



# USAID | HAITI

FROM THE AMERICAN PEOPLE

Issuance Date: **January 13, 2010**  
Closing Date: **February 26, 2010**  
Closing Time: **2:00 P.M. Port-au-Prince, Haiti Local Time**  
Questions Due By: **February 3, 2010 1:00 P.M. Port-au-Prince, Haiti Local Time**

To All Applicants:

Reference: Foreign Assistance Framework Objective: Investing in People  
Element: HIV/AIDS

Subject: Request for Applications (RFA) No. 521-10-002  
Prevention of Sexual Transmission of HIV/AIDS in Haiti

In support to the U.S. President's Emergency Plan for AIDS Relief (PEPFAR), the United States Agency for International Development USAID/Haiti Mission is seeking applications from an organization(s) or consortium(s) for funding of a program aimed at increasing the adoption of safer sexual behaviors among sexually active youths and adults in Haiti, in order to contribute to reduced incidence of HIV infections from sexual transmission by a) promoting normative change and preventive behaviors among sexually active youths and adults in the general population, particularly those engaged in Multiple Concurrent Partnerships that put them at risk for HIV infection and b) providing support for a comprehensive package of intensified preventive interventions targeting most-at-risk populations and venues with high prevalence of risky sexual behavior. The successful applicant(s) will be responsible for ensuring achievement of the program objectives. Please refer to the Program Description for a complete statement of goals and expected results.

The four and a half year (54 months) HIV/AIDS prevention program has two components: a) a \$9 million component to promote normative change and to increase preventive behaviors among general population youths and adults and b) a \$9 million component to support a comprehensive package of intensified prevention interventions targeting most-at-risk populations with high prevalence of risky sexual behavior.

Please submit an application that will set forth in detail the conceptual approach, methodology and techniques for the accomplishment of the stated objectives in the Program Description. To this end, it must include the general strategy and specific approach to implement the program, including a schedule of achievement indicators on a timeline that covers a period of 54 months or 4 1/2 years. Please refer to Section A, Instructions to the Applicant, for detailed information regarding the content of your application:

The authority for this RFA is found in the Foreign Assistance Act of 1961, as amended. For U.S. organizations, the resulting award(s) will be made in accordance with 22 [CFR 226](#), [OMB Circulars](#), and the [Standard Provisions for U.S. Nongovernmental Recipients](#). For non-U.S. organizations, the resulting award (s) will be made in accordance to the Standard Provisions for Non-U.S., Nongovernmental Recipients. Links for these Standard Provisions are as follows:

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

Subject to the availability of funds, USAID intends to award one or two Cooperative Agreements and provide approximately US\$18 Million in total USAID funding to be allocated over a period of 4 1/2 years. This funding is divided equally between the two components of the program: \$9 million over 4 1/2 years to promote normative change and to increase preventive behaviors among general population youths and adults and \$9 million over 4 1/2 years to support a comprehensive package of intensified prevention interventions targeting most-at-risk populations with high prevalence of risky sexual behavior. Applicants may apply for one or both of these components. However, in order to realize technical and management synergies as well as economies of scale, applicants are encouraged to submit applications for both components. USAID reserves the right to fund any or none of the applications submitted.

This RFA is being issued and consists of this cover letter and the following:

1. Section A: Application Format and Instructions;
  2. Section B: Evaluation Criteria and Selection Process;
  3. Section C: Program Description;
  4. Section D: Certifications, Assurances, and Other Statements of Applicant/Grantee;
- Attachment1, 2, 3: AAPD 05-11 Marking under Assistance  
Attachment4: Application for Federal Assistance (SF 424)

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

Your application should be addressed to Richard Spencer and Stéphane C. Bright and received via e-mail only by the closing date and time indicated at the top of this RFA Cover Letter at the following e-mail addresses: [rspencer@usaid.gov](mailto:rspencer@usaid.gov) , [SBright@usaid.gov](mailto:SBright@usaid.gov) and [oaahaiti@usaid.gov](mailto:oaahaiti@usaid.gov) . The subject line of the email should read RFA 521-10-002.

Applicants are requested to submit separate technical and cost portions of their applications for each one of the components in clearly marked separate document folders. The technical application will be the most important item of consideration in determining the successful application(s) and issuing award(s). Award(s) will be made to the responsible applicant(s) whose application(s) offers the greatest value.

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 your Application. Your Application is submitted at your own risk. Should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

In addition, final award of any resultant Cooperative Agreement cannot be made until funds have been fully appropriated, allocated, obligated, 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.

The preferred method of distribution of USAID procurement information for assistance is via the World Wide Web site: [www.Grants.gov](http://www.Grants.gov). This RFA and any future amendments can be downloaded from the World Wide Web at <http://www.Grants.gov>. Select "Applicant" then click on "USAID Offices" and select the appropriate location and search for this RFA. If you have difficulty accessing the RFA, please go to Grants.gov contact center at 1-800-518-4726 for technical assistance. It is the responsibility of the applicant to ensure that the RFA has been received from the Grants.gov in its entirety and USAID bears no responsibility for data errors

resulting from transmission or conversion processes.

Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. USAID must receive the acknowledgement by the time specified for receipt of applications.

Any questions concerning this RFA should be submitted via e-mail to Richard Spencer at [rspencer@usaid.gov](mailto:rspencer@usaid.gov), Stéphane C. Bright at [Sbright@usaid.gov](mailto:Sbright@usaid.gov) and at [oaahaiti@usaid.gov](mailto:oaahaiti@usaid.gov), please include RFA #, no telephone calls will be accepted. USAID intends to provide answers only in writing, which will be posted at the [www.Grants.gov](http://www.Grants.gov) website as an amendment to this RFA. You should retain for your records one copy of all enclosures, which accompany your application.

Sincerely,

Sunil Xavier  
Agreement Officer

## **SECTION A – APPLICATION FORMAT AND INSTRUCTIONS**

### **SUBMISSION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Preparation of Technical Application addresses the technical evaluation for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. Late applications will be considered for award if the Agreement Officer determines it is in the U.S Government's interest.

Applications shall only be submitted electronically. Electronic copies shall be attached to an e-mail sent to the electronic address indicated in the Cover Letter of this RFA. Applications shall be submitted in two separate parts for each component: (a) technical and (b) cost or business application. All submissions shall indicate the time specified for receipt, the RFA number, and the name and address of the applicant.

The applications should be prepared according to the structural format set forth below. Applications must be received no later than the date and time indicated in the Cover Letter of this RFA.

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

### **PREPARATION OF TECHNICAL APPLICATION**

#### **A. Guiding Principles**

The technical application will be the most important item of consideration in determining the successful application(s) and issuing award(s). Technical applications should be specific, complete and presented concisely. It is recommended that the applicant conduct an in depth review of all information contained in this RFA prior to preparing an application. The application should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The application will be evaluated on the basis of its comprehensiveness, creativity, and cost-effectiveness. The applications should take into account the Technical Evaluation Criteria found in Section B of this RFA.

#### **B. Technical Application**

The technical application should be broken out by the elements specified below. Using the Program Description as a framework, the applicant should fully elaborate its own Program Description, which addresses each of these elements as it pertains to the applicant's proposed program, respecting any page limit mentioned.

##### **1. Technical Understanding and Approach**

1.1 Overall Approach: The application must include a clear description of the approach and general strategy (i.e. activities, implementation, methodology and techniques) proposed to implement the program. The applicant should describe its technical approach to implementing each of the components detailed in the

Program Description and should propose realistic strategies which clearly link problems with achievable solutions. The applicant will demonstrate a thorough understanding of the implementing environment and reflect it at all stages of design, implementation and evaluation, including:

(a.) USAID/Haiti recognizes the important role that gender and gender imbalances play in the HIV and AIDS epidemic. Gender mainstreaming in all activities to empower women, promote male responsibility, promote ownership among both men and women at the community level, and ensure gender issues, such as their vulnerability to sexual violence, are considered at the central/policy level.

(b.) Flexibility to respond to changes in the epidemic and the environment in Haiti.

(c.) Outline a strategy and activities for i)improving the quality of core HIV/AIDS services, ii)strengthening the linkages between HIV/AIDS and other key health services for women, such as sexually transmitted infection services, voluntary counseling and testing services, and family planning services and also ensuring access and acceptability of these services for sexually active youths and adults in Multiple Concurrent Partnerships and Most at Risk Populations; iii) informing policy decisions to support improved quality of services; and iv) addressing research requirements and how research results and lessons learned will be continually incorporated to increase project impact.

(d.) Sub-agreements: Applicants shall identify and describe any sub-recipients selected to be included in the proposal indicating the extent of utilization intended, and the tasks and functions they will perform. Describe how those organizations were selected and how they will effectively contribute to the implementing team. Technical application information for proposed sub-recipients should follow the same format as that submitted by the applicant.

Applicants must clearly identify which inputs (especially staff) will be provided by sub-recipients. Applicants shall describe their plans, systems, resources and prior experience in coordinating and managing sub-agreements.

1.2 Objectives and Technical Interventions: The application must include details on planned implementation for each objective, including a description of key activities over the life of the project and how they are linked to benchmarks and results. The overall program should focus on the achievement of results.

Applicants must prepare a draft Year One Work plan including benchmarks linked to planned results.

1.3 Planning, Monitoring and Reporting: The application must include a discussion and details on the planning, monitoring and reporting activities and processes over the five-year project. This will include a proposed methodology for establishing baseline conditions and regular measurement of programmatic and management performance; recommended performance indicators, including additional indicators to those proposed in Section C Program Description of this RFA, as appropriate; proposed targets for each performance indicator; and provisions for external mid-term and final evaluations. Applicants must discuss how program monitoring and evaluation activities, lessons learned and successful practices will be used as management tools to improve program design and performance.

The application will include a draft Monitoring and Evaluation Plan that presents in table format the performance indicators with proposed targets, key data collection processes and events as well as reporting over the five years of the project.

## **2. Key Personnel**

The application must indicate which positions will be filled by Key Personnel and provide a brief resume or CV and references for each of the Key Personnel including language proficiency. USAID reserves the right to verify references provided by the Applicant.

## **3. Management Approach**

The application must include a Management Plan that demonstrates the capability of the organization to manage staff and administer this award, including the administrative, management and financial structures and systems proposed. Critical to this are financial management procedures related to the management of any proposed sub-grants that demonstrate organizational capacity to assess sub-grant capabilities, approve budgets, monitor advances to sub-grantees and review and verify sub-grantee reimbursements.

The application must include a Staffing Plan that indicates long and short-term technical assistance needs. Exact titles, qualifications and scopes of work of long-term technical and professional support staff must be provided. The use of local and regional technical expertise is desirable.

The Applicant shall submit an overview of the proposed Staff Organizational Chart for the project and its proposed staffing plan.

Procedures and methodology for selecting potential NGO sub-grantees, including geographic targeting, impact, comprehensiveness and intensity, and existing skills base of NGOs must be included.

The applicant must demonstrate ability to absorb funds beyond the initial levels estimated for this RFA should USAID funding increase substantially over the period of the country strategy.

## **4. Institutional Capability**

The application must include a description of the applicant's history, mission, international activities and past experience working in Haiti or other similar development environments. Any U.S. Government support received in the past five years and experience in developing and managing similar programs of the type described in this RFA should be highlighted. If the applicant is a consortium, this information should be provided for each member of the consortium.

The Applicant shall demonstrate its ability to contract locally.

## **5. Past Performance**

The application shall include:

a) A listing of references who can attest to the satisfactory performance of the Applicant in similar work. Applicant should submit a brief description of relevant past performance. These must address topics such as quality of the work, timeliness, business relationships, use of small business, and customer satisfaction.

In evaluating past performance, USAID will contact any or all of the references provided by the Applicant or and other sources of information, including but not limited to: other USAID missions and government agencies, better business bureaus, published media. USAID will not evaluate an Applicant's organizational past performance on the basis of personal past performance of the Applicant's key personnel.

b) Demonstration of an ability to control costs

C. Other Program Design Guidance

The successful applicant(s) will be expected to mobilize within thirty days of acknowledging receipt of signing the award, including having senior staff in place and an office established in Port-au-Prince, Haiti.

All activities to be funded under this award will form part of Haiti's program under the President's Emergency Plan for AIDS Relief (PEPFAR). Funding levels, guidance and parameters for PEPFAR priorities and management are evolving and will continue to evolve over the life of the award. The successful applicant(s) shall maintain a degree of flexibility and work with USAID in designing, prioritizing, implementing and evaluating its PEPFAR activities.

The successful applicant(s) will be required to submit a Branding Strategy and Marking Plan to be evaluated and approved by the Agreement Officer. A Branding Implementation Strategy and Marking Plan shall be in accordance with USAID Branding and Marking plan as required per ADS 320. Refer to ADS 320, (<http://www.usaid.gov/policy/ads/300/>) specifically 320.3.3.3 for more information. The Recipient shall comply with the requirements of the USAID "Graphic Standards Manual" available at [www.usaid.gov/branding](http://www.usaid.gov/branding), or any successor branding policy.

While any type of organization or institution is eligible for award under the RFA, including U.S. based international organizations, Haitian non-governmental organizations (NGO), private voluntary organizations (PVO), faith-based organizations (FBO), and community based organizations (CBO), pursuant to Chapter 22 U.S. Code of Federal Regulations Section 226 (22 CFR 226), 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 under 22 CFR 226, U.S. Office of Management and Budget (OMB) Circular A-122 for Non-Profit Organizations, OMB Circular A-21 for Universities, and the Federal Acquisition Regulation (FAR) Part 31, For-Profit Organizations, may be paid under the Cooperative Agreement.

USAID will be substantially involved in the performance and implementation of the award(s), and the specific nature of our substantial involvement is specified herein.

**Approval of the Recipient's Annual Work Plans.**

**Approval of Specified Key Personnel.**

**Agency and Recipient Collaboration or Joint Participation.**

The resulting award(s) will be administered as applicable in accordance with OMB Circulars, 22 CFR 226, and USAID's Automated Directives Systems (ADS) Chapter 303, "Grants and Cooperative Agreements with Non-Governmental Organizations". These policies and regulations can be viewed or downloaded from USAID's Web Site <http://www.usaid.gov/pubs/ads/>

Cost sharing (matching) is not required under this RFA, however, USAID policy nevertheless encourages cost sharing to the maximum extent practicable.

The Authorized Geographic Code is 935 for the procurement of goods and services under the resulting award

## **TECHNICAL APPLICATION FORMAT**

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.

Separate technical applications should be submitted for each of the two components of this RFA and contain the following information and conform to the guidelines detailed below. The technical application for each component, shall not exceed 20 pages, excluding the cover sheet and attachments. Each component shall include the following:

1. Cover Sheet
2. Table of Contents listing all page numbers and attachments
3. Executive Summary not to exceed three pages
4. Technical program that includes a discussion of each of the elements outlined under Preparation of Technical Application, B. Technical Application (pg.4) of this RFA. Pages should be paginated at the bottom. Graphics and charts specifically requested in RFA will not count against the page limit for the application, and may be included as attachments. Shorter applications are encouraged. This section of the application will become the program description for the award(s) if made and therefore focus should be on the results to be achieved. Corporate qualifications and discussions should be minimized.
5. Attachments.. Each attachment should be lettered (e.g. Attachment A,B,C etc...), and should include:

Draft Year One Work Plan

Draft Monitoring and Evaluation Plan

Organizational chart and position descriptions for long-term professional staff positions

CVs of Key Personnel- letters of commitment

Letters of support, letters from public entities

Other supporting documents illustrating past performance and corporate capabilities

### **A. Standard Forms**

Applicants must complete and submit the following required forms:

1. SF 424 Application for Federal Assistance;
2. SF 424A Budget Information - Non-Construction Program; and,
3. SF 424B, Assurances-Non-Construction Programs.

These forms may be downloaded from the following website:

[http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/SF-424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/)

4. Self-Certification of the management systems/major business systems with a cognizant audit agency.

## **PREPARATION OF COST APPLICATION**

### **COST APPLICATION FORMAT**



There is no page limitation on the Cost Application, but applicants are encouraged to be concise. The application must include the following:

1. The financial plan, fully supported by adequate cost data to establish the reasonableness of proposed program costs.

At a minimum, the financial plan shall contain the following:

- a. A Summary Budget page of total costs;
- b. A Detailed Budget of cost inputs;
- c. Associated costs to outputs, i.e., results or tasks or milestones, which will enable USAID to determine cost effectiveness and best value, and
- d. Detailed budget notes and supporting justification of all proposed budget line items in the categories listed below.
  - i. Home Office Direct Labor (if applicable), number of units and cost;
  - ii. Local office direct labor, number of units and cost;
  - iii. Consultants, number of units and cost;
  - iv. Subcontractor/sub-awardee labor, number of units and cost;
  - v. Equipment and supplies;
  - vi. Travel (destinations, numbers of trips, approximate cost) and associated per diem;
  - vii. Other related costs (explain in general terms related to the activity or task and give estimates - these may vary by task)
2. Detailed budgets and supporting notes and justifications should include the following, as applicable, for the prime and sub-awardee, if any:
  - a. The name, annual salary, fringe benefits and expected level of effort of each position charged directly to the program, including consultants;
  - b. Details of all home office support to be provided;
  - c. Fringe Benefits. If charged as a percentage, please provide a breakout if not included in the indirect cost rate agreement negotiated with the U.S. Government, specify the applicable fringe benefit rates for each category of employee, and all benefits covered by the rate;
  - d. Allowances, expatriate and local, which should be broken down by specific type and by person and must be in accordance with the applicants' policies. All salaries, benefits and allowances must be based on written compensation policies of the employer organization;
  - e. Travel, per diem and other transportation expenses should be detailed in the financial plan to include number of international trips, from where to where, number of per diem days and rates. Per Diem and other travel allowances must be based on written travel policies of the employer organization;
  - f. Other direct costs: Provide a breakdown of proposed workshop expenses, visas, passports, equipment, and supplies and other general costs. Explain basis for cost, number of units, etc;
  - g. Cost Sharing (if proposed): provide narrative information, in addition to the percentage and total dollar amount of the proposed cost-share contribution. Cost-share, once accepted becomes a condition of payment of the federal share;
  - h. Indirect Costs: Applicants must provide a copy of the most recent indirect cost rate agreement negotiated with its cognizant U.S. Government agency, if applicable. Non-US applicants not possessing a NICRA that plan to levy an administrative fee are requested to provide the basis of that fee in accordance with the "Guidelines for Financial Audits Contracted by Foreign Recipients" found at the following website: <http://www.usaid.gov/pubs/ads/500/rcapguid.doc>;
  - i. Applicants with no previous experience with USAID programs will be requested to submit evidence of financial capability which shall consist of financial audits for the past three years; personnel, travel, purchasing, and property management policies; and past performance references (at least three). If copies have already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

j. The budget template below, duly filled out by the Applicant, is required as part of the cost proposal and it shall include all subawardees.



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Required Certifications and Representations are found in Section D of this RFA.

## V. ADDITIONAL INSTRUCTIONS TO THE APPLICANT

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

### 1. Preparation of Applications:

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.

Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. 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.

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."

### 2. Explanation to Prospective Applicants:

Any prospective applicant desiring an explanation or interpretation of this RFA must request it by e-mail within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Responses given to any prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA

### 3. Award:

The Government may issue one or more Award(s) resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offer(s) the greatest value (see also Section B of this RFA). The Award(s) issued may be for Component One only or Component Two only or for both Components of this RFA. 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.

The Government may award one or more Award(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

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

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

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

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

### PRE-AWARD APPROVAL OF THE BRANDING STRATEGY AND MARKING PLAN

Pre-Award Review and Approval of the Branding Strategy: 22 C.F.R. 226.91(f) requires that, after the evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant to submit a Branding Strategy that describes how the program, project, or activity is named and positioned; how it is promoted and communicated to beneficiaries and cooperating country citizens; and identifies all donors and explains how they will be acknowledged. USAID will not competitively evaluate the proposed Branding Strategy. The Agreement Officer will review the proposed Branding Strategy for adequacy to ensure that it:

- contains the required information on naming and positioning the USAID-funded program, project, or activity,
- promotes and communicates to cooperating country beneficiaries and citizens that the USAID-funded program, project, or activity is “from the American People”,
- is consistent with the stated objectives of the award; the Apparently Successful Applicant’s cost data

submissions; the Apparently Successful Applicant's project, activity, or program performance plan; and the regulatory requirements set out in 22 C.F.R. 226.91.

During the review of the Apparently Successful Applicant(s)'s Branding Strategy, the Agreement Officer will coordinate as necessary with the Activity Manager, the Technical Evaluation Panel and the communications specialist. Following completion of the review, the Agreement Officer will negotiate any required changes to the Branding Strategy with the Apparently Successful Applicant(s), approve the Branding Strategy, and include the Branding Strategy as part of the assistance award.

When requesting a Branding Strategy, the Agreement Officer will establish a reasonable time frame for submittal, review, and negotiation. If the Apparently Successful Applicant(s) fail(s) to submit or negotiate an acceptable Branding Strategy within the time specified by the Agreement Officer, that/those Applicant(s) become(s) ineligible for award.

The Marking Plan: 22 C.F.R. 226.91(f) also requires that, after evaluation of the applications, the USAID Agreement Officer will request the Apparently Successful Applicant(s) to submit a Marking Plan that will detail the public communications, commodities, and program materials intended to visibly bear the USAID Identity. USAID must not evaluate the Marking Plan competitively. The Agreement Officer will review the proposed Marking Plan for adequacy, coordinating as necessary with the Activity Manager, Technical Evaluation Panel and the communications specialist. Following completion of the review, the Agreement Office will negotiate any required changes to the Marking Plan with the Apparently Successful Applicant, approve the Marking Plan, and include the Marking Plan as part of the assistance award. The Agreement Officer will ensure that any estimated costs associated with branding and marking are included in the Total Estimated Amount of the grant or cooperative agreement or other assistance award.

When requesting a Marking Plan, the Agreement Officer will establish a reasonable time frame for submittal, review, and negotiation. If the Apparently Successful Applicant(s) fail(s) to submit or negotiate an acceptable Marking Plan within the time specified by the Agreement Officer, that/those Applicant(s) become(s) ineligible for award.

The Marking Plan may include requests for approval of a Presumptive Exception or Exceptions identified at 22 C.F.R. 226 (h). Presumptive Exceptions exempt a general marking requirement for a particular USAID-funded public communication, commodity, or program material or other deliverable, or a category of USAID-funded public communications, commodities, and program materials, or other deliverables that would otherwise be required to visibly bear the USAID Identity.

The Agreement Officer will negotiate and accept or reject the Apparently Successful Applicant(s)'s request for a Presumptive Exception as part of the overall negotiation of the Marking Plan and include any Presumptive Exceptions granted in the final negotiated Marking Plan. A list of the Presumptive Exceptions is found in the Provision "Marking Plan – Assistance," contained in the enclosed sample award format.

During the review and approval of Presumptive Exceptions, the Agreement Officer should coordinate and consult with the Activity Manager, communication specialist, and other personnel as needed (including, if necessary, the Principal Officer). The Agreement Officer may request advice and recommendations from these personnel if necessary.

The Agreement Officer's approval of the marking plan will include a list of the approved Presumptive Exceptions and the public communications, commodities, and program materials, or other deliverables exempted.

## SECTION B - EVALUATION CRITERIA AND SELECTION PROCESS

### GENERAL INFORMATION

USAID may award one or more Award(s) without discussions with applicants. To the extent they are necessary, negotiations will be conducted with the top-ranked applicants.

The selection criteria have been tailored to the requirements of this RFA to enable USAID/Haiti to select the highest quality application. These criteria identify significant areas that applicants should address in their applications and serve as the standard against which all applications will be evaluated.

### TECHNICAL EVALUATION CRITERIA

Applications will be evaluated based on adjectival ratings described below applied to the criteria described below. Applicants should note that these criteria (a) serve to identify significant themes which should be addressed in the application, and (b) set the standard against which all applications will be evaluated.

The focus of the application evaluation and selection process will be to identify the individual application strengths, weaknesses and deficiencies. The evaluation will analyze each applicant's resources that are available to perform under the agreement, and how those resources will be utilized during agreement performance. This includes the applicant's proven ability through demonstrated past experience to satisfy all Program Description requirements.

- Outstanding      Outstanding The application satisfies all of the Government's requirements with extensive detail to indicate feasibility of the approach and shows a thorough understanding of the problems and offers numerous significant strengths, which are not offset by weaknesses, with an overall low degree of risk in meeting the Government's requirements.
- Good              Good The application satisfies all of the Government's requirements with adequate detail to indicate feasibility of the approach and shows an understanding of the problems and offers some significant strengths or numerous minor strengths, which are not offset by weaknesses, with an overall low to moderate degree of risk in meeting the Government's requirements.
- Acceptable      Acceptable. The application satisfies all of the Government's requirements with minimal detail to indicate feasibility of the approach and shows a minimal understanding of the problems, with an overall moderate to high degree of risk in meeting the Government's

requirements.

**Marginal** Marginal. The application satisfies all of the Government's requirements with minimum detail to indicate feasibility of approach and shows a minimal understanding of the problem with an overall high degree of risk in meeting the Government's requirement.

**Susceptible to Being Made Acceptable** Susceptible to Being Made Acceptable . An approach which, as initially proposed, cannot be rated Marginal because of a minor error(s), omission (s) or deficiency (ies) which is capable of being corrected without a major rewrite or revision of the application.

Note: A Susceptible rating cannot be a final rating. The final rating will either increase to a rating of Marginal or better or decrease to Unacceptable.

**Unacceptable** Unacceptable The application contains major error(s), omissions(s) or deficiency (ies) that indicates a lack of understanding of the problems or an approach that cannot be expected to meet requirements or involves a very high risk; and none of these conditions can be corrected without a major rewrite or revision of the application.

The evaluation criteria below are listed in descending order of importance except institutional capability and past performance which are weighted equally.

## **1. Technical Understanding and Approach**

### **1.1 Overall Approach**

Overall merit (clarity, analytical depth, state-of-the-art technical knowledge, and responsiveness) and feasibility of approach and strategies to achieve project results, addressing gender dynamics that increase vulnerability to HIV infection and the importance of formative research in informing the design and implementation of program interventions.

### **1.2 Technical Interventions**

Proposed activities are appropriate, comprehensive, feasible, creative, and incorporate state-of-the-art technical knowledge and/or best practices , provide a comprehensive approach to knowledge sharing and transfer , and clearly integrate prevention interventions with other services.

### **1.3 Planning, Monitoring, and Reporting**

Discussion of planning, monitoring and reporting processes are complete and clear. Applicant provides a complete and feasible illustrative performance monitoring and evaluation plan to monitor project progress, output and impact; proposes indicators and targets of the performance monitoring plan that are ambitious and achievable; presents a comprehensive and feasible approach to data quality assurance and proposes a comprehensive evidence-based planning and on-going improvement process, based on data collection and research.

## **2. Key Personnel**

Proposed key personnel have requisite experience and expertise and meet or exceed requirements specified in

Section IV. They have breadth and depth in technical expertise and experience in leadership, management, design and implementation of complex programs. Individually and collectively, proposed key personnel show evidence of strong leadership skills and ability to build collaborative relationships. (Expertise and attributes will be verified in part on references provided in appendixes, and may be verified through interviews, at the discretion of the technical review panel.)

### **3. Management Approach**

Proposed management and administrative arrangements for implementation of the program including organizational structure, staffing pattern, decision-making authority as presented in an organizational chart; procurement of goods and services; and dissemination of publications are well thought out, cost-effective, efficient and appropriate for this project. Proposed processes are appropriate for interaction with USAID Mission, Government of Haiti and other in-country partners. Proposed approach for financial management includes: how applicant will contain costs; how financial disbursement to in-country partners – if any - will be managed; and how the applicant will assure timely and accurate financial reporting of funding streams.

The staffing pattern and the number and type of positions proposed are responsive to technical requirements and principal challenges; a strong pool of relevant technical experts is available to support in-country project staff.

Proposed staffing pattern represents an optimal configuration for efficiency and cost containment.

### **4. Institutional Capability**

Application demonstrates institutional expertise and experience that is responsive to the scope of the RFA; institutional capability to plan, implement, and support complex programming and the range of activities outlined in the RFA; to produce results and innovations in behavior and normative change; to work with multiple in-country partners and to report results to USAID; capacity to manage the proposed institutional relationships including the ability to identify subcontractors and sub-grantees, if necessary; and to minimize non-productive costs.

### **5. Past Performance**

The application demonstrates past experience in undertaking a similar or related project, in both complexity and diversity, as covered in the RFA; a track record of working effectively with and building the capacity of local organizations; and experience implementing programs in HIV/AIDS epidemics that are not generalized, particularly in the Haitian context.

## **III. COST EVALUATION**

While there are no assigned points for the cost evaluation criteria, the review of the cost application will entail a cost realism analysis. The cost realism analysis is intended to meet the following three goals:

1. Verify the applicant's understanding of the requirements and regulations;
2. Assess the degree to which the cost application reflects the approaches in the technical application; and,
3. Assess the degree to which the costs included in the cost application accurately represents the work effort included in the technical application.

## **IV. Selection and Award Process**

The technical applications for each of the two components of this RFA will be evaluated separately in accordance with the Technical Evaluation Criteria set forth above. Thereafter, the cost application of the Apparently Successful Applicant(s) will be analyzed for realism, reasonableness, allowability, and allocability of proposed costs.

Negotiations will be conducted with the Apparently Successful Applicant(s). Award(s) will be made to the responsible applicant(s) whose application(s) offers the greatest value, cost and other factors considered. In order to achieve technical and management synergies applicants are encouraged to submit applications for both components; however, applications for only one component will be fully considered with no prejudice.

The technical applications will be screened by a technical review panel at USAID/Haiti. Following the review of the applications, a letter will be sent to all applicants detailing the outcome of the review. USAID reserves the right to determine the final funding level of the resultant award(s).



## SECTION C - PROGRAM DESCRIPTION

### *A. Summary*

In support of the President's Emergency Plan for AIDS Relief (PEPFAR) Program, USAID/Haiti is launching the AIDS Prevention Communication Program, known hereafter as the "PrevSIDA Program", and is seeking one or more implementing partners to carry out the program over the next four and a half years (from signature of awards to September 30, 2014) in response to the Program Description laid out below. The PrevSIDA Program seeks to increase the adoption of safer sexual behaviors among a) general population sexually active youth, men and women, particularly those in multiple concurrent partnerships (MCP) and b) most-at-risk-populations (MARPs), including sex workers, transport workers, police and others in uniform, men who have sex with men and others who are having frequent unprotected, casual sexual transactions, in order to contribute to reduced incidence of HIV infections. In order to adequately address the AIDS transmission and prevention issues of these two population segments, the award(s) granted in response to this RFA will undertake distinct efforts: a) promote normative change and increase preventive behaviors among the general sexually active population and b) provide a comprehensive package of intensified preventive interventions, including provision of clinical services, targeting most-at-risk-populations and sites with high prevalence of risky sexual behavior.

The PrevSIDA award(s) will serve as a central component(s) of the USG HIV/AIDS prevention portfolio for the period of PEPFAR II (2010-2014). Other PEPFAR implementing partners, currently funded under PEPFAR to carry out HIV/AIDS prevention activities, will continue concurrently their activities (for example, PSI/PROMARK Project); it is the responsibility of the Recipient(s) of the award(s) under this RFA to coordinate their activities with the other PEPFAR partners to avoid duplication of resources and effort. The Recipient(s) will be expected to build on prevention tools and approaches that have been previously developed and implemented in Haiti. USAID encourages applications from all partners who can demonstrate technical excellence, past experience and the capacity to provide high quality technical assistance in HIV prevention programming. USAID seeks partners who are cost-effective and innovative, and committed to local ownership, capacity strengthening and sustainability.

### *B. Background*

**Impact of HIV/AIDS on Haiti:** A country of approximately 9 million people, Haiti shares the island of Hispaniola with the Dominican Republic. Haiti is classified as a "rebuilding" country in the U.S. Government's (USG) foreign assistance framework, a country considered to be emerging from conflict, in this case political and social instability and insecurity. For the health sector, this translates into assistance in the delivery of critical health services and rebuilding institutional capacity. An estimated 55% of the population lives on less than \$1.00 a day while national level economic growth has been negative (average -0.85% per year) over the past twenty years. The HIV epidemic in Haiti is a mixed epidemic. Generalized prevalence is 2.2%, but there are significantly higher rates among most-at-risk populations, including commercial sex workers and men having sex with men. Haiti's estimated 170,000 HIV positive individuals constitute the greatest burden of HIV/AIDS care and treatment responsibility in the Caribbean region; added to this burden are an estimated 50,000 children orphaned or made vulnerable by HIV/AIDS. Heterosexual transmission accounts for up to 95% of HIV infections and women account for close to 52 percent of all adults living with HIV. Fewer than 35 percent of pregnant HIV-positive women are reached by services to prevent mother-to-child transmission (PMTCT) and consequently more than 2,000 children are born with HIV each year. Approximately 24,000 individuals are currently on antiretroviral treatment (ART) nationwide, but the estimated 50,000 HIV positive individuals who are eligible for ART, but are not receiving it, constitute a significant unmet need. (The estimated unmet need for ART is based on the suggested national guidelines of ART eligibility that include a

CD4 count of 350 or less.)

**Data sources:** A wealth of data is available on the HIV epidemic in Haiti, and data collection methods and the range and quality of data available continue to improve. Data sources include the 2005-2006 Haiti Demographic and Health Survey (DHS) which incorporates population-based HIV sero-prevalence; routine sentinel surveillance of pregnant women attending antenatal care; and the 2006 Behavioral Surveillance Survey (BSS) of selected at-risk populations.

Other behavioral and ethnographic studies relating to HIV have also been undertaken in Haiti, including Population Services International TRAC studies of sex workers, youth and condom services and recent qualitative studies of Multiple Concurrent Partnerships and transactional sexual relations commissioned by USAID/Haiti.

**Patterns of HIV prevalence:** Haiti's HIV epidemic is the most severe in the Caribbean region. According to the 2005 DHS, Haiti has a HIV prevalence of 2.2%, although estimates from sero-sentinel surveys in antenatal clinics place the average national prevalence at 3.8%. New infections are suspected to be driven by unprotected transactional and commercial sexual activity, and the widespread, socially acceptable, practice of concurrent sexual partnerships among the general population, which is often trans-generational. It is increasingly clear that a significant portion of the general population engages in these types of behavior. An examination of age-specific rates in the 2005 DHS provides evidence of an epidemic that is infecting women at greater rates than men and young people are at particular risk. The sero-prevalence in young women aged 20-24 (2.4%) exceeds the national average and is double that in young men (1.2%). Knowledge of AIDS increased substantially for men and women between 2000 and 2005; however, significant behavior change associated with this knowledge did not occur. Almost all those surveyed in the last DHS know about HIV/AIDS and over 90% can name at least two ways of preventing it, but 62% of men and 29% of women between 15 and 49 reported having high risk sex (without a condom with a extra-conjugal or non-cohabitating partner).

Limited sentinel sero-surveillance of higher-risk populations has been conducted in recent years. The 2004 and 2006 Behavioral Surveillance Surveys (BSS) gathered data from sex workers, the police, migrant workers and other at-risk populations. The survey highlights high rates of multiple partnering among non-commercial sex workers, low risk perception and inconsistent condom use in commercial and casual sex. For example, the 2006 BSS reports that only 6% of police and 0.5% of long distance truck drivers used condoms every time with partners other than their spouses or cohabitating partners. Sixty-three percent (63%) of police and 10% of drivers said they had sex with sex workers, according to this BSS.

**Youth at risk:** The age of sexual debut in Haiti continues to fall for both young men and women despite interventions promoting the delay of the initiation of first sex and abstinence. Twenty-eight percent (28%) of young women have sex before the age of 15. For young men, the average age of debut has dropped by 1.5 years to 15.3 years in 2005. Sixty-two percent (62%) of boys have sex before the age of 15. Rates of high-risk sex in young women and men are double the average rates in all adults 15-49 years of age. The DHS 2005 data suggest that increased assistance efforts need to directly address the high risk sexual behavior among youth in order to affect behavior change, reduce risky behavior and slow down HIV transmission among youth, especially, among young women who have Multiple Concurrent Partnerships (MCP.)

**Social and cultural context:** The social and cultural context in Haiti likely facilitates HIV transmission. There appears to be widespread social acceptance, and even encouragement, of Multiple Concurrent Partnerships among the general population. In the 2005 DHS, 62% of men and 29% of women between 15 and 49 reported having high risk sex within the last 12 months, defined as unprotected sex with a non-conjugal and non-cohabitating partner. Only 42% of men and 26% of women used a condom in their last high risk sex. Among

sexually-active 15-24 year olds, 95% of men and 55% of women engaged in high risk sex. Only 29% of sexually active females 15-24 years old and 43% of males 15-24 years old used condoms in their last high risk sex.

USAID/Haiti commissioned a study this year (2009) on the phenomenon that has become known as multiple concurrent partnering (MCP) in the HIV/AIDS literature, in response to data and conclusions coming out of studies undertaken in other countries that show evidence of MCP behavior contributing significantly to HIV transmission. The 2009 study on MCP in Haiti found that adults commonly participated in an on-going sexual network involving more than two people (a husband, a wife and a mistress or “tifam”, for instance) and that these networks, considered closed to outsiders and therefore “safe” networks, often contained at least one person who was involved in more than one network. The prevalence of Multiple Concurrent Partnerships that connect large numbers of people in a pattern of interlocking sexual networks puts many individuals and women especially, at risk. (“Qualitative Research on Multiple Concurrent Partnerships in Haiti,” MSH/LMS, Eveillard and Halperin, September 2009.)

**Poverty and transactional sex:** The ethnographic literature also highlights the relative disempowerment of women and widespread poverty and food insecurity that contribute to women’s vulnerability and to high levels of transactional sex. Although formal sex work exists, studies suggest that transactional sex in Haiti is primarily informal in nature, with women entering into sexual partnerships with men both to secure basic necessities like food, as well as to obtain luxuries like cell phones, clothes, transport and vacations. HIV prevalence is notably highest in areas with high economic activity including ports and border areas, where men and women with disposable income appear to be a key driver of the epidemic. Migrant or traveling workers who leave home for extended periods, including seasonal workers, market women and men, police and transport workers create a demand for casual sex partners while they are away from home.

**Condoms:** The availability of both socially marketed condoms and free condoms have steadily increased and both are widely accessible throughout the country. A strategy of making socially marketed condoms available in zones with suspected high levels of sexual risk behavior such as bars, nightclubs, brothels, hotel and motels has greatly increased condom availability at or near these sites. A PSI study of coverage, access and market penetration of condoms found that “Pante” condoms had 73% coverage throughout Haiti and 72% coverage in “quartiers chauds” or zones with suspected high rates of sexual risk behavior.

Progress has been measured in increased condom use by sex workers and their clients. In the 2006 BSS, 90% of sex workers reportedly used a condom with their last client. 97% of police and 60% of long distance drivers also reported using condoms in their last sex with a sex worker. However, despite the increased availability and higher levels of condom use among sex workers and their clients, inconsistent condom use among sexually active youths and general population adults in MCP continues to put those populations at risk. The PreVSIDA Program Recipient(s) will work closely with the USAID partners who are making USAID-donated condoms available through free distribution and through social marketing activities.

**Sexually transmitted infections (STIs):** Sexually transmitted infections are an important indicator of risk behavior and are considered a cofactor in the sexual transmission of HIV. The prevention of STIs and their timely treatment constitutes a priority for an effective response.

Though STIs are considered to be under reported, the 2005 DHS found that 9 % of women and 3 % of men between the ages of 15 and 49 said they had an STI during the previous 12 months. A more telling DHS statistic is the 20% of sexually active women who reported STI symptoms during the last 12 months such as abnormal vaginal discharges and genital ulcers. The DSH 2005 notes that these symptoms are not always a result of the presence of an STI and this figure should be considered an estimation of the level of the STI rates among

women. The regional departments that had the highest number of reported STIs or symptoms in the 2005 DHS were the departments of Nord-Ouest (28 %), Nord (27 %) and l'Artibonite (26 %). There were fewer men (3%) than women (9%) who declared they had an STI during the last 12 months. Six percent of men reported a discharge from their penis and 3% a genital ulcer.

The DHS 2005 reports that a third of women and men did not seek treatment. More than half of women (54%) and a smaller percentage of men (43%) went to a health facility or a health provider to get treatment. A quarter of men (24%) sought treatment from parents and friends. 14% of men and 9% of women sought medications for treatment at a pharmacy or "boutique." Data on reported symptoms of STIs from the 1994 DHS and the 2000 DHS when compared to the 2005 DHS data show an increase in STIs. Ten percent of women reported having a symptom of an STI in 1994. In 2000, 15% had at least one symptom in the last 12 months. In 2005, 21% of women reported having symptoms in the last 12 months.

In a 2007 study of risk-taking behavior among youth in Carrefour, a suburb of Port-au-Prince, less than half the health care sites in that zone were found to be providing STI services. A third of the young people surveyed sought no treatment when infected with an STI. This corresponds with the 2005 DHS that found that 34% of women and 30% of men infected with STIs also sought no treatment.

In the 2006 BSS, reports of having STI symptoms in the last 12 months was also high among sex workers (20%), police (16%), professional transport drivers (10%) and men who have sex with men – MSM - (9%). Less than half of the drivers and a third of police and MSM who had symptoms sought treatment in an appropriate health facility.

Besides the limited STI-related services found in health care sites, an added challenge for those seeking services is the difficulty of paying the cost of medications for treating STIs.

**Multiple Concurrent Partnerships:** There is encouraging evidence that men are increasingly using condoms in sexual relationships with commercial sex workers (CSW.) However, there has been a noticeable increase in Multiple Concurrent Partnerships among the general public, as measured by reported unprotected sex with partners other than conjugal or co-habiting partners, involving non-sex workers and condoms are much less likely to be used in these high risk relationships.

These relationships with mistresses, girlfriends and boyfriends usually fit the pattern of cross-generational sex. Older men with money, often referred to as "sugar daddies," seek sex with more economically deprived young women interested in gifts, money and other benefits in exchange for sex. There is ample proof of the impact of intergenerational sex on young women and girls between the ages of 15 and 24. They are at least two times more likely to be HIV infected than young males in the same age group (DHS 2005.) Younger women may be motivated to exchange sex for money out of economic survival or may be interested in other benefits including consumer goods like make-up, clothing, cell phones, computers and transport. According to focus group research in the 2009 MCP study, they typically do not perceive themselves to be sex workers and may find advantages in having several male boyfriends concurrently to maximize their benefits. And among adult men, having a second or third partner other than one's wife or co-habiting partner is widely accepted. While the young women involved in these "tifam" relationships may see this material benefit as a sign of "love", the men are more likely to see it as creating a sense of ownership over women's sexuality. (*ibid.*)

This practice of having more than one long-term, simultaneous (or concurrent) sexual relationship that overlaps anywhere from a few months to many years presents a higher risk for the spread of HIV than most encounters with a commercial sex worker (CSW). This reality is not widely known in Haiti and one of the key goals of the PrevsIDA Project is to educate the general public about the risk involved in this behavior in the interest of

changing behavioral and societal norms. Since one or more of the partners involved in the concurrent partner relationship network may also have other partners who also may have other partners, a chain of interlocking networks of sexual partnering is created. If one person in this web of concurrent sexual relationships becomes infected with HIV, all become vulnerable. In addition, the HIV virus is particularly virulent in the newly infected and thus a newly-infected person in one of these networks will tend to infect the others more easily.

By contrast, there is less likelihood of becoming infected in a single encounter with a commercial sex worker (CSW), since condoms are more likely to be used than with a trusted sexual partner. Additionally, the CSW, if infected, is likely to have a less virulent form of HIV as it is more likely to be well established. There are usually a greater number of sexual contacts between partners in MCP relationships than with a CSW since MCP relationships are longer-term. The perception is that there is a high risk of HIV infection from sex with a CSW; however those engaged in Multiple Concurrent Partnerships usually see their partners as being a low risk for HIV infection and condoms are less likely to be used. Another dimension of these longer-term “tifa” sexual relationships is the “trusted partner” phenomenon where condoms may be used initially but use is abandoned over time as trust builds, but without testing for HIV infection. There is also evidence that those in concurrent relationships make the judgment that their partner is likely not to be infected because of his or her appearance or social standing.

Since older men tend to pass HIV infection along to younger women who then infect their younger male partners who then infect their wives or cohabitating partners, reducing rates of trans-generational sex and MCP would reduce the spread of HIV. Interventions targeting this type of relationship are challenging since there are no obvious institutional or geographical venues to reach this target population, as there is with more overt commercial sex workers and other most-at-risk populations.

It should be noted that MCP is not practiced exclusively between young women and older men. Young men, especially those with newly acquired income, also seek sexual partnerships with more than one young woman and stay in those relationships simultaneously. Married and older women, some of whom fit the profile of “sugar mommies,” may also seek Multiple Concurrent Partnerships. Gaining insights into the common patterns of Multiple Concurrent Partnerships in order to establish target population priorities will be expected of the successful applicant(s) to this RFA.

**Workplace interventions:** The workplace is proven to be a good venue for conducting HIV/AIDS prevention activities that have a significant impact on transmission, especially if the occupations of particular sectors present situations for establishing Multiple Concurrent Partner relationships that lead to high risk sex. The transport (drivers) and security (police) sectors have already received special attention in Haiti. Other sectors, like hotels and restaurants where employees are exposed to travelers and tourists, banking and commercial enterprises that have auditors or sales people traveling away from home frequently and industries like manufacturing that have large numbers of women who may seek to supplement their low incomes with transactional sex, may also benefit from prevention efforts.

Workplace interventions can be particularly useful when targeting men who have regular incomes that permit them to maintain Multiple Concurrent Partnerships. The reduction of sexual harassment and exploitation within the workplace can also contribute to reducing HIV transmission vulnerability.

Workplace interventions have the advantage of providing relatively easy access to target populations and have a greater chance of being sustained if the benefits of protecting workers from HIV are understood and appreciated by workplace managers. For example, automobile dealers may wish to invest in HIV prevention programming to protect their skilled sales staff and mechanics.

**State of the health sector in Haiti:** Lack of access to primary health care in Haiti is associated with the worst health indicators in the Western Hemisphere. Close to 10% of Haitian children die before reaching their fifth birthday; maternal mortality, at 630 deaths/100,000 live births, claims over 2000 maternal lives annually. Total fertility stands at 4.0 births per woman, with a modern method contraceptive prevalence rate of 23 percent. Access to and use of quality health care services is low. An estimated 40% of Haitians do not have access to care due to limited geographical coverage of services, particularly in mountainous and hard to reach rural areas; lack of and high cost of transportation; and fees for service that are unaffordable to an increasing proportion of the population. While the donor community is engaging the Government of Haiti (GOH) in strengthening the health sector and improving health indicators, the health care system remains weak, disorganized, understaffed, underequipped and underfunded, resulting in poor quality service delivery, particularly in publically managed facilities.

**USAID Country Strategy:** The USAID Country Strategy for Haiti 2007-2009 is currently under review in preparation for a new USAID Country Strategy for Haiti 2010-2012. The Country Strategy builds on over 40 years of United States Government (USG) humanitarian relief, health, and development experience in the country. It focuses development assistance through the analytic lens provided in the *New U.S. Government Strategic Framework for Foreign Assistance*. This RFA is consistent with this framework and focuses resources in the Health Program Area of the Investing In People (IIP) Objective, contributing to the investment in lives of people for “Rebuilding Countries” (i.e. states that are in or emerging from and rebuilding after internal or external conflict). Under the Health Program Area, this RFA addresses Element 1.1 HIV/AIDS.

Haiti is one of 15 focus countries receiving funding under the President’s Emergency Plan for AIDS Relief (PEPFAR) and, as such, this program will be consistent with the policies and guidance pertaining to PEPFAR. The Emergency Plan, initiated in 2003, is an integrated U.S. Government response led by the U.S. Embassy and managed in Haiti by USAID and the Centers for Disease Control and Prevention (CDC). The first phase of the Emergency Plan (2004-2008) has provided USAID and its USG partner agencies an opportunity to rapidly expand the scope of HIV/AIDS activities in Haiti, including the provision of anti-retroviral therapy (ART), within the Government of Haiti (GoH) HIV/AIDS program, reflecting its strategic plan and priorities. The current USAID/Haiti Country Strategic Framework, the IIP Objective and the PEPFAR Program address three vulnerable demographic target groups: 1) children and youth under 25, 2) women and 3) special concerns groups, such as persons exposed to and/or living with HIV/AIDS (PLWHAs), tuberculosis (TB) patients and trafficked persons. The USG PEPFAR Program supports HIV/AIDS activities on a national level. Under this RFA, assistance will be targeted nationwide, in all 10 geographical departments of Haiti.

The USAID strategy remains flexible so that USG may respond to evolving political, social, and economic realities in Haiti. The April 2008 food price riots and subsequent dismissal of the Prime Minister are examples of challenges in the Government of Haiti’s ever-evolving attempt to govern and address the basic needs of its people. The USAID strategy recognizes that it will take time for the effectiveness of state institutions to improve and that there will be setbacks as well as progress, and stability will be uneven and not easily achieved. Work under this/these cooperative agreements will necessarily need to remain responsive to possible shifting USG strategies.

USAID has been engaged for over forty years in social sector development with programs in health, education, and food security. Conditions of basic services in all three of these sectors have deteriorated badly over the past two decades. The bulk of Haiti’s population is chronically food insecure, with decreases in food production making the situation increasingly fragile, as Haiti teeters on the brink of becoming a chronic food deficit country. This paradigm of decline across sectors is due to government mismanagement and corruption, political and economic instability and natural disasters. Despite these obstacles, USAID’s health sector assistance during the past several years has continued to achieve results.

**Continuity of the USG PEPFAR program:** The second phase of the PEPFAR Program (2009-2014) moves beyond the emergency phase of PEPFAR I and, as laid out in the U.S. Congress's reauthorization of PEPFAR funding as well as in the new USG *Five Year Strategy for HIV/AIDS*, seeks to strengthen health care systems and government responses to HIV/AIDS in order to consolidate and expand on the gains made under PEPFAR I while fostering and transferring ownership and responsibility for managing the response to local governments and civil society. Prevention of new cases of HIV continues to be a key component of PEPFAR II with funding being applied to activities in prevention of mother to child transmission (PMTCT), prevention of transmission through contaminated blood (through safe blood, injections safety and post-exposure prophylaxis interventions) and prevention on sexual transmission, the subject of this RFA. The following provides a summary of USG (USAID and CDC) PEPFAR I projects for the prevention of sexual transmission that have terminated or will terminate in 2010.. The Recipient(s) under PrevSIDA is/are expected to build on and ensure continuity of the key aspects of the activities developed and carried out by these projects.

- FOSREF, local NGO, targets youth and sex workers. Creation of youth-friendly and sex worker-friendly reproductive health services and youth centers in all departments of the country. The 32 youth and sex worker centers also distribute free condoms.
- POZ, a local NGO that works closely with PLWA support groups runs a successful HIV and STI telephone hotline and has prevention and support programs for men who have sex with men.
- Family Health International has been working with police and other persons in uniform in prevention and support programs.
- American Red Cross has been working with youth with a Creole-adapted version of their Together We Can program, a model approach to engaging youth in healthier lifestyles that includes preventive behavior for HIV transmission.
- Three faith-based organizations, World Relief, World Vision and Food for the Hungry, have focused their HIV prevention efforts on youth, parents and community leaders in church groups and faith-based community organizations.

**Government of Haiti response:** It is in a context of political and social instability and a weak health care system that the GOH, relying heavily on NGO partners with strong, existing HIV/AIDS programs and with substantial USG and other development partner assistance, is increasingly taking on a leadership role in mobilizing a nationwide prevention, care, and treatment response. A Country Coordinating Mechanism (CCM), established for the oversight of the four AIDS grants to the country from the Global Fund, as well as a tuberculosis and malaria grant, engages a wide range of government ministries, civil society groups and international partners in frequent dialogue on strategy, direction and oversight of the Global Fund grants. The Prime Minister is the president of the CCM, a role he delegates to a member of his staff. Because the CCM only coordinates funding from the Global Fund, the PEPFAR program funding, as well as that of other major donors like the Canadian International Development Agency, are outside its field of action. A Program Coordination Unit within the Ministry of Health that houses the AIDS National Plan Coordinator and a small staff, does its best to coordinate all external and national funding for HIV/AIDS but lacks real leadership capacity. A new initiative by the Prime Minister's office to establish a multi-sectoral National AIDS Commission (CNLS – *Commission Nationale pour la Lutte contre le SIDA*) promises to provide the high-level visibility and coordination that is needed for the GOH to take effective leadership in the national response.

The GOH has committed to engage the highest levels of political leadership in responding to the challenge of HIV and AIDS when it released its national strategic plan "*Plan Stratégique National Multisectoral 2008-2012.*" The objective of reducing the risk of HIV infection by unifying the efforts of the different GOH ministries and NGOs was established. The CNLS was given the responsibility for coordinating the effort. The multi-sectoral plan includes reduction of risk and reduction of vulnerability as two of its primary intervention

axis. This includes the promotion of risk reducing behaviors, diagnosis and treatment of sexually transmitted infections and the promotion and distribution of condoms. To reduce vulnerability, the plan calls for giving particular attention to youth, women, the ethno-cultural environment as well as poverty.

The strategic risk reduction axis of the plan specifically calls for the reduction of multiple partners among youths 15-24; an increase in the percentage of circumcised sexually active men; an increase in the percentage of schools with sex education; an increase in the number of youth 15-24 who used condoms in their last casual sex act; and an increase in those seeking voluntary counseling and testing.

The reduction of vulnerability to HIV axis aims to improve the social and economic situation of vulnerable groups by reducing unemployment. It also calls for reducing the percentage of children under 15 with no formal education and increase the percentage of orphans and vulnerable children in school. The reinforcement of social services and protection of minors to reduce the number of sexually abused children. Finally, it calls for psychosocial and medical support of raped women by increasing the number of health service centers that offer support to raped women.

### ***C. OVER-ARCHING PROGRAM GOAL AND RATIONALE***

#### **Over-arching Program Goal:**

***Increased adoption of safer sexual behaviors by Haitian youth and adults***

Twenty-five years after the first AIDS case was diagnosed in Haiti, there is a continued need to expand and strengthen the current level of limited prevention efforts. While initial treatment efforts have shown positive results, expanded and intensified prevention programs are essential to prevent the continued spread of HIV and the expanding and increasingly unsustainable need for treatment and care.

**Emphasis on sexual transmission of HIV for youth:** The two components proposed under this RFA are complementary; both will contribute to the overall goal of “Increased adoption of safer sexual behaviors by Haitian youth and adults.” Since heterosexual intercourse is estimated to account for almost 95% of HIV transmission in Haiti, reducing risky sexual behavior among the general population is key to decreasing new HIV infections.

The first phase of PEPFAR provided substantial resources for youth-related prevention activities but much of it was spent on diverse interventions with no overall strategic framework. The USG seeks to provide support for youth interventions that is focused and strategic, in order to maximize the impact of PEPFAR II funds. A focus on sexually active youth or youth who are about to become sexually active is critical; the majority of people who were infected with HIV between the 2000 and the 2005 DHS surveys were under 25.

**Rationale for two components:** The decision to make two distinct, but complementary, components for the PrevSIDA Program reflects the need to adopt distinct prevention strategies for a first target group composed of general population youth and adults, many of whom who are engaged in Multiple Concurrent Partnerships with little or no contact with commercial sex workers, and a second target group composed of most-at-risk population (MARP) groups with a high prevalence of risky sexual behavior typically associated with high risk venues or activities.

Interventions for the general population will focus on the adoption of fundamental changes in social, cultural, and gender norms that reduces the occurrence of high risk sex, defined as unprotected intercourse with partners other than the conjugal or co-habiting partner. This concentration on social and normative change, especially relating to youth sexuality and Multiple Concurrent Partnerships, is key to supporting changes in individual



risky behavior. It will be a major challenge to develop effective strategies that inspire normative change without alienating those at risk with approaches that promote behaviors which are impossible or difficult to adopt. It is an added challenge that those targeted for these interventions are among the general population, with no easily identified venues that promote the risky sexual relationships.

Interventions for MARP populations will focus on increased availability and promotion of condoms, as well as intensified risk reduction counseling and STI treatment services. Venues for high risk sex with MARP groups are more easily targeted for prevention interventions than with the general population high risk sex. MARP targeted interventions include, but are not limited to commercial sex workers of both sexes; women engaging in frequent, informal transactional sex; men and women in mobile occupations with disposable income; and the venues where they go to meet sexual partners.

#### ***D. STRATEGIC PRINCIPLES***

Both components of this prevention effort should incorporate a set of cross-cutting strategic principles:

##### ***Scale and Coverage:***

The level of USG HIV/AIDS assistance for prevention of sexual transmission of HIV/AIDS in Haiti is modest relative to Haiti's population size and geographic diversity. The choice of programmatic strategies needs to take into account the need to deploy USG resources strategically for the greatest possible impact on HIV sexual transmission, including maximizing geographic and population coverage.

##### ***Epidemiological Relevance:***

The proposed prevention activities should develop programmatic strategies and target resources based on relevant quantitative and qualitative data about the AIDS epidemic in Haiti. This should include a sharp focus on the populations, geographic areas and behavioral drivers most salient to the transmission of HIV in Haiti. The component for sexually active general population should not only incorporate a greater emphasis on reducing multiple partners and concurrency, but also promote consistent and correct condom use and rapid treatment of sexually transmitted infections. The component targeting high-risk behaviors of most-at-risk groups should also incorporate a strong emphasis on condoms, as well as content on risk assessment, voluntary HIV counseling and testing, specific prevention efforts for HIV positive persons and family planning.

##### ***Best Practice Interventions:***

The proposed activities should incorporate basic principles of high quality behavior change programming. Interventions should be data-driven and based on formative research and behavioral theory. They should have sufficient flexibility to allow for modification over the life of the project based on new epidemiological and program monitoring data as well as implementation experience. To the extent feasible, projects should adapt and replicate evidence-based program models from similar settings in other countries. Behavior change activities should incorporate linked, multi-level interventions with systematic approaches to providing adequate "dose" and "intensity." Especially for the general population interventions with youth and MCP, the emphasis should be on changing social norms as well as individual behaviors.

##### ***Integration and Linkages:***

Activities should strengthen referrals between prevention communication activities and services such as those for sexually transmitted infection treatment, voluntary counseling and testing, discordant couple counseling and family planning. Integration into these services should be tailored to the different target populations whenever possible. User-friendly services are especially important for sexually active youth and most-at-risk-populations like CSW and MSM. Links should be sought to income generation programs

designed to increase the economic means of women, thereby addressing a key underlying cause for the gender-based violence that puts women at increased risk for HIV.

***Alcohol and Other Substance Abuse:***

Prevention interventions for all the target populations should integrate sensitization to the role of alcohol and, to a lesser degree, other substance abuse in disinhibition and increased sexual risk behavior. Intensified strategies to reduce alcohol and substance use will be particularly needed at places where alcohol is sold. This would involve the engagement of managers and owners of bars, brothels and nightclubs.

***Gender:***

Societal expectations and norms about appropriate male and female behaviors, characteristics, and roles profoundly shape the epidemic in Haiti. Interventions should be designed to address underlying gender dynamics and norms that increase vulnerability to HIV infection for both men and women. Consideration should also be given to the role of sexual violence in making women particularly vulnerable to HIV transmission. As stated above, interventions to address gender-based violence should be linked to income-generation activities for women.

***In-Country Partnerships:***

The proposed project(s) is/are expected to work in partnership with Haitian organizations and to strengthen the technical capacity of in-country partners to implement effective prevention interventions. Such partners include governmental and non-governmental organizations, community-based groups and industrial and commercial establishments that have proven success in reaching and engaging the target populations, including those at the regional department level. Opportunities to leverage resources and increase coverage through public-private partnerships are encouraged. Approaches to developing technical expertise should emphasize newer partnership models between peer organizations with a shared vision and experience. Activities should provide mentorship to selected centers of excellence to assume a technical leadership role at the national level.

These principles will be integrated across the technical approaches supported under each of the two components. These interventions and expected outcomes are further elaborated in the following sections. In these sections, the RFA refers to the activity to address prevention for general population sexually-active youths and adults, with particular attention to those in MCP, as "Component I," and the activity to address most-at-risk populations and settings that foster high-risk behavior as "Component II". The component-specific Program Description information follows.

***E. PrevSIDA Program Components***

**Component 1: Prevention for general population sexually active youth and adults**

**Objectives and technical interventions:** Behavior change communication is most effective when it goes beyond a focus on the individual to address normative and contextual factors and to create a supportive social environment for change, especially if such changes are to be sustained over time. In Haitian society, where multiple and concurrent sexual partnerships are widely accepted socially, individuals and communities need to collectively recognize the risks associated with these partnerships, and to reaffirm the protection conferred by partner reduction and condom use. There is a need to strengthen the quality of prevention interventions for sexually active youth by ensuring consistency of messaging by different implementing partners and thus maximizing the potential to bring about measurable normative and behavioral change as well as reductions in HIV transmission.

The PrevSIDA Program will also promote the importance of knowing one's own and one's partner's sero-status, and strengthen referrals to other HIV and other health services, especially HIV voluntary counseling and testing (VCT), prevention for positives and discordant couple counseling. Moreover, to take advantage of every opportunity to promote preventive behaviors, other HIV and health services should more systematically integrate prevention counseling, with messages tailored to specific settings and individual circumstances. Accordingly, the prevention program for general population sexually active youth and adults will adopt the following, mutually supportive strategies: (1) influence social norms, attitudes, and values that contribute to the spread of HIV; (2) deepen individual understanding of HIV risk and self-efficacy to prevent HIV infection; (3) strengthen Haitian government and civil society capacity to lead the national response and to harmonize the delivery of high-quality HIV prevention services at scale; and (4) link HIV prevention interventions with other HIV and health services. Collectively, these will contribute to the over-arching strategic objective: Increased adoption of safer sexual behaviors by Haitian youth and adults.

Applicants should focus proposed strategies on the program objectives and associated activities described below.

### **Component 1 Objective 1**

***Educate and mobilize communities to adopt responsible social norms, attitudes, and values that reduce vulnerability to HIV sexual transmission***

To effect change in Haitian social, cultural, and gender norms that contribute to HIV transmission, Component I will support a comprehensive, multi-level approach that combines linked, mutually reinforcing, national and local mass media, advocacy, community mobilization, and interpersonal communication interventions. These efforts will also be informed by a robust agenda of formative research. The primary thrust of these education and communication campaigns should be to promote sexual responsibility, including partner reduction in multiple and concurrent partnerships. The affirmation that sexually active youth and those engaged in MCP have a responsibility to themselves and others to avoid the negative consequences of unprotected sexual relations with multiple partners will be emphasized.

Activities under this objective of Component 1 will address issues that affect the vulnerability of women, particularly those vulnerable to the effects of poverty, that include tailored messages emphasizing the risks intrinsic to transactional sexual relationships. It will address the barriers to avoiding and ending such relationships, the power dynamics and inequitable gender norms that underlie the relationships and link women to income generation programs in order to address the economic issues that are typically associated with transactional sex. Complementary media themes will include the importance of knowing one's own and one's partner's HIV status; accurate information about condoms; strategies to overcome obstacles to condom use; and sensitization to the role of alcohol and other substance abuse in disinhibition.

The role sexual violence plays in making female youth and adults vulnerable to HIV infection needs further investigation. One study of young women in Carrefour found a third of them were raped for their first sexual experience. Strategies to address sexual violence and the role played by the lack of economic means in making a woman vulnerable to sexual violence will require specific attention.

Communication activities under this objective will be closely linked to community advocacy and mobilization activities that further reinforce these normative messages. Community leaders and other people of influence (youth leaders, peers, workplace supervisors, celebrities, etc.) will be engaged as sources of normative authority and be trained in advocacy for prevention. The program will support and involve these leaders in structured prevention interventions, drawing on proven models from other settings for possible adaptation and replication. Formative research with the target populations should guide the selection of what individuals and groups have

influence on what target populations.

Consideration should be given to maximizing community-based interventions by amplifying them through the engagement of local media with particular emphasis on local radio, in coordination with other PEPFAR funded communication projects, particularly the PROMARK Project.

This objective of Component I will also support advocacy and policy development activities targeting national leaders, including traditional leaders, to discourage multiple partnerships and unprotected sex in casual relationships along with sexual coercion and sexual violence.

**Component 1 Objective 2**

***Increase individual perception of HIV risk and self-efficacy to prevent HIV sexual infection among general population sexually active youth and adults with casual partners and those in Multiple Concurrent Partnerships***

Haitian youth and adults in MCP demonstrate high awareness of the modes of HIV transmission and the risks associated with unprotected sexual relations with casual partners yet, for the most part, they do not show corresponding reductions in risky behavior. The trend is to attempt to manage these risks by denying that their casual partners are a risk because they “trust” them, imagine that they do not have other sexual partners or believe them not to be HIV positive because they look healthy or come from a certain economic and social stratum.

Component 1, Objective 2 will employ proven interpersonal communication strategies such as peer education, as well as innovative new approaches, to increase individual risk perception. Particular emphasis should be placed on promoting openness and the discussion of sexual behavior and casual and multiple partnerships among married and cohabitating couples, as well as dispelling notions that certain socioeconomic classes are at low risk for having HIV.

Individual behavior change approaches should be complementary to and use messages that harmonize with the community and national level campaigns surrounding partner reduction and condom use. It is not expected that condoms will be procured as part of this award for either free distribution or socially marketing. But considering the important role of condoms in reducing the risk of sexual transmission, the Recipient(s) will establish close collaboration with the USG funded social marketing PROMARK project as well as the MSH/LMS project responsible for distributing free condoms. This will ensure access to affordable or free condoms by sexually active youth and adults.

Component I, Objective 2 will explore varied strategies for reaching different sub-populations of the general population with evidence-based HIV prevention strategies. Formative research will identify appropriate focused messages tailored to these sub-populations. For instance, sexually active youths can be broken down by gender, age, location and even by risk co-factors such as being orphaned, proximity to “hot spots” or engagement in occupations that put them at particular risk, such as mobile female hawkers in markets. Those engaged in casual or multiple concurrent partnerships can be both men and women, rural and urban, married and unmarried, young or old.

Based on experience in other countries, alcohol and other substance use likely play a significant role in HIV transmission in Haiti. The program will carry out formative research on alcohol use and other drugs (especially marijuana) in Haiti. This research will be used to develop interventions to sensitize individuals to the effects of alcohol in particular in increasing risk behavior.

Economic factors play an important role in motivating female youths and adult women to engage in transactional sex and MCPs. Where feasible, links should be established to job creation and micro-credit projects that promote alternative livelihoods for women.

**Component 1 Objective 3**

***Provide leadership and support to USG partners and Haitian institutions supporting high quality behavior change interventions that are evidence-based.***

Provision of technical leadership and coordination of implementing partners are hallmarks of strong national prevention programs. Technical leadership is essential to strengthen the quality and robustness of behavior change interventions (i.e., that they incorporate evidence-based approaches, established best practices, are well targeted, and have sufficient dose and intensity, etc.) This in turn is critical to the effectiveness of prevention programs. Close coordination of HIV prevention activities with other programs funded by PEPFAR and other donors is important to ensure consistency of prevention messages across partners, and to exploit potential synergies between mass media and interpersonal communications. Coordination is also important to ensure adequate coverage of priority populations and geographic areas, to avoid duplication and overlap, and to ensure the efficient use of available resources.

Under Component 1, Objective 3, the Recipient(s) will support the USG PEPFAR team in involving prevention partners in a community of practice to share knowledge, skills and experience. The program will promote synergies across USG-funded prevention partners by ensuring high quality programming and unified messaging and will provide technical leadership, for example, promoting the use of internationally-established best practices in such areas as peer education and workplace programs. It will facilitate sharing of quality program tools, materials, and promote collaboration across USG partners at the national, district and community level.

The program will also support the Government of Haiti HIV/AIDS partners and other key Haitian institutions in providing leadership and coordination for prevention efforts. This role could potentially involve such tasks as helping to convene partners on a regular basis in order to harmonize prevention messages, share formative research results and exchange implementation successes, challenges and lessons learned. Engagement with the private sector should be explored, including workplace prevention strategies particularly in reaching those in Multiple Concurrent Partnerships. The program will assist in mapping prevention interventions relative to epidemiological priorities, and develop networks of service delivery organizations at the local level to facilitate cross-referrals. Under this objective of Component 1, the Recipient(s) will also disseminate new epidemiological data, behavioral data and evaluation findings to prevention partners.

**Component 1 Objective 4**

***Strategically link communication and education interventions for sexual prevention of HIV with other HIV and health services***

There has been a rapid scale-up of HIV related services over the past seven years in Haiti which creates opportunities to integrate prevention messages within these services, including most notably HIV voluntary counseling and testing (VCT), counseling of discordant couples, diagnosis and treatment of sexually transmitted infection and family planning services. Nuanced messages are needed for the different target populations accessing these services; different counseling strategies may resonate with sexually active youth and men in Multiple Concurrent Partnerships. Prevention counseling in clinical settings, especially with services such as VCT that involve a one-time contact with a facility may also need reinforcement in post-test clubs that keep individuals engaged in HIV prevention efforts.

Mobile VCT has met with success in some settings in Haiti and has the advantage of targeting sexually active youth and adults engaging in casual relationships where they congregate, work or socialize. The use of this strategy to provide VCT services to Component 1 target populations where appropriate should be considered.

USG partners providing clinic-based services, often with community linkages, also provide a vehicle to broaden access to prevention interventions. In particular, they have the potential to increase knowledge about and access to post-exposure prophylaxis (PEP) for key target populations such as rape victims and women and men engaged in transactional sex and provide counseling for discordant couples. Under Component 1, Objective 4 strong linkages should be established with these partners in order to broaden access to new prevention technologies.

**Geographic Focus of Component 1:** Where appropriate, the scope of the activities under Component I will be national, as with for example, mass media communication activities coordinated with other PEPFAR funded partners doing similar interventions. Since USG resources are probably insufficient to provide national coverage of more intensive (and high cost) community outreach and interpersonal approaches, these activities under Component 1 will need to be focused in selected geographic areas. Based on epidemiological patterns and other concerns, applicants should propose how they plan to use USG resources strategically and in coordination and collaboration with other USG partners working in HIV prevention communication to achieve the broadest possible coverage and impact.

Criteria for selecting geographic areas of focus should include HIV prevalence, with special attention to seaports and border areas; rural and peri-urban areas where data show a rising trend in HIV prevalence; localities currently lacking prevention interventions; and areas where partners can effectively build on current USG-funded efforts and be complementary to already funded efforts.

**Component 2: Prevention for Most at Risk Populations and in Settings Characterized by High Risk Behaviors**

**Objectives and technical interventions:** In generalized epidemics, some population sub-groups and localities contribute disproportionately to HIV transmission. These sub-populations often represent a significant source of new infections, and historically served to ‘bridge’ transmission to the general population. Intensified HIV prevention activities targeting populations and venues where known high-risk sexual behavior is occurring complement interventions for general population groups like sexually active youth and adults practicing high risk sex in Multiple Concurrent Partnerships and casual sexual contacts, and are a critical component of a comprehensive prevention program.

In Haiti, the populations assumed to be at greatest risk for exposure to HIV include mobile populations (migrant workers, professional drivers of vans, buses and trucks), the police, fishermen, men who have sex with men, sex workers and women who are forced into transactional sex to obtain income for their families.

According to the 2006 Behavior Surveillance Survey (BSS), the prevalence of unprotected sex with casual partners ranged from only 3% among female sex workers to as high as 99% among professional drivers. More than half of police (56%) and 28% of MSM did not use condoms with casual partners.

The data confirm the need for increased systematic, data-driven prioritization of most-at-risk-populations (MARPs). In particular, intensified prevention coverage of female sex workers should continue to be a critical component of HIV prevention efforts in Haiti, despite evidence of good progress, as younger women not exposed to previous prevention interventions start working as sex workers. Moreover, there is very little data-driven estimation of the size or characterization of prevention coverage for these groups. The contribution of

MSM to HIV transmission in Haiti is also unclear. There has been minimal systematic research and discourse about this population, though MSM were included in the most recent BSS. The Recipient(s) will include data gathering and research efforts to fill these knowledge gaps and improve prevention programming.

Interventions targeting MARP have been clearly linked to decreases in HIV prevalence in the general population in some countries in Asia. The impact of such interventions on overall HIV prevalence is less clear in Haiti. However, targeted outreach has demonstrated success in raising awareness of risk and reducing risky behavior; in particular, it has been associated with increased condom use, and to some extent, with decreases in the incidence of sexually-transmitted infections.

To ensure effective prevention among most-at-risk populations, it is imperative that interventions be implemented with appropriate coverage and intensity, targeting the populations and locales where exposure is highest. Accordingly, Component 2 will target most-at-risk populations and settings by adopting the following, mutually supportive strategies: (1) conduct mapping and other analytical work to identify population sub-groups and venues with high levels of high-risk behavior and to understand their underlying dynamics; (2) expand and intensify targeted outreach to these populations and venues to promote condom use and provide risk reduction counseling; (3) coordinate the social marketing of condoms to ensure their wide availability, together with targeted free condom distribution to the most-at-risk populations and venues; and (4) link prevention interventions for these populations to comprehensive HIV and health services. Collectively, these will contribute to the over-arching goal of the PrevSIDA Program: Increased adoption of safer sexual behaviors by Haitian youth and adults.

The applicant should focus proposed strategies on the program objectives and associated activities described below.

**Component 2 Objective 1**

***Identify populations and settings with high prevalence of high-risk sexual behaviors and the dynamics of the behavior***

A high priority is to systematically identify, characterize and prioritize populations that have high levels of high-risk behavior with casual partners and the settings where they go to actively seek out new sexual partners. In a generalized epidemic, it is important to go beyond geographic prevalence patterns and to adapt prevention efforts to the target groups. For example, interventions directed towards female sex workers will differ from those targeting women engaging in transactional sex with regards to locales, underlying social factors and social acceptance. For effective matching of interventions to specific risk behavior patterns, it is also critical to understand the dynamics that motivate these interactions.

At the outset of the project, a mapping exercise should be carried out under Component 2. These data should be analyzed in concert with the growing body of quantitative and qualitative HIV data in Haiti that contributes to overall understanding of the epidemic, especially data on most-at-risk populations in the 2006 BSS and PLACE (Priorities for Local AIDS Control Efforts) studies. Given limited USG resources, systematic mapping and identification of coverage gaps is critical for setting prevention priorities. Mapping should be supplemented by formative research to fill gaps in knowledge, for example, to better understand MSM behavior in Haiti.

A methodology for mapping venues where people gather and meet new sexual partners has already been employed in Haiti. One such example, developed by MEASURE Evaluation, is the PLACE methodology. PLACE is a rapid assessment tool to locate and characterize settings where people meet partners, followed up with site visits to gather data on partnership formation rates; dynamics of partnership formation; coverage of prevention activities, including the availability of condoms; and clientele willingness to participate in

HIV/AIDS programs. Other organizations in Haiti have also developed methodologies and tools for characterizing, mapping and estimating the size of target groups in various contexts and these should be explored for possible replication.

Other resources to support these types of exercises are available, including *Estimating the Size of Populations at Risk for HIV: Issues and Methods* (UNAIDS/WHO Working Group on HIV/AIDS/STI Surveillance, 2003), *Evaluating Programs for HIV/AIDS Prevention and Care in Developing Countries: A Handbook for Program Managers and Decision Makers* (Family Health International, 2001) and others.

The mapping exercise, together with an understanding of the dynamics of sexual behavior, should be the basis for planning program interventions. The mapping process should be repeated periodically to assess coverage of program interventions and to update the information. The exercise should create a framework for more responsive programming in high-transmission settings.

### **Component 2 Objective 2**

#### ***Expand targeted condom promotion and availability and risk reduction counseling for most-at-risk populations and venues***

Overcoming obstacles to condom use and creating more realistic risk perceptions that would lead to more systematic condom use will be an important dimension to Component 2. Condom use should be promoted through improved self-efficacy, including skills relating to condom negotiation and use. Risk reduction counseling should also discuss the role of alcohol and other substance use in disinhibition and increased levels of unprotected sex, especially with patrons and employees of nightclubs, bars and brothels.

Component 2, Objective 2 should utilize both innovative and proven strategies to deploy these interventions in venues where most-at-risk populations work, socialize and meet sexual partners. Coverage and intensity of efforts among female sex workers should be improved. Since groups such as male clients of sex workers and migrant workers serve as a bridge for HIV transmission to the general population, interventions tailored to most-at-risk men should be strengthened. Special consideration should be given to mobile interventions that could potentially better respond to the lifestyles and prevention needs of migrant workers, long-distance bus, van and truck drivers, police and other mobile populations. The program should engage local and national authorities in dialogue about the potential for structural interventions to create safer environments (regulating hours for bars, interdiction of minors in bars, nightclubs and hotels, etc.).

It is essential that these efforts be developed in partnership with local organizations, especially NGOs that represent, reach and serve these most-at-risk and often hard-to-reach populations. The Component 2 program should build capacity to scale up outreach and interpersonal communications that is sensitive to the needs of MARP and to the contextual factors that influence their behaviors.

Workplace interventions that include peer education, have proven to be a successful strategy for reaching most-at-risk populations in a variety of settings and has not been fully exploited in Haiti should be expanded. Coordinating these workplace interventions with the availability of socially marketed condoms is also a proven strategy. Involvement of peer leaders and networks in designing and promoting prevention interventions, and systematic training of members of these groups as peer educators and outreach workers, can improve the relevance of prevention efforts, enhance access to these populations, and establish trust.

An increasing number of people know their HIV status and often learn they are HIV positive well before they develop opportunistic infections. There is also an increase in the number of people who have access to anti-retroviral treatment. The net result is that there is an increasingly large number of positive men and women who



are healthy and leading normal lives including sexual activity. The USG is supporting activities such as PMTCT, discordant couple counseling, prevention for positives, home-based care and the creation of PLWHA support groups to address the special needs of PLWHA. They are arguably the most important of the most-at-risk populations. Component 2 should support NGOs and community based organizations, including PLWHA groups, in incorporating robust prevention counseling and best practice interpersonal communications into their programs, especially activities for prevention with positives and discordant couples. The program should ensure access to affordable or free condoms to PLWHA and also establish effective referral systems where capacity for true integration of services is limited.

The PROMARK project's socially-marketed condoms continue to meet a need for condoms that are affordable and widely available through convenient retail networks. Component 2 will work closely with PSI to ensure that the distribution, sale and promotion of subsidized condoms through retail outlets and NGOs meet the needs for condoms of the identified most-at-risk populations and with Management Sciences for Health (MSH)'s LMS Project to ensure that free condoms are available where needed. This effort should be expanded to "hot spots" that are currently not covered. Linkages should also be made with institutions that regularly interact with MARP to ensure access to socially marketed condom and, if available through existing channels, free condoms.

Making condoms readily available in the places where people meet sexual partners is critical to increase the probability that people will use them, particularly for most-at-risk populations. Based on the systematic mapping of high-transmission areas, the behavioral determinants of most-at-risk populations, and identification of venues, activities under Component 2 will expand the reach of targeted condom sales and increase their availability in high-risk settings. Condom distribution should also be linked to communication and education activities promoting consistent condom use and realistic risk perception and partner reduction, as well as alcohol and drug abuse (see component 2 Objective 2).

The effectiveness of strategies for distributing socially-marketed female condoms should also be evaluated, and strategies developed to increase their availability and acceptability, particularly among most-at-risk female populations including sex workers.

### **Component 2 Objective 3**

***Establish and strengthen linkages and referrals to comprehensive HIV, health and socioeconomic services for most-at-risk populations***

Preventive health services for most-at-risk populations should be part of a comprehensive package of services, including management of sexually-transmitted infections (STIs), voluntary counseling and testing, referral to care and treatment, and family planning and reproductive health services. These services could be provided by way of integration within the same facility or through strong referral linkages to other facilities, but should be accessible to the targeted populations where they live and/or work. Attention should be given to strategies to decrease health care provider biases and stigma when working with populations engaging in high-risk behaviors.

Component 2, Objective 3 should also explore mobile HIV testing in priority locales as a strategy to bring services closer to their clientele. Availability and quality of STI services, and options for expanding and improving these services and their accessibility to most-at-risk-populations, should also be assessed. In developing linkages to comprehensive services, this objective of Component 2 should give special attention to local NGOs and CBOs that provide health and social services, and that may already have established relationships with priority MARP groups.

This Objective should also address the economic vulnerability that leads many women to resort to transactional

sex to earn money for their needs or their family's needs. In addition, since this economic vulnerability puts women in a fragile position to negotiate condom use, women who engage in transactional sex should be linked to alternative livelihood strategies, income generation programs and self-efficacy interventions.

**Geographic focus of Component 2:** Resources permitting, the expectation of the USG is that targeted outreach to provide condom promotion and risk reduction counseling to most-at-risk populations will cover priority population segments engaging in high-risk behaviors, venues and hot spots throughout the country. Applicants should propose how they plan to use USG resources strategically, given resource limitations and epidemiological patterns, in order to achieve the broadest possible coverage and impact of this component. These plans may need to be modified based on findings from the initial mapping of most-at-risk populations and venues.

#### **F. Program Management and Key Personnel**

**Program Management:** USAID's Agreement Officer's Technical Representative (AOTR) will provide technical and management oversight of the program from USAID/Haiti. Project work plans will form the basis for joint annual management reviews by USAID and project staff to review program directions, achievement of the prior year work plan objectives, major management and implementation issues, and to make recommendations for any changes as appropriate. USAID will conduct a mid-term assessment or process evaluation of the PrevSIDA Program to review overall progress, assess the continuing appropriateness of the program design, and identify any factors impeding effective implementation. This assessment will be used to make changes if necessary, and to help determine appropriate future directions.

**Key Personnel:** Proposed staff for PrevSIDA applications will have expertise in behavior change communication programming in high prevalence settings to support the objectives highlighted in the RFA. The staffing pattern will reflect the minimum number of highly experienced technical staff sufficient to manage and implement the relevant prevention activities proposed. USAID's intent is for the Recipient(s) to have a sufficient but small core of full-time project staff in-country responsible for planning, implementing, assessing and managing activities. These staff should be supplemented by technical experts who can support in-country staff in the identification and application of best practice and innovative program models. The staffing level and pattern may be modified over time as necessary to provide effective support to activities as the program evolves. The applicant(s) shall propose as Key Personnel those staff that are critical for the technical and programmatic management of the program. All key personnel should be full-time positions, resident in Haiti. A required attribute for all key personnel includes strong management, interpersonal, communication and facilitation skills, and the ability to work closely as a team and to network with a wide range of stakeholders

#### **G. Planning, Monitoring and Reporting**

**Start-up and transition plan:** Within the first two weeks of notification of the award, the successful recipient(s) (with sub-partners if any) will prepare and submit a start-up and transition plan for USAID approval. This plan should describe a schedule for mobilizing and staffing the project over the initial three months following the award, as well as a strategy to ensure a smooth transition for existing USG-funded prevention activities that will be incorporated into the award(s).

**Annual work plan:** A draft, illustrative Year One Work Plan will be submitted with the application. Prior to the end of the first three-month period, and annually thereafter, the Recipient(s) shall submit a finalized annual work plan, and a detailed budget estimate associated with that plan, for USAID approval. This work plan will identify the activities to be carried out and the results to be achieved in the coming year and the associated level of effort to be used for that work. It will also describe how the project will work with other USG-funded

projects in-country as well as with other donors and in-country partners. The time-frame for annual work plans will be synchronized with the USG fiscal year and PEPFAR planning and reporting cycle, October 1 to September 30. In the first and last years of the project, the partner will develop a partial year work plan that is still synchronized with the PEPFAR planning and reporting time-frame, but also reflects the start and end dates of the project.

**Performance monitoring plan:** A draft performance monitoring and evaluation plan will be submitted with the application. In addition, prior to the end of the first three-month mobilization period, the partner will submit for USAID approval a finalized performance monitoring and evaluation plan covering the life of the project, which includes specific, detailed plans to document, monitor and evaluate program performance. The plan will establish specific, quantifiable performance indicators and targets for the overall objectives included in the original proposal and activities in annual work plans; describe the establishment of monitoring systems to measure project progress against overall objectives; and present a plan for data collection and measurement of overall project outcomes and results, including collection of baseline data, and for the use of data collected by the project to improve program planning and performance.

The PMP should demonstrate understanding of PEPFAR indicators and reporting requirements, including how data will be collected, verified and reported to document project progress. Data quality is a critical component of the Emergency Plan, and applicants must develop systems to ensure data quality and be prepared for data quality audits.

**Reporting:** The Recipient(s) will report semi-annually and annually in relation to the annual work plan and the originally submitted proposal. Again, the reporting cycle will be synchronized with the PEPFAR reporting cycle. Semi-annual reports should cover the period October 1 to March 31 and be submitted no later than April 20. Annual reports should cover the period October 1 to September 30 and should be submitted no later than October 20.

Recipient(s) shall report on the indicators relevant to the program area, as laid out by the Office of the Global AIDS Coordinator (OGAC). These indicators are discussed in the document “The President’s Emergency Plan for AIDS Relief: Indicators Reference Guide” available at <http://www.pepfar.gov/documents/organization/81097.pdf>.

The global indicators should however be considered a minimum reporting requirement. The PMP should specify more comprehensive and complementary indicators that better capture program outputs and outcomes specific to Component 1 (see Expected Results section below.) The Recipient(s) shall provide periodic updates on project status through regular face-to-face meetings with the project AOTR on a schedule to be agreed upon by the Project Director and the AOTR.

All financial reporting shall follow standard USAID guidelines for reporting expenditures associated with all activities under the program.

**Evidence-based Planning:** It should be understood that evidence-based planning will be an essential component of this awards made under the PrevSIDA Program. This means that during the life of the project, behavioural assessments will be required to understand risk behaviours before the interventions (baseline), track progress if behaviour change during the interventions (monitoring) and the overall impact of the interventions (summative evaluation). Applicants will be expected to present specific behavioural research plans that indicate how this research would be conducted and how the expertise to manage it will be put in place.

There are different options for collecting reliable behavioural data for evidence-based planning. One is to

collaborate with planned on-going, national level behavior research such as the BSS, EMMUS (DHS) and TRAC studies when they can be matched with specific target populations. Since these studies can not be expected to provide all the behavioural insights needed for evidence-based planning, the creation of additional research activities will likely be necessary.

## ***H. EXPECTED RESULTS***

The following are the results to be achieved under the PrevSIDA Program and an illustrative list of indicators to be used to measure the successful achievement of the program's results. Applicants are encouraged to propose different or additional indicators depending on how they structure their proposed program. Please find below the expected results and some illustrative indicators to measure them.

### **Component 1: Prevention for general population sexually active youth and adults.**

Result #1: Increased engagement of community leaders and creation of new social norms

- number and percentage of community leaders including parents and teachers who are aware of the vulnerability of sexually active youths to unwanted pregnancy and STI and HIV infection
- number and percentage of community leaders including parents and teachers who accept the necessity that sexually active youths are protected from unwanted pregnancy and STI and HIV infection
- number of "hot zone" community leaders engaged and activities organized

Result #2: Increased perception of risk among youth and people in Multiple Concurrent Partnerships and reduced risk behavior.

- number of and percent of people in MCP who are aware of their vulnerability to HIV infection
- number and percentage of people engaged in MCP who understand their responsibility to protect themselves and others from HIV infection
- number and percentage of target population who understand the responsibility associated with sexual activity and protecting themselves and others from unwanted pregnancy and STI infections including HIV
- number and percentage of target population who understand the moral and legal implications of sexual violence
- number and percentage of targeted vulnerable females aware of actions to take to reduce vulnerability to sexual violence
- number and percentage of targeted females aware of actions to take following sexual violence
- number and percentage of target population who are aware of the link between alcohol consumption and unprotected sexual activity

Result #3: Increased capacity among USG partners and Haitian non-governmental and governmental institutions (including Ministries of Health, Education, Youth and Sport, Social Affairs, and Justice) to plan and implement evidence-based behavior change interventions

- number of partners able to conduct evidence-based strategic planning and implementation of behavior change interventions
- number of evidence-based strategic planning trainings and support documents produced

Result #4: Increased access to HIV and reproductive health related services for sexually active youth and persons engaged in high-risk sexual behavior

- number of links made to "user friendly" HIV-related services (VCT, STI services, condom sales and distribution)

- number and percentage of target populations accessing “user friendly” HIV-related services
- number and percentage of sexually active youth and adults engaging in casual sex and MCP who have access to affordable condoms at user friendly delivery points
- number of providers trained to provide services to youth and conduct prevention activities with youth

Result #5: Increased access of women to rape crisis counseling services, post-exposure prophylaxis for rape victims, and the integration of STI services into family planning and reproductive health services

## **Component 2: Prevention for Most-at-Risk Populations and in Settings with High Risk Behavior**

Result #6: Increased understanding of patterns and settings of risky sexual behaviors

- creation of continually revised map of settings where high risk behavior is concentrated
- number of “hot zones” engaged

Result #7: Increased risk assessment and condom use among most-at-risk populations

- number and percentage of target populations who understand consequences of risk behavior
- number and percentage of target populations who adopt positive prevention behaviors (condom use, partner reduction, etc.)

Result #8: Increased access of most-at-risk populations to condoms

- number and percentage of most-at-risk populations with easy access to affordable condoms

Result #9: Increase access to HIV, health and other services for most-at-risk populations

- number and percentage of most-at-risk populations who seek voluntary counseling and testing services
- number and percentage of most-at-risk populations who seek timely treatment of sexually transmitted infections by a trained health professional
- number of STI and HIV treatment and family planning services that are “user-friendly” and accessible for most-at-risk populations
- number of providers trained to provide services to most-at-risk populations and conduct prevention activities
- number of persons engaged in commercial or transactional sex engaged in alternative income generation activities

## ***I. REFERENCES***

**APPLICABLE DOCUMENTS: Please use the <http://www.hausaid.info> link to view these documents. Please find in parentheses the name of the soft copy of the documents. Additional referenced documents/information in reference to PEPFAR II Guidelines can be found at [www.pepfar.gov](http://www.pepfar.gov).**

“Enquete de Surveillance Comportementale (BSS III),” CERA, FHI, USAID, 2006/( Rapport Technique du \_BSS\_III\_15\_Mars)

« Enquete mortalite, morbidite et utilisation des service EMMUS IV 2005-2006,» IHE/MARCO, janvier 2007 (EMMUS\_IV\_2005\_2006FR192.pdf)

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US Government.USAID Hait Strategy Statement FY 2007-2009. USAID-Haiti, july 2006/(USAID/Haiti Strategy Public Distribution Document.doc)

“La monde de la prostitution en Haiti: Comportement a risque chez les clients des Travailleuse du sexe de quartiers de Port-au-Prince,” FOSREF, janvier 2007

«Voluntary HIV Counseling and Testing Services for Youth and Linkages with other Reproductive Health Services in Haiti, » YouthNet, USAID, 2007

“Risk-Taking Behaviors among Youth Socializing in Target Venues of Carrefour, Haiti: PLACE Methodology,” FOSREF, USAID, Measure, june, 2007

“Enquete de Surveillance Comportementale (BSS III),” CERA, FHI, USAID, 2006

« Strategie nationale de communication pour la prevention de la transmission sexuelle du VIH : 2007-2012, » Human Communication Partnership, juillet 2007

« Enquete mortalite, morbidite et utilisation des service EMMUS IV 2005-2006,» IHE/MARCO, janvier 2007  
« Enquête MAP sur la Couverture, la Qualité de la Couverture, l’Accès et la Pénétration des Préservatifs : Deuxième Passage, » PSI/Haiti, FNUAP, mars 2008

“TRaC Study Evaluating Condom Use among Commercial Sex Workers: Second Round,” PSI/Haiti, SOGEBANK, July 2008

“HIV/AIDS TRaC Study among Youth (15-24 years): Second Round,” PSI/Haiti, KfW, July 2008

« Enquête MAP sur la Couverture, la Pénétration et l’Accès des Préservatifs distribués gratuitement Premier Passage,» PSI/Haiti, FNUAP, SOGEBANK, mars 2008

« Plan d'Action CCC/MC/IST/VIH/SIDA 2005-2006, » Unité de Coordination et de Contrôle du Programme de Lutte contre les IST/VIH/SIDA, octobre 2005

« Etude sur la transaction sexuelle chez les jeunes femmes agees de 18-24 ans en Haiti, » FHI, PEPFAR, POZ, MSPP, juin 2007

## SECTION D - REPRESENTATIONS/CERTIFICATIONS REQUIRED FOR COOPERATIVE AGREEMENT TO U.S. NGO

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### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF THE RECIPIENT (MAY 2006)

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

#### PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

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

## 2. CERTIFICATION REGARDING LOBBYING

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance



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

### 3. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

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

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

### 4. CERTIFICATION REGARDING TERRORIST FINANCING IMPLEMENTING EXECUTIVE ORDER 13224

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

1. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.
2. The following steps may enable the Recipient to comply with its obligations under paragraph 1:
  - a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of Specially Designated Nationals and Blocked Persons, which list is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC) and is available online at OFAC's website : <http://www.treas.gov/offices/eotffc/ofac/sdn/t11sdn.pdf>, or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.
  - b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's website:

<http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>.

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

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

3. For purposes of this Certification-

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, 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.

5. CERTIFICATION OF RECIPIENT

By signing below the recipient provides certifications and assurances for (1) the Assurance of Compliance with Laws and Regulations Governing Non-Discrimination in Federally Assisted Programs, (2) the Certification Regarding Lobbying, and (3) the Certification Regarding Terrorist Financing Implementing Executive Order 13224 above.

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

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

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

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

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

Signature \_\_\_\_\_

Date \_\_\_\_\_

PART II - KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

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

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

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

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

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

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

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

NOTICE:

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

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

PART III - PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

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

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

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

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

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

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

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

NOTICE:

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

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

PART IV - CERTIFICATION OF COMPLIANCE WITH THE STANDARD PROVISIONS ENTITLED

**“CONDOMS” AND “PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING.”**

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

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

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

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

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

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

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

\_\_\_\_\_

Signature \_\_\_\_\_

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

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

**PART VI - OTHER STATEMENTS OF RECIPIENT**

**1. AUTHORIZED INDIVIDUALS**

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

Name	Title	Telephone No.	Facsimile No.
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\_\_\_\_\_

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## 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

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

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

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

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

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

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

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

DUNS: \_\_\_\_\_

## 4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: \_\_\_\_\_

## 5. PROCUREMENT INFORMATION

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

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

\$ \_\_\_\_\_

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

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

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

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

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

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

TYPE/DESCRIPTION(Generic)	QUANTITY	ESTIMATED UNIT COST	PROPOSED DISPOSITION
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## 6. PAST PERFORMANCE REFERENCES

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



## 7. TYPE OF ORGANIZATION

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

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

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

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

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

ATTACHMENT 1:  
MARKING UNDER ASSISTANCE INSTRUMENTS

**BRANDING STRATEGY - ASSISTANCE (December 2005)**

**(a) Definitions**

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

**Apparently Successful Applicant(s)** means the applicant(s) for USAID funding recommended for an award after evaluation, but who has not yet been awarded a grant, cooperative agreement or other assistance award by the Agreement Officer.

The Agreement Officer will request that the Apparently Successful Applicants submit a Branding Strategy and Marking Plan. Apparently Successful Applicant status confers no right and constitutes no USAID commitment to an award.

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

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

**(c) Submission Requirements**

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

**(1) Positioning**

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate.

It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful

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

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution,

instead of the phrase "funded by." USAID prefers local language translations. *Will a program logo be developed and used consistently to identify this program? If yes, please attach a copy of the proposed program logo.*

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

## **(2) Program Communications and Publicity**

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

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

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

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

*What is the main program message(s)?*

Guidelines: *For example: "Be tested for HIV-AIDS" or "Have your child inoculated."*

Please indicate if you also plan to incorporate USAID's primary message – this aid is "from the American people" – into the narrative of program materials. This is optional; however, marking with the USAID Identity is required.

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

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

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

Guidelines: One of our goals is to ensure that both beneficiaries and host-country citizens know that the aid the Agency is providing is "from the American people."

Please provide any initial ideas on how to further this goal.

## **(3) Acknowledgements**

*Will there be any direct involvement from a host-country government ministry? If*

*yes, please indicate which one or ones. Will the recipient acknowledge the ministry as an additional co-sponsor?*

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

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

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

**(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.

ATTACHMENT 2:

**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, audiovisual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID; (iii) events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences, and other public activities; and

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

(2) A table specifying:

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

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

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

(3) A table specifying:

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

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

**(d) Presumptive Exceptions.**

(1) The Apparently Successful Applicant may request a Presumptive Exception as part of the overall Marking Plan submission. To request a Presumptive Exception, the Apparently Successful Applicant must identify which Presumptive Exception applies, and state why, in light of the Apparently Successful Applicant's 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 an exception.

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

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

by the cooperating country government.

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

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

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

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

(3) The Agreement Officer will review the request for adequacy and reasonableness.

In consultation with the 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.

### ATTACHMENT 3:

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

## **(b) Marking of Program Deliverables**

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

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity.

The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the

Recipient must install a permanent, durable sign, plaque or other marking. (3) The Recipient will mark technical assistance, studies, reports, papers,

publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly

prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In

circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

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

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

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

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

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

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

*its discretion, require marking by the subrecipient with the USAID Identity."*

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

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

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

**(c) Implementation of marking requirements.**

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within [**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

<b>APPLICATION FOR FEDERAL ASSISTANCE</b>		2. DATE SUBMITTED	APPLICANT IDENTIFIER
1. TYPE OF SUBMISSION Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction Preapplication <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	STATE APPLICATION IDENTIFIER
		4. DATE RECEIVED BY FEDERAL AGENCY	FEDERAL IDENTIFIER
5. APPLICANT INFORMATION			
Legal Name		Organizational Unit	
Address (Street, County, State and ZIP code)		Name and telephone number of person to be contacted on matters involving this application (give area code)	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) <input type="text"/> - <input type="text"/>		7. TYPE OF APPLICANT (enter appropriate letter in box)	
8. TYPE OF APPLICATION <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es) <input type="checkbox"/> <input type="checkbox"/>		<input type="checkbox"/> A. State <input type="checkbox"/> B. County <input type="checkbox"/> C. Municipal <input type="checkbox"/> D. Township <input type="checkbox"/> E. Interstate <input type="checkbox"/> F. Intermunicipal <input type="checkbox"/> G. Special District <input type="checkbox"/> H. Independent School Dist.	
		<input type="checkbox"/> I. State Controlled Institution of Higher Learning <input type="checkbox"/> J. Private University <input type="checkbox"/> K. Indian Tribe <input type="checkbox"/> L. Individual <input type="checkbox"/> M. Profit Organization <input type="checkbox"/> N. Other (Specify) _____	
		9. NAME OF FEDERAL AGENCY	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER  Title:		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, Street, etc.)			
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF	
Start Date	Ending Date	Applicant	Project
15. ESTIMATED FUNDING		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES. THIS PREAPPLICATION-APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE _____  b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
b. Applicant			
c. State			
d. Local			
e. Other			
f. Program Income			
g. Total		17. IS THE APPLICATION DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If 'Yes', attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.			
a. Type Name of Authorized Representative		b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed	

## INSTRUCTION FOR THE SF424

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

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

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain application certification that States which have included in their process, have been given an opportunity to review the applicant's submission.

- | Item:                                                                                                                                                                                                                                                                                                                                                                                                            | Entry: | Item:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Entry: |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------|
| 1. Self-explanatory.                                                                                                                                                                                                                                                                                                                                                                                             |        | 12. List only the largest political entities affected (e.g., State, counties, cities).                                                                                                                                                                                                                                                                                                                                                                                                                                                            |        |
| 2. Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).                                                                                                                                                                                                                                                                                           |        | 13. Self-explanatory.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |        |
| 3. State use only (if applicable)                                                                                                                                                                                                                                                                                                                                                                                |        | 14. List the applicant's Congressional District and any District(s) affected by the program or project.                                                                                                                                                                                                                                                                                                                                                                                                                                           |        |
| 4. If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.                                                                                                                                                                                                                                                                   |        | 15. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |        |
| 5. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.                                                                                                                                                                  |        | 16. Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.                                                                                                                                                                                                                                                                                                                                           |        |
| 6. Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.                                                                                                                                                                                                                                                                                                                       |        | 17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.                                                                                                                                                                                                                                                                                                                                                   |        |
| 7. Enter the appropriate letter in the space provided.                                                                                                                                                                                                                                                                                                                                                           |        | 18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)                                                                                                                                                                                                                   |        |
| 8. Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>-- 'New' means a new assistance award.<br><br>-- 'Continuation' means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>-- 'Revision' means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |        |
| 9. Name of Federal agency from which assistance is being requested with this application.                                                                                                                                                                                                                                                                                                                        |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |        |
| 10. Use the Catalog of Federal Domestic Assistance Number and title of the program under which assistance is requested.                                                                                                                                                                                                                                                                                          |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |        |
| 11. Enter a brief descriptive title of the project.<br>If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.                                                             |        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |        |

**BUDGET INFORMATION - Non-Construction Programs**

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget	
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)
1.	-				
2.	-				
3.	-				
4.	-				
5. Totals					
6. Object Class Categories		Grant Program Function or Activity			
		(1)	(2)	(3)	(4)
a. Personnel					
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (Sum of 6a-6h)					
j. Indirect Charges					
k. TOTALS (Sum of 6i and 6j)					
7. Program Income					

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**BUDGET INFORMATION - Non-Construction Programs (cont'd)**

(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	
8.				
9.				
10.				
11.				
12. TOTAL (Sum of lines 8-11)				
	Total Amt 1st Year	1st Quarter	2nd Quarter	3rd Quarter
13. Federal				
14. Non-Federal				
15. TOTAL (Sum of lines 13 and 14)				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	
16.				
17.				
18.				
19.				
20. TOTAL (Sum of lines 16-19)				
21. Direct Charges:	22. Indirect Charges:			
23. Remarks:				

# INSTRUCTION FOR THE SF424A

Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

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

## General Instructions

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a - k of Section B.

### Section A, Budget Summary Lines 1-4 Columns (a) and (b)

For applications pertaining to a single Federal grant program (Federal activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should always provide the summary totals by programs.

### Lines 1-4 Columns (c) through (g)

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (c) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (c) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (c) and (f).

Line 5 - Show the totals for all columns used

### Section B Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4. Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a - i Show the totals of Lines 6a to 6h in each column.

Line 6j Show the amount of indirect cost.

Line 6k - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount

in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Column (1) - (4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

Line 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

### Section C. Non-Federal Resources

Lines 8-11 Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

Column (a) - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency.

Column (c) - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) - Enter the amount of cash and in-kind contributions to be made from all other sources

Column (e) Enter total of columns (b), (c) and (d).

Line 12 - Enter the total for each of Columns (b)-(e). The amount in Column (c) should be equal to the amount on Line 5, Column (f), Section A.

### Section D. Forecasted Cash Needs

Line 13 - Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 - Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 - Enter the totals of amounts on Lines 13 and 14.

### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project.

Lines 16-19 - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary

Line 20 - Enter the total for each of the Columns (b)-(e). When schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

### Section F. Other Budget Information

Line 21 - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

62 Line 23 - Provide any other explanations or comments deemed necessary.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

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

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 1/24728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1/21681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 1/2794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 1/26101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 1/2523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 1/23601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. 1/21501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 1/2276a to 276z - 276a-7), the Copeland Act (40 U.S.C. 1/2276c and 18 U.S.C. 1/2874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 1/2327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

## ASSURANCES - NON-CONSTRUCTION PROGRAMS (cont'd)

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (E.O.) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. 17401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in construction or rehabilitation of residence structures.
17. Will ensure to be performed the required financial and compliance audits in accordance with the Single Audit Act of 1984 or OMB Circular No. A-133, Audits of Institutions or Higher Learning and other Non-profit Institutions.
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED