the

development of drug resistance (DR). In particular, the project will be focused on establishing of outreach TB services which help to improve provision of directly observed therapy (DOT) and strengthen patient adherence to treatment. In order to make the developed service models sustainable, the project will help local governments use available TB resources more effectively and strategically. The project will contribute to the USAID/Russia Strategic Objective 3: Increased Use of Improved Health and Child Welfare Practices, Intermediate Result3: Improved Control of Major Infectious Diseases.

A.2 Context

TB remains one of Russia's major public health threats. Russia ranks thirteenth among 22 high TB burden countries worldwide. The estimated number of TB cases in Russia represents approximately 38% of all TB cases in the European region. Growing rates of multidrug resistant (MDR) TB pose a transnational threat to the region and globally. The MDR TB ratio is increasing, reaching 15.5% among new smear-positive cases in 2009; of those 6-10% are extensively drug resistant (XDR), placing Russia third among 27 priority MDR countries worldwide. TB is the largest killer among infectious diseases in Russia, accounting for about 83% of all deaths caused by infectious and parasitic diseases, with about 25,000 deaths per year. As a result, USAID, and other international donors and technical organizations, in collaboration with Russian counterparts, have identified TB control in Russia as a priority.

The TB control activities countrywide are overseen by the Ministry of Health and Social Development (MOHSD). The MOHSD is responsible for managing the federal portion of the TB budget, and developing policies and regulations for the implementation of TB control programs Russia wide. TB-related health activities are carried out by a specialized TB service. There is no national TB program (NTP) established in accordance with international standards. Technical oversight of local TB services in all 83 provinces of Russia is shared between five federal TB research institutes. TB research institutes, and more recently the Public Health Research Institute (CNIIOZ), provide monitoring, supervision, technical assistance and mentoring for health managers and practitioners from the provincial TB services.

Over the past decade, MOHSD and related health institutions have been supportive of internationally-recognized standards of TB diagnosis and treatment. Lead documents on TB control adopted by the Government of Russia (GOR) include Federal Law #77 "On prevention of TB spread in the Russian Federation" and the MOHSD's Executive Orders #109 (2003, TB diagnosis and treatment) and #50 (2004, recording and reporting). Russia supports the basic principles of international Stop TB Strategy, based on DOTS (directly observed therapy, short course), as a national approach to TB control and prevention. The High Level Working Group on TB in Russia (HLWG) was established jointly by the GOR, WHO (with USAID and other support) and European Commission in 1999 as a coordinating mechanism for national and international TB-related activities in Russia. A number of thematic working groups (TWG) were or are working under the umbrella of HLWG, developing technical recommendations and consensus of national and international experts on the actual TB-related topics. However, despite these positive elements of a national TB response, in practice TB control remains a challenge because key elements of the international Stop TB Strategy are inconsistently implemented.

The local TB control services are similar in every province. They report to the local governments and receive the bulk of funding from the local government budgets. They include the province TB dispensary as a leading institution and reference center for other TB control-related facilities, TB hospitals, rayon (district) or city TB dispensaries, sanatoria, TB wards at infectious disease hospitals, and TB units (rooms) at the central rayon hospitals. The province TB dispensary supervises health care

providers' activities in TB detection, provides TB diagnostics and treatment, develops local guidelines and recommendations on TB control, serves as a reference TB laboratory center, procures drugs and collects and analyses TB epidemiological data.

With the appearance of international TB control programs in the mid-nineties, outreach efforts encouraging patients to seek care or to continue treatment have been increasingly recognized as an important element of the TB program. Currently outreach and social support services are provided not in all provinces and by various institutions, either governmental or non-governmental. Although different models have been piloted such as work through rural TB professionals, social workers and local NGOs, with external funding or limited municipal support in some cases, this element is relatively underdeveloped.

In addition, Russia reached and exceeded WHO-recommended level of TB case detection rate (70% of all TB cases, in Russia – 73%) which demonstrates an appropriate level of TB detection at primary health care (PHC) and other health facilities.

Federal GOR funding for TB has increased dramatically in the past decade, up to over \$140 million a year and a five year commitment of over \$1 billion through 2011. However, the suboptimal use of these funds, in many aspects, remains a challenge. Currently TB control activities are supported by the regular federal health budget, a sub-program on Tuberculosis of the Federal Target Program for Control of Socially Important Diseases (TPCSID) for 2007-2011, National Priority project "Health", province (local) budgets, the Global Fund for AIDS, TB and Malaria (GFATM) Round 4 TB grant and Round 3 TB Grant for Tomsk oblast. Overall (including funding of TB control activities from local governments' budgets), Russia has one of the world highest level of annual TB funding per capita – about \$9.

In addition to the MOHSD, the Federal Service for Sentence Execution of the Ministry of Justice (MoJ) supports separate TB facilities in the prison system. The prison TB service is vertical, reports to and is funded by the MOJ, but follows guidelines and recommendations issued by the MOHSD.

A.3 Development Challenge

As mentioned, the Russian Federation is the only country in Europe listed among the WHO's 22 high burden countries. Russia reported 120,835 new TB cases (85.1 per 100,000) in 2008, compared to the 12,904 cases (4.2 per 100,000) reported in the USA in the same year. More than 1.2 million new TB cases were registered in Russia over the last decade; about 300,000 TB patients died.

Even more dangerous than the high rates of TB are Russia's high rates of MDR/XDR TB. Russia is listed 3rd among the 27 MDR TB priority countries (second only to China and India), with an estimated 43,000 cases of MDR TB in 2008 (but only about 7,000 MDR TB cases officially reported). MDR TB takes longer to treat (two years compared to six months for drug susceptible TB), costs thousands of dollars to cure, has a much lower expected cure rate and can have toxic treatment side effects, including psychosis and hearing loss.

In most countries, including Russia, more men are diagnosed with TB than woman (approximately 70% male and 30% female). While gender-related barriers in access to TB care do not exist in Russia, due to differences in lifestyles, men tend to have greater exposure to TB than women, particularly outside the home. Men are often less inclined to apply to the health care facilities since they are afraid to lose their official or less legal jobs and other sources of income, and ability to sustain their families.

Although the GOR has regulations in place to implement the internationally recommended TB control strategy based on DOTS principles nationwide and the GOR's TB budget has significantly increased, many challenges remain. Among them are:

- DOT is not well-established or implemented in many regions;
- The quality of TB laboratory performance is still suboptimal in many provinces;
- MOHSD recommendations on treatment are not properly implemented and, as a result, the nationwide treatment success rate is low;
- Default rate is high especially among released ex-prisoners;
- The implementation of infection control measures is poor;
- Irrational use of resources is one of the main obstacles to increasing effectiveness of TB service;
- Routine coordination between TB facilities and general health institutions is irregular, which leads to uninsured continuity of therapy and low adherence to treatment;
- The officially approved national guidelines on MDR and XDR TB management do not exist;
- Community involvement in TB control activities and public awareness on TB is poor;
- No systemic approach has been developed and employed for provision of outreach and social support services to TB patients countrywide.

Russia has adopted DOTS-based TB programs, yet implementation remains weak. Russia employs a vertical, highly-specialized TB service that due to a cumbersome infrastructure makes effective resource management a challenge. The system of financing of TB service encourages hospitalization of patients since facilities receive funding based on the number of beds that are filled with patients (inputs) rather than treatment results (outcomes). Such practices may contribute to an ineffective use of resources, both financial and human. The Russia system could reduce costs and target vulnerable populations more effectively by screening high-risk groups rather than the wider population. International programs demonstrate greater effectiveness with more limited screening. Despite the high TB spending, cure rates fall short of international targets: Russia reported cure rates of 58% in 2008, significantly below the WHO target of 85%. Reasons for low cure rates include low patient adherence to TB treatment, late admission to the health facilities and high treatment failure rates due to drug resistance. TB services are not yet customer-oriented and only a few regions have initiated incentive packages to encourage patients from vulnerable populations to seek care and treatment.

The challenge facing TB control in Russia is to institutionalize sustainable change that the Russian system can adopt and continue in the long term. External support can contribute to this process. It is important that all projects and activities are carefully vetted with appropriate Russian counterparts to endorse any recommended change. Ultimately, Russia does and will have the technical and financial capacity to efficiently detect and cure TB in accordance with international standards, yet for the recent future, For the near future, USAID support can help channel these skills and resources effectively.

PART B – USAID TB PROGRAM OVERVIEW

USAID Russia has supported the strengthening of internationally-recognized TB control interventions in the Russian Federation since 1998. USAID's activities have focused on adapting, introducing and strengthening DOTS and DOTS Plus program in Russia. USAID supported policy dialogue in the early years, working with the World Bank TB project (1999, 2003-2008) and the HLWG and other TB coordinating mechanisms, establishing pilot sites in four regions recommended by the MOHSD and those that were interested in implementing internationally recognized TB programs, including the Federal TB Research Institutes and the prison system to reduce TB prevalence in prisons. Over time, USAID's program expanded to include greater emphasis on some level of trainings for TB health

professionals and a more targeted effort to enhance MDR TB programs in Russia. USAID's activities have been primarily implemented by the WHO, the International Federation of the Red Cross and Red Crescent Societies (IFRC), and the Centers of Disease Control and Prevention (CDC). Currently, the Mission supports TB control efforts in 10 territories and contributes to the Federal dialogue with the MOHSD, international agencies and the TB Federal Research Institutes. A brief description is below:

WHO works at the Federal level and covers programs in Vladimir, Orel, and Chuvashiya;

IFRC works in Khakasia, Pskov, Belgorod, Adygea, Jewish Autonomous Oblast, Khabarovsk and Buryatia. IFRC will enroll 4 additional sites in 2010.

CDC supplements the WHO's work in the three regions noted above focusing on laboratory strengthening, infection control and MDR TB-related operational research.

In addition, a number of other partners provide focused assistance in specific areas of TB control. The American International Health Alliance (AIHA) is working on the development of training curricula on TB/HIV for medical academies training foreign students and strengthening Russia's role as an international partner, the Netherland Tuberculosis Foundation (KNCV) provides technical support to IFRC on infection control in TB, U.S. Pharmacopeia (USP) is working with the GOR (Roszdravnadzor) on TB drug quality assurance and control, including drug manufacturing in accordance with international principles of Good Manufacturing Practice (GMP), and University Research Corporation (URC) is working on TB/HIV co-infection.

The USAID's current TB control program focuses on four main areas:

- 1) TB control program capacity strengthening, including health professional training, institutionalization of enhanced monitoring visits and follow up, TB control management in accordance with international standards, and rational use and quality assurance of drugs;
- 2) Prevention and management of MDR and XDR TB, including infection control and laboratory diagnosis;
- 3) Improved management of TB/HIV co-infection;
- 4) Strengthening of social support and outreach in the community, with an emphasis on prevention and adherence to treatment.

USAID complements the GOR's and other partners' efforts. Key accomplishments of USAID/Russia's TB assistance to date include the following:

- Policy dialogue and leadership contributing to the adoption of the initial MOHSD executive orders to manage TB control in accordance with international standards (DOTS Strategy);
- One of the very first DOTS Plus programs in Russia was launched with USAID support with special permission of the MOHSD. Currently all USAID-supported sites are approved by the international Green Light Committee for treatment of more than 2,300 MDR TB patients;
- TB treatment success rates in eight USAID-supported regions exceed the national average of 58%;
- More than 25,000 TB patients in the USAID-supported regions successfully completed TB

treatment;

- Approximately 800 -1,000 TB health professionals are trained per year on TB and MDR TB issues;
- DOTS implementation in the prison system, including training and monitoring lead to reduction of TB mortality rates from 238 deaths per 100 000 of prison population in 1999 to 81 deaths in 2007;
- USAID improved laboratory quality control, which is now approaching U.S. Centers for Disease Control and Prevention (CDC) standards in three model regions;
- TB patient default rates have been reduced in USAID-targeted regions with support of integrated social support and outreach programs;
- Establishment of Centers of Excellence (CoE) in Orel (for TB and MDR TB management) and Vladimir (for infection control in TB) that serve as resource centers and training sites to improve MDR TB treatment and infection control practices; and
- Work in third countries, contributing to the training and management of TB and HIV laboratory facilities in Africa.

An independent evaluation of USAID-supported TB control activities done in October 2009 concluded that there is a need to expand the population covered by further implementation of current USAID TB program activities and piloting some new approaches to TB control. Among key areas of work proposed was the development of a patient-centered model in TB to ensure patients' adherence to treatment. Absence of properly managed directly observed therapy in many regions of Russia was also repeatedly emphasized by MOHSD's officials as one of the key problems of TB control.

With the growing number of DR TB cases and a perspective of purchasing second line drugs (SLDs) at the local level, it's critically important to ensure rational use of available resources countrywide in order to get more funds for procurement of SLDs and treatment-related services. However, the changing legislative environment limits the number of potential options to make the use of resources more effective and efficient. Some provinces have positive examples of more effectively re-aligning the use of resources for TB control; their experience needs to be analyzed and disseminated.

PART C - NEW TB CONTROL PROJECT

This new USAID Russia project has two primary elements and will contribute to the GOR's TB Control efforts to strengthen local programs in the provision of TB treatment and care. The project is intended to address one of the gap areas identified by the USAID assessment which indicated the potential for greater care and support through outreach efforts and social support within the community. This patient-centered approach is anticipated to enhance early detection and patient compliance to treatment, thereby improving treatment outcomes. The project is intended to facilitate best practices and innovative models of outreach work which is often supported through TB dispensaries in collaboration with local NGOs and/or other organizations promoting social support and outreach. The focus of USG support is to facilitate and enable the development of a set of approaches and methods to improve community involvement in TB care and ensure the proper management of directly observed therapy, especially among socially vulnerable groups. Another point to be addressed by this project is the development of new tools for the rational use of available resources under the current legislation and regulations. USAID envisions that with the support of the new project, a level of cooperation between NGOs and the TB service will be increased, effective methods of DOT management developed, reviewed, and prepared for replication.

USAID/Russia's intention is to develop a "critical mass" of Russian provinces which are using international standards in TB control, thus achieving the broad expansion of the Stop TB Strategy based on DOTS principles countrywide and developing a new concept and vision of TB control among health professionals, NGOs and the general public.

USAID/Russia's new project will consist of two inter-related components focused on more effective community-based health services and management of TB treatment under direct observation at community level. Both components are envisioned to contribute to reduced utilization of costly inpatient care and the promotion of sustainable, rational use of resources. The two components of the Project are as follows:

1. The expansion of TB-related outreach and social support programs through a small grants program supporting NGOs and/or other groups or organizations working on innovative outreach, case management and social support programs to improve care seeking behaviors and adherence to treatment in up to 7 provinces of Russia; and
2. The development of tools for and models of more effective use of resources in 2 provinces of Russia.

The first component supports the promotion of TB-related outreach and **social support models** that will enhance TB case detection, diagnosis and care. In Russia, there are a growing number of model programs that have demonstrated success working with local TB services, social workers and NGOs that follow up with patients to improve treatment adherence and cure rates. However, this patient-centered approach is relatively new and not yet standardized. There is an opportunity to strengthen and expand such programs and promote improved case management and follow up of TB patients. Such models may include efforts to promote timely detection or once detected, ensure patients have taken their medication in an outpatient setting (directly observed therapy, DOT) and locate and retain on treatment those patients who may interrupt their therapy.

The Applicant should have the demonstrated capacity to identify, implement and promote an effective TB-related outreach model. The Applicant's capacity is required to develop a small grants program to facilitate and strengthen the involvement of the community in TB control efforts in target regions. The Applicant must be able to facilitate the development of an NGO network that closely links and contributes to the local health system in order to improve TB control efforts in Russia.

The Project sites should be selected in accordance with the criteria to be approved by USAID. It is envisioned that at least half of the Project sites will be situated east from Ural Mountains, in the Ural, Siberian or Far East Federal Districts. It is expected that the proposed regions would not have been involved in other internationally-supported TB control programs (including those supported by USAID, except the GFATM Round 4 TB control project which covers much of the country).

The Applicant should describe how the small grants program would be established, including information on how they intend to solicit participation. Proposed criteria for evaluation and selection of small grants include: local government TB, HIV and social services commitment; the presence of NGOs; geographic priority and others. Given the limited number of NGOs currently working in the TB control, this grant program is also expected to include capacity building, technical training, coordination and reporting, and the proposed monitoring plans for the small grants. The small grants component may provide grants of up to \$200,000 each annually. The grants are envisioned to support the work of appropriate organizations such as NGOs or other organizations to implement innovative community outreach mobilization programs in up to 7 Russian provinces.

The second component of the project, **resource management** models, is intended to support efforts to more effectively manage and use available TB resources. It is envisioned that the Applicant would propose steps in the process such as undertaking an assessment, inventory, and consultations with regional and federal TB and other relevant partners to design an innovative approach to TB resource management in a target regions, to the extent permitted by current legislation. The Applicant may explore different components of the TB system, including the outreach efforts and should demonstrate how the proposed approach would contribute to improved use of human and financial resources, yet continuing high quality TB services. The small grant program may be used to support this component as well.

The Applicant should propose how they will design the project and propose appropriate local partners and institutions as needed to develop a model and toolkit for assessing and introducing resources management tools and procedures. Once developed and field-tested the toolkit may be used and replicated for broader dissemination and sharing of lessons learned. This process may include the establishment of an expert panel (technical review panel, TRP) of key stakeholders from the federal and regional level, foundations, institutions, associations and international partners such as WHO and others working on TB control in Russia. In cooperation with selected Russian partners, the Applicant will develop a “road-map” of the project implementation, including all required agreements and approvals from the Russian side.

USAID envisions that the developed models of effective use of resources will be introduced into practice in 2 regions which meet the defined criteria, including those that may be introducing and/or using innovative patient centered treatment support programs as described in component one of the project.

USAID envisions that the Applicant will coordinate their activities with other stakeholders and respective thematic working groups under the High Level Working Group (HLWG) and other USAID-funded activities. Applicant may propose links to private sector as appropriate.

Through this new TB control project, USAID aims to achieve the following:

Result 1: Innovative system of outreach and social support for TB patients established and promoted in target provinces of Russia.

Building on successful MOHSD and international partners’ initiatives for social outreach in the past and exploring innovative new approaches, the Applicant will set up and launch a small grants program to promote TB outreach efforts, case management and social services. These grants of up to \$200,000 annually to not more than 10 NGOs or other organizations will serve to engage a greater number of NGOs and community-based groups in respective services. These groups may include those that already work on related issues for vulnerable populations such as those promoting a multi-disciplinary approach to care and support. As more than 50% of active TB cases are among vulnerable groups of population, many of them also have high risk factors (such as alcoholism and smoking addiction) and unhealthy life styles, interventions for alcohol abuse prevention and smoking cessation specifically among TB patients may also be considered, as appropriate. Alcoholics tend to be the most challenging TB patients and at greater risk of treatment default. Helping alcoholic TB patients to break the addiction will improve treatment adherence and overall health outcomes.

A cohort of patients served under this Project should not be less than 2,500 annually. The TB default rate in the project sites should be significantly lower after the 1st year of implementation of the project, reaching the WHO–recommended level of not more than 5% by the end of the project.

The Applicant should develop and propose criteria for selection of the Project sites and small grant applications. The Applicant should propose their plans to promote, measure and gain endorsement of a sustainable approach for model outreach efforts. The project should ensure proper coverage of patients with drug-resistance tuberculosis that need longer treatment and incurable cases requiring home-based and institutional palliative care.

Illustrative Interventions and Results:

- Launch small grants program for local NGOs and other organizations;
- Conduct trainings for NGO and community volunteers working on social support and outreach programs;
- Develop local network linking TB dispensaries and NGOs and other community support organization;
- Establish a system for monitoring and assessing the impact of the small grants;
- Develop a toolkit with lessons learned and best practices for replication.

Result 2: Innovative system of TB resource management established and functioning in two target provinces of Russia.

The Applicant will identify 2-3 basic components of the health care delivery and financing mechanism in TB control where more effective use of resources is possible. The Applicant should take into consideration recent changes in Russian legislation may make re-allocation of resources between budget line items more difficult. The developed tools/models should be fully endorsed and supported by the local governments. It is anticipated that the Applicant and/or their partners will facilitate approvals of local regulations and other documents to support the programs.

The Applicant should propose how it envisions to demonstrate the cost-effectiveness of the proposed models by reducing financially ineffective components of TB service (e.g. reduced utilization of inpatient care) and patient costs (e.g. lost income as a result of prolonged hospitalization, transport and other cost).

Illustrative Interventions for this Result:

- Selection and introduction of an effective resources management approach for the TB program in two regions;
- Develop a Toolkit of manuals and materials to be used at the regional TB dispensary level to promote, monitor and facilitate efficient use of available resources;
- Number of small grants provided and amount of each grant;
- Number of meetings of the experts' groups.

Result 3: Best practices and lessons learned disseminated Russia-wide.

The Applicant will arrange a number of conferences and workshops for discussion and dissemination of the project experience and developed tools in cooperation with Russian and international partners and counterparts, including a number of presentations at HLWG meetings. The intermediate and final results should be discussed at a meeting of the relevant TWG. The Applicant should make every effort to ensure the development of HLWG recommendations based on accomplishments of the subject project. The Applicant is expected to publish project findings and disseminate them country-wide using existing networks, associations or other channels as appropriate.

Illustrative, project-specific indicators:

- Number of NGOs working on outreach and social support models increased in target regions
- Model outreach and social support programs reviewed, endorsed and ready for replication
- Number of NGOs and community outreach workers trained in TB-related support methods
- Treatment default rates reduced in targeted regions
- Number and proportion of TB patients and member of their households receiving multi-disciplinary support (TB and drug-resistant TB);
- A resource management “methodological toolkit” or/and recommendations for rational planning, financing and implementing TB control activities developed, approved and disseminated Russia-wide;
- Number of provinces where elements of the developed resource management models are introduced into practice;
- Reduced inpatient care utilization, reduced costs per patient
- Number of people trained in practical implementation of new resource management methods.

By the end of this project USAID expects that outputs such as those listed below will be produced:

- A toolkit for more effective and efficient use of TB resources is developed, respective recommendations approved, issued and disseminated countrywide;
- Demonstration sites on rational use of resources and innovative methods of DOT provision are developed in up to 7 provinces;
- Innovative and sustainable approaches to provision of DOT and related services to TB patients are developed and implemented Russia-wide;
- More than 4,000 TB service managers, employees and representatives of NGOs are trained in practical implementation of the developed mechanisms.

Applications should include detailed plans describing how these and other such outputs will be achieved.

The interventions listed below demonstrate the feasibility of the planned outcomes, but are meant to be illustrative only.

- Launch new small grants programs to engage additional NGO partners to improve TB treatment;
- Conduct trainings for NGO and community volunteers working on social support and outreach programs;
- Develop appropriate information and education materials for different audiences: stakeholders, community, family and patients.
- Develop model application for resource management in 1-2 regions for improved planning, financing and implementing TB control activities,
- Convene consultative meetings with key stakeholders and experts at the Federal and regional levels on innovative policies;
- Contribute technical expertise and advice to the HLWG and respective thematic working groups relating to both outreach programs and resource management;
- Facilitate plans to implement new or updated policies at national and regional levels;
- Advocate with senior decision makers on new policies and guidelines;

Required elements.

None of illustrative indicators, outputs, or interventions listed in the previous foregoing sections should be considered exhaustive, but certain elements and/or approaches are considered essential by USAID in order for a program to be successful. They include the following:

- **A small grants program** required for effective implementation of the project;
- **Integration of the most at risk of treatment interruption groups of population**, e.g. unemployed, ex-prisoners, homeless, TB patients living in remote rural areas and others;
- **Geographic location and stakeholder buy-in.** As stated above, at least half of the project sites should be situated east from Ural Mountains, in the Ural, Siberian and/or Far East Federal Districts. Project activities should take place only in areas where there is “buy-in” from government authorities, in order to avoid costly mistakes and a lack of sustained services in the longer-term. Applications will need to include explanations of how the implementing partner will engage and ensure that authorities in planned implementation regions will support/contribute to the project’s activities;
- **Plans for capacity building.** Technical assistance and/or small grants to strengthen the capacities of other related organizations such as TB institutions, NGOs, professional associations, to help disseminate the toolkit and advocate on TB-related issues;
- **Collaboration and demonstration of close and effective coordination** with key stakeholders, particularly in developing regional programs of TB control, and TB control coordinating bodies. This project will require close collaboration with key stakeholders such as WHO and International Federation of Red Cross and Red Crescent Societies/Russian Red Cross. Applicants should be prepared to undertake frequent communication, information sharing, and cooperation with key stakeholders throughout the life of the project.
- **A strategy** for dissemination and application of the toolkit, best practices and lessons learned;
- **Sustainability:** It is expected that the eventual implementing partner(s) will promote long-term impact and the continuation of successful interventions by forging links with local, regional, and national governments, as well as Russian NGOs working in TB control. The role of the GOR must be clearly defined to ensure sustainability and a smooth transition to local ownership.

SECTION II – AWARD INFORMATION

A. Estimate of Funds Available

Subject to the availability of funds and approval of USAID/Russia's annual Operational Plan, USAID intends to provide approximately \$10.0-10.7 million in total USAID funding for the life of the activity (five years).

B. Type and Number of Awards

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

Note: The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application, (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received. USAID reserves the right to fund any or none of the applications submitted.

C. Start Date and Period of Performance

USAID anticipates making an award in early fiscal year 2011. The period of performance anticipated herein is five (5) years.

D. Substantial Involvement

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

1. Approval of the recipient's implementation and award monitoring plans;
2. Approval of the proposed program sites and regions;
3. Approval of key personnel, in writing, by the USAID AOTR.
4. Concurrence, in writing by the USAID AOTR, on selection criteria for project sites and sub-awards.
5. Concurrence, in writing by the USAID AOTR, on all proposed sub-awards.
6. Collaborative involvement on the establishment and operations of a technical review panel, to include USAID Russia participation, to review applications, best practices, policies and approaches.
7. Concurrence on any private sector partnerships, if any, where project funds are used as leverage.
8. Monitoring to permit specified kinds of direction or redirection because of interrelationships with other projects, for example, to avoid duplication with other donor or GOR projects.

SECTION III – ELIGIBILITY INFORMATION

A. Eligible Applicants

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

B. Local Registration

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

C. Cost Sharing or Matching

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

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

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

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A. Application Package

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

Potential applicants may also request a copy of the RFA application package by sending a fax to USAID/Russia, Attn. Contracting Office, at (7-495-960-2141 or 2142), referring to USAID-Russia-OH-10-0007-RFA “Tuberculosis Control”.

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

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

B. Point of Contact

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

C. Questions

Any questions concerning this RFA must be submitted in writing to Donella J. Russell, via internet at drussell@usaid.gov **and** to Galina Ponkratova at gponkratova@usaid.gov or via facsimile at (7-495) 960-2140 by 1700 hours local Moscow time on August 25, 2010. Oral explanations or instructions given before award will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

D. Submission of Applications

Applications must be submitted no later than 1700 hours local Moscow time on September 29, 2010. Late applications will be accepted and reviewed at the discretion of the Agreement Officer.

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

- 1. Submission through www.grants.gov:** Applicants are encouraged to up-load applications to www.grants.gov. Please go to <http://www.grants.gov> for application instructions. For Grants.gov technical support, call 1-800-518-4726. Applications will be considered received by USAID/Russia on the date and time when the application has been submitted to Grants.gov for validation. Grants.gov will certify and electronically stamp applications upon receipt.
- 2. By Email Submission:** Applicants e-mailing submissions shall forward them to the following e-mail address: Russia-Applications@usaid.gov with the e-mail SUBJECT line to read: "Application for Tuberculosis Control Project." Applicants submitting electronic applications are responsible for ensuring that complete applications are received by the deadline. The time of receipt for electronic submissions will be based on the automatic electronic delivery time stamp from the usaid.gov e-mail server. USAID servers will automatically reject e-mails with zip files. Applicants submitting zipped files do so at the risk that their application will not be received. Acceptable file formats are Word, Adobe Acrobat and Excel. The maximum file size that the USAID/Russia system will accept as an attached file is 5MB.
- 3. Hard Copy Submissions:** Applications shall be submitted in two separate sealed envelopes: (a) technical portions of applications in an original and two copies and (b) cost portions of applications in an original and one copy. Hard copy submissions must in MS Word and/or Excel on letter or on A4 paper and single-spaced, using 10 or 12 font. The applicant must also include a copy of the technical and cost proposals on one CD which should be included with the hard copy submission. Applications and modifications thereto shall be submitted in envelopes with the name and address of the applicant and RFA # (referenced above) inscribed thereon. Applicants should submit the hard copy application package as follows:

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

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

E. Application Preparation Guidelines

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

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

Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an

indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

1. Technical Application Format

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

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

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

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

Technical applications shall include:

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

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

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

a. Technical Approach (15 pages or less)

i. The Program Approach must include a clear description of the conceptual approach and the general strategy (i.e. methodology and techniques) being proposed and must reflect a thorough understanding of TB Control issues in Russia; a description of the target population, potential Centers of Excellence and regions for dissemination; identify mechanisms to ensure ongoing coordination with other donors, implementing agencies, and related projects; outline specific, focused activities; describe the strategy for collaborating and getting buy-in from Russian organizations; include a well-articulated strategy for dissemination and long-term impact; explain how the approach is expected to achieve the proposed objectives; and describe a plan that will enable the activities to continue after the grant is completed. Applicants must specify annual and end-of-program results in the design of the program that directly contribute to the lower level and intermediate results identified in the Program Description Framework. Applicants are encouraged to propose innovative programs designed to reach the desired outcomes/results.

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

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

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

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

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

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

As part of the program approach, each applicant is required to submit an illustrative Award Monitoring Plan (AMP) which will propose specific impact indicators, including data disaggregation, and a data collection plan.

However, within 60 days of the effective date of the award, the successful applicant will be required to submit a revised/updated plan, which will be approved by the USAID Agreement Officer's Technical Representative (AOTR).

Baseline data will be collected, and impact indicators selected, by the successful applicant(s) in collaboration with the Agreement Officer's Technical Representative (AOTR) within a maximum of 90 days from the effective date of the grant. The grantee(s) is responsible for annual reporting vis-à-vis the agreed-upon targets.

Performance indicators should measure the results for each project component and establish baseline measurements and targets to assess the impact of proposed interventions. The AMP should demonstrate how this system will: help clarify and focus project objectives; serve as an early warning system, forecasting, and reporting tool; promote on-going discussions pertaining to project scope and direction; and aid in effective decision making. The AMP shall also include an explanation of how data and information will be collected, analyzed, and used. Since performance management is, by definition, a dynamic process, the AMP review process should be clearly articulated.

In the AMP, the Applicant must include annual and end-of-program impact targets and indicators to measure the progress of its proposed activities and the achievement of results. The plan must also describe the monitoring system that will enable the applicant to regularly collect data on activity level inputs, output and processes to achieve impact indicators. To assure data quality an applicant will assign a staff member to coordinate and manage the project work on AMP data collection, analysis, M&E reports submission and related files arrangement.

There are two types of indicators that will be used to measure performance under this award: 1) impact indicators to measure the annual and end-of-project results which are to be developed by the Applicant, and 2) USAID standard indicators which must be reported annually. Depending on the nature of the Applicant's technical approach, one or more of the following USAID standard indicators must be included in the AMP:

- Number of people trained in TB sub-elements with USG funding;
- Treatment success rate in USG-assisted DOTS Plus programs to treat MDR TB patients;
- Number of improvements to laws, policies, regulations or guidelines related to improve access to and use of health services drafted with USG support.

The Applicant's indicators should measure the strengthened capacity of TB services, NGOs and other institutions involved in TB control.

At the end of the third year of the project, USAID will arrange for an independent project evaluation to determine what the project has accomplished vis-à-vis the expected results, the lessons learned, and recommendations for future interventions or modifications to the work plan for the remainder of the project.

Note: It is the Applicant's responsibility to ensure that all costs associated with the implementation of the AMP are reflected in the budget accompanying their technical application.

d. Project Team (3 pages or less)

The applicant must specify the staff required for each component or activity, demonstrate their technical expertise and provide the estimated amount of time that each staff person would devote to the project. The Chief of Party must have a proven track record working on similar programs, with a preference for individuals who have worked in Russia or the former Soviet Union. The Chief of Party should preferably also be able to use both Russian and English languages in professional settings. Applicants must propose which positions should be Key Personnel (no more than five positions or five

percent of recipient employees employed under the award, whichever is greater). In an annex to the technical application, applicants should provide resumes for the candidates proposed for all key personnel and long-term positions. The resumes should demonstrate that the proposed key personnel and long-term staff possess the skills and knowledge to effectively carry out their proposed responsibilities. Applicants must also demonstrate how they plan to build in-country capacity to provide project leadership, technical guidance and overall management over the life of the project.

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

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

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

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

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

Annexes:

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

Past Performance References: Describe all contracts, grants and cooperative agreements which the organization (both the primary Applicant as well as any partners substantially involved in implementation) has implemented involving similar or related programs over the past three years. Please include the following: name and address of the organization for which the work was performed; current telephone number and e-mail address of a responsible representative of the organization for which the work was performed; contract/grant name and number (if any); annual amount received for

each of the last three years; beginning and ending dates; and a brief description of the project/assistance activity. Past performance information should not exceed 3 pages.

USAID may contact references (for both the applicant and for personnel proposed) and use the past performance data regarding the organization, along with other information to determine the applicant's responsibility. The Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources inside or outside the Government.

2. Cost Application Format

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

The Cost Application shall consist of the following:

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

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

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

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

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

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

- SF 424B Assurances – Nonconstruction Programs

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

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

Mandatory Certifications and Assurances

Applicants must submit the following mandatory certifications:

- PART I – Certifications and Assurances
 - Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs
 - Certification Regarding Lobbying
 - Certification Covering Terrorist Financing
- PART II – Other Statements of Recipient

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

Acknowledgement of Any Amendments to the RFA

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

Budget

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

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

Budget Narrative

To support the costs proposed, please provide detailed budget narrative for all costs that clearly identifies the basis of all costs, such as market surveys, price quotations, current salaries, historical

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

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

ii) Fringe Benefits - If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should include a detailed breakdown comprised of all items of fringe benefits and the costs of each, expressed in dollars and as a percentage of salaries.

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

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

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

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

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

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

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

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

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

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

Current Negotiated Indirect Cost Rate Agreement (NICRA)

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

Other Documentation

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

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

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

- (a) Audited financial statements for the past three years;
- (b) Organization chart, by-laws, constitution, and articles of incorporation, if applicable;
- (c) Copies of the applicant's accounting, personnel, travel and procurement policies. Please indicate whether any of these policies have been reviewed and approved by any agency of the U.S. government. If so, provide the name, address, email and phone number of the cognizant reviewing official. **Similar information should be submitted for all partner organizations.**

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

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

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

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

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

F. Disclosure of Data

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

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

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

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

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

SECTION V – APPLICATION REVIEW INFORMATION

A. Basis for Award

Award will be made to the responsible applicant whose program is considered to best meet the development challenge outlined in the RFA. The final award decision is made by the Grant Officer, taking into account the Technical Evaluation Committee recommendations, cost evaluation (including cost share, if recommended) and the applicant's proposed Branding Strategy and Marking Plan.

B. Technical Evaluation

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

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

1. Technical Approach (50 Points)

- Extent to which the proposed program approach is clear, technically sound, directly addresses the objectives identified in this RFA, incorporates all of the required program elements and proposes ambitious yet achievable results with appropriate indicators.
- Extent to which the application sets forth sound strategies for coordination with GOR at the federal and regional level and other key stakeholders;
- A sound gender analysis and proposed approach for gender issues.

2. Organizational Capacity (25 Points)

- Demonstrated capacity to implement large multi-faceted programs and experience in effective implementation of TB control programs, preferably in Russia and NIS countries.
- Detailed, project-specific management plan with a clear division of duties and responsibilities, detailing the staffing, financial and technical resources that will be employed to implement the approach, including team members, if any.

3. Project Personnel (15 Points)

- Extent to which the program draws on local expertise;
- Extent to which the technical qualifications, knowledge and abilities (including Russian and English language skills) of proposed key personnel and long-term staff are appropriate to their proposed roles and are suited to the successful implementation of the technical approach;
- Demonstrated past performance of the key personnel in successful project implementation and interaction with a broad range of stakeholders, including regional and federal government authorities.

4. Past Performance (10 Points)

- Past performance in implementing TB control and/or social service activities, preferably in Russia and/or NIS and Eastern Europe.

C. Cost Evaluation

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

D. Review and Selection Process

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened. To the extent that they are necessary, negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. The Grant Officer will then select an Apparently Successful Applicant. The Apparently Successful Applicant means the applicant recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Grant Officer. The Grant Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

The Apparently Successful Applicant, upon the request of the Grant Officer, will submit and negotiate a Marking Plan that addresses the details of the public communications, commodities, program materials that will visibly bear the USAID Identity. The marking plan will be customized for the particular program, project, or activity under the resultant grant or cooperative agreement. The plan will be included in and made a part of the resulting grant or cooperative agreement. USAID and the Apparently Successful Applicant will negotiate the Marking Plan within the time specified by the Grant Officer. **Failure to submit and negotiate a Marking Plan will make the applicant ineligible for award of a grant or cooperative agreement.** The applicant must include an estimate of all costs associated with branding and marking USAID programs, such as plaques, labels, banners, press events, promotional materials, and so forth in the budget portion of its application. These costs are subject to revision and negotiation with the Grant Officer upon submission of the Marking Plan and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

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

E. Anticipated Announcement and Award Dates

An award is anticipated in the first quarter of fiscal year 2011.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. Authority to Obligate the Government

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

B. Award Notices

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

C. Administrative and National Policy Requirements

1. **Award Format:** If award is made to a U.S. or non-U.S. organization, the standard format for award of a grant to a U.S. or non-U.S. organization, as prescribed in ADS 303, will be used. If award is made to a public international organization, the standard format for an award to a PIO, as prescribed in ADS 308 but modified for a cooperative agreement, and with special provisions negotiated as necessary, will be used.
2. **Allowable Costs:** Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations, the Mandatory Standard Provision entitled “Allowable Costs (OCTOBER 1998)” for non-U.S., Nongovernmental recipients, and the Mandatory Standard Provision entitled “Allowable Costs (DEC 2003)” for public international organizations), may be paid under the grant.
3. **Funding Restrictions:** The award resulting from this RFA may have restrictions on funding activities that benefit the central government of the Russian Federation and its institutions.
4. **Reporting**

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

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

The initial work plan must include the recipient’s proposed **Award Monitoring Plan**, which must establish specific impact indicators, targets, progress benchmarks for the life of the award, and the date

by which all baseline data will be established. USAID/Russia and the Recipient will agree upon benchmark measures and indicators of progress toward achieving project goals. Baseline data must be finalized no later than 180 days after the award is made. All person-level indicators must be disaggregated by gender. One or more of the following Operational Plan indicators must be used:

- Number of people trained in TB sub-elements with USG funding;
- Treatment success rate in USG-assisted DOTS Plus programs to treat MDR TB patients;
- Number of improvements to laws, policies, regulations or guidelines related to improve access to and use of health services drafted with USG support.

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

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

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

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

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

As provided for in 22 CFR 228.02, the criteria for source and origin waivers for assistance provided under the FREEDOM Support Act are stated in section 498B(h)(2) of the Foreign Assistance Act of 1961, subject to any further restrictions imposed by agreement or regulation. The basic criteria in section 498B(h)(2) are: (A) the provision of the assistance requires commodities or services of a type that are not produced in and available for purchase in any country specified in the authorized Geographic Codes; or (B) that procurement in another country is necessary to meet unforeseen circumstances -- such as emergency situations -- where it is important to permit procurement in a country not specified in the authorized Geographic Codes, or to promote efficiency in the use of United States foreign assistance resources, including to avoid impairment of foreign assistance objectives. An additional requirement for waivers of type (A) to countries in a Code not included in Code 941 is that the commodities or services are also of a type that are not produced in and available for purchase in any country specified in Code 941.

Applicants must ensure that all proposed services and commodities procurements meet the abovementioned source, origin and nationality requirements. If services, including consultants and trainers, or commodities not complying with Geographic Codes 000 or 110 are to be procured,

applicants must request and justify a waiver and the need for such waiver(s) must be noted in the business management proposal. All waivers must be approved by the USAID/Russia Mission Director.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

BRANDING STRATEGY - ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

(c) **Submission Requirements**

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

(1) Positioning

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

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

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

Note: the Agency prefers "made possible by (or with) the generous support of the American" instead of the phrase "funded by." USAID prefers local language translations.

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

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

(2) Program Communications and Publicity

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

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

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

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

What is the main program message(s)?

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

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

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

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

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

(3) Acknowledgements

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

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

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

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

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

MARKING PLAN – ASSISTANCE (December 2005)

(a) Definitions

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

(d) Presumptive Exceptions.

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

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

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

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

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

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

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

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

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

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

(e) Award Criteria: The Agreement Officer will review the Marking Plan for adequacy and reasonableness, ensuring that it contains sufficient detail and information concerning public communications, commodities, and program materials that will visibly bear the USAID Identity. The Agreement Officer will evaluate the plan to ensure that it is consistent with the stated objectives of the

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

MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (December 2005)

(a) Definitions

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

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

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline

that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards.

(b) Marking of Program Deliverables

- (1) All recipients must mark appropriately all overseas programs, projects, activities, public communications, and commodities partially or fully funded by a USAID grant or cooperative agreement or other assistance award or subaward with the USAID Identity, of a size and prominence equivalent to or greater than the recipient’s, other donor’s, or any other third party’s identity or logo.
- (2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.
- (3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.
- (4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people’s support.
- (5) The Recipient will mark all commodities financed by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs, and all other equipment, supplies, and other materials funded by USAID, and their export packaging with the USAID Identity.
- (6) The Agreement Officer may require the USAID Identity to be larger and more prominent if it is the majority donor, or to require that a cooperating country government’s identity be larger and more prominent if circumstances warrant, and as appropriate depending on the audience, program goals, and materials produced.
- (7) The Agreement Officer may require marking with the USAID Identity in the event that the recipient does not choose to mark with its own identity or logo.
- (8) The Agreement Officer may require a pre-production review of USAID-funded public communications and program materials for compliance with the approved Marking Plan.
- (9) Subrecipients. To ensure that the marking requirements “flow down” to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

“As a condition of receipt of this subaward, marking with the USAID Identity of a

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

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

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

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

(c) Implementation of marking requirements.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

(d) Waivers.

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

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

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

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

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

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

these are complete prior to January 2, 2006 and the period of the grant does not extend past January 2, 2006.

SECTION VII – AGENCY CONTACTS

Donella J. Russell, Agreement Officer, and Galina Ponkratova, A&A Specialist
American Embassy Moscow
U.S. Agency for International Development
Novinsky Boulevard 19/23
121099 Moscow
Russian Federation

Tel: (7-495) 728-5000
Fax: (7-495) 960-2140

drussell@usaid.gov or gponkratova@usaid.gov

SECTION VIII – OTHER INFORMATION

Applicable Regulations & References

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

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

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

- 22 CFR 226

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

- OMB Circular A-122

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

- OMB Circular A-110

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

- ADS Series 300 Acquisition and Assistance

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

- SF-424 Downloads

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

U.S. Agency for International Development

PART I

CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

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

2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

3. CERTIFICATION REGARDING TERRORIST FINANCING

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
 - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website: <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
 - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website: <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.
 - c. Before providing any material support or resources to an individual or entity, the Recipient will consider all information about that individual or entity of which it is aware and all public information that is reasonably available to it or of which it should be aware.
 - d. The Recipient also will implement reasonable monitoring and oversight procedures to safeguard against assistance being diverted to support terrorist activity.
3. For purposes of this Certification-
 - a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."
 - b. "Terrorist act" means-
 - (i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://untreaty.un.org/English/Terrorism.asp>); or

- (ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or
 - (iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.
- c. “Entity” means a partnership, association, corporation, or other organization, group or subgroup.
 - d. References in this Certification to the provision of material support and resources shall not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.
 - e. The Recipient’s obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

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

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

4. CERTIFICATION OF RECIPIENT

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

As applicable:

Grant/Agreement No.: _____

Solicitation No.: _____

Application/Proposal No.: _____

Date of Application/Proposal: _____

Name of Recipient: _____

Typed Name and Title: _____

Signature: _____

Date: _____

PART II

OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

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

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

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN:

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

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

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

- (1) Recipient's name.

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

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

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

DUNS: _____

4. **LETTER OF CREDIT (LOC) NUMBER**

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

LOC: _____

5. **TYPE OF ORGANIZATION**

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

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

(b) If the recipient is a U.S. entity, it ☐ is, ☐ is not a Gray Amendment entity, as defined below.

(c) If the recipient is a Gray Amendment Entity, it is ☐ a business concerns (as defined in 48 CFR 19.001) owned and controlled by socially and economically disadvantaged individuals (as defined in 48 CFR 726.101), ☐ an institution designated by the Secretary of Education, pursuant to 34 CFR 608.2, as a historically black college or university (HBCU), ☐ a college or university having a student body in which more than 40% of the students are Hispanic American, or ☐ a private voluntary organization which is controlled by individuals who are socially and economically disadvantaged (as defined in 48 CFR 726.101).

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

6. PAST PERFORMANCE REFERENCES

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

7. OMB CIRCULAR A-133 OR SIMILAR AUDITS

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

8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

9. PROCUREMENT INFORMATION

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

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

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

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>
-----------------------------------	-----------------	----------------------------

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

characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or relabeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing.

"Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

<u>Type/Description</u> <u>(Generic)</u>	<u>Estimated</u> <u>Quantity</u>	<u>Probable</u> <u>Unit Cost</u>	<u>Source of</u> <u>Goods</u>	<u>Probable</u> <u>Components</u>	<u>Origin of</u> <u>Goods</u>	<u>Components</u>
---	-------------------------------------	-------------------------------------	----------------------------------	--------------------------------------	----------------------------------	-------------------

(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.

<u>Type/Description</u> <u>(Generic)</u>	<u>Estimated</u> <u>Quantity</u>	<u>Probable</u> <u>Unit Cost</u>	<u>Intended Use</u>	<u>Probable</u> <u>Source</u>	<u>Origin</u>
---	-------------------------------------	-------------------------------------	---------------------	----------------------------------	---------------

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

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

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

<u>Type/Description (Generic)</u>	<u>Quantity</u>	<u>Estimated Unit Cost</u>	<u>Proposed Disposition</u>

**- END OF CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF
RECIPIENT -**

ANNEX B

SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

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

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

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