

**APPLICATION FOR  
FEDERAL ASSISTANCE**

Version 7/03

<b>1. TYPE OF SUBMISSION:</b> Application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		<b>2. DATE SUBMITTED</b>	Applicant Identifier
Pre-application <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>3. DATE RECEIVED BY STATE</b>		State Application Identifier
	<b>4. DATE RECEIVED BY FEDERAL AGENCY</b>		Federal Identifier

**5. APPLICANT INFORMATION**

Legal Name:		<b>Organizational Unit:</b> Department:	
Organizational DUNS:		Division:	
<b>Address:</b> Street:		<b>Name and telephone number of persons to be contacted on matters involving this application (give area code)</b>	
City:		Prefix:	First Name:
County:		Middle Name	
State:	Zip Code	Last Name	
Country:		Suffix:	
		Email:	

<b>6. EMPLOYER IDENTIFICATION NUMBER (EIN):</b> □ □ □ □ □ □ □ □ □ □	Phone Number (give area code)	Fax Number (give area code)
--	-------------------------------	-----------------------------

<b>8. TYPE OF APPLICATION:</b> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> If revision, enter appropriate letter(s) in box(es) (See back of form for description of letters.) Other (specify) <input type="checkbox"/> <input type="checkbox"/>	<b>7. TYPE OF APPLICANT:</b> (See back of form for Application Types) Other (specify)
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<b>10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:</b> TITLE (Name of Program): □ □ □ □ □	<b>9. NAME OF FEDERAL AGENCY:</b>
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<b>12. AREAS AFFECTED BY PROJECT</b> (Cities, Counties, States, etc.):	<b>11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:</b>
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<b>13. PROPOSED PROJECT</b> Start Date: Ending Date:	<b>14. CONGRESSIONAL DISTRICTS OF:</b> a. Applicant b. Project
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<b>15. ESTIMATED FUNDING:</b>	<b>16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?</b>
a. Federal \$ .00	a. Yes. <input type="checkbox"/> THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON
b. Applicant \$ .00	DATE:
c. State \$ .00	b. No. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372
d. Local \$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW
e. Other \$ .00	<b>17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?</b>
f. Program Income \$ .00	<input type="checkbox"/> Yes If "Yes" attach an explanation. <input type="checkbox"/> No
g. TOTAL \$ .00	

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

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

## INSTRUCTIONS FOR THE SF424

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

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

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

Item:	Entry:	Item:	Entry:																
1.	Select Type of Submission.	11.	Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project																
2.	Date application submitted to Federal agency (or State if applicable) and applicant's control number (if applicable).	12.	List only the largest political entities affected (e.g., State, counties, cities).																
3.	State use only (if applicable).	13.	Enter the proposed start date and end date of the project.																
4.	Enter Date Received by Federal Agency Federal identifier number: If this application is a continuation or revision to an existing award, enter the present Federal Identifier number. If for a new project, leave blank.	14.	List the applicant's Congressional District and any District(s) affected by the program or project																
5.	Enter legal name of applicant, name of primary organizational unit (including division, if applicable), which will undertake the assistance activity, enter the organization's DUNS number (received from Dun and Bradstreet), enter the complete address of the applicant (including country), and name, telephone number, e-mail and fax of the person to contact on matters related to this application.	15.	Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15.																
6.	Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.	16.	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.																
7.	Select the appropriate letter in the space provided. <table style="width: 100%; border: none;"> <tr> <td style="width: 50%;">A. State</td> <td style="width: 50%;">I. State Controlled</td> </tr> <tr> <td>B. County</td> <td>Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private University</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (Specify)</td> </tr> <tr> <td>H. Independent School District</td> <td>O. Net for Profit Organization</td> </tr> </table>	A. State	I. State Controlled	B. County	Institution of Higher Learning	C. Municipal	J. Private University	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (Specify)	H. Independent School District	O. Net for Profit Organization	17.	This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.
A. State	I. State Controlled																		
B. County	Institution of Higher Learning																		
C. Municipal	J. Private University																		
D. Township	K. Indian Tribe																		
E. Interstate	L. Individual																		
F. Intermunicipal	M. Profit Organization																		
G. Special District	N. Other (Specify)																		
H. Independent School District	O. Net for Profit Organization																		
8.	Select the type from the following list: - "New" means a new assistance award. - "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date. - "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. If a revision enter the appropriate letter: A. Increase Award      B. Decrease Award C. Increase Duration    D. Decrease Duration	18.	To be signed by the authorized representative of the applicant A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)																
9.	Name of Federal agency from which assistance is being requested with this application.																		
10.	Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.																		

**BUDGET INFORMATION - Non-Construction Programs**

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

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Prescribed by

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

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

# INSTRUCTION FOR THE SF424A

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

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

## General Instructions

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

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

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

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

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

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

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

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

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

Line 5 - Show the totals for all columns used

### Section B Budget Categories

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

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

Line 6j Show the amount of indirect cost.

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

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

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

### Section C. Non-Federal Resources

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

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

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

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

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

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

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

### Section D. Forecasted Cash Needs

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

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

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

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

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

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

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

### Section F. Other Budget Information

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

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

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

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

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

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

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

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

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. ½4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited by (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. ½1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. ½794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. ½6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention. Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) ½½523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 cc-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ½3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. ½½1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ½½276a to 276z - 276a-7), the Copeland Act (40 U.S.C. ½½276c and 18 U.S.C. ½½874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. ½½327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

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

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

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE
APPLICANT ORGANIZATION	DATE SUBMITTED

**Issuance Date: Friday, December 08, 2006**  
**Closing Date: Thursday January 09, 2007**  
**Closing Time: 1100 hours**

**SUBJECT: Request for Applications (RFA) Number 386-07-001 the "Condom Social Marketing Project in the State of Maharashtra"**

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement for funding the Condom Social Marketing activities in the state of Maharashtra in India. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for working in close collaboration with the HIV/AIDS division of the Office of Population Health and Nutrition (PHN) in USAID/India for ensuring the achievement of the program objective. Please refer to the Program Description for a complete statement of goals and expected results.

Limited competition to Indian (indigenous) organizations and firms

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

Subject to the availability of funds, USAID intends to provide approximately U.S. \$4,000,000.00 in total USAID funding to be allocated over the 4-year period. See page 30 also. USAID reserves the right to fund any or none of the applications submitted.

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

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C – Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;
5. Section E – Branding Strategy Plan Guidance

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

Applications and modifications thereof shall be submitted electronically as follows:

a) Email with attachments to the following: Mr. Marcus A. Johnson at [IndiaRCO@usaid.gov](mailto:IndiaRCO@usaid.gov) with a copy to Ms. Reema Walia at [rwalia@usaid.gov](mailto:rwalia@usaid.gov) with no more than 6 attachments (2MB limit) per email in any software application compatible with MS Word 2003 and MS Excel or Adobe Portable Document Format (PDF). Do not use 'zip' files to consolidate attachments;

b) CD-ROM or Diskette (3 ½ inch) via hand-delivery, commercial courier to USAID/India (West Building) at the U.S. Embassy, Shantipath, Chanakyapuri, New Delhi-110021. Regular postage mail, U.S. or non-U.S. based is not authorized.

Please note that all applications should be received by the closing date and time indicated at the top of this cover letter.

Finally, regardless of which method described above is used, hard copy of applications and modifications are not required or desired unless the Cognizant Regional Agreement Officer states otherwise.

Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

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

This RFA and any future amendments can be downloaded from the USAID/India Mission Web Site – [http://www.usaid.gov/in/working\\_with\\_us/grant\\_opportunity.htm](http://www.usaid.gov/in/working_with_us/grant_opportunity.htm) USAID bears no responsibility for data errors resulting from transmission or conversion processes.

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

- (a) Section II - Selection Criteria;
- (b) Section I - Grant Application Format;
- (c) The Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing via email to Mr. Marcus A. Johnson, Jr. at [indiaRCO@usaid.gov](mailto:indiaRCO@usaid.gov) with a copy to Ms. Reema Walia at [rwalia@usaid.gov](mailto:rwalia@usaid.gov) no later than 1000 hours, December 15, 2007. Applicants should retain for their records one copy of all enclosures which accompany their application.

Sincerely,

Marcus A. Johnson, Jr.  
Regional Agreement Officer

[Intentionally Left Blank]

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## SECTION A - GRANT APPLICATION FORMAT

### PREPARATION GUIDELINES

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process. "Late applications will not be considered for award".

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Both Technical and Cost portions of applications should be submitted in original.

The application should be prepared according to the structural format set forth below. Applications must be submitted in the manner and no later than the date and time indicated on the cover page of this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section II. The maximum page limit for the technical proposal is 25 pages in total. Use font size 10, 11 or 12 point, font type - Times New Roman or Courier.

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

### COST APPLICATION FORMAT

The Cost or Business 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 Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

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

A. A copy of the program description that was detailed in the applicant's program description, as email attachment(s), formatted in Word97, Word 2003 or compatible software application.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget must be submitted using Standard Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;

- the breakdown of all costs according to each partner organization involved in the program;

- the costs associated technical assistance;

- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;

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- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
  - your procurement plan for commodities (note that contraceptives and other health commodities will not be financed with USAID funds under this Cooperative Agreement).
- C. A current Negotiated Indirect Cost Rate Agreement if applicable;
- D. Required certifications and representations (as attached):
- E. Cost share has been recommended to be a minimum of 10% of the total estimated amount. If the applicant proposes a cost share of less than 1%, it will be deemed as not responsive, and will be removed from further consideration.
- F. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:
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.
- G. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:
1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
  2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, nongovernmental and governmental.
  3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
  4. Has a satisfactory record of integrity and business ethics; and
  5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).
- H. 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.

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

- I. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- J. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

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K. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

L. Submission of Applications:

1. Applications and modifications thereof must be submitted electronically by one of the following methods.

- a) Email with attachments to the Mr. Marcus Johnson at following addresses: [IndiaRCO@usaid.gov](mailto:IndiaRCO@usaid.gov) with a copy to Ms. Reema Walia at [rwalia@usaid.gov](mailto:rwalia@usaid.gov)

with no more than 6 attachments (2MB limit) per email in any software application compatible with MS Word 2003 and MS Excel or Adobe Portable Document Format (PDF);

- b) CD-ROM or Diskette (3 ½ inch) via hand-delivery, commercial courier to USAID/India (West Building) at the U.S. Embassy, Shantipath, Chanakyapuri, New Delhi-110021. Regular postage mail, U.S. or non-U.S. based is not authorized.

Finally, regardless of which method described above is used, hard copy of applications and modifications are not required or desired unless the Cognizant Regional Agreement Officer states otherwise.

2. Faxed applications will not be considered; however, applications may be modified by written or faxed notice, if that notice is received by the time specified for receipt of applications. USAID/India/ROAA facsimile # 91-11-24198390.

M. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

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

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

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

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

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

N. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to

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all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

### O. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section III, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

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

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

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

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

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

S. Non-Financial Commitments - USAID may consider more than its financial commitment as a mean of its support. For example, to obtain the maximum public-private alliance partnership possible may offeror request that the Cognizant Technical Officer (CTO) and/or the Mission Director to meet annually with the Board of Directors of a corporation or foundation at its HQ somewhere in the world to present the view of the U.S. Government as to how the alliance is performing. The expense would be paid by USAID outside the financing of the award but is a specific request (condition) of the offeror e.g., the alliance partner(s).

## SECTION B - SELECTION CRITERIA

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

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Award will be made based on the ranking of proposals according to the technical selection criteria identified below. The Regional Agreement Officer in consultation with the Office of Population, Health, and Nutrition will review applications in accordance with selection criteria specified in this Request for Application.

The application must include a description of the organization's technical resources and expertise in managing HIV/AIDS Condom Social Marketing activities. This should include a description of the organization history, mission, current and past programming in India, any U.S. Government support received in the past five years, financial management and reporting systems, and experience in developing and managing similar programs of the type required for the awards.

The Applicant is also strongly advised to seek specific guidance directly from the Regional Agreement Officer prior to submission.

### MANDATORY CRITERIA

Applications must satisfy this minimum criterion to be eligible (e.g. responsible) for further consideration.

- Cost Sharing, Matching Arrangement and/or In-Kind Contribution from the recipient is required. USAID policy does not state a specific minimum or maximum percentage of recipient contribution. However some amount of contribution from non-U.S. Federal sources is required as long as it is reasonable.

“Cost-sharing” means the application presents cash from non-US F sources which the offeror will use in the performance of the award. “Matching-Arrangement” means the application presents cash from non-US Federal sources which will be provided at a set ratio (e.g. for every 2 dollars USAID obligates the recipient will provide 1 dollar). “In-Kind Contribution” means the donation of tangible property (such as computers, medical and lab equipment, pharmaceuticals, technology transfer, but excluding real) or services (such as rent, utilities, etc.) provided by the recipient to the Government.

- Gender: Gender statement is attached for reference.
- The apparently successful applicant(s) will be required to submit a Branding Strategy Plan (Ref. Section E)

### EVALUATION CRITERIA: BEST VALUE

A technical evaluation committee (TEC) will be established under the direction of the Regional Agreement Officer and will evaluate all timely proposals. The Regional Agreement Officer will use “Best Value” criteria to determine the proposal most advantageous to the U.S. Government. **All evaluation factors other than cost or price, when combined, are significantly more important than cost or price. Technical evaluation factors, and the sub-factors thereof, are listed below. The “Technical Approach” is relatively more important than Key Personnel. “Key Personnel” is relatively more important than “Past Performance”. All sub factors under each significant technical factor are of equal weight to each other. Cost evaluation factors, and the sub-factors thereof, are listed below are of equal**

**weight to each other.** The award(s) shall be made to the responsive and responsible offeror(s) whose combined technical and cost factor offer the best value to the U.S. Government.

**A. Technical Evaluation**

**1) Qualifications of key personnel**

- a. Appropriate technical experience for the position proposed.
- b. Appropriate educational background for the position proposed.
- c. Previous work in the region, or other background, that demonstrates the ability to work effectively in the position proposed.
- d. Demonstrated networks with key stakeholders in India.

Applicants should clearly mention the positions to be considered as key positions in the project.

**2) Technical Approach:**

- a. Efficacy of the Technical Approach. That is, the likelihood that the programs for which funding is sought will make a recognizable, significant and measurable contribution towards achieving the results identified in this RFA. Together with the outcomes identified for the various technical domains, these provide a guide on the nature of programs envisaged. Applicants are encouraged to propose additional indicators as appropriate.

( Comment: Applicants are advised to consult the indicators given by the President’s Emergency Plan for AIDS Relief (PEPFAR) (described in resources available) to make sure that, to the maximum extent possible, appropriate indicators are used for proposed activities in each of the intervention areas to demonstrate project impact. Note the importance of the indicators linked to activities for which proposals are being requested in judging this criteria. In addition, a proper strategic fit should also be taken into consideration.)

- b. Mobilization Plan. Along with the Technical Proposal, the offeror must submit a Mobilization Plan. The Mobilization Plan will provide details of work to be carried out in the initial 90-day period of the contract. At a minimum, it will cover the anticipated logistics of award start-up and the process and timing of establishing administrative and financial control systems. It will also cover the timing for hiring appropriately qualified local staff, and the plan for the initial activities to be executed by these staff members.

- c. Demonstrated existing relationships or the ability to establish such with key Maharashtra State Government and other stakeholders in the state of Maharashtra and at the National Level.

- d. Monitoring and Evaluation Plan.

**3) Past Performance**

- a. Demonstrated relevant past performance and experience with similar or same type of activities in India.
- b. Demonstrated capacity to coordinate with Avert Society, state AIDS societies, Government of Maharashtra, NGOs and other stakeholders in the state of Maharashtra on HIV/AIDS programming and condom social marketing programs.
- c. Demonstrated capacity to manage personnel needs for large, multi-million dollar long term program operating in India.
- d. Demonstrated capacity to provide technical assistance to state AIDS societies and National AIDS Control Organization.

(Note: The U.S. Government will evaluate the quality of the offeror's past performance. This evaluation is separate and distinct from the Contracting Officer's responsibility determination. The assessment of the offeror's past performance will be used to evaluate the relative capability of the offeror and other competitors to successfully carry out the program. Past performance of significant and critical subcontractors and other types of partnerships in bidder’s applications will be considered to the extent warranted by their involvement in the proposed effort.)

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The U.S. Government reserves the right to obtain information for use in the evaluation of past performance from any and all sources outside of the U.S. Government. Offerors lacking relevant past performance history will receive a neutral rating for past performance. However, the proposal of an offeror with no relevant past performance, may not represent the most advantageous proposal to the U.S. Government and thus, may be an unsuccessful proposal when compared to the proposals of the other offerors. The offeror must provide the information requested above for past performance evaluation or affirmatively state that it possesses no relevant directly related or similar past performance experience. The Government reserves the right not to evaluate or consider for award the entire proposal from an offeror which fails to provide the past performance information or which fails to assert that it has no relevant directly related or similar past performance experience.

Applicant's must demonstrate that there is effective coordination between the proposed condom social marketing activity and the Avert Society, state AIDS societies, Government of Maharashtra and other USG programs in the state of Maharashtra. The proposed condom social marketing activity is one of the key strategies of the Avert project prevention program for high-risk groups. Hence, it is critical that the condom social marketing program enmeshes with the overall goals and objectives of the Avert project. Additionally, the condom social marketing program is a state level mandate for the Avert project supporting the needs of MSACS and MDACS. In this regard, the applicant should demonstrate experience of designing state level condom social marketing programs supporting the needs of the state AIDS societies, specifically, in the state of Maharashtra. The details of Avert project activities are available in the website [www.avertsociety.org](http://www.avertsociety.org).

The maximum page limit for the technical proposal in 12 point size, Times New Roman font type is 25 pages. Emphasis will be placed on soundness of the proposed technical strategies and responsiveness to the approaches mentioned in the RFA, evidence based clearly defined and achievable plan for a rapid program start up, demonstration of leveraging resources, coverage of target populations with planned programming and coordination plan with other partners in the field.

## B. COST EVALUATION

The recipient should have a structure that will allow it to provide the greatest value (highest results) at the lowest cost; minimizing or eliminating overall administrative costs, overhead, subcontract and sub-grant pass-through costs, international staff benefits, home office communications and other administrative support costs. The commitment of the applicant will be measured by the amount of resources and partners planned on being leveraged for proposed activities.

Each offeror's cost proposal of the base program (and options program if applicable) shall be evaluated based on the following criteria in comparison with the cost proposal of other offerors:

- 1) Effectiveness of proposed cost control structure
  - a. Budget transparency to effectively track expenditures; and
  - b. Subcontracting and grant-making methods are clearly defined.
- 2) Reasonableness of proposed labor cost and structure
  - a. Local salary structure and expense
- 3) Cost efficiency of proposed Other Direct Costs (ODCs)
  - a. Offers market competitive pricing estimates of tangible items to be used for performance; and
  - b. Competitiveness of pricing and sound purchase methods of in-country air travel and surface transportation.
- 4) Amount of cost-sharing, matching arrangements, or market value of in-kind contributions proposed.
  - a. Amount or market value from non-U.S. Federal sources; and
  - b. Amount or market value from all sources, if different than "a."
- 5) Reasonableness of overall proposed Total Estimated Cost.

## **SECTION C - PROGRAM DESCRIPTION**

### **1. Background**

- 1.1. HIV/AIDS Scenario in India
- 1.2. Situation in the State of Maharashtra
- 1.3. Response to the epidemic
- 1.4. Maharashtra State Condom Social Marketing Program
- 1.5. Useful Resources

### **2. Detailed Technical Requirements**

#### **2.1. Activity Description**

- 2.1.1. Overview
- 2.1.2. Overall Program Approaches

#### **2.2. Generic Condom Promotion Campaign**

#### **2.3. Promotion of Condom Outlets and Condom Social Marketing Training for Retailers**

#### **2.4. Partnership with Social Marketing Organizations and Condom Manufacturers**

#### **2.5. NGO Condom Social Marketing**

#### **2.6. Promotion of Female Condoms**

#### **2.7. Condom Promotion for MSM Population**

#### **2.8. Innovative Approaches of Promoting Condoms**

#### **2.9. Condom Quality Testing**

#### **2.10. Technical Assistance and Capacity Building of MSACS, MDACS and NACO on Condom Social Marketing**

#### **2.11. Strategic Information and Monitoring and Evaluation**

### **3. Reporting Requirements**

### **4. Management Review**

### **5. Budget Guidance**

## **ACRONYMS AND ABBREVIATIONS**

ABC	Abstinence, Be Faithful, Condoms
AIDS	Acquired Immune Deficiency Syndrome
ANC	Antenatal Care
ARV	Antiretroviral
BMGF	Bill and Melinda Gates Foundation
BCC	Behavior Change Communication
CBO	Community-Based Organization
CDC	Centers for Disease Control and Prevention

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COP	Country Operational Plan
CSW	Commercial Sex Workers
DFID	Department for International Department
FBO	Faith Based Organization
FHI	Family Health International
GIPA	Greater involvement of people with AIDS
HIV	Human Immunodeficiency Virus
HLFPPT	Hindustan Latex Family Planning Promotion Trust
IDU	Injecting Drug Users
JHU	Johns Hopkins University
M&E	Monitoring and Evaluation
MDACS	Mumbai District AIDS Control Society
MSACS	Maharashtra State AIDS Control society
MSM	Men who have Sex with Men
NACO	National AIDS Control Organization
NACP	National AIDS Control Program
NGO	Non Governmental Organization
PEPFAR	President's Emergency Fund for AIDS Relief
PHN	Population Health Nutrition
PLWHA	People Living with HIV/AIDS
PSI	Population Services International
RFA	Request for Application
SMO	Social Marketing Organization
STI	Sexually Transmitted Infections
USG	US Government
UNAIDS	The Joint United Nations Program on AIDS

## **1 BACKGROUND**

### **1.1 HIV/AIDS Scenario in India**

HIV/AIDS is a major public health problem that threatens India's achievements in health and development. With a population of over one billion, and 5.2 million people aged 15-49 infected with HIV/AIDS, India has the highest number of people after South Africa living with the virus. Since the first HIV/AIDS case was identified in 1986, the epidemic has progressed consistently over the past two decades. Although the overall adult prevalence is still less than one percent, the prevalence rate in the general population in some geographic areas, and among high-risk populations such as women in prostitution, truckers, men who have sex with men (MSM) and injecting drug users (IDU), is much higher. NACO has identified six states that have a generalized epidemic: Maharashtra, Andhra Pradesh, Karnataka, Tamil Nadu, Manipur and Nagaland.

A disturbing trend emerging in the surveillance data is that the infection is spreading to the general population. Additionally, the epidemic, which began in the urban areas, has already percolated to the rural areas, with the most recent estimates of the Government of India showing 57 percent of HIV cases from rural areas. The number of cases among women is also increasing, with 38 percent of current HIV cases being women.

### **1.2 Situation in the State of Maharashtra**

The population of Maharashtra is over 98 million and taking a prevalence of 1 percent, it can be estimated that there would be around 1 million HIV infected persons in the state. Between 1986 and 2006 (April), over 74,000 AIDS affected persons were identified in all the districts in Maharashtra including Mumbai. Currently, the care and treatment services in the state are underdeveloped and limited in scale.

There are a number of factors that contribute to Maharashtra's vulnerability to the HIV epidemic. It is bordered by other states that have well-established and growing HIV epidemics (Karnataka, Andhra Pradesh, and Goa). Maharashtra shares several demographic and economic characteristics with these neighboring states. There is extensive migration to and from these states, and there are major transportation routes connecting Maharashtra to them. Additionally, Mumbai and several other districts have well recognized places where sex workers operate.

Out of a total of 35 districts in the state, 22 are high prevalence districts (64.5 million) as measured through ANC sentinel surveillance in the year 2005. While overall sero-positivity in the ANC sites in Maharashtra (including Mumbai) is 1.25 percent in 2005, the HIV prevalence in the 22 high prevalence districts is high at 1.5 %. Further, prevalence among high-risk groups remains alarmingly high. The prevalence among sex workers in Kamathipura, Mumbai is around 45 percent, among injecting drug users (IDUs) in Mumbai it is approximately 28 percent and among men who have sex (MSM) with men in Mumbai it is around 9.6 percent.

### **1.3 Response to the Epidemic**

The Government of Maharashtra responded to the HIV/AIDS epidemic by establishing the Maharashtra State AIDS Society (MSACS) for implementing an HIV prevention program in the entire state of Maharashtra excluding Mumbai. A separate society was set up at Mumbai called the Mumbai District AIDS Control Society (MDACS) for implementing HIV prevention programs in the Mumbai District. The activities implemented by MSACS and MDACS include targeted interventions among high-risk groups, prevention among school and university students, blood safety, establishing models for community based care, VCT services, ARV treatment services and capacity building of health workers. Bill & Melinda Gates Foundation (BMGF) funds FHI and Path Finder to implement HIV prevention programs among male and female sex workers and their clients in 13 districts including Mumbai.

The Avert Project is a bilateral agreement between the Government of United States and the Government of India. The project was signed in September 1999, with the aim of reducing the impact of HIV/AIDS in the state of Maharashtra. It supports the National AIDS Control Program and works in collaboration with MSACS and MDACS. The Avert Project activities became operational in November 2001. The first phase of the project was completed on September 30, 2006. Recently, the Government of India approved the second phase of the Avert project for a five year period (2006 -2011). The goal of the second phase of Avert project is to “Develop sustainable responses to reduce the transmission of HIV/AIDS among high-risk groups and vulnerable populations and provide care and treatment services to people infected and affected by HIV/AIDS in the targeted areas of Maharashtra State.”

The Avert Project implements HIV prevention activities among high-risk populations in seven districts of Maharashtra state: Sangli, Solapur, Satara, Aurangabad, Nagpur, Thane and Mumbai. The population of the seven districts is 34 million. The Avert Project strategies include prevention (including workplace interventions), care and treatment, communication, research and capacity building. Prevention strategies include targeted interventions among high-risk groups such as sex workers, men who have sex with men, truckers and comprehensive HIV prevention programs among vulnerable populations in seven high prevalence districts. STI treatment and condom social marketing programs are implemented through various approaches to increase accessibility and quality of services. Care and treatment strategies include developing a networked model to establish linkages with various levels of care and treatment including prevention.

#### **1.4 Maharashtra State Condom Social Marketing Program**

Maharashtra State has a concentrated epidemic driven by the hetro-sexual transmission route. This is evident from the high prevalence of HIV among sex workers in Kamathipura in Mumbai (45 %) and Budhwar Peth in Pune (33 %). Hence, there is a need for strengthening the ongoing social marketing program and expanding consistent use of condoms among the high-risk and bridge populations in Maharashtra state for preventing new infections and halting the spread of HIV.

Condom Social Marketing is an important strategy in the prevention and control of HIV/AIDS. Experience shows that condom social marketing programs helped to stem the epidemic through increased condom usage among high-risk groups. However, the recent reports indicate that the condom sales are declining through out the country. This is a cause for concern and we need to scale-up condom social marketing activities. The condom market in the State of Maharashtra has been declining since 2001. In 2001, the condom sale was 73 million and it decreased to 71 million in 2003 and 58 million in 2004. The condom sale in 2005 in the state of Maharashtra was 58 million.

As part of the Avert Project technical component program, HLPPT was awarded a grant in April 2005 to implement a condom social marketing program in the State of Maharashtra. The grant will come to an end in January 31, 2006. The purpose of this project was to increase access and demand for and use of condoms among high-risk groups. The strategies include partnership with social marketing organization and manufacturers, training of condom retailers, generic condom promotion campaigns in high-risk areas, promotion of female condoms and special condoms to MSM populations and other innovative ways to increase access to condoms.

The condom social marketing program is being implemented in the 22 high prevalence districts among high-risk populations. MSACS and MDACS are also supporting condom promotion initiatives. The key activities include distribution of free condoms and social marketing of condoms through NGOs. Avahan Project is also supporting condom social marketing program in these districts. As the needs are high, there is a need for multiple agencies to coordinate and scale up the activities to increase condom sales without duplication of efforts. A brief description of the condom social marketing activities implemented is given below:

1. HLPPT is implementing the condom social marketing activities in close coordination with the Avert project. Avert project has formed a working group comprising of HLPPT, Maharashtra State AIDS Control Society (MSACS), Mumbai District AIDS Control Society (MDACS) and the Johns Hopkins University. Partnerships have been established with various social marketing organizations. The main purpose of the coordination activities is to develop synergies in the campaigns and avoid duplication of efforts. The ABC guidelines of the PEPFAR strategy are in built into the condom social marketing program.

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2. A generic condom promotion campaign for increasing condom usage among high-risk populations was launched on TV, Radio and Print media. The generic condom promotion campaign for high-risk populations carries ABC messages. The campaign was linked to on-the-ground condom promotion activities such as campaigns at high-risk sites to motivate retailers to stock and sell condoms, campaigns in bars and cinemas, and engaging NGOs in condom social marketing programs. Special care is being taken to avoid condom messages reaching the not at-risk population such as youth, school children and general population.
3. Increasing access to high quality condoms by expanding condom sales outlets at high-risk sites. The activities carried out included mapping of condom outlets, training of condom retailers and retailer display drive. Majority of the activities have been implemented. The mapping study carried out in 22 districts identified 13, 637 condom outlets frequented by men and who were currently not stocking condoms. Out of these, 5000 condom retailers have been trained.
4. Condom Vending Machines installation program is implemented in high-risk areas of 22 districts. A total of 256 condom vending machines have been installed. Follow-up activities for promotion of the condom vending machines are being carried out.
5. Quality testing of condoms sold at retail outlets of all the brands has been initiated. The testing activities have been completed. Dissemination of the findings of condom quality testing and advocacy for implementing the recommendations with the government authorities is being carried out.
6. Development of special condoms for men who have sex with men is underway. A needs assessment study has been carried out and the findings have been shared with manufacturers for product development.
7. The condom social marketing training program for NGOs is currently underway. The module has been developed. Training of NGOs is being carried out.
8. Operations research and branding for female condom have been initiated.
9. The condom social marketing program under the Avert project is one of the components under an overall ABC approach for behavior change. Avert project, through other mechanisms, promotes A and B approaches among appropriate sub populations.

### 1.5 Useful Resources

USAID recommends that applicants become familiar with the following resources:

USG India HIV/AIDS strategy (2006-2010)

HIV/AIDS Projects in Maharashtra State

- Avert Project – [www.avertsociety.org](http://www.avertsociety.org)
- MSACS – [www.msacs-india.com](http://www.msacs-india.com)
- MDACS – [www.mdacs.org](http://www.mdacs.org)
- PSI – Enhance Component 2
- FHI – Enhance Component 3
- Indo-US Corporate Fund
- Bill & Melinda Gates HIV/AIDS program

NACP strategic priorities – [www.nacp.nic.in](http://www.nacp.nic.in)

PRESIDENT'S EMERGENCY PLAN strategy [www.state.gov/documents/organization/60950.pdf](http://www.state.gov/documents/organization/60950.pdf)

(See the section on Condoms and Other Prevention)

Executive Summary of India's Country Operational Plan (COP) 2006

ABC Guidance

Gender Statement

## 2. DETAILED TECHNICAL REQUIREMENTS

## 2.1. Activity Description

### 2.1.1. Overview

The activities on condom social marketing will support the Strategic Objective 14 of USAID, “Improved Health and Reduced Fertility in Targeted Areas of India” and the IR 14.2 “Increased use of prevention, and care and support interventions to prevent/mitigate HIV/AIDS.” Activities implemented through this agreement will support and complement the priorities highlighted by the National AIDS Control Program in the NACP 3, and the President’s Emergency Plan for AIDS Relief (PEPFAR) guidance (see useful resources above). The program will also support the “Three Ones” principle (i.e. one national authority on HIV/AIDS, one strategic framework and one M and E plan) of UNAIDS and the US Government aimed at co-ordination and harmonization of the country’s response to HIV/AIDS.

The President’s Emergency Plan provides a holistic vision for combating the HIV epidemic and using the principles of leveraging, local capacity building, coordination and evidence based programming will be the defined priorities for this program. All funds received by USAID will be included under the PEPFAR umbrella and will be subject to PEPFAR guidelines for planning, resource allocation and reporting as they may be applicable in different situations. The proposed condom social marketing program will build on the lessons learned from current USAID-funded activities to replicate best practices. The proposed activity will replicate and consolidate the current condom social marketing activities being implemented in the state of Maharashtra strategically to ensure maximum impact. Through such model programs, USAID expects to demonstrate best practices, which could then be taken forward by other partners and the governments. It is very important that all programs are based on evidence and mid course corrections are made based on new information and priorities. Leveraging with other partners including other USG activities must be demonstrated.

The Emergency Plan has highlighted that experience elsewhere has shown that a balanced and appropriate ‘ABC’ approach to HIV/AIDS prevention is effective. This approach promotes abstinence (A), being faithful to one partner (B) and the correct and consistent use of condoms (C). Programs will emphasize that there is an appropriate mix of messages for respective target populations. In the phase-II of Avert project, promotion of ABC approaches will be the overarching strategy of the prevention programs for high-risk and vulnerable populations. The communication campaigns including IEC materials will be based on the ABC guidelines. NGOs implementing prevention programs among high-risk groups and vulnerable populations will be trained on ABC approaches.

Long-term sustainability will depend on strong indigenous organizations and government structures. Capacity building and institutional strengthening at all levels will be an overarching theme for program activities. Skill development of civil society members, policy makers, private sector players and other stakeholders will be crucial in enhancing program outcome in the long run.

Changing priorities requires that USAID build new alliances and partnerships to leverage a variety of resources. The very nature of the HIV/AIDS epidemic requires active participation of the private sector and USAID believes that the time is right to build stronger alliances with the private sector and other important players like the Bill & Melinda Gates Foundation. Active engagement and support of the National and State governments is considered critical to sustain the program benefits over time. Capacity building of indigenous organizations, technical assistance to various government bodies and training of officials is also an integral part of the USG strategy.

This Request for Assistance (RFA) is being used to structure a new award on condom social marketing program in the state of Maharashtra. Applicants are encouraged to be creative in developing the proposal to address the various components of the condom social marketing program described in the following pages. **All strategies listed with each component are only expected to be illustrative and the Applicant is not expected to use only those strategies specified in this scope of work.**

### 2.1.2. Overall Program Approaches

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USAID has identified some program approaches, which will form the guiding principles for Applicants around which the program is designed and implemented. The Applicants for each of the awards is/are strongly encouraged to consider the following principles in developing their proposals.

### *a. Evidence Based Programming*

All program activities will be guided by field based evidence and should be monitored to ensure that new evidence is used to do mid course corrections. Evidence based programming refers to determining program interventions not only on data on condom sales and condom usage, but also consider existing programs and partners and the response. This strategy will assist in developing critical interventions, which address gaps and do not duplicate efforts. As stated in the Emergency plan, the USG programs will make policy decisions, which are evidence based.

### *b. Gender Considerations*

Gender will play an important role in the design and implementation. The recipient will promote an analytical and proactive approach to ensure that program activities address gender issues and constraints in condom promotion activities.

In accordance with USAID's recognition that gender issues are important considerations in development, applicants should look for gender implications or opportunities in the program, seeking to address embedded gender issues and promote gender equity as appropriate in all its activities and internal management. Proposals should make best efforts to define gender-based barriers, especially stigma to achieving the tasks outlined in this program description. The program will provide equal access to male and female, youth and older people for participation in the program activities. This position will be reflected in all components of the condom social marketing program.

### *c. Leveraging and Coordinating Resources*

Opportunities to coordinate with or capitalize on the comparative advantages of the other partner organizations (DFID and UNICEF), private foundations (Gates and Clinton), the Global Fund or other networks and other USG partners (JHU, Indo-US corporate fund, PSI Enhance 2, FHI Enhance 3) to implement condom social marketing program will be considered an important part of any proposed strategy. The Emergency Plan clearly articulates the need for leveraging resources from other partners including the Global Fund in India. Applicants will demonstrate in their proposals how they intend to build synergies and leverage resources with existing activities to expand condom social marketing activities in the State of Maharashtra. Decisions on which activities will be implemented will be based on knowledge of what other partners are doing (to avoid duplication) as well as creating programmatic links with activities undertaken. Furthermore, strategically targeted activities will be encouraged by the USG rather than general approaches.

### *d. Linkages with the National AIDS program*

It is expected that the activity will support program priorities envisioned by NACO, complement the programmatic focus of Avert, Maharashtra State AIDS Control Society (MSACS) and Mumbai District AIDS Control Society (MDACS) and provide technical assistance when needed. Working with the government is considered crucial to the success and ultimate sustainability of the program. USAID expects that the recipient(s) will use creative approaches to work with the government bodies at the national, state and district level. Interventions should be complementary to the national and state HIV control programs, and complement (as well as develop appropriate linkages to) other prevention, care and support and treatment interventions. Applicant(s) should demonstrate past and present strategies that have been used in working with the National and State governments.

### *e. Mainstreaming*

The Emergency Plan emphasizes the need to mainstream HIV/AIDS activities. Applicants are encouraged to explore mechanisms to mainstream the condom social marketing program with other technical areas, within and outside USAID such as reproductive health, National Rural Health Mission and State Family Planning and Reproductive Health Programs. Applicants are encouraged to illustrate how they will network with other activities with these initiatives.

*f. GIPA*

Programs will actively promote the principle of greater involvement of people with AIDS (GIPA) to ensure that PLWHAs are actively involved in program design and implementation.

*G. Local Capacity Building*

USAID/India recognizes that many indigenous national, regional and faith-based NGOs have the networks and infrastructure to create a robust platform to expand prevention, care and support programs but still the gaps remain huge. The recipient will make every effort to build and strengthen the technical and organizational capacity of Indian government entities and the non-government partners, CBOs, FBOs and other institutions to design, implement, measure and replicate condom social marketing interventions.

*h. Documentation and Dissemination*

Active learning is an important strategy to combat the epidemic of HIV/AIDS. The recipient will document approaches, strategies and learning through different methods. The Applicant should clearly discuss the strategies for documentation and dissemination in its application and elaborate their plans to leverage lessons learned with the government and the donor community stakeholders.

The components envisioned by USAID/India for this RFA include:

- a) Generic condom promotion campaign.
- b) Promotion of condom outlets including condom social marketing training program for retailers and NGOs.
- c) Partnerships with Condom Manufacturers and Social Marketing Organizations
- d) Promotion of female condoms
- e) Promotion of special condoms for MSM
- f) Innovative Approaches of condom promotion
- g) Technical assistance and Capacity Building of State AIDS Societies and National AIDS Control Organization on Condom Social marketing

## **2.2 Generic Condom Promotion Campaign**

The applicant will employ the ABC strategy in designing the condom social marketing program for high-risk populations. As part of the ABC approaches for prevention programs, it is critical to promote consistent condom usage among high-risk groups and their partners for halting the spread of HIV/AIDS. A key strategy for increasing condom usage is creating a demand for condoms and reducing the stigma attached to it. Consistent condom use is critical for preventing HIV infections. Large numbers of condoms can produce minimal benefit if people don't use them consistently. The applicants should describe appropriate strategies to ensure consistent condom use. The campaign should be evidenced based and build on the campaigns launched in the earlier phase. The campaigns should be linked to the on-the-ground activities by engaging closely NGOs working among high-risk groups in condom promotion. As per PEPFAR guidelines, condoms should not be promoted among general population, children and youth who are not at risk.

Illustrative Outcomes:

Increase in the consistent usage of condoms among high-risk groups and vulnerable populations engaged in risky behavior.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

## **2.3 Promotion of Condom Outlets and Condom Social Marketing Training for Retailers**

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In the earlier phase, over 5000 condom outlets have been established and retailers have been trained in 22 high prevalence districts. The applicant should develop plans to sustain the outlets established and train and establish new outlets. The applicant should also develop a system to track sales of condoms from the outlets. It is also critical to establish linkages between the stockiest, retail outlets and the NGOs. The high-risk groups need to be engaged in planning the establishment of condom outlets.

Illustrative Outcomes:

1. Increase in the number of condom outlets in the high prevalence districts.
2. Increase in the sale of condoms.
3. Increase in the proportion of high-risk population reporting close accessibility of condoms.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.4 Partnership with Social Marketing Organizations and Manufacturers**

Experience shows that partnerships with condom social marketing organizations and condom manufacturers will increase the availability and accessibility of quality condoms to high-risk groups. Once the market is created, it is important to ensure the continuity of supplies. The program needs to ensure that sufficient good quality condoms are available when people want to use them and at an affordable price. The SMOs and the manufacturers need to tailor the program to the needs of the high-risk community. This could be envisaged by developing linkages with on-the ground programs providing services to the high-risk populations. The applicants also need to identify innovative ways for expanding the condom sales.

Illustrative Outcomes:

Increase in the number of SMOs and commercial manufacturers engaged in condom promotion.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.5 NGO Condom Social Marketing**

Avert Society, MSACS and MDACS are supporting over 200 NGOs implementing prevention and care and support activities in the state of Maharashtra. The applicant should devise appropriate strategies to engage the NGO partners in strengthening the condom social marketing activities. The NGOs play a critical role in sustaining the motivation of condom outlets to stock and sell condoms. In the earlier phase, a tool kit for NGOs on condom social marketing program has been developed. Additionally, a training module has been developed for building the capacity of the NGOs. Training programs have been initiated. The applicants need to build on these and scale up the NGO condom social marketing activities. The applicant should develop innovative approaches for establishing network between NGOs and the SMOs. The ABC approaches need to be integrated in the NGO condom social marketing activities.

Illustrative Outcomes:

1. Number of NGOs promoting condoms through social marketing programs.
2. Number of NGOs trained on condom social marketing.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.6 Promotion of Female Condoms**

Promotion of female condoms is of enormous importance in the fight against AIDS because they are the only existing, effective female-controlled preventive tool against HIV and other STIs. Pilot studies have been carried out in India to assess the feasibility and acceptability of female condoms by sex workers and other vulnerable women populations. The findings of the pilot study have shown that the female condom is well accepted by sex workers, especially as an option

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when clients refuse to use condoms. Avert project and the state AIDS societies are supporting interventions for commercial sex workers and vulnerable women populations in high prevalence districts of Maharashtra State. The applicant should develop appropriate strategies integrating female condoms with the NGO prevention programs for sex workers and other vulnerable women populations. The female condoms will be provided by NACO to the NGOs as part of the social marketing program.

Illustrative Outcomes:

1. Number of NGOs promoting female condoms.
2. Number of NGOs trained on female condom promotion.
3. Increase in consistent usage of female condoms among high-risk women populations.
4. Number of female condoms distributed/sold.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.7 Condom Promotion for MSM Population**

Avert project, MSACS, MDACS and BMGF are supporting interventions among MSM population in the high-prevalence districts of Maharashtra State. A needs assessment study has been carried out to assess the feasibility of promoting special condoms and lubricants for the MSM population. The applicants need to design appropriate strategies to increase condom usage among MSM population.

Illustrative Outcomes:

1. Increase in condom usage among the MSM population.
2. Number of special condoms and lubricants distributed/sold.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.8 Innovative Approaches of Promoting Condoms**

HIV prevention activities are implemented among high-risk populations such as sex workers, MSM, migrants and mobile populations in 22 high prevalence districts. Applicants need to design various innovative approaches to increase accessibility and availability of high quality condoms for the high-risk groups. Promotion of condom vending machines in high-risk locations is one such approach.

Illustrative Outcomes:

1. Number of condom vending machines installed.
2. Number of condoms sold through innovative approaches.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

### **2.9 Condom Quality Testing**

Condoms are made available to high-risk populations through various channels. The Government of Maharashtra is supplying free and subsidized condoms to these populations. Condoms are also made available by commercial and social marketing organizations. Additionally, spurious condoms are sold in retail outlets and are used by sex workers and their clients. It is critical to test the quality of condoms and build appropriate strategies, including advocacy measures to ensure the quality of condoms.

Illustrative Outcomes:

1. Quality condom assessment conducted and findings disseminated.
2. Advocacy plan developed and implemented to ensure quality of condoms.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

## **2.10 Technical Assistance and Capacity Building of MSACS and MDACS and NACO on Condom Social Marketing**

MSACS and MDACS are large government agencies implementing HIV/AIDS programs in the state of Maharashtra. Both MSACS and MDACS are supporting over 100 NGOs to implement targeted interventions among high-risk groups. It is critical to provide technical assistance and build the capacity of the state AIDS societies on condom social marketing program. Technical assistance also has to be provided to National AIDS Control Organization based on the needs identified and also based on the best practices developed. It is important that the applicant has the experience and expertise to be able to provide technical assistance to National AIDS Control Organization and the state AIDS societies.

Illustrative Outcomes:

Technical assistance and trainings conducted to strengthen ongoing condom social marketing efforts.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

## **2.11 Strategic Information and Monitoring and Evaluation**

USAID considers the area of SI/M and E as critically important in any HIV/AIDS program. Measuring condom promotion activities will help to provide useful feedback to programs for accountability and quality improvement. Targeted program evaluations will provide evidence-based information to improve program and information management systems will facilitate data storage and data flow.

The Applicant will be responsible for collecting strategic information on all its project activities and develop strong M&E systems. The recipient will be tasked to collect information to track condom usage among high-risk groups and vulnerable populations and condom sales.

Illustrative Outcomes:

1. Monitoring and evaluation surveys, needs assessments and other needed surveys/studies completed.
2. Improved tools for collection of strategic information and monitoring and evaluation on condom social marketing.
3. Technical assistance provided to government bodies on standardized M&E tools on condom social marketing program.

Note: Provide the yearly quantitative targets and the qualitative targets as appropriate.

## **3. REPORTING REQUIREMENTS**

The recipient will adhere to all planning and reporting requirements listed below.

- a) Annual Work Plan: The first year work plans are due in 90 days after the award, and thereafter, 30 calendar days before the beginning of the next reporting period. It will include the action plan and the annual performance review. Generally, it will include: 1) comparison of actual accomplishments with objectives established for the period; 2) identification of quantifiable outputs of the program; 3) reasons why objectives and expected outcomes or targets were not met; and 4) analysis and explanation of cost overruns of high unit costs, when appropriate.
- b) Semi-annual performance monitoring report: The recipient shall submit an updated report on progress towards

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agreed targets 180 days after start of each annual work plan.

- c) Final Report: This is required within 60 days after the completion date of the Cooperative Agreement.
- d) All reporting must comply with PEPFAR, NACP-3 and three ones requirements as they may be applicable and modified from time to time.

**4. MANAGEMENT REVIEW**

The annual work plan will form the basis of a joint management review by USAID and program staff to review program directions, achievement of prior year work plan objectives and major management and implementation issues, and to make recommendations for any changes as appropriate.

During the third year of the program, USAID may conduct an external mid-term evaluation or assessment to review overall progress, assess the continuing appropriateness of the program design, and identify any factors impeding effective implementation. USAID will utilize the results of the mid-term evaluation to make mid-course changes in strategy if needed, and to help determine appropriate future directions.

**5. BUDGET GUIDANCE**

It is expected that total funding available for the overall program will be \$ 4 million for the period February 2007 to June 2011. The budget guidance for the program is that about one-fourth of the funding is planned for the promotion of condom outlets including condom social marketing training program for retailers and NGOs and one-fifth is budgeted for partnership with social marketing organizations and condom manufacturers. About 16 % of the budget is expected to be spent on generic condom promotion and 8 % on technical assistance and capacity building of state AIDS societies. About 19 % is expected to be spent on operation cost such as personnel, travel and administration. The rest could be appropriately apportioned to promotion of female condoms, condoms for MSM and other innovative approaches of condom promotion.

## SECTION D

### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]

### PART I - CERTIFICATIONS AND ASSURANCES

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

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

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

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

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

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

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

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

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

#### 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

##### (a) Instructions for Certification

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

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

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

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

(b) Certification Regarding Drug-Free Workplace Requirements

Alternate I

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

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

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

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

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

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

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

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

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

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

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

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

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

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Alternate II

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

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

(a) Instructions for Certification

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

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

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

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

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

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is

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debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

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

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

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

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

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

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

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

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

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

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

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

**4. CERTIFICATION REGARDING LOBBYING**

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

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

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

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

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

Statement for Loan Guarantees and Loan Insurance

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

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

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

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

The recipient has reviewed and is familiar with the proposed grant format and the applicable regulations, and takes exception to the following (use a continuation page as necessary):

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

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

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

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

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

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

**PART II - OTHER STATEMENTS OF RECIPIENT**

1. AUTHORIZED INDIVIDUALS

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

Name	Title	Telephone No.	Facsimile No.
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

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

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

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

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

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

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

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

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

4. LETTER OF CREDIT (LOC) NUMBER

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

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

5. PROCUREMENT INFORMATION

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

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

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

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

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

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

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

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

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

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

7. TYPE OF ORGANIZATION

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

(a) If the recipient is a U.S. entity, it operates as  a corporation incorporated under the laws of the State of,  an individual,  a partnership,  a nongovernmental nonprofit organization,  a state or local governmental

**386-07-001**

organization,  a private college or university,  a public college or university,  an international organization, or  a joint venture; or

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

**8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS**

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

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

(a) Instructions for Certification

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

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

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

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

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

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

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

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

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

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

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

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

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

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

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

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

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

**KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES  
AND DRUG TRAFFICKING**

I hereby certify that within the last ten years:

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

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

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

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

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

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

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

\_\_\_\_\_

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

**NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## **PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

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

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

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

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

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

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

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

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

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

\_\_\_\_\_

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

### **NOTICE:**

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

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

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

## CERTIFICATION REGARDING MATERIAL SUPPORT AND RESOURCES

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

\_\_\_\_\_ further certifies that it will not provide material support or resources to any individual or entity that it knows, or has reason to know, is acting as an agent for any individual or entity that advocates, plans, sponsors, engages in, or has engaged in, terrorist activity, or that has been so designated, or will immediately cease such support if an entity is so designated after the date of the referenced agreement.

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

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

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

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

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

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

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

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

### NOTICE:

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

### **Certification regarding AAPD 05-04 Implementation of the United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003 –Eligibility Limitation on the Use of Funds and Opposition to Opposition to Prostitution and Sex Trafficking**

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

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

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

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

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

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

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

## SECTION E – BRANDING STRATEGY - ASSISTANCE (December 2005)

### (a) Definitions

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

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

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

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

### (c) Submission Requirements

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

#### (1) Positioning

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

Guidelines: USAID prefers to have the USAID Identity included as part of the program or project name, such as a "title sponsor," if possible and appropriate. It is acceptable to "co-brand" the title with USAID's and the Apparently Successful Applicant's identities. For example: "The USAID and [Apparently Successful Applicant] Health Center." If it would be inappropriate or is not possible to "brand" the project this way, such as when rehabilitating a structure that already exists or if there are multiple donors, please explain and indicate how you intend to showcase USAID's involvement in publicizing the program or project. *For example: School #123, rehabilitated by USAID and [Apparently Successful Applicant]/ [other donors].*

Note: the Agency prefers "made possible by (or with) the generous support of the American People" next to the USAID Identity in acknowledging our contribution, instead of the phrase "funded by." USAID prefers local language translations.

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

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

#### (2) Program Communications and Publicity

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

Guidelines: Please include direct beneficiaries and any special target segments or influencers. *For Example: Primary audience: schoolgirls age 8-12, Secondary audience: teachers and parents—specifically mothers. What communications or program materials will be used to explain or market the program to beneficiaries?*

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

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

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

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

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

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

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

### **(3) Acknowledgements**

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

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

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

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

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

See also [http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_11.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf)

[End of Provision]

## **ATTACHMENT B - AAPD 05-04 Implementation of the United States Leadership Against HIV/AIDS, Tuberculosis and Malaria Act of 2003 – Eligibility Limitation on the Use of Funds and Opposition to Opposition to Prostitution and Sex Trafficking**

### **GUIDANCE:**

A. For Assistance Awards (grants and cooperative agreements) to U.S. nongovernmental, non-U.S. non-governmental, and Public International Organizations (PIOs):

#### **I. Eligibility**

The following provisions must be included in each new Request for Applications (RFA) and Annual Program Statement (APS) utilizing HIV/AIDS funding. When designing a program for HIV/AIDS the SO Team or requiring office must be mindful of the first clause below. The evaluation criteria should not give any special advantage to an organization that endorses or utilizes a multisectoral approach (multisectoral in the legislation refers to Abstinence, Be Faithful/Behavior Change, and Condoms).

These provisions also must be included in the Standard Provisions of any new grant or cooperative agreement to a public international organization or a U.S. or non-U.S. nongovernmental organization financed with FY04-FY08 HIV/AIDS funds or modification to an existing grant or cooperative agreement that adds FY04-FY08 HIV/AIDS funds.

#### **“ORGANIZATIONS ELIGIBLE FOR ASSISTANCE (ASSISTANCE) (JUNE 2005)**

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

#### **CONDOMS (ASSISTANCE) (JUNE 2005)**

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

#### **II. Limitation on the Use of Funds**

The following must be included in the Standard Provisions of any grant or cooperative agreement or subagreement funded with FY04-FY08 HIV/AIDS funds with a U.S. nongovernmental organization, non-U.S., non-governmental organization or public international organizations.

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

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

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

(c) The following definition applies for purposes of this provision:

Sex trafficking means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

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

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

See also [http://www.usaid.gov/business/business\\_opportunities/cib/pdf/aapd05\\_04.pdf](http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_04.pdf)

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