

**U.S. GOVERNMENT MISSION TO SOUTH AFRICA
ANNUAL PROGRAM STATEMENT IN SUPPORT OF EDUCATION
IN SOUTH AFRICA**

APS 674-08-011

I. PURPOSE

The purpose of this Annual Program Statement (APS) is to disseminate information about the United States Agency for International Development (USAID) Education Program and to solicit applications from prospective partners within the education sector in South Africa. The goals of the program are to support the South African Department of Education (DoE) to mitigate the impact of HIV and AIDS within the education sector and to strengthen the capacity of the students, teachers and education officials to deliver quality education and training.

The proposed activities will be funded from USAID's education and United States Government's (USG) President's Emergency Plan for AIDS Relief (PEPFAR) funds. The education HIV and AIDS activities will be education wraparound activities that directly serve PEPFAR priority populations and also contribute directly to achieving PEPFAR program goals to prevent 7 million new HIV infections, and provide care for 10 million HIV affected individuals and AIDS orphans and vulnerable children.

A wraparound activity is one that leverages resources, both human and financial, from entities with different funding sources in order to complement Emergency Plan 2-7-10 goals and maximize the effectiveness of programs to improve the quality of life for people infected and affected by HIV/AIDS and their families. Wraparound activities may include other programs funded by the USG (e.g., USAID Development Assistance), Global Fund to Fight AIDS Tuberculosis and Malaria (GFATM), the UN (World Food Program, UNICEF, etc.), the private sector, or other partners. In general, wraparound activities will be supported with a mix of funds, primarily from sources other than PEPFAR. However, wraparound activities that directly serve PEPFAR priority populations, and are in keeping with other PEPFAR guidance, may be supported with Emergency Plan funds

USAID Southern Africa is no longer receiving education funds, however there are residual resources available for programming and strengthening education wraparound activities that directly address a combination of activities supporting the DoE on health and HIV and AIDS issues.

PEPFAR is a \$15 billion, five-year, unified government initiative, directed by the U.S. Office of the Global AIDS Coordinator (OGAC), and implemented in collaboration with the US Department of State, the US Agency for International Development (USAID), the Department of Health and Human Services (HHS) and other USG Agencies. PEPFAR funds projects that support the South Africa Government's *HIV and AIDS and STI Strategic Plan for South Africa, 2007-2011*, <http://www.doh.gov.za/docs/stratplan-f.html>. The South African

Department of Education implements some activities that contribute to the achievement of the *HIV and AIDS and STI Strategic Plan for South Africa, 2007-2011* through integrated health and education interventions. Applications should support the initiatives and priorities of the South African Department of Education national and/or provincial governments.

Fifteen focus countries have been selected to be part of the PEPFAR initiative based on high HIV burden, available country resources, and host government and civil society commitment to fighting the HIV epidemic. This APS seeks applications for activities to be conducted in South Africa only. Detailed information about the PEPFAR in South Africa is available at: <http://southafrica.usembassy.gov/wwwhpepfar.html>.

Pending the availability of funding, the United States Government (USG) Mission in South Africa anticipates awarding three to five grants or cooperative agreements (hereafter called agreements) to fund applications submitted in response to this APS. Applications may be submitted at any time up to December 31, 2008. Applications will be reviewed quarterly with the intention of undertaking the initial review in March 2008 (March to April 2008). It is anticipated that agreements will be funded for amounts between \$500,000 and \$1,500,000 and that each agreement will be awarded for a period of eighteen months to two years with a possibility of an optional one year extension depending on the recipient's performance and availability of funds.

This APS is issued as a public notice to ensure that all interested parties have a fair opportunity to submit applications for funding. Issuance of this APS does not constitute an award commitment on the part of USAID nor does it commit USAID to pay for costs incurred in the preparation and submission of an application. Further, the USG reserves the right to reject any or all applications submitted.

II. BACKGROUND:

During the period after the 1994 democratic elections, South Africa was characterized by the rapid formulation of policies. Major policy reforms affecting the structure and processes of education and training were introduced. Legislation including the White Paper on Education and Training (1995), the South African Qualifications Act (1995), and the National Education Policy Act (1996) gave legal effect to the new policies, especially the integration of education and training. The South African Schools Act (1996) and the National Norms and Standards for School Funding (1998) provided frameworks for school governance and financing. The South African Schools Act was further amended in 2005/2006 to authorize the declaration of schools in poverty stricken and economically deprived areas as "no fee schools".

These policies are aimed at addressing the apartheid legacy which left many serious disparities and inequalities throughout South Africa. With the demise of apartheid thirteen years ago, the country inherited a sub-standard educational system characterized by the intentional underdevelopment of human potential. For a period of more than four decades, the majority of the population was excluded from access to any meaningful education. Mathematics, science, and technology were particularly poorly provided for in the curricula of schools for people of color. This has resulted in a severe shortage of skills in general and among educators in particular, and in an under-resourced schooling environment in formerly

disadvantaged areas.

The Government of the Republic of South Africa has undertaken enormous efforts to rectify this situation and to transform the old inferior educational system into one that will deliver outcomes-based quality education for all. The Department of Education (DoE) has introduced a new national curriculum for the 21st century.

The DoE's 2006/2007 Annual Report outlines achievements in various phases of the education sector. These include the implementation of the final phase of the national curriculum, the introduction of full service scholarships for student educators, significant improvements in pass rates in Mathematics Higher Grade for urban and rural schools, improved educators performance, higher education institutions record achievements in top ranking research outcomes, a refocused and revamped further education sector contributing to skills development.

Nevertheless, the apartheid legacy lingers on and major challenges still lie ahead. To name just a few:

- High poverty levels and a growing number of children orphaned by the AIDS pandemic.
- Teacher numbers are being depleted by HIV and AIDS.
- Many educators still lack adequate qualifications. Every third pupil is being taught science and mathematics by educators with no qualifications in those subjects. Mathematics is a compulsory subject in the new curriculum, and this places increased demands on the educators who are under qualified to teach this subject.
- Some black learners in rural areas are educated in schools lacking basic equipment. Some schools still lack access to clean running water. Some schools have no proper toilets and no access to telephones and electricity.
- Many educators are unfamiliar with the range of methods to be used for continuous assessment. The absence of effective and consistent monitoring and evaluation impacts negatively on the quality of education.
- Many educators are unable to source additional learning support material or to develop their own and, therefore, rely solely on textbooks. Many schools still require reading and learning materials to improve reading and literacy levels amongst learners and educators.

One of the key challenges to the education system in South Africa is the impact of HIV and AIDS on education. A study¹ conducted by the Human Sciences Research Council (HSRC) on HIV and AIDS among educators found that of a national representative sample of 17,088 educators who gave an oral fluid or blood specimen for HIV testing (response rate: 83% of educators), 12.7% tested HIV positive. The key findings reported in the HSRC and Education Labour Relations Council survey related to HIV/AIDS and educators are that:

- HIV prevalence in educators is the highest in the 25–34 age groups (21.4%), followed by the 35–44 age groups (12.8%).

¹ The Health of Our Educators, A focus on HIV/AIDS in South African public schools, 2004/5-Survey.

- More than a fifth (22.0%) of the HIV-positive educator population would need immediate antiretroviral therapy, which were approximately 10,000 educators.
- Two-thirds of educators who were considering leaving the education profession were in scarce fields such as technology, natural sciences, economics and management. Reasons quoted include low job satisfaction, job stress and violence in schools.

While there are no recent reports on the impact of HIV and AIDS on school children, previous data has shown that children are being orphaned by AIDS. According to UNAIDS in 2004, about 1.1 million South African children had lost one or both parents--some organizations estimate that number to be double or triple the 2004 estimate. There will be decreased demand for education services as children stay home to care for sick parents or siblings, and financial costs to the education systems will rise as sick and death benefit costs escalate.

It is clear that the education system must focus on addressing the inequities of the apartheid legacy to improve the quality of education and training in fields such as mathematics, science and technology. It is equally clear that strong emphasis must be placed on strategies to mitigate the impact of HIV and AIDS on the education system.

The South African Department of Education (DoE) lists the following among its chief priorities in the 2007 – 2011 Strategic Plan:

- **Poverty:** Address high poverty levels by reducing financial costs so that all children can access quality education, through the exemption and elimination of school fees, improve learner retention at schools through the expansion of the feeding scheme program, and focus on rural education;
- **Skills Development:** Address skills shortages by improving the quality and the infrastructure of the further education and training institutions, increase access to mathematics, science and technology subjects, and work closely with the Sector Education and Training Authorities (SETAs) to build skills through adult basic education and training programs;
- **Quality Improvement:** Train educators to enhance the implementation of the National Curriculum Statements from Grade R – 12, implement mathematics as a compulsory subject at all levels, and improve the schooling infrastructure and learning resources;
- **Health and Education:** Broaden the health and wellness programs for learners and educators, and place emphasis on the life skills program;
- **Institutional Development:** Complete the merging of the higher education institutions, recapitalize further education and training institutions and equip them to offer appropriate skills programs, and clarify the roles and responsibilities of the district management structures to better support schools.

The responsibility to mitigate the impact of HIV and AIDS within the schools sector is located in the Social and School Enrichment branch of the DoE. This branch is responsible for providing support and to strengthen curricula-driven HIV and AIDS activities through peer education programs and to assuring the quality and consistency of abstinence and be faithful (AB) messages. The DoE's policy on HIV and AIDS specifies that the purpose of education is to prevent the spread of HIV infection, and emphasizes that education should ensure that students acquire age and context-appropriate knowledge and skills so that they may adopt and maintain behavior that will protect them from HIV infection. The implementation of activities to prevent HIV and AIDS in schools is the responsibility of each of the nine provincial education departments. Life skills programs offering age-appropriate AB messages are part of the school curriculum.

USAID programs supports the government of South Africa strategies and priorities in Education and HIV and AIDS. The current PEPFAR funded peer education program complements the DOE life skills program. The program activities include the provision of technical assistance services to the DoE and implementation of the HIV and AIDS Peer Education, Care and Support Program in the 100 schools in four target provinces: KwaZulu Natal, North West, Free State and Mpumalanga. The overall technical assistance support services to the DoE integrate education, gender and health issues to improve the quality of peer education in schools. This program is an intervention aimed at building a coherent uniform response, in preventing the spread of HIV and AIDS amongst learners. This program received its first funding under PEPFAR in FY 2006. Peer education and training activities target life orientation teachers and learners ages 13 - 19 years who are enrolled for Grades 8 - 12.

USAID and DoE are now planning to scale up activities to expand the U.S. Government (USG) support in education on HIV and AIDS programs. The scale-up includes (a) increasing the number of schools and students in target provinces to benefit from peer education programs; (b) extending support to life orientation educators' in the target schools on HIV prevention; (c) supporting orphans and vulnerable children in target high schools and their feeder primary schools; (d) supporting local universities working on HIV and AIDS with students on their campuses and supporting their feeder high schools; and (e) offering technical assistance services to the DoE to strengthen its internal systems to address HIV and AIDS and other health issues discussed in the DoE draft "Health and Wellness Framework".

This Annual Program Statement (APS) will expand the current program focus and support of USAID funded programs to the DoE. The APS is requesting applications from (i) local non-governmental organizations to serve as implementing partners to support the DoE and target schools; and (ii) local universities to strengthen their on-campus HIV and AIDS prevention programs and mobilize support for local feeder schools.

III. OBJECTIVES AND APPROACHES

USAID has worked with the DoE to identify areas of potential support that are specifically focused at mitigating the impact of HIV and AIDS on the education system at school level. USAID's support is mainly through the President's Emergency Plan for AIDS Relief (PEPFAR) funds and education funds to support the education sector.

The objectives of the activities to be supported through this APS are to reduce the impact of HIV and AIDS on the education system, prevent HIV infections, encourage healthy living behaviors and ultimately improve the quality of education for the targeted groups.

The APS activities target:

- Learners in grades 8 – 12.
- Learners who are orphaned and vulnerable.
- Care givers and/or life orientation teachers.
- Educators in target schools.
- University students.
- Department of Education officials at national, provincial and district levels in target provinces.

The activities targeted at schools in the Free State, Mpumalanga, KwaZulu Natal and the North West will support the DoE, educators, school governing body members, and learners. USAID will make awards directly to a local organization or organizations in consultation with the national and provincial DoEs to provide services.

Activities will strengthen peer education programs for learners and teachers; and also support vulnerable and orphaned children in target schools. The peer education program targets public primary and secondary school learners, ages 13 - 19 years who are enrolled in Grades 8 - 12.

Students' Peer Education: Activities in the APS will support the prevention of HIV and AIDS through abstinence and be faithful activities amongst learners ages 13 - 19 years who are enrolled in Grades 8 - 12. Activities will promote positive healthy behavior among school children and provide care and support for students, the primary target population.

The activities will encourage students to abstain from sexual activity as the best and only way to protect themselves as growing children from exposure to HIV and other sexually transmitted infections.

Activities will support an average of 140 students per school in approximately 400 schools to be identified by the provincial education departments. The target schools are located in rural areas. A recent study on rural education reported that the majority of school-going children in South Africa live in rural areas, lack access to well-equipped and financially-resourced schools, nutritious food, health care education and support, physical education, entertainment resources and facilities.

Activities will scale up implementation from the foundation laid by the current peer education program.

Applicants are encouraged to visit the following website for preparing applications for results-oriented grants specifically for the student's peer education program and activities: <http://www.usaid.gov/pubs/sourcebook/usgov/>

Vulnerable Children: Activities in targeted schools (see attached list of current target schools) located in KwaZulu Natal, Free State, North West and Mpumalanga will support orphans and vulnerable children (OVC) and provide training for their caregivers to improve the lives of the OVCs. Activities will offer services to OVCs in schools and train caregivers to mentor and support OVCs. Primary areas of emphasis will be human capacity development, psychosocial support, education and training to support OVCs. The program will support the DoE strategy to use schools as full service centers for learning, teaching, prevention care and support. The target population will be OVCs ages 5 - 17 in Grades 0 – 12, and caregivers servicing the focus schools. Program focus will be on strengthening families, households and communities to meet the needs of orphans and other vulnerable children affected by HIV and AIDS. The APS will also support community based programs that offer responses to help children and adolescents to meet their own needs through meaningful youth participation, and create a supportive environment where children can grow and develop into productive members of society.

Activities supporting learners will adopt the principles laid out in the Education White Paper 6 on www.education.gov.za on Inclusive Education by reducing barriers to learning due to HIV and AIDS, and work with targeted structures and mechanisms to improve the retention and participation rates of learners in education. Include DOE website link here.

Educators' HIV Prevention Program: Educators working in the targeted schools located in KwaZulu Natal, Free State, North West and Mpumalanga will also receive support. The DoE is currently reviewing possible approaches with USAID to support teachers on HIV and AIDS prevention programs. One of the initial approaches to be used will be to support life orientation teachers working with peer educators in the target schools to strengthen the peer education program, offer training and support to teachers, and also provide assistance to teachers on HIV and AIDS prevention issues. A second approach will include assisting the DoE to implement a selected number of the recommendations made in the findings reported in the HSRC and Education Labour Relations Council website link here survey mentioned above which reported on HIV and AIDS prevalence rates amongst teachers. Preliminary areas of support for teachers will include HIV and AIDS prevention programs, training to support teachers to cope with HIV and AIDS cases and issues in their schools, have an understanding of referral to follow up services, and integrate gender equity within the training programs.

Future program scale-up will also extend support to the eleven high prevalence districts named in the HSRC report, based on consultations with the DoE and other relevant stakeholders. The implementation of activities will involve working closely with local community-based organizations, school governing bodies and school management teams.

University Programs: Activities will support university students and students in their local feeder schools. Awards will be made directly to qualifying higher education institutions.

Universities have identified HIV and AIDS as a key challenge and they are supporting targeted peer education programs focusing on abstinence and be faithful prevention messages. With respect to HIV, universities are involved in research, teacher training, support to feeder schools and integration of HIV into the curricula. PEPFAR and education funds will support wraparound activities at local universities. Activities will be focused on prevention strategies integrated within the abstinence and be faithful (AB) framework, as well as other prevention programs targeted specifically at young adults studying at local universities. Higher education institutions interested in applying for this APS should have on campus facilities or partnerships with local health facilities to develop and offer programs to manage sexually transmitted infections (STIs) focus on students who are already engaging in sexual activity, and offer programs that encourage the use of condoms and discourage students from engaging in risky sexual behavior, cross generational sex and having multiple sexual partners. Activities in local universities will expand the focus of USG prevention programs at adults members of the population.

DOE Technical Assistance: USAID will offer technical assistance support to the DoE to assess the impact of HIV and AIDS on the education sector and to develop relevant policies. Technical assistance will include the development of capacity to manage and deliver education, relevant health programs in schools and strengthen the implementation of existing HIV and AIDS components of life skills and health education in schools. Assistance will also target curriculum design, teacher training and support for extracurricular activities with specific focus on HIV and AIDS prevention. The monitoring and evaluation technical assistance to the DoE will support strategies to adapt existing education information management systems to capture relevant, timely and accurate information about HIV impacts on the education sector to be used for advocacy and planning at all levels of the Ministry of Education; and, support research to track the impact of HIV and AIDS on children orphaned by HIV and AIDS. Provision of technical assistance to the DoE at national and provincial education departments will also include the development of monitoring and evaluation systems to track the impact and success of peer education programs.

Non-PEPFAR funds from education have been leveraged to support the DoE to strengthen its internal structures and systems to scale up the peer education care and support program nationally. Limited education resources will be used to increase management capacity within the DoE through training for selected DoE officials at national, and provincial level, district level and teachers in select schools on HIV and AIDS issues.

All activities must assist the DoE to utilize the current peer education programs to strengthen curricula driven HIV and AIDS activities in schools, and reduce the impact of HIV and AIDS.

Gender:

All the above mentioned programs will integrate gender equity and address gender-based violence, sexual harassment and abuse of learners, particularly girls, in schools. Programs will also train educators about gender equity to ensure that teachers can impart and practice this knowledge in their teaching to reduce violence and coercion, address male norms and behaviors and increase the legal protection of school girls and female teachers. The recipients or awardees under this APS will be expected to work with the DOE on the integration of gender issues and also where applicable utilize the DOE gender materials to strengthen the content of their training programs.

Programs and activities will not include HIV and AIDS treatment activities but where deemed necessary programs will include a strong functional system for referrals to accredited facilities providing voluntary counseling and testing services and antiretroviral therapy.

IV. STRATEGIC APPROACH

Because the overall goal of this APS is to support the provision of sustainable high quality services to the DoE, proposed strategic approaches should address specific needs with practical, pragmatic business plans for implementation. Although research is not a principle objective of this APS it is recognized that strong applications may include some baseline study components to empirically measure success and identify effective strategies or programs for future expansion.

a. Public-Private Alliances

The formation of public-private alliances to address the objectives of this APS is specifically encouraged. A "public-private alliance" occurs when the application includes a commitment of material and significant non-USG resources that will allow the program to more fully address the challenges in South Africa as outlined in this solicitation. An example of an alliance relationship would be an application that included in its budget plan at least a one-to-one matching of USG resources with nongovernmental resources. Resources may be defined as cash or in-kind and applicants submitting alliance applications are encouraged to be innovative. Such alliances are expected to bring together partners who will jointly define the problem, strategy and solution to capitalize on combined knowledge, skills, expertise and resources of the partners. Additional information on alliances can be found at: http://www.usaid.gov/our_work/global_partnerships/gda/.

b. Formation of Consortia

Applications may be submitted by consortia of service providers to achieve administrative resource efficiencies and beneficial associations. Other organizations might apply for funds that would then be managed and disbursed to smaller "grassroots" organizations to provide community based services.

c. Comprehensive Programming

Applications that address multiple program objectives are strongly encouraged. For example, a responsive application might build on a program that provides peer education training services for young people, counseling services and care and support for orphans and vulnerable children services. The provision of mentoring among organizations (South African and non-South African) with skills to share is strongly encouraged to enhance South African capabilities and program sustainability.

d. Example Subject Areas

Specific areas for funding might include those listed in Annex 1. These are provided only as examples of the kinds of activities relevant to this APS and are not exclusive nor are they necessarily targeted for funding. Interested parties are encouraged to submit applications that propose an integrated comprehensive approach that addresses more than one of the 4 specific target areas listed at the beginning of this section of the APS. For example, applicants may consider specific geographic areas and develop a comprehensive approach that combines HIV and AIDS prevention; care and support; referral to follow up services; and support for children affected by HIV and AIDS.

Applications also could be expected to provide program review and monitoring services such that the grantee might assist interested parties as they seek to identify program successes and to document lessons learned. Such efforts would be undertaken in consultation with USAID in South Africa.

e. Program Indicators

All applications must include specific, detailed plans to monitor and document program performance. USAID will evaluate progress by monitoring selected indicators (initial indicators are listed below and assessing these in relation to targeted program objectives, as listed in this APS. A limited set of program monitoring indicators will be used to track the progress of key USG funded activities, and are based on administrative records, project reports, and routine logistical and facility-based information systems. Applications for funding under this APS should state clearly how proposed activities relate to these program objectives and how data will be tracked, collected, verified and reported to document progress toward these objectives. Applicants should be prepared for revisions in required program indicators and reporting requirements during the lifetime of the award and as part of project closeout processes.

Applicants are encouraged to include in their application the measurement of reporting of additional indicators of program progress effectiveness. The following illustrative indicators also may be included in the application:

Sample of indicators:

PREVENTION
1. Abstinence and Being Faithful
A. Number of individuals reached through community outreach that promotes HIV prevention through abstinence and/or being faithful (disaggregated by gender)
1.1A Number of individuals reached through community outreach that promotes HIV prevention through abstinence (disaggregated by gender)
B. Number of individuals trained to promote HIV prevention programs through abstinence and/or being faithful
2. Condoms And Other Prevention (for University Programs Only)
2.1.Number of individuals reached through community outreach that promotes HIV prevention through other behavior change beyond abstinence and/or being faithful (disaggregated by gender)
2.2.Number of individuals trained to promote HIV prevention through other behavior change beyond abstinence and/or being faithful
2.3. Number of targeted condom service outlets
3.Orphans And Vulnerable Children
3.1. Number of OVC served (disaggregated by gender) (disaggregated by primary and supplementary

support)
3.2. number of OVC receiving shelter interventions
3.3. Number of OVC receiving child protection interventions (i.e. Birth registration, identification and inheritance issues)
3.4. Number of OVC receiving general healthcare services
3.5. Number of OVC receiving HIV prevention education or interventions
3.6. Number of OVC receiving psychosocial care
3.7. Number of OVC general education
3.8. Number of OVC receiving vocational training
3.9. Number of OVC receiving economic opportunity or strengthening (i.e. Social grants)
3.10. Number of OVC served (disaggregated by gender) (indirect)
3.11. Number of providers/caretakers trained in caring for OVC

V. PARTNERSHIPS

Applicants are strongly encouraged to form, describe and document partnerships with the South African government (at all levels), NGOs, civil society, and other relevant groups. The USG encourages organizations considering submitting applications to this APS to explore the potential of forming partnerships with other institutions that have established expertise. Applicants also are encouraged to make use of volunteers (with or without pay) to the greatest extent feasible, possibly by placing and supervising volunteers in beneficiary organizations and communities to ensure the development and use of appropriate management, financial, monitoring & evaluation systems; and/or by using volunteers to support planning and strategy development at either the organizational or grassroots level.

VI. SUBSTANTIAL INVOLVEMENT

Should a cooperative agreement be awarded instead of a grant the USG may be substantially involved in the award in the following ways:

- 1) Approval of the recipient's Implementation Plans.
- 2) Approval of specified key personnel.
- 3) USAID and recipient collaboration or joint program implementation.

Where there are specific elements in the proposed program for which the USG's technical knowledge would benefit the recipient's successful accomplishment of stated program objectives, the direct provision of USG expertise and ongoing USG participation in the program could be authorized. If a grant is awarded instead of a cooperative agreement, the grantee may be invited to utilize U.S. Government and other expertise.

VII. ELIGIBILITY

Organizations or institutions with on-going or planned activities with potential to support USAID/Southern Africa's education objectives may submit an application for funding. The required format and content for the application are described below. A Selection Team that includes USAID/Southern Africa and DoE staff shall review and score applications received

periodically as sufficient numbers of proposals become available. If the Team selects a proposed activity, a letter will be sent informing the applicant when negotiations are likely to begin and what additional information may be required. Likewise, unsuccessful applicants shall be informed in writing, with a brief explanation as to why the application was not selected for funding. Non-governmental organizations or institutions that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute education and HIV and AIDS assistance programs using mutually agreed, international standards of accountability are eligible to apply. Eligible organizations could include, for example, foundations, faith-based organizations, private organizations affiliated with public academic institutions, South African and international non-governmental organizations, private companies, local universities, professional associations, and consortiums of the above, among others.

VIII. TWO TIERED REVIEW PROCESS

Applicants will participate in a two tiered review process as detailed below. A favorable evaluation of the concept paper, as described in Tier I of the review process, is not an indication that funding eventually will be awarded. Only full applications that have been invited following a Tier I review will be considered for further review and funding. For all submissions in Tier I and II, one original and two copies are required. All submissions must include the proposed project title and an indication of the APS objectives the application is intended to address. ***No concept papers will be accepted via electronic submission.*** Applications must be sent to:

USAID/Southern Africa
Regional Acquisitions and Assistance Office (RAAO)
Attn: Francinah Hlatshwayo
100 Totius Street
P.O. Box 43 Groenkloof, X5
Pretoria 0027
E-mail: fhlatshwayo@usaid.gov

Electronic Submission:

Note: Please be sure to obtain a delivery receipt when delivering your package.

Applicants may submit queries only by email to fhlatshwayo@usaid.gov. Clarifications will be obtained through the following websites: www.fbo.gov and www.sn.apc.org/usaidsa/business.html. Interested applicants are encouraged to consult this website regularly as all modifications will be posted here.

Submission by hand or mail services:

Concept papers must be submitted in hard-copy form by hand or by mail service, and must include the following:

- One original
- Two copies
- A CD containing the concept paper

Concept papers, copies and CDs are due:

- First quarter submission of concept papers should be no later than March 31, 2008 at 12.00 noon (South Africa time).
- Second quarter submission of concept papers should be no later than June 30, 2008 at 12.00 noon (South Africa time)
- Third quarter submission of concept papers should be no later than September 30, 2008 at 12.00 noon (South Africa time)
- Fourth quarter submission of concept papers should be no later than December 30, 2008.

Reviews of concept papers will be conducted quarterly.

This APS will be in effect for one year from the date of publication.

Tier I: Concept Paper and Summary Budget

All interested applicants must submit a concept paper in English of not more than 5 pages. This will serve as an initial application. This concept paper must:

- include an executive summary that describes how the proposed project will address directly one or more of the APS-defined objectives,
- what partnerships if any will be involved in the project,
- proposed strategies and activities for implementation, and
- a summary budget which specifies the maximum amount of funding required over a specified time period.

Tier I applications should not include specific and detailed budgets.

Based on review of the Tier I concept paper including the summary budget, those submitting applications deemed to be sufficiently responsive to this APS will be invited to prepare and submit full applications using the format described below.

Tier II: Final Application and Detailed Budget

Table of Contents listing all page numbers and attachments

- a. Structure and content of applications

Interested organizations shall submit an application by post, by courier or hand delivery to the address listed above. Applications shall be submitted in the following format and shall not exceed 15 single-spaced typed pages (excluding Attachments):

Project abstract not to exceed a one page description

Structure:

- Table of Contents listing all page numbers and attachments;

- Project Abstract not to exceed one page, describing, in brief, what the program will do, what it will accomplish and how;
- Body of proposal describing the program's strategic fit, technical approach, and the organization's qualifications and past experience;
- Proposed outcomes and impact indicators (not to exceed 2 pages);
- Monitoring and Evaluation Plan (not to exceed 2 pages);
- Detailed budget denominated in South African Rand (not to exceed 3 pages); and
- Attachments should be lettered, e.g., Attachment A, and can include the resumes of key personnel, letters of support, letters from public entities, and other supporting documents.²

Content:

Applications that are most responsive to this APS will include one or more of the following elements:

- Significant South African leadership and involvement.
- Actions to enhance South African infrastructure, personnel and institutions to increase its ability and capacity to address the challenges of HIV and AIDS within the education sector on a long-term basis.
- A clear plan for long-term sustainability following completion of the proposed project.
- Strategies to reach students, teachers and education personnel within the South African society, especially previously disadvantaged communities, those most affected by HIV and AIDS and underserved regions.
- A commitment to reach significant numbers of individuals with services within the first six months of the program.
- Partnerships that link organizations or programs with complementary skills, capabilities and resources to enhance outcomes and conserve resources.
- Plans to integrate activities into ongoing priorities and goals of the South African governmental entities.

A detailed description of how the progress and achievements of the program will be monitored, measured and assessed must be included. Invited full applications must be in English and not exceed 15 pages excluding attachments (e.g. resumes and the cost application). Applicants are cautioned that submitting superfluous material as attachments will detract from their application. The following format should serve as a guideline:

² Please note that excessive documentation submitted as attachments is neither necessary nor warranted.

Project Management

Proposed personnel and partners

Applications should include information on key personnel, including name and a short description of experience and capacity relevant to the project description. Applications from non-South African applicants should include the names of proposed South African implementing partner(s) and the personnel the partner(s) are proposing. Full CVs of all key personnel must be provided as attachments.

Applicants are encouraged to visit the following website for preparing applications for results-oriented grants: <http://www.usaid.gov/pubs/sourcebook/usgov/>

d. Technical Approach/Intended Results/Detailed implementation plan

Applications must be consistent with current policies and guidelines provided at <http://southafrica.usembassy.gov/wwwh aids.html> and at links specified at that site.

Applications should describe in detail implementation plans related to the methodologies included in the project description, showing the phasing or dates by which planned activities would be carried out as well as proposed indicators to assess the progress of the program. The implementation plan should include or describe in detail the following:

- Description of all planned activities including
 - Sequence of activities;
 - Timeframes for implementing each activity;
 - Outcome of each activity;
 - Impact on gender;
 - Impact on disadvantaged communities;
 - Involvement of alliances/partners/twinning;
 - Sustainability plan
 - A monitoring and evaluation plan showing how
 - Outcomes will be measured;
 - Outcomes will contribute to results;
 - Baseline information will be collected;
 - Methods for mid-term and end of project evaluations.

C. Past Performance/Past Experience:

The Applicant must submit contact information of at least three (3) partners with whom they have worked in the past three (3) years in the implementation of a similar program. The reference information must include the location, current telephone numbers, points of contact, award number if available, and a brief description of work performed.

D. Costs:

The cost application as an attachment should detail all direct costs associated with the implementation and completion of activities, as well as any indirect costs and program costs such as those related to any sub-agreements and/or contracts. Indirect costs shall not be included for South Africa NGOs. Local costs must be denominated in local currency. The US dollar equivalent must be indicated for all local costs. The applicable exchange rate will be conveyed to the applicant in the Tier II invitation letters. All cost share contributions must be reflected separately and clearly defined in the budget.

- Attachments (annexes) should be lettered e.g. Attachment A, and can include the resumes of key personnel, letters of support, documentation of partnerships and alliances, letters from public entities, and other supporting documents.

X. EVALUATION CRITERIA

The following are the evaluation criteria against which all applications will be measured. A peer review committee of both US Government personnel and South African experts will participate in the final selection.

A. PROGRAM MANAGEMENT: 15 points

- In the spirit of sustainability and development of local capacity, it is anticipated that implementation will be carried out by the South African partner organization(s) named in the application and that emphasis will be on South African staff.
- A dedicated Project Manager must be named who will be able to devote adequate time to the management of the activity proposed in the application. The Project Manager should have extensive experience in areas relevant to the successful implementation of the proposed activity.
- Appropriateness of proposed personnel's experience to their functions and responsibilities in the project.
- Staff or consultant experience and education: demonstration of experience in the full range of HIV and AIDS and education issues, peer education care and support program development, life skills education and training issues; staff experience in different aspects of research and capacity building. Higher points will be given for experience in South Africa and other developing countries and magnitude of experience related to specific tasks.
- Demonstrate personnel experience and expertise in evaluation, impact assessments, training, and working with partners to build the required capacity.
- Personnel experience in program design, grants management and administration.

B. TECHNICAL APPROACH/INTENDED RESULTS: 30 points

- Demonstrated recent successful experience in managing similar activities or related work of comparable technical complexity. Show experience working on:
 - HIV and AIDS issues within the education sector and in schools.
 - HIV and AIDS issues with Ministries of Education at national and provincial levels.
 - Programs to prevent the spread of HIV and AIDS amongst youth and school children.
 - Programs to provide care and support to learners and educators who are infected and affected by HIV and AIDS.
- Development capacity building within the learner and teacher leadership structures in public schools settings.
- Development of institutional capacity to assist government departments develop strategies to respond to impact of the HIV and AIDS pandemic.
- Development of peer education care and support learning materials for teachers and students.
- Institutional success and capacity in managing HIV and AIDS prevention programs.

- Grants management and administration capacity in accordance with USAID rules and regulations.
- The organization should demonstrate a willingness and commitment to establish a working relationship with the South African Department of Education at all levels and have knowledge and understanding of similar issues within the South African Education and Health sectors or context.
- Where integrated programs are proposed, demonstrated understanding of comprehensive, interwoven approach with supporting management/implementation strategies
- Proposed implementation plan, inputs and outputs are realistic and achievable within the proposed budget and timeframe.
- Ability to leverage public-private alliances/partnerships/twinning with other entities.

C. PAST PERFORMANCE/PAST EXPERIENCE: 15 points

- Demonstrated capacity of Applicant to manage (technically, administratively and financially) a project of similar type and complexity and to deliver the required results.
- Prior demonstrated experience of applicant in activity implementation, developing, tracking and analyzing performance indicators and in managing performance indicator data to ensure audit-worthiness.
- Applicant must demonstrate an understanding of HIV and AIDS issues affecting South Africa; and demonstrate established contacts and links with South African organizations to facilitate immediate program implementation.
- Prior demonstrated experience in working collaboratively with diverse stakeholders from the governmental and non-governmental sectors, and in bringing such groups into dialogue.

D. COUNTERPART CONTRIBUTION/LEVERAGING OF RESOURCES: 5 points

- This criterion considers the ability of the organization to contribute financially or in-kind, or leverage resources through partnerships with other private or public entities, towards the activities of the grant agreement.

E. MONITORING AND EVALUATION: 10 Points

- A realistic and workable monitoring and evaluation plan to monitor implementation progress as well as to measure and report on the impact.
- The monitoring and evaluation plan to be adaptable for use by the Department of Education after the expiration of the award.
- Development of monitoring, assessment and evaluation tools to assist the DoE or schools and USAID to capture relevant data in their programs.

F. REALISTIC GENDER EQUITY PLAN: 5 Points

- The activity design and approach should demonstrate an overall understanding of the HIV and AIDS, peer education care and support programs and life skills education programs within the South Africa education sector particularly with regard to capturing issues related to gender in South Africa.
- Include a clear plan on how gender issues will be addressed and integrated in the program at all levels.
- Include an understanding of the DoE gender guidelines and be prepared to work collaboratively with the DoE to integrate gender issues into all the appropriate activities.

G. COST EFFECTIVENESS, COST REALISM AND COST SHARE: 20 points

- Cost effectiveness - The Applicant's demonstration that proposed results will be achieved with the most efficient use of available resources.
- Cost realism - That the Applicant's technical approach supports the costs proposed.
- Cost share (may include partnerships or alliances)
- Reasonableness and fairness of proposed costs, including all costs. Consistency of budget line items and amounts with the resource requirements of the different activities.

X1. AWARD AND ADMINISTRATION OF AWARDS

Final negotiations and award will be made by USAID. The awards will be administered by USAID Southern Africa. USAID, awards to US-NGOs will be administered in accordance with 22CFR226 and awards to non-US NGOs will be administered in accordance with applicable standard provisions.

This APS does not commit USAID/South Africa to award an agreement, or to pay any costs incurred in the preparation or submission of applications, or to procure or contract for services or supplies. USAID/South Africa reserves the right to reject any or all proposals, to negotiate with any applicant(s) considered qualified or to make award without further applicant negotiations.

Examples of the kinds of activities relevant to this APS:

- Peer education programs for students
- In-service and pre-service teacher training programs focusing on life skills methodology and content
- School wide seminars on gender based violence
- Development and dissemination of integrated curricula check meaning
- Mentoring programs for AIDS-affected OVCs
- Partnerships with Ministries of Education, Health and Social Development at national and provincial levels
- Monitoring of school based HIV education activities
- Provision of prevention, counseling and testing services at educational (universities) institutions
- Development and support of joint national policies on HIV and AIDS and education
- Supporting equal access to education for boys and girls vulnerable to HIV
- Interventions to address and increase measures for the prevention and management of learner pregnancy
- Interventions to increase school safety and reduce sexual violence. Develop strategies for defining and reducing HIV-associated stigma
- Behavioral Interventions including Abstinence Promotion, and Behavioral Change Communication
- HIV and AIDS education and prevention among youth and students

These examples are not all inclusive nor are they necessarily targeted for funding.

BRANDING REQUIREMENTS

All successful applicants who are assigned to USAID will be required to fulfill the branding requirements.

- (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 sub award 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 sub awards, recipients of USAID-funded grants and cooperative agreements or other assistance awards will include the USAID-approved marking provision in any USAID funded sub award, as follows:

“As a condition of receipt of this sub award, 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.

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 10 working days after the effective date of this provision. The plan will include:

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

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

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

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

- (i) USAID marking requirements would compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials;
- (ii) USAID marking requirements would diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;
- (iii) USAID marking requirements would undercut host-country government “ownership” of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications better positioned as “by” or “from” a cooperating country ministry or government official;
- (iv) USAID marking requirements would impair the functionality of an item;
- (v) USAID marking requirements would incur substantial costs or be impractical;
- (vi) USAID marking requirements would offend local cultural or social norms, or be considered inappropriate;
- (vii) USAID marking requirements would conflict with international law.

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

Waivers

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

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

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

(4) Approved waivers “flow down” to recipients of sub awards unless specified otherwise.

The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

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

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

For more information in the USAID branding policy, please see <http://www.usaid.gov/branding/>.

PAST PERFORMANCE
(To be added to supporting documents for full applications only)

The applicant shall establish the relevance of past experience to this program and the basis for reliance upon that experience as an indicator of success on this program. The application must demonstrate success in providing similar implementation services on past awards, including production of meaningful outputs and significant results in accordance with required outputs and results. The applicant should describe their responsiveness to past clients regarding ability to adapt to the unique country settings and client priorities and client satisfaction. Applicants shall provide a list of all U.S. Government and/or privately funded contracts, grants, contracts, etc. performed by the organization and major implementing partners or sub-partners in the last five years involving programs similar to the program proposed in their application. Include the following for each award listed:

- Name of awarding organization or agency;
- Address of awarding organization or agency;
- Place of performance of services or program;
- Award number;
- Amount of award;
- Time period of award (begin and end dates of services/program);
- Current telephone number, fax numbers and internet/email adders of a responsible technical representative of that organization or agency having significant knowledge of the applicant's performance;
- Brief description of the program.

Assessment of past performance will focus on the applicant's demonstrated:

- a) Quality of product or service, including how cooperative and effective the applicant was in fixing problems, and applicant's conformance to agreement specifications or professional performance standards;
- b) Cost control, including forecasting costs, as well as accuracy in financial reporting;
- c) Timeliness of performance, including adherence to agreement schedules and meeting delivery dates such as the submission of administrative documentation, timely delivery of short-term technical advisors, and effectiveness of home and field office management to make prompt decisions and ensure efficient operation of tasks;
- d) Customer satisfaction, including satisfactory business relationship with USAID and host country clients (where applicable), prompt and satisfactory correction of problems, and cooperative attitude in fixing problems; and
- e) Effectiveness of key personnel, including effectiveness and appropriateness of personnel for the job, and prompt and satisfactory changes in personnel when a need to replace personnel was identified.

