



# USAID | SOUTH AFRICA

## UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT ANNUAL PROGRAM STATEMENT IN SUPPORT OF THE U.S. PRESIDENT'S EMERGENCY PLAN FOR AIDS RELIEF (PEPFAR) IN SOUTH AFRICA APS 674-07-001

### I. PURPOSE

The purpose of this Annual Program Statement (APS) is to solicit applications for funding from prospective partners to support implementation of the United States Government's President's Emergency Plan for AIDS Relief (PEPFAR) in South Africa. This APS is a full and open competition; all qualified organizations are eligible to apply for one or both of the following program areas: Umbrella Grants Management and/or HIV and AIDS Treatment and Related Services.

USAID is requesting applications from prospective partners that support the PEPFAR initiative. The goals of the initiative are to:

- Prevent 7 million new HIV infections;
- Treat at least 2 million HIV-infected people; and
- Care for 10 million HIV-affected individuals and AIDS orphans and vulnerable children.

PEPFAR developed specific country-level targets for South Africa. Results generated under this APS are expected to contribute to achieving the following:

- Prevent 1.75 million new HIV infections;
- Treat at least 500,000 HIV-infected people; and
- Care for 2.5 million HIV-affected individuals and AIDS orphans and vulnerable children.

PEPFAR is a \$15 billion, five-year, unified government initiative, directed by the Office of the Global AIDS Coordinator (OGAC), and implemented in collaboration with the U.S. Department of State, the U.S. Agency for International Development (USAID), the Department of Health and Human Services (HHS), including the U.S. Centers for Disease Control and Prevention (CDC), and other USG Agencies. PEPFAR funds projects that support the South Africa Government's *HIV/AIDS and STD Strategic Plan for South Africa, 2000-2005*, <http://www.doh.gov.za/aids/index.html> (and click on National AIDS Unit in left column) and the *Comprehensive Plan for HIV and AIDS Care, Management and Treatment*. Applications should support the initiatives and priorities of the South Africa National and/or Provincial Governments.

Fifteen focus countries have been selected to be part of the 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 PEPFAR in South Africa is available at: <http://pepfar.pretoria.usembassy.gov>. Interested applicants are encouraged to consult this website regularly.

Pending the availability of funding, USAID/South Africa anticipates awarding several grants or cooperative agreements (hereafter called agreements) to fund applications submitted in response to this APS. **This APS consists of two separate application processes. Please note that the submission procedures are different for each component – please read the relevant sections very carefully.**

Applications for the Umbrella Grants Management (UGM) component will be accepted in the form of oral presentations with supporting documents, due **no later than November 13, 2006, at 10:00 a.m. (South African time)**. Agreements for the UGM will be funded for amounts not less than \$7 million and not more than \$40 million per year, where the bulk of the funding is expected to be passed through to the sub-grantees administered by the UGM. Successful applicants will be expected to have a physical presence in South Africa for project implementation.

Applications for the treatment and other related services component will be accepted in the form of formal concept papers, followed by full proposals for those organizations invited to do so. Concept papers are due **no later than December 15, 2006, at 17:00 (South African time)**. Agreements for the Treatment APS will be funded for amounts not less than \$3 million and not more than \$30 million per year.

Each agreement will be awarded for an initial period not to exceed two years. It is possible that project extensions beyond two years will be granted pending project success and availability of funds. Funding is not anticipated to be available before May/June 2007, after which rapid project implementation will be expected.

Registered South African organizations, U.S. and non-U.S. non-governmental organizations, faith-based organizations, community-based organizations, foundations, private organizations affiliated with public academic institutions, parastatals, professional associations, non-profit organizations and for-profit organizations willing to forego profit are eligible to submit applications. Multi-lateral organizations are not eligible. Existing prime partners receiving PEPFAR South Africa country funding and sub-partners receiving PEPFAR South Africa funding are eligible to apply under this APS.

A Pre-Application Workshop will be held in Pretoria at USAID on **October 19, 2006**. The UGM component will be covered from 9:00-12:00, and the Treatment component will be covered from 13:30-16:30 (see sections VII.A and VII.B for more information).

This APS is issued as a public notice to ensure that all interested parties have a fair opportunity to submit applications for funding. This APS does not commit USAID to award an agreement or to pay any costs incurred in the submission of applications or costs incurred in the preparation thereof, or to procure or contract for services or supplies. USAID reserves the right to reject any or all proposals, to negotiate with any applicant(s) considered qualified or to make awards without further applicant negotiations. PEPFAR funding is

expected to conclude after Fiscal Year 2008 (ending September 30, 2008), and there is no assurance of continued funding after that time.

## **II. OBJECTIVES and APPROACHES**

As stated above, this APS consists of two separate application processes: (A) The Umbrella Grant Management (UGM) component, and (B) the Treatment and Related Services Component. Organizations may apply to one or both components. Organizations applying to both components must submit two separate applications on the respective due dates.

This document is divided into the two separate applications. The UGM component is described first, followed by the Treatment and Related Services component. The UGM Annexes are then listed, followed by the Treatment and Related Services Annexes. **Please make certain to refer to the annexes that pertain to the correct component.**

### **A. UMBRELLA GRANTS MANAGEMENT COMPONENT**

#### **UGM COMPONENT SUMMARY**

Currently, USAID/South Africa (USAID) supports institutional capacity-building of indigenous organizations that implement PEPFAR programs through an umbrella grants management (UGM) partner. The main purpose of the umbrella organization is to: (1) facilitate further scale-up of HIV and AIDS services through local and international implementing partners and (2) develop indigenous capacity. Since 2004, USAID has obligated funds through the umbrella grant to over 30 partners and sub-partners in South Africa, all of whom play valuable roles in the fight against HIV and AIDS. These partners and sub-partners consist of non-governmental organizations (NGOs), faith-based organizations (FBOs), and community-based organizations (CBOs). All partners and sub-partners were selected through a full and open competition.

Through this APS, at least two organizations will be selected as UGM partners. Partners and sub-partners currently working with USAID/PEPFAR and those which will be selected by USAID/PEPFAR in the future will be assigned to the successful applicants by USAID.

The UGM partners will not directly implement program activities, but rather act as a grants management partner to manage and mentor sub-partners, who in turn carry out the assistance programs. The UGM partners will function primarily as sub-grant-making entities. Typically, a relatively small percentage of overall funds are used for administrative purposes. In addition, in situations in which a UGM partner provides significant technical assistance and management support to grant recipients, the UGM partner may devote a reasonable percentage of overall funding to providing this support.

USAID closely collaborates and coordinates with the South African Government (SAG) in supporting PEPFAR partners through the umbrella grant mechanism. Although some of the partners work closely with various SAG Departments, the UGM partner's primary interface with the SAG is through the Senior Management Team (SMT), which includes key staff from USAID, National Departments of Health and Social Development, and representatives from the provincial departments.

### Targeted Program Areas:

In general, PEPFAR targets the following broad areas related to HIV and AIDS:

- 1) Prevention of HIV transmission
- 2) Treatment of AIDS and associated conditions
- 3) Palliative Care for HIV-infected and affected individuals, including caring for Orphans and Other Vulnerable Children (OVC)
- 4) Policy, Strategic Information and Systems Strengthening

More specifically, the UGM component of the APS is targeted at supporting institutional capacity-building to organizations that implement service delivery activities in the program areas listed above. More detailed example subject areas on capacity-building activities for umbrella grants are included as Annex 2. Please note that PEPFAR and USAID promote service delivery. Research programs are generally not supported through PEPFAR funding unless they consist of short-term targeted evaluation components within a service delivery program to empirically measure success and identify effective strategies or programs for future expansion.

### **1.A. UGM Strategic Approach**

Because the overall goal of this APS is to support the provision of sustainable high-quality services in South Africa, proposed strategic approaches should address specific needs with practical, pragmatic business plans for implementation.

#### ***Partners***

Faith-based organizations (FBOs), community-based organizations (CBOs), and non-governmental organizations (NGOs) are all eligible to apply for the UGM Grant.

#### ***Comprehensive Programming***

Applications that address or demonstrate linkages with multiple program objectives are encouraged. For example, a responsive application might build on an existing grants management program or capacity-building program. USAID intends for the UGM component to maximize synergy with other USAID-funded efforts by USAID/Washington or field Missions and regional offices, as well as those of other international agencies. This would include coordinated work planning and programming in terms of location and activities.

#### ***Sustainability***

Applicants should be aware that PEPFAR is a five-year program designed to end after September 2008. There is no assurance of any continued program or funding for any particular applicant after that time. All applicants must describe their plans for sustainability of their projects after two years. Sustainability includes the development of technical competence, human capacity, management systems, infrastructure, relationships with government programs and financial independence.

#### ***Institutional Capacity Development***

The applicant should emphasize host country and local organization capacity-building as an important element of the overall grants management program. Umbrella grant programs include significant technical assistance in strategic planning, registration, financial management, human resource management, networks, monitoring and evaluation, quality

assurance, commodities, equipment, and logistics management, facilities, and fundraising. This technical assistance can either be part of the responsibilities of the UGM partner or of a separate organization. The best examples spend a relatively small proportion of the overall grant on these services and are quite specific as to the responsibilities of the prime grantee in strengthening local partners. Such awards must decrease the proportion of funds spent on technical assistance on a rapid timeframe as the technical capacity of local partners increases.

### ***Quality of Services***

A key focus for PEPFAR is ensuring that quality services are provided. Quality includes meeting the client's individual needs in a timely manner, providing services within the appropriate policies and guidelines, and ensuring that systems are in place to measure and evaluate the services provided.

### ***Strategic Information***

Strategic information is a cornerstone of PEPFAR. All applicants must address how they will monitor and evaluate their program. In addition, the APS is open to projects supporting USAID's efforts to monitor and/or evaluate PEPFAR, capacity-building around strategic information interventions, and increasing skill sets of M&E staff.

These are only examples of responsive strategic approaches; applicants are encouraged to propose other innovative solutions to provide UGM services.

## **2.A. UGM Illustrative Activities**

Specific areas for funding might include those listed in Annex 2. These are provided only as examples of the kinds of activities relevant to this APS and are not exhaustive, nor are they necessarily targeted for funding.

## **3.A. UGM Program Indicators**

All applications must include plans to document, monitor and evaluate program performance. USAID South Africa will evaluate progress by monitoring selected indicators and assessing these in relation to the overall objectives set by program staff.

A limited set of program monitoring indicators will be used to track the progress of key USAID-funded activities. These are based on administrative records, project reports, and routine, logistical, and facility-based information systems. Applications for funding under this UGM APS should clearly state how proposed activities relate to these program monitoring indicators and how data will be collected, verified and reported to document progress toward these objectives, including a staffing plan. Data quality is a critical component of this program, and all applicants must develop systems to ensure data quality and must be prepared for data quality audits. 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 must report on the required indicators relevant to their program area, as laid out by the Office of the Global AIDS Coordinator. These indicators are listed in the table below and are further discussed in the *South Africa Strategic Information (SASI) Manual* (<http://pepfar.pretoria.usembassy.gov/>) (Go to "PEPFAR@Work"/"M&E").**

**In addition to the specific UGM indicators listed below, applicants will be responsible for ensuring that their sub-partners report on indicators in the SASI manual as appropriate.**

### **PEPFAR Indicators**

|   |
|---|
| <b>Other/policy development and system strengthening</b>  |
| Number of local organizations provided with technical assistance for HIV-related policy development               |
| Number of local organizations provided with technical assistance for HIV-related institutional capacity building. |

Applicants may include plans to collect data on additional indicators to measure the effectiveness of a specific program; however, monitoring of additional indicators is *not required* of funded programs. All indicators are outlined in the *SASI Manual*.

Award recipients are required to submit semi-annual reports. Reports will be submitted to USAID via a web-based data warehouse. USAID also strongly encourages all recipients to provide relevant data to their local, provincial and national government counterparts.

### **III.A. UGM PARTNERSHIPS**

#### South African Government:

Successful applicants will ensure that, prior to implementing activities, their sub-partners comply with South African Government policies and guidelines and obtain approval from provincial SAG authorities in each province in which they will conduct activities.

### **IV.A. UGM SUBSTANTIAL INVOLVEMENT**

Should a cooperative agreement, an award in which the donor has significant input, be awarded instead of a grant, USAID will be substantially involved in the award in the following ways:

- 1) Approval of the recipient's implementation plan.
- 2) Approval of specified key personnel.
- 3) Approval of grant criteria proposed by recipient.
- 4) Approval of the recipient's performance monitoring and management plan.
- 5) Provision of technical direction for specific program interventions.
- 6) Approval of the sub-grant recipients.
- 7) Approval of grantee/cooperative agreement annual Country Operational Plan submission.

### **V.A. UGM ELIGIBILITY**

Eligible applicants include non-governmental organizations that have demonstrated technical skills, experience and the necessary competence to plan and efficiently manage organizations delivering HIV and AIDS assistance programs using mutually agreed, international standards of accountability. Eligible organizations include, for example, registered South African and international non-governmental organizations, faith-based organizations, community-based organizations, foundations, private organizations affiliated with public academic institutions, parastatals, professional associations, non-profit organizations and for-profit organizations

willing to forego profit. Multi-lateral organizations are not eligible. Existing prime partners receiving PEPFAR South Africa country funding and sub-partners receiving PEPFAR South Africa funding are eligible to apply under this APS.

## **VIA. UGM REVIEW PROCESS**

The review process will include an oral presentation to a panel of peer reviewers by the applicant. This oral presentation will include much of the information traditionally contained in a written proposal and is intended to reduce the workload for both the applicant and USAID. This will also give the evaluation panel the opportunity to meet the individuals who will actually implement the scope of work.

The full application consists of three components: (1) an oral presentation; (2) supporting documents; and (3) a cost application. Details on the technical application components are provided in Annex 3. The criteria used to evaluate applications are included as Annex 4. Details on the Cost Application are provided in Annex 5. Applicants will be required to submit a final copy of their presentation and all other supporting documents no later than 10:00 a.m. (South African time) on November 13, 2006, and then must be prepared to present their proposal in person or via video conferencing on a date and time to be determined by USAID upon receipt of proposal materials. Tentative dates for the oral presentations are November 15-17, 2006.

Specific submission instructions are outlined below. All applications must include a completed cover page (Annex 1) and must be received before the stipulated closing date and time.

A peer review committee will participate in the technical review. Cost Applications will be reviewed by a separate committee.

### Electronic Submission:

**No applications will be accepted via electronic submission.**

### Submission by hand or mail services:

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

- A CD containing the final PowerPoint presentation and supporting documents
- One original set of supporting documents
- Seven copies of supporting documents
- One original Cost Application (please see Annex 5 for details)
- Seven copies of the Cost Application
- A separate CD containing the Cost Application

Full applications must be submitted by hand or by mail service to the following address:

USAID, attention Ms. Gail Warshaw  
100 Totius Street, Groenkloof X5  
Pretoria 0027  
South Africa

*Please note that some courier and overnight mail services do not deliver directly to USAID, and consequently should not be relied upon for overnight services. Delivery by courier has in*

*the past been delayed by up to one week and it is the responsibility of the applicant to take this delay into consideration. **We regret that we are unable to accept applications arriving after the deadline.***

Applicants are encouraged to check the PEPFAR South Africa website periodically for updated information related to the APS (<http://pepfar.pretoria.usembassy.gov> ). Applicants may submit queries *by email only* to [pepfar\\_pretoria\\_usaid@usaid.gov](mailto:pepfar_pretoria_usaid@usaid.gov) through **October 31<sup>st</sup>, 2006**. Responses to queries and questions received by October 31<sup>st</sup>, 2006 will be posted on the website. No requests for meetings or phone calls with any USG officials will be accepted during the application process.

#### **VII.A. UGM PRE-APPLICATION WORKSHOP**

A pre-application workshop will be held at USAID in Pretoria on October 19, 2006. The schedule is as follows:

- 9:00 – 12:00 – Umbrella Grants Management Component Workshop
- 13:30 – 16:30 – Treatment Component Workshop

The purpose of the workshops is to introduce potential applicants to USAID and PEPFAR, describe the APS and contracting processes, and discuss the monitoring and evaluation requirements for funded projects. Applicants may attend either or both workshops. Please note that applicants are not required to attend a workshop to submit a proposal. Those planning to attend *must* RSVP in advance. **Please RSVP by October 13, 2006 at [pepfar\\_pretoria\\_usaid@usaid.gov](mailto:pepfar_pretoria_usaid@usaid.gov), including your organization name, names of individuals attending, and which workshop you are attending.** All materials presented at the workshops will also be posted on the PEPFAR website.

#### **VIII.A. UGM PREPARATION AND SUBMISSION OF APPLICATIONS**

NO assistance will be provided by any USG official to any organization in the preparation of applications and NO fee is required for submission of applications. USAID would like to inform all prospective applicants that NO individual has been appointed by USAID as representative to assist in the APS process. Prospective applicants are encouraged to respond to the APS in accordance with the guidelines provided.

#### **IX.A. UGM AWARD**

Final negotiations and awards will be made by USAID. Funding is anticipated to be available in May/June 2007, after which rapid project implementation will be expected.

#### **X.A. UGM ADMINISTRATION OF AWARDS**

Awards will be administered by USAID. Awards to U.S.-NGOs will be administered in accordance with 22 Code of Federal Regulations (CFR) 226, Office of Management and Budget Circulars and the USAID Standard Provisions; awards to non-U.S. NGOs will be administered in accordance with applicable USAID Standard Provisions. These documents are available on the following websites: [www.usaid.gov](http://www.usaid.gov), <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=%2Findex.tpl> and [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).



## **XI.A. UGM AUTHORITY**

This program is authorized in accordance with the Foreign Assistance Act of 1961 (as amended), and the United States Leadership against HIV and AIDS, Tuberculosis, and Malaria Act of 2003 (P.L. 108-25, May 27, 2003).

## **B. TREATMENT AND RELATED SERVICES COMPONENT**

### **TREATMENT AND RELATED SERVICES (TREATMENT) COMPONENT SUMMARY**

Specifically, this component of the APS is targeted at programs that will provide services in treatment, supported by any of the additional program areas listed below. While a comprehensive program may contribute substantially to any of these program areas, **at least 55% of activities and funding must be dedicated to treatment services**. More detailed example subject areas are included as Annex 7. Please note that PEPFAR and USAID promote service delivery. Research programs are generally not supported through PEPFAR funding unless they consist of short-term targeted evaluation components within a service delivery program to empirically measure success and identify effective strategies or programs for future expansion.

#### **TREATMENT**

1. HIV and AIDS treatment/anti-retroviral (ARV) treatment drugs – including procurement, distribution/supply chain/logistics, and pharmaceutical management of ARV drugs.
2. HIV and AIDS treatment/ARV services for adults, infants, and children – including infrastructure, information and other management systems, training clinicians and other providers, exams, clinical monitoring, related laboratory services, and community-adherence activities.
3. Capacity Development – including strengthening national and organizational policies and systems to address human resource capacity development, stigma and discrimination, and gender issues.

#### **PREVENTION**

4. PMTCT – activities aimed at preventing mother-to-child HIV transmission including counseling and testing (CT) for pregnant women, ARV prophylaxis for HIV-infected pregnant women and newborns, counseling and support for maternal nutrition and safe infant feeding practices.
5. Abstinence/be faithful – activities (including training) to promote abstinence, fidelity, delay of sexual activity, partner-reduction messages, and prevention for HIV-infected people.
6. Other prevention activities – other activities aimed at preventing HIV transmission including promotion of condoms, messages/programs to reduce injecting drug use, programs designed for most at-risk populations. Please note that applications to address these program areas through mass media approaches will not be supported through this APS.

#### **CARE**

7. Palliative care/basic health care and support – all clinic-based and home-/community-based activities for HIV-infected adults and children and their families that will optimize quality of life for HIV-infected clients and their families throughout the continuum of illness by means of ART; adherence for ART; symptom diagnosis and relief; psychological and spiritual support; clinical monitoring, related laboratory services and management of opportunistic infections and other HIV and AIDS-related complications (including pharmaceuticals); and culturally-appropriate end-of-life care. Basic health care and support also includes clinic-based and home-/community-

- based support; social and material support such as nutrition support on a limited basis, legal aid and housing; and training and support of caregivers.
8. TB/HIV – diagnosis, consultations, clinical monitoring, related laboratory services, treatment, adherence to treatment, and prevention of tuberculosis in HIV basic health care settings (including pharmaceuticals); as well as screening and referral for HIV testing, and clinical care related to TB clinical settings. Note: General TB treatment, prevention and related programming are not covered by this APS.
  9. Counseling and testing – includes activities in which both HIV counseling and testing are provided. All counseling and testing entry points can be included.

## **1.B. Treatment Strategic Approach**

To support the provision of sustainable high-quality services in South Africa, proposed strategic approaches should address specific needs with practical, pragmatic business plans for implementation. These include but are not limited to the following approaches. **Please note that these approaches are only examples of responsive strategic approaches; applicants are encouraged to propose other innovative solutions to provide services to individuals affected by HIV and AIDS, provided that these approaches are consistent with and supportive of SAG policies and guidelines.**

### ***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 non-governmental 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/](http://www.usaid.gov/our_work/global_partnerships/gda/).

### ***Formation of Consortia***

Faith-based organizations (FBOs) and community-based organizations (CBOs) are eligible to apply. Applications may be submitted by consortia of service providers to achieve administrative resource efficiencies and beneficial associations. Organizations might apply for funds that would then be managed and disbursed to smaller “grass-roots” organizations to provide community-based services. An example of this would be a group of FBOs that submit a *single* application with centralized resource management to provide HIV and AIDS services through many providers serving rural underserved populations. The budget for the consortia application must be within the scope of the APS.

### ***Comprehensive Programming***

Applications that address or demonstrate linkages with multiple program objectives, with a strong emphasis on treatment, are encouraged. For example, a responsive application might build on a program that provides treatment and support to people living with HIV and AIDS by adding a component that addresses the palliative care needs of HIV-infected individuals.

### ***Capitation or Fee-for-Service***

Private health care providers, professional associations and private companies with health service capacity could also respond to this APS to provide treatment, prevention and/or care services on a capitation or fee-for-service basis to individuals not directly employed by those entities. Such applications would be particularly responsive if the budget plans include cost-sharing or complementary resource provision.

### ***Sustainability***

Applicants should be aware that PEPFAR is a five-year program designed to end after September 2008. There is no assurance of any continued program or funding for any particular applicant after that time. All applicants must describe their plans for sustainability of their projects after two years. Sustainability includes the development of technical competence, human capacity, management systems, infrastructure, relationships with government programs and financial independence.

### ***Human Capacity Development***

There is an urgent need to increase health sector human resources, especially skilled health workers such as physicians, nurses, pharmacists, and managers to address HIV and AIDS. USAID/PEPFAR strongly encourages applications that address the shortage of trained health care providers, particularly in rural and public sector settings, through programs that (1) enhance the skills of existing implementers; (2) augment the number of skilled people; (3) address recruitment and retention issues, and (4) support improved practices through access to knowledge, updated policies, needed tools, and supportive management and information systems.

### ***Quality of Care and Services***

A focus for USAID/PEPFAR is ensuring quality of care in the services provided. Quality of care includes meeting the patient's individual needs in a timely manner, providing services within the appropriate policies and guidelines, providing comprehensive care (which includes appropriate referrals), and ensuring that systems are in place to measure and evaluate the care provided.

### ***Monitoring and Evaluation***

Strategic information is a cornerstone of USAID/PEPFAR. All applicants must address how they will monitor and evaluate their program.

## **2.B. Treatment Illustrative Activities**

Specific areas for funding might include those listed in Annex 7. These are provided only as examples of the kinds of activities relevant to this APS and are not exhaustive, nor are they necessarily targeted for funding.

## **3.B. Treatment Program Indicators**

All applications must include plans to document, monitor and evaluate program performance. USAID/South Africa will evaluate progress by monitoring selected indicators and assessing these in relation to the targets and overall objectives set by program staff.

A limited set of program monitoring indicators will be used to track the progress of key USAID-funded activities. These are based on administrative records, project reports, and routine, logistical, and facility-based information systems. Applications for funding under

this APS should clearly state how proposed activities relate to these program monitoring indicators and how data will be collected, verified and reported to document progress toward these objectives, including a staffing plan. Data quality is a critical component of this program, and all applicants must develop systems to ensure data quality and must be prepared for data quality audits. 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 must report on the required indicators relevant to their program area, as laid out by the Office of the Global AIDS Coordinator. These indicators are listed in the table below and are further discussed in the *South Africa Strategic Information Manual* (<http://pepfar.pretoria.usembassy.gov/>) (Go to “PEPFAR@Work”/”M&E”).**

### PEPFAR Indicators

|   |   |
|---|---|
| <b>HIV and AIDS Treatment/ARV Services</b>  |   |
| Number of service outlets providing antiretroviral therapy  |   |
| Number of individuals newly initiating antiretroviral therapy during the reporting period   |   |
|   | Male (0-14)                                       |
|   | Male (15+)  |
|   | Female (0-14)                                     |
|   | Female (15+)                                      |
|   | Pregnant female (all ages, subset of all females) |
| Number of individuals who ever received antiretroviral therapy by the end of the reporting period (cumulative)                          |   |
|   | Male (0-14)                                       |
|   | Male (15+)  |
|   | Female (0-14)                                     |
|   | Female (15+)                                      |
|   | Pregnant female (all ages, subset of all females) |
| Number of individuals receiving antiretroviral therapy at the end of the reporting period (current clients)                             |   |
|   | Male (0-14)                                       |
|   | Male (15+)  |
|   | Female (0-14)                                     |
|   | Female (15+)                                      |
|   | Pregnant female (all ages, subset of all females) |
| Total number of health workers trained to deliver ART services, according to national and/or international standards                    |   |
| <b>Prevention/Abstinence and Being Faithful</b>   |   |
| Number of individuals reached through community outreach that promotes HIV and AIDS prevention through abstinence and/or being faithful |   |
|   | Male  |
|   | Female  |
| Number of individuals reached through community outreach that promotes HIV and AIDS prevention through abstinence                       |   |
|   | Male  |
|   | Female  |
| Number of individuals trained to promote HIV and AIDS prevention programs through abstinence and/or being faithful                      |   |
| <b>Prevention/Other Behavior Change</b>   |   |
| Number of targeted condom service outlets   |   |
| Number of individuals reached through community outreach that promotes HIV and AIDS prevention through                                  |   |

|  |        |
|--|--------|
| other behavior change beyond abstinence and/or being faithful  |        |
|  | Male   |
|  | Female |
| 2.3 Number of individuals trained to promote HIV and AIDS prevention through other behavior change beyond abstinence and/or being faithful   |        |
| <b>Prevention of Mother-to-Child Transmission</b>  |        |
| Number of service outlets providing the minimum package of PMTCT services according to national and international standards <sup>a</sup>   |        |
| Number of pregnant women who received HIV counseling and testing for PMTCT and received their test results   |        |
| Number of pregnant women provided with a complete course of antiretroviral prophylaxis in a PMTCT setting  |        |
| Number of health workers trained in the provision of PMTCT services according to national and international standards  |        |
| <b>Counseling and Testing</b>  |        |
| Number of service outlets providing counseling and testing according to national and international standards   |        |
| Number of individuals who received counseling and testing for HIV and received their test results  |        |
|  | Male   |
|  | Female |
| Number of individuals trained in counseling and testing according to national and international standards  |        |
| <b>Palliative Care: Basic Health Care (including HIV/TB)</b>   |        |
| Total number of service outlets providing general HIV-related palliative care (including TB/HIV)   |        |
| Total number of service outlets providing clinical prophylaxis and/or treatment for tuberculosis (TB) to HIV-infected individuals (diagnosed or presumed) in a palliative care setting (a subset of all palliative care outlets) |        |
| Total number of individuals provided with HIV-related palliative care (including TB/HIV)   |        |
|  | Male   |
|  | Female |
| Number of HIV-infected clients attending HIV care/treatment services that are receiving treatment for TB disease (a subset of all served with palliative care)   |        |
|  | Male   |
|  | Female |
| Number of HIV-infected clients attending HIV care/treatment services that are receiving clinical prophylaxis for TB disease (a subset of all served with palliative care)  |        |
|  | Male   |
|  | Female |
| Total number of individuals trained to provide HIV-related palliative care (including TB/HIV)  |        |
| Number of individuals trained to provide clinical prophylaxis and/or treatment for TB to HIV-infected individuals (diagnosed or presumed). Note: This is a subset of all trained.  |        |
| Total number of family members of HIV-infected individuals provided with HIV-related palliative care   |        |
| <b>Laboratory Infrastructure</b>   |        |
| Number of laboratories with capacity to perform 1) HIV tests and 2) CD4 tests and/or lymphocyte tests  |        |
| Number of individuals trained in the provision of laboratory-related activities  |        |
| Number of tests performed at USG-supported laboratories during the reporting period: 1) HIV Testing, 2) TB diagnostics, 3) syphilis testing, and 4) HIV disease monitoring   |        |
| <b>Other/policy development and system strengthening</b>   |        |
| Number of local organizations provided with technical assistance for HIV-related institutional capacity building.  |        |
| Number of individuals trained in HIV-related institutional capacity building   |        |
| Number of individuals trained in HIV-related stigma and discrimination reduction   |        |
| Number of individuals trained in HIV-related community mobilization for prevention, care and/or treatment  |        |

<sup>a</sup> Information about minimum service packages for PMTCT programs are further discussed in the South Africa Strategic Information Manual, (<http://pepfar.pretoria.usembassy.gov/>) (Go to "PEPFAR@Work"/"M&E").

Applicants may include plans to collect data on additional indicators to measure the effectiveness of a specific program; however, monitoring of additional indicators is *not*

required of funded programs. All indicators are outlined in the *South Africa Strategic Information Manual*.

Recipients of PEPFAR money in the area of ARV Treatment will be required to submit quarterly reports. All other program areas require only semi-annual reports. Reports will be submitted to USAID via a web-based data warehouse. USAID also strongly encourages all recipients to provide relevant data to their local, provincial and national government counterparts.

### **III.B. TREATMENT PARTNERSHIPS**

#### South African Government and South African organizations:

Applicants are strongly encouraged to form, describe and document partnerships with the South African Government (at all levels). Prior to implementing activities, recipients are required to obtain approval from authorities in each province in which they will conduct activities. *(Note that approvals are not required for concept papers, but evidence of government support is strongly encouraged. Letters of support will be required for full proposal applications.)* USAID/PEPFAR also encourages non-South African organizations considering submitting applications to this APS to explore the potential of forming partnerships with South African organizations, including NGOs, civil society and other relevant groups. However, multi-lateral agencies are not eligible to apply.

#### Use of Volunteers:

Applicants also are encouraged to make use of volunteers (with or without pay). Volunteers with higher-level training can be placed in beneficiary organizations and communities and supervised to ensure the development and use of appropriate management, financial and monitoring & evaluation systems. Volunteers have also been used successfully to support planning and strategy development at either the organizational or grassroots level. Two USG agencies that place well-trained Volunteers are Peace Corps ([www.peacecorps.gov](http://www.peacecorps.gov)) and Volunteers for Prosperity ([www.volunteersforprosperity.gov](http://www.volunteersforprosperity.gov)). Another resource for volunteers is PEPFAR's Twinning Center managed by the American International Health Alliance ([www.twinningagainstaids.org](http://www.twinningagainstaids.org)). This Twinning Center not only assists partners by building capacity, but also is responsible for establishing a volunteer healthcare corps for all cadres of health workers including managers. Please consult websites cited above for general information on the organizations, their process for Volunteer placement, and the provinces in which they work in South Africa. As with all USG agencies, no requests for meetings or phone calls with Peace Corps officials will be accepted during the application process. Peace Corps South Africa is unable to make a commitment to a partnership with an organization until funding is awarded and a full work plan developed.

### **IV.B. TREATMENT SUBSTANTIAL INVOLVEMENT**

Should a cooperative agreement, an award in which the donor has significant input, be awarded instead of a grant, USAID will be substantially involved in the award in the following ways:

- 1) Approval of the recipient's implementation plan.
- 2) Approval of specified key personnel.
- 3) Approval of grant criteria proposed by recipient.
- 4) Approval of the recipient's performance monitoring and management plan.
- 5) Provision of technical direction for specific program interventions.

- 6) Approval of grantee/cooperative agreement annual Country Operational Plan submission.

## **V.B. TREATMENT ELIGIBILITY**

Eligible applicants include organizations that have demonstrated technical skills, experience and the necessary management competence to plan and efficiently execute HIV and AIDS assistance programs using mutually agreed international standards of accountability. Eligible organizations could include, for example, registered South African organizations, U.S. and non-U.S. non-governmental organizations, faith-based organizations, community-based organizations, foundations, private organizations affiliated with public academic institutions, parastatals, professional associations, non-profit organizations and for-profit organizations willing to forego profit, and consortia of the above. Multi-lateral organizations are not eligible to apply. Existing prime partners receiving PEPFAR South Africa country funding and sub-partners receiving PEPFAR South Africa funding are eligible to apply under this APS.

## **VI.B. TWO-TIERED REVIEW PROCESS FOR TREATMENT COMPONENT**

Organizations applying for Treatment funding will participate in a two tiered review process as detailed below. Tier 1 consists of the evaluation of concept papers. Tier 2 consists of a review of full applications that have been invited following a favorable Tier 1 review. Please note that a favorable review in Tier 1 or Tier 2 is not an indication that funding eventually will be awarded.

Specific submission instructions are outlined below. All concept paper submissions must include a completed cover page (Annex 6) and must be received before the stipulated closing date and time.

### Electronic Submission:

**No concept papers will be accepted via electronic submission.**

### 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
- Seven copies
- Any supporting documents
- A CD containing the concept paper and supporting documents

Concept papers must be submitted by hand or by mail service to the following address:

USAID, attention Ms. Gail Warshaw  
100 Totius Street, Groenkloof X5  
Pretoria 0027  
South Africa

If an applicant is invited to submit a full proposal, full applications must be submitted by hand or by mail service to the above address and must include the following:

- One original of the technical proposal



- Seven copies of the technical proposal
- Any supporting documents to the technical proposal
- A CD containing the technical proposal and supporting documents
- One original of the Cost Application (please see Annex 10 for details)
- Seven copies of the Cost Application
- A separate CD containing the Cost Application

*Please note that some courier and overnight mail services do not deliver directly to USAID, and consequently should not be relied upon for overnight services. Delivery by courier has in the past been delayed by up to one week and it is the responsibility of the applicant to take this delay into consideration. **We regret that we are unable to accept applications arriving after the deadline.***

Applicants are encouraged to check the PEPFAR South Africa website periodically for updated information related to the APS (<http://pepfar.pretoria.usembassy.gov>). Applicants may submit queries *by email only* to [pepfar\\_pretoria\\_usaid@usaid.gov](mailto:pepfar_pretoria_usaid@usaid.gov) through **February 5, 2007**. Responses to queries and questions received by February 5, 2007 will be posted on the website. No requests for meetings or phone calls with any USG officials will be accepted during the application process.

### **Tier 1: Treatment Concept Paper and Summary Budget**

All interested applicants must submit a concept paper to serve as an initial application. The concept paper must be written in English and must not exceed five (5) pages (not including the cover sheet, summary budget, or attachments), using A4 paper size and Times New Roman 11-point font, with 1-inch margins. This concept paper must include a completed cover page (Annex 6), 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 (see detailed budget instructions below). Organizations may submit more than one concept paper.

Concept papers should be developed using the following format:

1. Summary of proposed activities, including geographic reach, target populations and explanation of how proposed activities contribute to the South African Government's Strategic and/or Comprehensive Plan.
2. Background (rationale/problem statement and activities implemented to date).
3. Description of strategy and activities, including partnerships (if applicable) and implementation plan for the duration of the project.
4. Summary monitoring and evaluation plan, including anticipated indicators/outcomes.
5. Description of sustainability plan.
6. Description of staff responsible for management and monitoring and evaluation.
7. Summary budget in U.S. Dollars.

Concept papers should not include specific and detailed budgets, but should include the following major budget categories: personnel/salaries; fringe benefits; travel (international and domestic); equipment and supplies; monitoring and evaluation (recommended as 5-10% of total budget); sub-grants; sub-contracts; other direct charges; indirect

charges/administrative costs; and cost share for each program year. The summary budget also must reflect the following:

- For indirect costs, international NGOs should include an approved Negotiated Indirect Cost Recovery Agreement (NICRA) with the U.S. Government. Local NGOs may submit a fixed administrative rate or direct charges in lieu of a NICRA.
- Budget must be submitted in U.S. Dollars. For purposes of preparing concept papers and full applications, a Rand/Dollar exchange rate of \$1 = R6.5 should be used.

Concept papers meeting the following criteria will be reviewed:

- Written in English.
- Received by submission deadline.
- Five pages or less using A4 paper size and Times New Roman 11-point font. ***Please note that required cover page (Annex 6), summary budget and any attachments do not count toward the five page limit. Applicants are cautioned that submitting superfluous material as attachments will detract from their application.***
- Addresses APS-defined objectives.
- Includes brief description of monitoring and evaluation plan and indicators.
- Project has a duration of two years.
- Summary budget of not less than \$3 million and not more than \$30 million per year for each one year period.
- Submitted by eligible entity (eligibility criteria listed in section V.B., above).

A peer review committee will participate in the Tier 1 technical review. The criteria used to evaluate applications are included as Annex 9. Those submitting applications deemed to be sufficiently responsive to this APS and meeting specific gaps within the current program will be invited to prepare and submit full applications. Applicants will be informed in writing about the outcome of the Tier 1 technical review once the review process is complete.

## **Tier 2: Treatment Application and Detailed Budget**

General guidelines for the preparation of full applications are included as Annex 8. Detailed instructions will be provided to those invited to submit full applications, as an attachment to the letter of invitation.

## **VII.B. PRE-APPLICATION WORKSHOP**

A pre-application workshop will be held at USAID in Pretoria on October 19, 2006. The schedule is as follows:

- 9:00 – 12:00 – Umbrella Grants Management Component Workshop
- 13:30 – 16:30 – Treatment Component Workshop

The purpose of the workshops is to introduce potential applicants to USAID and PEPFAR, describe the APS and contracting processes, and discuss the monitoring and evaluation requirements for funded projects. Applicants may attend either or both workshops. Please note that applicants are not required to attend the workshop to submit a proposal. Those planning to attend ***must*** RSVP in advance. **Please RSVP by October 13, 2006 at [pepfar\\_pretoria\\_usaid@usaid.gov](mailto:pepfar_pretoria_usaid@usaid.gov), including your organization name, names of individuals attending, and which workshop you are attending.** All materials presented at the workshop will also be posted on the PEPFAR website.

## **VIII.B. PREPARATION AND SUBMISSION OF CONCEPT PAPERS AND APPLICATIONS FOR TREATMENT COMPONENT**

NO assistance will be provided by any USG official to any organization in the preparation of concept papers or applications and NO fee is required for submission of concept papers or applications. USAID would like to inform all prospective applicants that NO individual has been appointed by USAID/PEPFAR as representative to assist in the APS process. Prospective applicants are encouraged to respond to the APS in accordance with the guidelines provided.

## **IX.B. TREATMENT AWARD**

Final negotiations and awards will be made by USAID. Funding is anticipated to be available in May/June 2007, after which rapid project implementation will be expected.

## **X.B. TREATMENT ADMINISTRATION OF AWARDS**

Awards will be administered by USAID. Awards to U.S.-NGOs will be administered in accordance with 22 Code of Federal Regulations (CFR) 226, Office of Management and Budget Circulars and the USAID Standard Provisions; awards to non-U.S. NGOs will be administered in accordance with applicable USAID Standard Provisions. These documents are available on the following websites: [www.usaid.gov](http://www.usaid.gov), <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=%2Findex.tpl> and [www.whitehouse.gov/omb/circulars/index.html](http://www.whitehouse.gov/omb/circulars/index.html).

## **XI.B. TREATMENT AUTHORITY**

This program is authorized in accordance with the Foreign Assistance Act of 1961 (as amended), and the United States Leadership against HIV and AIDS, Tuberculosis, and Malaria Act of 2003 (P.L. 108-25, May 27, 2003).

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
IN SUPPORT OF PEPFAR  
APS COVER SHEET – UGM APPLICATION

Organization Name: \_\_\_\_\_  
Project Name: \_\_\_\_\_  
Contact Name: \_\_\_\_\_  
Title: \_\_\_\_\_  
Address: \_\_\_\_\_  
City: \_\_\_\_\_  
State/Province: \_\_\_\_\_  
Country: \_\_\_\_\_  
Zip Code: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Fax Number: \_\_\_\_\_  
E-mail Address: \_\_\_\_\_  
Website (for organization): \_\_\_\_\_

Type of Organization (choose from the list): \_\_\_\_\_  
*(Select one: South African NGO, South African private foundation, South African faith based organization, South African educational institution, South African private company, South African parastatal organization, International NGO, International private foundation, International faith based organization, International educational institution, International private company, South African Government Agency/Entity, International public entity, Other)*

Funding Requested Year 1: USD \_\_\_\_\_

Funding Requested Year 2: USD \_\_\_\_\_

**Select One Only:**

Will Make Oral Presentation in Person

Will Make Oral Presentation via Video Conference

**EXAMPLE SUBJECT AREAS FOR THE UGM COMPONENT:**

**Grant Management**

The umbrella grant mechanisms will award and administer grants to partners selected through the PEPFAR APS competitive process to implement HIV and AIDS prevention activities, treatment programs, and basic health care and support activities, including those supporting orphans and vulnerable children. This involves an array of related activities including award and administration of grants, monitoring of grant progress, meeting reporting requirements, and grant closeout. The umbrella mechanisms will monitor program implementation and adherence to USG financial regulations. This involves provision of extensive technical assistance to partners on project development and implementation, financial management, monitoring and evaluation, and reporting. All these functions provide key support to organizations so they better implement the aforementioned PEPFAR HIV and AIDS activities.

**Capacity-Building**

The new umbrella mechanisms will support institutional capacity-building of indigenous organizations, a key PEPFAR strategy, thus promoting more sustainable programs and organizations. (Capacity-building activities are defined as activities that strengthen the skills of indigenous organizations to implement HIV and AIDS programs efficiently, with diminishing reliance on external technical assistance and support.) The umbrella partners will support activities to improve the financial management, organizational management and governance, program management, quality assurance, strategic information and reporting, and leadership and coordination of partner organizations implementing prevention activities. All these functions provide key support to organizations so they better implement the aforementioned PEPFAR HIV and AIDS activities.

**Monitoring and Evaluation**

The umbrella mechanisms will provide support to prevention, care (including OVC), and treatment partners in monitoring and evaluation (M&E) in order to strengthen measurement of the implementation and impact of program activities, and eventual achievement of PEPFAR goals. M&E support of prevention, care, and treatment partners include: measurement of program progress; provision of feedback for accountability and quality; surveillance; and implementation of information management systems. In addition, the umbrella mechanism will provide supportive supervision to provide guidance, monitoring, mentoring and oversight through site visits, technical assistance, and performance evaluation. All these functions provide key support to organizations so they better implement PEPFAR HIV and AIDS activities.

*Please note that these examples are not exhaustive nor are they necessarily targeted for funding.*

**General Guidelines For Umbrella Grants Management Component Application**  
**Annual Program Statement (APS) 674-07-001**

The full application, which must be consistent with current USAID and PEPFAR policies and guidelines, consists of three components: (1) an oral presentation; (2) supporting documents; and (3) a cost application. Details on these application components are provided below.

The deadline for submission of the UGM application is **November 13, 2006**. Applications must be received no later than **10:00 a.m.** (South African time) at USAID, attention Ms. Gail Warshaw, 100 Totius Street, Groenkloof X5, Pretoria 0027, by this deadline. **Electronic submissions are not permitted.** Please submit one original and seven copies of the application. Include a CD with a copy of your application and budget. Oral presentations are tentatively scheduled for November 15-17. USAID will assign timeslots to applicants who have submitted all required documentation shortly after receipt of the application.

**Structure and Content of UGM Applications**

As stated above, the full UGM application consists of three components. The first component is an oral presentation, which should adhere to the following guidance:

- The oral presentation must be in English.
- The oral presentation must be no longer than 45 minutes in length. Please note that presenters will be stopped at the 45 minute mark.
- The review panel will not answer nor ask any questions during the 45 minute presentation.
- A question and answer period of no longer than one hour and fifteen minutes will follow the presentation.
- Offerors' presenters should be the key persons who will implement the program. These key persons should be present in person or via video conferencing during the oral presentation and question and answer period.
- The oral presentation must be accompanied by a PowerPoint slideshow.
- Flipcharts, whiteboards, chalkboards, etc. should not be used during the presentation.
- Handouts for the review panel will not be accepted; however, limited use of display materials is acceptable.
- Applicants have the option to present either in person at USAID in Pretoria or by video conferencing. If an organization intends to present via video conferencing, please check the appropriate box on the cover sheet.
- All presentations and question and answer sessions will be video and audio recorded.
- Please note that budget should be covered in the Cost Application as an attachment, *not* in the oral presentation.

**Oral Presentations**

The format of the oral presentation should include the following:

- Introduction
  - Introduction of key personnel

- Background of organization
- Description of activities related to the objectives of this APS describing:
  - Rationale/problem statement
  - Description of strategy and activities
  - Objectives and anticipated outcomes
  - Impact on beneficiaries
- Project Management
  - Structure for managing implementation
  - Information on key personnel, including for each key person a short description of experience and capacity relevant to the project description, an indication of level of effort each will be dedicating to the proposed activities and the roles and responsibilities of each
  - Nature of the relationship between country office and HQ (i.e. whether the country office will need HQ sign-off before awarding grants, providing technical assistance, etc.)
- Technical Capacity, Expertise, and Experience
  - Capacity to manage the project technically, administratively and financially
  - Previous experience managing a project of similar size and complexity, including experience working collaboratively with diverse stakeholders and experience with donor funding
  - Previous experience managing grants
  - Previous experience in technical assistance to other organizations
- Technical Approach
  - Objectives addressed and results to be achieved, including:
    - Relation to the aim of this APS, PEPFAR, and SAG Comprehensive Plan
    - Specific program results to be achieved by March 2008, September 2008, March 2009, and September 2009
- Summary of Implementation Plan
- Summary of Monitoring and Evaluation Plan

### Supporting Documents

Applicants are cautioned that submitting superfluous material as attachments will detract from their application.

Supporting documents should include, but are not limited to, the following:

1. Cover page (see Annex 1 for Cover Page Template)
2. Table of Contents, listing all page numbers and all annexes/attachments
3. Executive Summary, using the following format (one page):
  - a. Summary of proposed activities, including objectives to be addressed, geographic reach, target populations and explanation of how proposed activities contribute to the South African Government's Comprehensive Plan
  - b. Background (rationale/problem statement and activities implemented to date)
  - c. Description of Strategy and Activities
  - d. Anticipated results, including indicators/outcomes
4. Implementation Plan, describing the methodology for UGM activities, including:
  - a. Timeframes and sequencing for implementing each activity

- b. Outcome of each activity
  - c. Impact on sub-partner organizations
  - d. Sustainability plan
- 5. Monitoring and Evaluation plan showing how:
  - a. Outcomes will be measured
  - b. Outcomes will contribute to results
  - c. Baseline information will be collected
  - d. Activities will be evaluated
- 6. Branding Plan (See Branding Attachment, Annex 11)
- 7. Past Performance/Past Experience documentation:
  - a. Contact information of at least three (3) partners with whom applicants have worked in the past three (3) years in the implementation of a similar program.
  - b. Reference information, including location, current telephone numbers, points of contact, award number if available, and a brief description of work performed. (Refer to Annex 12 for guidance)

XI. Cost Application

See Cost Application Attachment, Annex 5.



**UGM APPLICATION EVALUATION CRITERIA**

A peer review committee will evaluate full UGM applications based on the following criteria.

**A: APPLICANT EXPERIENCE AND PROJECT MANAGEMENT**  
**Total: 45 points**

**Applicant's Capacity, Technical Expertise and Experience (20 points)**

- Capacity to manage (technically, administratively and financially) a project of similar size, type and complexity and to deliver the required results.
- Demonstrated successful history of implementing competitive grant programs for activities in developing countries.
- Experience in providing organizational capacity-building assistance.
- Demonstrated clear understanding of HIV and AIDS issues.
- Experience in working collaboratively with diverse stakeholders from governmental and non-governmental sectors.
- Experience in working successfully with donor funding.
- If applicable, evidence that the applicant or primary implementer is a community-based or faith-based organization with the ability to provide services that will impact at a community level.
- Summaries of previous HIV and AIDS activities in South Africa or other PEPFAR-funded activities in other countries.

**Staffing and Management Plan (25 Points)**

- Stream lined cost-effective staffing structure.
- Staffing pattern maximizes use of qualified, diversified (ethnically) South African staff. In the spirit of sustainability and the development of local capacity, any expatriate involvement is limited to home office oversight, and implementation is to be carried out by South African organization(s) and South African staff.
- A dedicated Project Manager able to devote 100% of his/her 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.
- Key personnel have successful experience in managing and implementing USG grants programs in developing countries.
- Adequate information on key personnel, including name, short description of experience and capacity relevant to proposed position to ensure rapid start-up and implementation success.
- Financial management procedures and staff in place are knowledgeable about and experienced in managing donor funds.
- Monitoring and evaluation procedures and staff are in place and capable of producing accurate, timely reports.
- Clear management roles and responsibilities in order to promote efficiency and rapid start-up.
- An organizational chart summarizing project management staff.

**B: TECHNICAL APPROACH**  
**Total: 45 points**

**Ability to Reach Significant Numbers of South Africans (5 points)**

- Activities directly support the PEPFAR goal of expanding service delivery to a significant number of South Africans by grants management, capacity-building or monitoring and evaluation.
- Application indicates ability to start-up and manage grants by September 1, 2007.
- Targets are realistic (in line with budget, staffing and implementation plan).

**Overall Technical Approach (10 points)**

- Activities directly contribute to the service delivery programs and will meet PEPFAR objectives as described in this APS.
- Activities are supportive and consistent with the *South African Government's Operational Plan for Comprehensive HIV and AIDS Care, Management and Treatment*.
- Activities encompass a comprehensive approach that appropriately integrates different types of technical assistance.
- Application includes an appropriate breakdown of award funding to administrative costs, technical assistance services, and sub-grants, with the majority of the grant going to sub-grants.
- Activities address or demonstrate linkages with multiple program objectives.
- Activities describe the approach the applicant will take with current and new sub-partners.
- Applicants propose innovative solutions to provide UGM services.

**Ability to Monitor Results (15 points)**

- Application includes effective monitoring and evaluation plan.
- Application demonstrates competence in developing and analyzing performance indicators and in managing performance indicator data to ensure audit-worthiness.
- A monitoring and evaluation plan that includes clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.
- A monitoring and evaluation plan that specifies appropriate and feasible methods for data collection, tracking, verification, analysis and reporting, including attention to differential impacts by gender.
- A monitoring and evaluation plan that specifies how the applicant will monitor sub-partners.
- Capacity to provide technical assistance in M&E to grantees.
- Knowledge of PEPFAR indicators.

**Implementation Plan (10 points)**

- Work plan includes proposed activities for the time frame indicated.
- First year work plan, inputs and outputs are realistic and achievable within proposed budget and timeframe, and reflect a grasp of necessary steps to ensure

rapid, effective start-up and execution of program activities including making and managing grants to sub-partners.

- Proposed two year implementation plan, inputs and outputs are realistic and achievable within the proposed budget and timeframe.
- Work plans should be presented in a matrix format, with detailed interim objectives and milestones.

#### **Sustainability Plan (5 points)**

- Sustainability plan addresses the likelihood that the program being supported will continue beyond and without USAID funding, and proposes a feasible sustainability strategy.
- Activities will enhance the ability of South African personnel and institutions to address the challenges of HIV and AIDS on a long-term basis.
- Sustainability plan addresses technical expertise, management, staffing, financial sustainability, and relationship with South African Government, other NGOs, and/or the private sector.

### **C: SOUTH AFRICA EXPERIENCE**

**Total: 10 points**

#### **South Africa Experience (10 points)**

- Evidence that the applicant or primary implementer of the proposed project is a South African organization.
- Experience with and demonstrated understanding of HIV and AIDS issues in South Africa.
- Experience with related projects in South Africa.

### **D: COST APPLICATION**

**No Points Awarded**

#### **Cost Evaluation Criteria**

Evaluation points are not awarded for cost. The review of the cost proposal will primarily include cost realism, allowability and reasonableness analyses. This will consist of a review of the cost portion of an applicant's application to determine if the overall costs proposed are realistic for the work performed, if the costs reflect the applicant's understanding of the requirements, and if the costs are consistent with the technical application. Evaluation of cost proposals will consider but not be limited to the following:

- Cost realism and completeness of cost proposal and supporting documentation.
- Overall cost control evidenced by the proposal (such as avoidance of excessive salaries, excessive home office staff visits and other costs in excess of reasonable requirements).
- Anticipated value of grants to be made.

Applicants are reminded that the Government is not obliged to award a negotiated agreement on the basis of lowest proposed cost, or the applicant with the highest technical evaluation score, but will make awards that represent the best value for the U.S. Government.

## COST APPLICATION-UMBRELLA GRANTS MANAGEMENT

The cost application should be an attachment and 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 as detailed below.

Applicants may request awards in the range of \$7,000,000 to \$40,000,000 million per year for up to two years. The majority of these funds will be allocated to sub-grants, administered by the successful applicants. This amount is subject to revision depending on availability of funds.

The application should also provide evidence that the funds requested are reasonable and would be used in a cost-effective manner. The review committee will assess whether the overall costs are realistic for the work to be performed, whether the costs indicate that the applicant understands the requirements, and whether the costs are consistent with the technical application.

The Cost Application is to be submitted as a supporting document, separate from the technical application. Certain documents are required to be submitted by an applicant in order for the USAID/South Africa Agreement Officer to make a determination of responsibility.

The Cost Application should be prepared following the guidance provided below. All information discussed below should be included in the application in the manner and format described below. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary details. **The Cost Application should be submitted as an original and seven copies.**

1. **Separateness:** The Cost application must be completely separate from the Applicant's technical application. The application must be submitted using Standard Form (SF) 424 and SF 424A "Application for Federal Assistance." These forms can be downloaded from the USAID web site:

<http://www.usaid.gov/forms/>

2. **Cost Information Submission:** The cost information submitted must include three distinct parts: a) the SF 424; b) the cost matrix; and c) budget notes.

a. SF 424:

The cost application should be for a period of 2 years using the budget format shown in the SF 424A. If there are any training costs to be charged to this Agreement, please identify them clearly.

b. Cost Matrix:

The information to be presented under Cost Application must also indicate the amount of funds to be spent by objective and activity. Due to the nature of this APS, it is noted that this is difficult to create specifically without knowing the nature and number of organizations to be managed; therefore, for this section, please use your expertise and experience to create a realistic scenario for this purpose. Applicants

should include an overall summary budget and a detailed annual budget defined by result area, general program activities and specific activities consistent with the information requested below. Specifically, the budgets should demonstrate the resources allocation to achieve the objectives of this program.

The proposed budget shall also include:

- i. the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- ii. the breakdown of the financial and in-kind contributions of all organizations involved in implementing this agreement;
- iii. potential contributions of non-USAID or private commercial donors to this cooperative agreement;
- iv. the procurement plan for commodities (note that contraceptives and other health commodities will be subject to specific approvals from the USAID/South Africa Agreements Officer);
- v. anticipated value of grants to be made.

c. Budget Notes:

To support the costs proposed, please provide detailed budget notes and/or a narrative explaining how all costs were derived. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable and realistic. If the information described below is provided in the cost matrices described above, then the information need not be included in the Budget Notes. The following is provided as guidance on issues involving specific types of costs:

- i) **Salary and Wages:** Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- ii) **Fringe Benefits:** If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
- iii) **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the applicant's normal travel policies. (Applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- iv) **Equipment:** Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

- v) **Source and Origin Requirements** - Goods and services provided by the recipients under this USAID-financed award must have their source and origin in the United States (USAID Geographic Code 000). However, USAID may expand the authorized Geographic Code, or otherwise agree to finance procurements, which do not meet the requirements of 22 CFR 228, by processing a waiver in accordance with USAID policy, Contractor Information Bulletin (CIB) 01-04, Expedited Acquisition and Assistance Procedures for the HIV/AIDS and Infectious Disease Initiatives (click on: [http://www.usaid.gov/business/business\\_opportunities/cib/pdf/cib0104.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/cib0104.pdf)). Procurement source and origin requirements under the agreement will be dependent upon the source of funding.
- vi) **Materials and Supplies:** Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- vii) **Communications:** Specific information regarding the type of communication cost at issue (i.e. mail, telephone, cellular phones, internet etc.) must be included in order to allow an assessment of the realism and reasonableness of these costs.
- viii) **Subcontracts:** Information sufficient to determine the reasonableness of the cost of each specific subcontract expected to be implemented must be included.
- ix) **Consultants:** Information sufficient to determine the reasonableness of the cost of each specific consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- x) **Allowances:** Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
- xi) **Direct Facilities Costs:** Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
- xii) **Other Direct Costs:** This may include report preparation costs, passports and visas fees, medical exams and inoculations, and insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- xiii) **Indirect Costs:** The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for

USAID to determine the reasonableness of the rates. For this latter, USAID would need: (1) copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID; (2) a projected budget, cash flow and organizational chart; (3) A copy of the organization's accounting manual.

3. **Cost-Sharing:** Cost-sharing is not required.
4. **Management Costs:** The proposed budget should provide estimates of the program based upon the total estimated costs for the agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
5. **Financial Resources:** Information on the organization's financial status and management including:
  - a) Projected budget, cash flow and organizational chart.
  - b) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circulars and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.
  - c) If applicable, approval of the organization's accounting system by a U. S. Government agency, including the name, address, and telephone number of the cognizant auditor.
  - d) Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.
6. **Supporting Documentation:** The application should include detailed information for each component below that substantiates that the applicant:
  - a) Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement.
  - b) Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  - c) Has a satisfactory record of performance. Refer to Annex 12 for a template on past performance.



- d) Has a satisfactory record of integrity and business ethics.
- e) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunity laws).
- f) Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility.

7. ***Program Income*** (if applicable):

The Recipient shall account for program income in accordance with 22 Code of Federal Regulations (CFR) 226.24(b)(1) and (b)(2). “In accordance with 22 CFR(b)(1), program income earned under this award shall be added to funds committed by USAID and the recipient to the project or program and used to further eligible project or program objectives. Additionally, in accordance with 22 CFR 226.24(b)(2), program income may be used to finance the non-Federal share of the project or objectives.” The CFR website is: <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=%2Findex.tpl>.

8. ***Cost Evaluation Review Criteria:***

Evaluation points are not awarded for cost. The review of the cost proposal shall include primarily cost realism, allowability and reasonableness analyses. This will consist of a review of the cost portion of an applicant’s application to determine if the overall costs proposed are realistic for the work performed, if the costs reflect the applicant’s understanding of the requirements, and if the costs are consistent with the technical application. Evaluation of cost proposals will consider but not be limited to the following:

- Cost realism and completeness of cost proposal and supporting documentation.
- Overall cost control evidenced by the proposal (such as avoidance of excessive salaries, excessive home office staff visits and other costs in excess of reasonable requirements).
- Anticipated value of grants to be made.

Applicants are reminded that the Government is not obliged to award a negotiated agreement on the basis of lowest proposed cost, or the applicant with the highest technical evaluation score, but will make awards that represent the best value for the U.S. Government.

UNITED STATES AGENCY FOR INTERNATIONAL DEVELOPMENT  
IN SUPPORT OF PEPFAR  
APS COVER SHEET – TREATMENT AND RELATED SERVICES APPLICATION

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

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

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

Title: \_\_\_\_\_

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

City: \_\_\_\_\_

State/Province: \_\_\_\_\_

Country: \_\_\_\_\_

Zip Code: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax Number: \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Website (for organization): \_\_\_\_\_

Type of Organization (choose from the list): \_\_\_\_\_

*(Select one: South African NGO, South African private foundation, South African faith based organization, South African educational institution, South African private company, South African parastatal organization, International NGO, International private foundation, International faith based organization, International educational institution, International private company, South African Government Agency/Entity, International public entity, Other)*

Partner Organization(s): \_\_\_\_\_

*Include name and organization type from list above, for each partner.*

Funding Requested Year 1: USD \_\_\_\_\_

Funding Requested Year 2: USD \_\_\_\_\_

Duration of project (in years): \_\_\_\_\_

Project Type: New Project

Scale-up of Existing Project

Other  Please describe: \_\_\_\_\_

Province(s) where project will be implemented: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**Technical Areas:**

*Please indicate with a check mark which technical area(s) of the APS your project will address:*

- HIV/TB
- HIV and AIDS Treatment Drugs or Services
- PMTCT
- Abstinence/Be Faithful
- Other Prevention of HIV transmission
- HIV Counseling and Testing
- Palliative Care for HIV infected individuals
- Strategic Information
- Policy Analysis / Systems Strengthening

**Beneficiaries:**

| <b>Estimated Number of Beneficiaries</b>                            | <b>Target Population</b>                  |
|---|---|
| <i>Example: 25,000 HIV-infected individuals receiving Treatment</i> | <i>Example: Rural adult men and women</i> |
|   |   |
|   |   |

*Include separate estimate for each program area, as appropriate. For example, if your proposal is to provide treatment services to at-risk populations and also undertake prevention activities, please include estimated beneficiaries and target populations for each.*

**EXAMPLE SUBJECT AREAS FOR TREATMENT COMPONENT OF THIS APS:**

(Please remember **Treatment** must constitute at least **55%** of the program portfolio.)

**HIV and AIDS Treatment:**

- Direct provision and monitoring of ARV therapy for adults and children;
- Provision of ARV therapy at multiple service delivery sites through down and up referral;
- Facility/Site identification and enhancement to provide ARV treatment or AIDS care services;
- Basic and continuing education and training for qualified doctors, nurses, counselors, pharmacists, including mentor and preceptor programs;
- Pharmaceutical procurement, distribution and tracking systems;
- Referral systems from entry points (i.e., for Prevention of Mother-to-Child Transmission (PMTCT), CT, support groups, home-based care, hospitals, clinics) to treatment sites;
- Counseling for adherence/compliance and side effects;
- Programs that expand access of TB patients to HIV services (including routine counseling and testing, and follow-up wellness and ART);
- Laboratory services to service public and private/public partnerships;
- Communication programs including community information and education, and interpersonal programs to promote HIV education and treatment literacy to support the expansion of HIV treatment including antiretroviral medications (please note that mass media approaches are not supported in this APS);
- Community outreach and involvement for support of care and treatment.

**Prevention:**

- PMTCT, particularly projects designed to increase uptake and to provide linkages with ARV treatment services;
- Post Exposure Prophylaxis (PEP) particularly following rape or occupational exposure;
- Defining and reducing HIV-associated stigma;
- Behavioral Interventions including abstinence promotion, and behavioral change communication;
- HIV and AIDS education and prevention among youth, women, professionals, prison populations, mobile workers, commercial sex workers, men who have sex with men, injection drug and alcohol using populations, and others at high risk for infection;
- HIV and AIDS prevention activities targeting older populations, and couples consisting of older men/younger women;
- HIV and AIDS prevention activities targeting persons newly infected with HIV;
- HIV and AIDS prevention programs through appropriate promotion of clinically performed male circumcision;
- HIV and AIDS prevention programs in identified areas of high HIV prevalence, such as peri-urban areas and informal settlements;
- Condom promotion and provision, especially in non-traditional settings;
- Projects addressing the role of alcohol abuse in HIV prevention;
- Conducting new and innovative behavioral change campaigns in underserved areas.

**HIV Care:**

- Expansion of HIV Counseling and Testing (CT) services and capacities particularly in underserved areas, where AIDS treatment is being instituted, and where men can be targeted;
- Treatment of opportunistic infections including TB;
- Measures to improve TB diagnosis and treatment among HIV-positive individuals;
- Programs that promote effective expansion of TB/HIV collaborative activities;
- Programs that expand access of TB patients to HIV services (including routine counseling and testing, and follow-up wellness and ART);
- High-quality standardized palliative care services, training and expansion of care-providing capacity;
- Improve linkages and referral systems between the different levels of health care (central, provincial, district, hospitals, clinics, home-based care etc.) and to services outside formal health care settings;
- Programs to assist families to cope with HIV-related problems, such programs might include the provision of home-based care kits, nutrition and medications.

**Policy, Strategic Information and System Strengthening:**

- Programs that promote effective expansion of TB/HIV collaborative activities;
- Programs to assist or utilize faith-based communities as they endeavor to reduce new HIV infections, support AIDS treatment and participate in the provision of care;
- Support for the continuous development of consensus on national guidelines for clinical care for adults and children, PMTCT, CT, management of opportunistic infections, laboratory monitoring and testing, OVC support, nutrition, referral, and adherence counseling;
- Information technology for data management and clinical decision making;
- 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 (undertaken in consultation with USG Agencies in South Africa);
- Targeted evaluations (TE) designed to answer questions about program implementation that are measurable, specific, and focused; *(Note that targeted program evaluations provide evidence-based information beyond that derived from program monitoring and disease surveillance. The goal of TEs should be to improve prevention programs, support decisions regarding clinical programs, and identify best practices for outreach to and care for those infected and affected by HIV and AIDS. TE must produce results that can be generalized and can contribute to sustainability of country programs.)*
- Assist in designing tools or systems to: 1) assist USAID and USAID partners with reporting and monitoring needs of PEPFAR by facilitating the collection, reporting, and analysis of data; and 2) strengthen the capacity of USAID partners to use data for health program management, planning and decision-making.
- Develop training, internship programs or other means to increase organizational capacity to monitor routine data and use the data to inform decision making and improve programs.

**Cross-Cutting:**

- Partnerships to support comprehensive HIV and AIDS workplace programs;

- Partnerships with business enterprises that provide services to contractors or community members;
- Defining and reducing HIV-associated stigma;
- The development of human capacity through programs that (1) enhance the skills of existing implementers; (2) augment the number of skilled people; (3) address recruitment and retention issues, and (4) support improved practices through access to knowledge, updated policies, needed tools, and supportive management and information systems;
- Programs that promote the involvement of PLHIV in HIV and AIDS prevention, treatment and care;
- Initiatives to appropriately address gender issues.

*These examples are not exhaustive nor are they necessarily targeted for funding.*

**General Guidelines For Treatment Component Full Applications**  
**Annual Program Statement (APS) 674-07-001**

**These general guidelines are provided for information only. Detailed guidance for applicants invited to submit full applications will be provided with the letter of invitation.**

*NOTE: These guidelines are NOT for use in preparation of Tier 1 concept papers. See the APS for instructions for submission of concept papers.*

The full application must be in English, must **not exceed 25 pages**, printed on one side with one-inch margins, and must be submitted using A4 paper size and **Times New Roman 11-point font**. The 25-page maximum length is inclusive of title page, table of contents and executive summary, but excludes attachments (resumes, letters of support, documentation of partnerships and alliances, the cost application and other supporting documents). Attachments (annexes) should be lettered (e.g. Attachment A). Applicants are cautioned that submitting superfluous material as attachments will detract from their application.

The anticipated deadline for submission of the full application is March 7, 2007. (Note that this date is subject to change at the time instructions for full applications are distributed.) Applications must be received by 5:00 p.m. at USAID, attention Ms. Gail Warshaw, 100 Totius Street, Groenkloof X5, Pretoria 0027, by this deadline. Electronic submissions are not permitted. Please submit one original and seven copies of the application. Include a CD with a copy of your application, budget, and cost application.

**Please note the following important requirements:**

You are required to submit a pharmaceutical procurement plan if purchasing pharmaceuticals. The plan should include procurement, distribution and management.

Budgets must be submitted in the activity based budget format (to be provided with letter of invitation).

**Structure and Content of Full Applications**

Full applications including the following elements will be reviewed. Applicants are encouraged to address as many of the evaluation criteria (Annex 9) as possible within each of these sections.

- I. Cover Page
  - Specific elements will be provided with full instructions.
- II. Table of Contents listing all page numbers and all annexes/attachments
- III. Executive Summary, using the following format (one page):

- Summary of proposed activities, including objectives to be addressed, geographic reach, target populations and explanation of how proposed activities contribute to the South African Government's Comprehensive Plan
- Background (rationale/problem statement and activities implemented to date)
- Description of Strategy and Activities, including partnerships (if any)
- Anticipated results, including indicators/outcomes

IV. Description of activities related to the objectives of this APS describing:

- Rationale/problem statement
- Description of strategy and activities
- Objectives and anticipated outcomes
- Ongoing activities to be scaled up, expanded or supplemented
- Geographic focus areas and rationale
- Impact on gender
- Impact on beneficiaries

Applications must be consistent with current USAID and PEPFAR policies and guidelines provided at <http://pepfar.pretoria.usembassy.gov/> and at links specified at that site.

V. Include a Section on Project Management with the following information:

- Structure for managing implementation
- Information on key personnel, including for each key person a short description of experience and capacity relevant to the project description, an indication of level of effort each will be dedicating to the proposed activities and the roles and responsibilities of each
- Proposed implementing partner(s), key personnel of each partner organization and the roles and responsibilities of each organization

VI. Description of Applicant capacity, technical expertise and experience.

- Describe capacity to manage the project (technically, administratively and financially).
- Describe previous experience managing a project of similar size and complexity, including experience working collaboratively with diverse stakeholders and experience with donor funding.

VII. Technical Approach:

- Objectives addressed and results to be achieved, including:
  - Relation to the aim of this APS
  - Specific program results to be achieved by March 2008, September 2008, March 2009, and September 2009
- Detailed Implementation Plan, describing the plan and methodology for implementation of each activity, including:
  - Timeframes and sequencing for implementing each activity
  - Outcome of each activity



- Impact on gender
  - Impact on most-at-risk groups and underserved communities
  - Involvement of partners including roles and responsibilities
  - Sustainability plan
- Detailed monitoring and evaluation plan showing how:
    - Outcomes will be measured
    - Outcomes will contribute to results
    - Baseline information will be collected
    - Activities will be evaluated

Note: If purchasing pharmaceuticals, include a **Pharmaceutical Procurement Plan** in this section.

VIII. If the proposed activity(s) will be carried out in conjunction with the South African Government, or in public facilities, evidence of the South African Government concurrence with the activity(s) should be provided.

IX. Branding Plan (To be included with supporting documents)

See Branding Attachment, Annex 11.

X. Past Performance/Past Experience: (To be included with supporting documents)

- Submit contact information of at least three (3) partners with whom applicants have worked in the past three (3) years in the implementation of a similar program.
- Reference information, including location, current telephone numbers, points of contact, award number if available, and a brief description of work performed. Please refer to Annex 12 for guidance on past performance.

XI. Cost Application

See Cost Application Attachment, Annex 10.

**APPLICATION EVALUATION CRITERIA FOR TREATMENT COMPONENT**

A peer review committee will evaluate both Tier 1 (concept papers) and Tier 2 (full applications), based on the following criteria. ***Note that evaluation criteria in italics will not be required or scored for Tier 1 concept papers.***

**A: APPLICANT EXPERIENCE AND PROJECT MANAGEMENT**  
**Total: 25 points**

**Applicant's Capacity, Technical Expertise and Experience (15 points)**

- Capacity to manage (technically, administratively and financially) a project of similar size, type and complexity and to deliver the required results.
- Experience in operating similar projects in similar circumstances.
- Demonstrated clear understanding of HIV and AIDS issues.
- Experience in working collaboratively with diverse stakeholders from governmental and non-governmental sectors.
- Experience in working successfully with donor funding.
- If applicable, evidence that the applicant or primary implementer is a community-based or faith-based organization with the ability to provide services that will impact at a community level.
- Experience in delivering ART and related services in resource-poor settings.
- Demonstrated capacity to rapidly scale up ART and associated services in resource-poor settings.
- *Full applications may include summaries of previous HIV and AIDS activities in South Africa or other PEPFAR-funded activities in other countries.*

**Staffing and Management Plan (10 Points)**

- Stream lined cost-effective staffing structure.
- Staffing pattern maximizes use of qualified, diversified (ethnically) South African staff. In the spirit of sustainability and the development of local capacity, any expatriate involvement is limited to home office oversight, and implementation is to be carried out by South African organization(s) and South African staff.
- A dedicated Project Manager able to devote 100% of his/her 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.
- Financial management procedures and staff in place are knowledgeable about and experienced in managing donor funds.
- Monitoring and evaluation procedures and staff are in place and capable of producing accurate, timely reports.
- Senior management team includes staff with infectious disease management experience and experience providing clinical ART services consistent with SAG standard treatment guidelines.
- *Full applications describe clear management roles and responsibilities in order to promote efficiency and rapid start-up.*

- *Full applications contain adequate information on key personnel, including name, short description of experience and capacity relevant to proposed position to ensure rapid start-up and implementation success.*
- *Full applications may include as an attachment an organizational chart summarizing project management staff.*

## **B: TECHNICAL APPROACH**

**Total: 55 points**

### **Ability to Reach Significant Numbers of South Africans (10 points)**

- Activities directly support the PEPFAR goal of expanding service delivery to a significant number of South Africans.
- Application indicates an ability to reach a significant number of individuals with services within the first 12 months of the program.
- Application demonstrates a low cost per intervention or results reached.
- Targets are realistic (in line with budget, staffing and implementation plan).

### **Overall Technical Approach (10 points)**

- Activities immediately and directly contribute to treatment service delivery programs and will meet PEPFAR objectives as described in this APS.
- Activities are supportive and consistent with the *South African Government's Operational Plan for Comprehensive HIV and AIDS Care, Management and Treatment*.
- Activities encompass a comprehensive approach that appropriately integrates different interventions and coordinates among different levels of health service delivery.
- Applicant proposes innovative treatment-related solutions to provide services to individuals affected by HIV and AIDS.
- Applicant uses volunteers to implement activities.

### **Ability to Monitor Results (10 points)**

- Application includes effective monitoring and evaluation plan.
- Application demonstrates competence in developing and analyzing performance indicators and in managing performance indicator data to ensure audit-worthiness.
- *Full application monitoring and evaluation plan includes clear and appropriate milestones and expected accomplishments, with measurable output and performance indicators.*
- *Full application monitoring and evaluation plan specifies appropriate and feasible methods for data collection, tracking, verification, analysis and reporting, including attention to differential impacts by gender.*

### **Implementation Plan (10 points)**

- Work plan includes proposed activities for the time frame indicated, and identifies partners for activities, where appropriate.

- First year work plan, inputs and outputs are realistic and achievable within proposed budget and timeframe, and reflect a grasp of necessary steps to ensure rapid, effective start-up and execution of program activities.
- Proposed two year implementation plan, inputs and outputs are realistic and achievable within the proposed budget and timeframe.
- *Full application work plans should be presented in a matrix format, with detailed interim objectives and milestones.*

#### **Sustainability Plan (5 points)**

- Sustainability plan addresses the likelihood that the program being supported will continue beyond and without USAID/PEPFAR funding, and proposes a feasible sustainability strategy.
- Activities will enhance the ability of South African personnel and institutions to address the challenges of HIV and AIDS on a long-term basis, including addressing the shortage of trained health care providers.
- Sustainability plan addresses technical expertise, management, staffing, financial sustainability, and relationship with South African Government, other NGOs, and/or the private sector.

#### **Gender, People Living with HIV and AIDS (PLHIV), Disadvantaged Groups (5 points)**

- Activities are customized to appropriately address gender issues.
- Activities serve and involve PLHIV or disadvantaged groups.
- Project will measure and report progress on these issues and to the extent possible disaggregate results data by gender.

#### **Underserved Rural Areas or Underserved Provinces (5 points)**

- Activities are directed at populations in rural areas or areas underserved by South Africa health system.
- Activities are conducted in South Africa provinces in need of additional HIV and AIDS programs.
- Activities are directed at areas with identified high HIV prevalence.

### **C: SOUTH AFRICA EXPERIENCE**

**Total: 20 points**

#### **South Africa Government Involvement or Support (10 points)**

- The project supports the South Africa Government (SAG)'s HIV/AIDS and STD Strategic Plan for South Africa, 2000-2005.
- The project supports the SAG's Comprehensive Plan for HIV and AIDS Care, Management and Treatment.
- Applications should support the initiatives and priorities of the South Africa National and/or Provincial Government.
- Applicant has demonstrated experience working with the South Africa National and/or Provincial Government, especially in the provision of Treatment and Related Services.

### **South Africa Experience (10 points)**

- Evidence that the applicant or primary implementer of the proposed project is a South African organization.
- Experience with and demonstrated understanding of HIV and AIDS issues in South Africa.
- Experience with related projects in South Africa.

### **D: COST APPLICATION No Points Awarded**

#### **Cost Evaluation Criteria**

Evaluation points are not awarded for cost. The review of the cost proposal shall include primarily cost realism, allowability and reasonableness analyses. This will consist of a review of the cost portion of an applicant's application to determine if the overall costs proposed are realistic for the work performed, if the costs reflect the applicant's understanding of the requirements, and if the costs are consistent with the technical application. Evaluation of cost proposals will consider but not be limited to the following:

- Cost realism and completeness of cost proposal and supporting documentation.
- Overall cost control evidenced by the proposal (such as avoidance of excessive salaries, excessive home office staff visits and other costs in excess of reasonable requirements).
- Amount and type of cost share proposed.

Applicants are reminded that the Government is not obliged to award a negotiated agreement on the basis of lowest proposed cost, or the applicant with the highest technical evaluation score, but will make awards that represent the best value for the U.S. Government.

**COST APPLICATION – TREATMENT**

**(Note: For full application ONLY. Do not submit with concept paper).**

The cost application should be in the form of an attachment and 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 as detailed below. Applicants may request awards in the range of \$3,000,000 to \$30,000,000 million per year for up to two years. This amount is subject to revision depending on availability of funds.

The application should also provide evidence that the funds requested are reasonable and would be used in a cost-effective manner. The review committee will assess whether the overall costs are realistic for the work to be performed, whether the costs indicate that the applicant understands the requirements, and whether the costs are consistent with the technical application.

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

The Cost Application should be prepared following the guidance provided below. All information should be included in the application in the manner and format described below. While there is no page limit for this portion, applicants are encouraged to be as concise as possible while providing the necessary details. **The Cost Application should be submitted as an original and seven copies.**

1. ***Separateness:*** The Cost application must be completely separate from the Applicant's technical application. The application must be submitted using Standard Form (SF) 424 and SF 424A "Application for Federal Assistance." These forms can be downloaded from the USAID web site:  
<http://www.usaid.gov/forms/>
2. ***Cost Information Submission:*** The cost information submitted must include three distinct parts: a) the SF 424; b) the cost matrix; and c) budget notes.

**a. SF 424:**

The cost application should be for a period of 2 years using the budget format shown in the SF 424A. If there are any training costs to be charged to this Agreement, please identify them clearly.

**b. Cost Matrix:**

The Cost Application must also indicate the amount of funds to be spent by objective and activity. Applicants should include an overall summary budget and a detailed annual budget defined by program area, general program activities and specific activities consistent with the information requested below. Specifically, the budgets

should demonstrate the allocation of resources necessary to achieve the objectives of this program.

The proposed budget shall also include:

- i. the breakdown of all costs according to each partner organization (if more than one organization is proposed in the consortium/network) involved in the program;
- ii. the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- iii. the breakdown of the financial and in-kind contributions of all organizations involved in implementing this agreement;
- iv. potential contributions of non-USAID or private commercial donors to this agreement;
- v. the procurement plan for commodities (note that contraceptives and other health commodities will be subject to specific approvals from the USAID/South Africa Agreements Officer).

c. Budget Notes:

To support the costs proposed, please provide detailed budget notes or a narrative explaining how all costs were derived. The combination of the cost data and breakdowns specified above and the cost notes must be sufficient to allow a determination of whether the costs estimated are reasonable and realistic. If the information described below is provided in the cost matrixes described above, then the information need not be included in the Budget Notes. The following is provided as guidance on issues involving specific types of costs:

- i. **Salary and Wages:** Direct salaries and wages should be proposed in accordance with the applicant's personnel policies.
- ii. **Fringe Benefits:** If the applicant has a fringe benefit rate that has been approved by an agency of the U.S. Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (e.g., unemployment insurance, workers compensation, health and life insurance, retirement, FICA, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.
- iii. **Travel and Transportation:** The application should indicate the number of trips, domestic and international, and the estimated costs per trip. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. Per diem should be based on the applicant's normal travel policies. (Applicants may choose to refer to the Federal Standardized Travel Regulations for cost estimates).
- iv. **Equipment:** Specify all equipment to be purchased, including the type of equipment, the manufacturer, the unit cost, the number of units to be purchased and the expected geographic source.

- v. Source and Origin Requirements - Goods and services provided by the applicants under this USAID-financed award must have their source and origin in the United States (USAID Geographic Code 935). However, applicants may use Geographic Code 935 (worldwide) if they can provide justification in accordance with USAID policy, CIB 01-04, Expedited Acquisition and Assistance Procedures for the HIV/AIDS and Infectious Disease Initiatives. Procurement source and origin requirements under the agreement will be dependent upon the source of funding.
- vi. Materials and Supplies: Specify all materials and supplies expected to be purchased, including type, unit cost and units.
- vii. Communications: Specific information regarding the type of communication cost at issue (i.e. mail, telephone, cellular phones, internet etc.) must be included in order to allow an assessment of the realism and reasonableness of these costs.
- viii. Subcontracts: Information sufficient to determine the reasonableness of the cost of each specific subcontract expected to be implemented must be included.
- ix. Consultants: Information sufficient to determine the reasonableness of the cost of each specific consultant expected to be hired must be included. Similar information should be provided for all consultants as is provided under the category for personnel.
- x. Allowances: Allowances should be broken down by specific type and by person. Allowances should be in accordance with the applicant's policies and the applicable regulations and policies.
- xi. Direct Facilities Costs: Specific information regarding the cost of any facilities needed to perform program activities. The information provided should include the unit cost (rent), the time period the facilities are needed, and the number of facilities. Only facilities that directly benefit the program activities should be included in this category; all other facility costs should be included in the indirect cost category.
- xii. Other Direct Costs: This may include report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. The narrative should provide a breakdown and support for all other direct costs. If seminars and conferences are included, the applicant should indicate the subject, venue and duration of proposed conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.
- xiii. Indirect Costs: The applicant should support the proposed indirect cost rate with a letter from a cognizant U.S. Government audit agency (i.e. its current Negotiated Indirect Cost Rate Agreement) or with sufficient information for USAID to determine the reasonableness of the rates. For the latter, USAID would need: (1) copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to



USAID; (2) projected budget, cash flow and organizational chart; (3) A copy of the organization's accounting manual.

3. **Cost-Sharing:** In addition to USAID funds, Applicants are encouraged to contribute resources from their own, private or local sources for the implementation of this program. Contributions can be either cash or in-kind and can include contributions from the applicant, local counterpart organizations, project clients, the South African Government, and other donors (not other USG funding sources). Information regarding the proposed cost-share should be included in the SF 424 and the Cost Matrix as indicated on those documents. The cost-share should be discussed in the Budget Notes to the extent necessary to realistically access these sources and funds and the feasibility of the cost-sharing plan.
4. **Management Costs:** The proposed budget should provide estimates of the program based upon the total estimated costs for the agreement. Applicants should minimize their administrative and support costs for managing the project to maximize the funds available for project activities.
5. **Teaming:** If the applicant is a consortium, the Cost application must include documents reflecting the legal relationship between the parties. The documents should include a full discussion of the relationship between the applicants including the identity of the organization that will deal with USAID in matters of agreement administration, the identity of the organization that will have accounting responsibility, how agreement effort will be allocated, and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

If no joint venture is involved, the Cost/ Business Application should include a complete discussion of the relationship between the applicant and its partner organizations, how work under the program will be allocated, how work will be organized and managed, and copies of any agreements between the partner organizations. In all cases of teaming, the cost information provided in part 2.b of this subsection should indicate the amounts committed to each member of the team. The Budget Notes described in part 2.c of this subsection should discuss which team member is bearing a particular cost where appropriate to justify and explain the cost in question.

6. **Financial Resources:** Information on the organization's financial status and management including:
  - a) Projected budget, cash flow and organizational chart.
  - b) If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circulars and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

- c) If applicable, approval of the organization's accounting system by a U.S. Government agency, including the name, address, and telephone number of the cognizant auditor.
- d) Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

7. **Supporting Documentation:** The application should include detailed information for each component below that substantiates that the applicant:

- a) Has adequate financial resources or the ability to obtain such resources as required during the performance of the cooperative agreement.
- b) Has the ability to comply with the cooperative agreement conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
- c) Has a satisfactory record of performance. Refer to Annex 12 for guidance on past performance.
- d) Has a satisfactory record of integrity and business ethics.
- e) Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., Equal Employment Opportunity laws).
- f) Applicants may submit any additional evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility.

8. **Program Income (if applicable):**

The Recipient shall account for program income in accordance with 22 CFR 226.24(b)(1) and (b)(2). “In accordance with 22 CFR(b)(1), program income earned under this award shall be added to funds committed by USAID and the recipient to the project or program and used to further eligible project or program objectives. Additionally, in accordance with 22 CFR 226.24(b)(2), program income may be used to finance the non-Federal share of the project or objectives.”

9. **Cost Evaluation Review Criteria:**

Evaluation points are not awarded for cost. The review of the cost proposal shall include primarily cost realism, allowability and reasonableness analyses. This will consist of a review of the cost portion of an applicant’s application to determine if the overall costs proposed are realistic for the work performed, if the costs reflect the applicant’s understanding of the requirements, and if the costs are consistent with the technical application. Evaluation of cost proposals will consider but not be limited to the following:

- Cost realism and completeness of cost proposal and supporting documentation.

- Overall cost control evidenced by the proposal (such as avoidance of excessive salaries, excessive home office staff visits and other costs in excess of reasonable requirements).
- Amount and type of cost share proposed.

Applicants are reminded that the Government is not obliged to award a negotiated agreement on the basis of lowest proposed cost, or the applicant with the highest technical evaluation score, but will make awards that represent the best value for the U.S. Government.

**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)**

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.