



USAID
FROM THE AMERICAN PEOPLE

Mr. Richard Allan
Director
The Mentor Initiative
14th Street at Coleman Avenue
Sinkor, Monrovia
Liberia

Reference: Malaria Communities Program RFA: USAID M/OAA/GH-08-147

Subject: Cooperative Agreement No. GHS-A-00-08-00011-00

Dear Mr. Waines:

Pursuant to the authority contained in the Foreign Assistance Act of 1961, as amended, the U.S. Agency for International Development (USAID) hereby awards to The Mentor Initiative hereinafter referred to as the "Recipient", the sum of \$1,499,317. USD to provide support for a program in Liberia as described in the Schedule of this award and in Attachment B, entitled "PMI/The Mentor Initiative Building the Capacity of Liberian Communities for Malaria Prevention Control".

This Cooperative Agreement is effective and obligation is made as of the date of this letter and shall apply to expenditures made by the Recipient in furtherance of program objectives during the period beginning with the effective date September 30, 2008 and ending September 29, 2011. USAID will not be liable for reimbursing the Recipient for any costs in excess of the obligated amount.

This Cooperative Agreement is made to the Recipient The Mentor Initiative, on condition that the funds will be administered in accordance with the terms and conditions as set forth in Attachment A (the Schedule), Attachment B (the Program Description), Attachment C (Branding Strategy and Marking Plan) Attachment D (the Standard Provisions) and Attachment E (Initial Environmental Examination) all of which have been agreed to by your organization.

Please sign the original and all enclosed copies of this letter to acknowledge your receipt of the Cooperative Agreement, and return the original and all but one copy to the Agreement Officer.

Sincerely,

Jamie Alissa Beck
USAID
Agreement Officer

Attachments:

- A. Schedule
- B. Program Description
- C. Branding Strategy & Marking Plan
- D. Standard Provisions
- E. Initial Environmental Examination

ACKNOWLEDGED:

BY: _____
TITLE: _____
DATE: _____

A. GENERAL

1. Appropriation:	
2. Amount Obligated this Action:	\$ 525,000.00
3. Total Estimated USAID Amount:	\$1,499,317.00
4. Total Obligated USAID Amount:	\$ 525,000.00
5. Cost-Sharing Amount (Non-Federal):	\$ 172,800.00
6. Activity Title:	PMI/The Mentor Initiative Building the Capacity of Liberian Communities for Malaria Prevention Control
7. USAID Technical Office:	GH/HIDN
8. Tax I.D. Number:	NA
9. DUNS No.:	738716419
10. LOC Number:	NA

B. SPECIFIC

For AID/W Actions:

1. Budget Fiscal Year:	2008
2. EBFY:	2009
3. Commitment No:	GH/HIDN-02601
4. Operating Unit:	GH/HIDN/Id
5. Strategic Objective:	A11
6. Fund:	GH-C
7. Distribution:	936-3100
8. Management:	A049
9. SOC:	140020
10. Benefiting Geo Area:	669

C. PAYMENT OFFICE

U.S. Agency for International Development
Office of Financial Management
M/CFO/CMP/DC, RRB 7.07-98B
1300 Pennsylvania Ave. NW
Washington, DC 20523

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A SCHEDULE

A.1 PURPOSE OF COOPERATIVE AGREEMENT

The purpose of this Cooperative Agreement is to provide support for the program described in Attachment 2 to this Cooperative Agreement entitled "PMI/The Mentor Initiative Building the Capacity of Liberian Communities for Malaria Prevention Control".

A.2 PERIOD OF COOPERATIVE AGREEMENT

The effective date of this Cooperative Agreement is September 30, 2008. The estimated completion date of this Cooperative Agreement is September 29, 2011.

A.3 AMOUNT OF COOPERATIVE AGREEMENT AND PAYMENT

1. The total estimated amount of this Cooperative Agreement for the period shown in A.2.above is \$1,499,317.00.

2. USAID hereby obligates the amount of \$525,000 for program expenditures during the period set forth in A.2 above and as shown in the Budget below. The Recipient will be given written notice by the Agreement Officer if additional funds will be added. USAID is not obligated to reimburse the Recipient for the expenditure of amounts in excess of the total obligated amount.

3. Payment shall be made to the Recipient in accordance with procedures set forth in 22 CFR 226 and the provisions entitled "Payment – Reimbursement (May 1986)."

A.4 COOPERATIVE AGREEMENT BUDGET

The following is the Agreement Budget, including local cost financing items, if authorized. Revisions to this budget shall be made in accordance with the Mandatory Standard Provision entitled "Revision of Award Budget (October 1998)."

TOTAL BUDGET

Cost Element	Cost in USD
Direct Costs:	\$1,499,317.00
Indirect Costs:	\$ 0.00
Cost Share:	\$ 172,800.00
TOTAL:	\$1,672,117.00

A.5 REPORTING AND EVALUATION

1. Financial Reporting

The Recipient must submit one original and two copies. Financial Reports shall be in keeping with 22 CFR 226.

2. Program Reporting

The Recipient shall submit one original and two copies of an annual performance report to, the Cognizant Technical Officer (CTO). Annual performance report guidelines will be provided to the recipient post award. In addition, the recipient shall submit quarterly project updates to the CTO thirty days following the end of the quarter. Guidelines for quarterly updates will be provided to the recipient post award.

3. Final Report

The Recipient must submit the original and one copy to M/FM, the Agreement Officer, and the CTO and one copy, in electronic (preferred) or paper form of final documents to one of the following: (a) Via E-mail: docsubmit@dec.cdie.org ; (b) Via U.S. Postal Service: Development Experience Clearinghouse, 8403 Colesville Road, Suite 210 Silver Spring, MD 20910, USA; (c) Via Fax: (301) 588-7787; or (d) Online:

<http://www.dec.org/index.cfm?fuseaction=docSubmit.home>

Guidelines for the final reports will be provided by the CTO.

A.6 INDIRECT COST RATE

The recipient has not proposed any indirect costs under this Cooperative Agreement.

A.7 TITLE TO PROPERTY

Property Title will be vested with the Cooperative Country.

A.8 AUTHORIZED GEOGRAPHIC CODE

The authorized geographic code for procurement of services under this Cooperative Agreement is 935. The authorized geographic code for procurement of commodities under this Cooperative Agreement is 000.

A.9 COST SHARING

The Recipient agrees to contribute cost share in accordance with their approved budget. Please refer to section A.4 for more detailed cost sharing information.

A.10 SUBSTANTIAL INVOLVEMENT

Substantial involvement during the implementation of this Agreement must be limited to approval of the elements listed below:

- a. approval of annual workplans and modifications that describe the specific activities to be carried out under the Agreement;
- b. approval of specified key personnel assigned to the positions listed below. The personnel currently listed have been approved. All changes thereto must be submitted for the approval by the Cognizant Technical Officer;

Programme Director:	TBD
Deputy Programme Director:	TBD

- c. approval of monitoring and evaluation plans, and USAID involvement in monitoring progress toward achieving expected results and outcomes;
- d. concurrence with the selection of sub-award recipients.

A.11 PROGRAM INCOME

Program income is not anticipated under this project. Should income be generated under this project, it will be added to the project in accordance with 22 CFR 226.24.

A.12 SPECIAL PROVISIONS

A.12.1 USAID DISABILITY POLICY (DEC 2004)

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:
http://www.usaid.gov/about_usaid/disability/.

(b) USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish

this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

A.12.2 EXECUTIVE ORDER ON TERRORISM FINANCING (FEB 2002)

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 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.

A.12.3 FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JAN 2002)

Funds in this [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" or as approved by the AO.

A.12.4 ACCOUNTING SYSTEM SURVEY

The Recipient shall undergo an accounting system survey after the award of the grant. The survey will be performed by USAID's Contract Audit Management Branch, Office of Acquisition and Assistance, Cost, Audit and Support Division. The survey is meant to determine if the Recipient's accounting system is in accordance with Generally Accepted Accounting Principles and if it is capable of accumulating costs for government contracting. The Recipient is required to implement recommendation(s) that may result from accounting system deficiencies noted during the survey of the accounting system. Payments for serviced rendered by the Recipient will be on a reimbursable basis during this period until the system is deemed adequate for government contracting.

A.12.5 WORKPLAN APPROVAL PROCESS

A workplan template will be provided to the Recipient within fifteen (15) days after award of this Cooperative Agreement. Final workplans will be due to the CTO approximately sixty (60) days after award of this Cooperative Agreement.

A.12.6 ENVIRONMENTAL CONCERNS

During the life of the Agreement, the Recipient will follow the approved environmental mitigation measures described in the Initial Environmental Examination, attached as Attachment E.

**ATTACHMENT B
PROGRAM DESCRIPTION**

The Recipient's proposal entitled "The MENTOR Initiative Building the Capacity of Liberian Communities for Malaria Control (Attachment B)" January 2008 is incorporated and is made part of this award.

ATTACHMENT B

I. EXECUTIVE SUMMARY

The MENTOR Initiative Liberia Malaria Communities Programme (MCP) is planned to begin in May 2009 in five western counties: Bomi County, Gbarpolu, Grand Cape Mount, Margibi, and Montserrado, for duration of three years. Transitioning from the post-conflict complex emergency malaria control support the MENTOR Initiative has been providing for the past five years, the goal is to support the community level Information Education Communication (IEC) / Behaviour Change Communication (BCC) campaigns for sustainable malaria prevention. The activities designed in this programme will help in the national efforts to achieve the Roll Back Malaria (RBM) targets set in 2000 in Abuja of a 50% reduction in malaria by 2010.

The Presidential Malaria Initiative (PMI) has identified in its Malaria Operational Plan (MOP) that IEC/BCC lacks strength within the National Malaria Control Programme (NMCP) though it is a part of the 2008-2013 national strategy. It also recognises the importance of IEC at a community level in reinforcing and ensuring the impact of malaria prevention activities: Long lasting Insecticide Treated Net (LLITN) distributions, and Indoor Residual Spray (IRS) campaigns. This programme has three objectives to strengthen IEC/BCC at the community level and help to achieve the PMI targets and the goals of the NMCP strategic plan to increase awareness, knowledge and skills on malaria control and prevention to 80% by 2013:

1. To capacity build local partners to collaborate on the design and delivery of malaria education campaigns
2. To develop and deliver effective malaria IEC materials
3. To reinforce malaria case management (CHWs and midwives)

Community level training sessions with the assistance of national partners Starks Foundation Inc. (SFI), Liberian National Red Cross Society (LNRCS), ADAM Inc. on development and implementation of IEC campaigns will target MoH/NMCP, MoH/CHT, NGOs, FBOs, educators and youth groups, and act as a vehicle to springboard working groups in the counties and districts on community based malaria education campaigns. These working groups will be responsible for developing and implementing IEC materials (posters, door to door campaigns, videos, radio, brochures, drama etc.) in their communities and coordinating their activities with partners involved in malaria prevention campaigns. Key messages disseminated through these campaigns focus on the target populations of NMCP strategy – children under five and pregnant women. Messages highlighted are:

1. Pregnant women seek two or more doses of Sulphadoxine-Pyrimethamin (SP) for Intermittent Preventive Treatment (IPT) at their health facility during antenatal care (ANC) to prevent malaria
2. Children under 5 and pregnant women to consistently and properly use LLITNs
3. Parents to seek early (within 24hrs) and correct treatment for malaria Artemisinin Combination Therapies (ACTs) for their children

To effectively reach the population of 655 029 persons in the five communities and the target populations of 105 571 children under five and 31 050 pregnant women¹ Funding required from PMI to implement the three year community malaria IEC/ capacity building programme is 1,499,317USD.

II. ORGANIZATIONAL CAPACITY & PAST PERFORMANCE

¹ Demographic data from MoH&SW 2007 EPI national campaign

The MENTOR Initiative was launched in October 2002 with support from the RBM Secretariat in Geneva, academic partners, United Nations High Commissioner for Refugees (UNHCR) and international Non-Governmental Organisation (INGO) partner agencies, in order to strengthen RBM country partnerships in acute, chronic and recovering emergency settings. The MENTOR Initiative's core expertise has provided epidemiology, emergency field assessment and planning, malaria surveillance, vector control & personal protection, laboratory diagnosis and investigation, case management training, IEC development and campaigns, community mobilisation and applied operational research and evaluation. To further The MENTOR Initiative's capacity and support to communities embroiled in complex emergencies and devastated by natural disasters, The MENTOR Initiative was established as an independent "not for profit" charitable non-governmental organisation registered in the United Kingdom in May 2004.

The MENTOR Initiative has grown steadily with the support of its donors: AmeriCares, PMI, ECHO, Swiss Agency for Development and Cooperation, DFID, Geneva Global, BPRM, USAID, OFDA, BASF, UNHCR, World Learning, GlaxoSmith Kline, GFHT&M, IRC, Exxon Mobile, UNF, WHO, UNICEF. With a turnover \$7.6 million USD in 2007 MENTOR has and is continuing to provide ongoing emergency and/or post conflict/disaster support to international and national country partners in Liberia, Angola, Aceh & Java Indonesia, Chad, Central African Republic and Horn of Africa countries. In addition, The MENTOR Initiative has previously supported emergency interventions in the Darfur region of Sudan, Ethiopia and Sierra Leone. (*See Annex Organisational and Administration Details and Full Performance History; Annex Recent Past Performance References*)

MENTOR teams have developed their expertise in community mobilisation through extensive community driven prevention campaigns. IRS campaigns have encouraged communities to be involved and contribute to urgent malaria control to ensure the health of the community. Similar community involvement has been seen in large scale distributions of LLITNs with extensive IEC/BCC community campaigns complementing these distributions to ensure that the population has a high level of LLITN retention and utilisation. Recent programmes in 2007 have seen intensive education campaigns alongside a distribution of over 50,000 LLITNs in Eastern Chad, IRS coverage for over 260,000 people in North Eastern Kenya and 51,000 for Internally Displaced Persons (IDPs) and the host population in Dar Sila, Chad. These and other IEC/BCC campaigns have produced effective country and region specific IEC materials – videos, posters, brochures, radio messages – for all of MENTOR Initiative's programme sites. (*see Annex Global IEC Materials*).

- **THE MENTOR INITIATIVE IN LIBERIA**

The MENTOR Initiative has worked closely with the NMCP since its arrival in Liberia in 2003. This dynamic partnership has included collaboration on updating policies and guidelines, joint planning, training of health workers and communities, development of health promotion materials and logistical support when necessary. MENTOR has taken on a central role in assisting the NCMP to develop its technical capacity. This has been accomplished by direct technical support as well as the incorporation of ten seconded Ministry of Health and Social Welfare (MoH&SW) employees into the MENTOR country team in order to gain further technical and practical malaria control skills. During the period of collaboration there has been the successful introduction and implementation of the new and highly effective national protocols for malaria prevention with LLITNs, and diagnosis and treatment with ACT across over 75% of the country. This has resulted from the MENTOR Initiative's support of other partners working in malaria control throughout the country with MENTOR's commitment to creating the momentum to scale up malaria control activities countrywide.

The MENTOR Initiative continues to be an active member of the malaria steering committee (MSC) that meets on a monthly basis, and the MENTOR and NMCP management teams hold regular meetings to ensure essential communication and collaboration is maintained. To date every county in Liberia has received some type of support from The MENTOR Initiative interventions during the past five years. Some key achievements to date include:

Health Facility & Community Activities

➤ **Case Management Trainings in Best Practices:**

1. Over 4,000 national health workers (MoH&SW, NGO and Faith Based Organisations (FBO)) have been technically trained and coached in malaria case management including County Health Teams (CHT), health agency supervisors, dispensers (including medicine stores in Monrovia) and screeners. Topics covered during the trainings included curative and preventive malaria control, including the importance of educating patients on early treatment seeking behaviour and IPT for pregnant women.

➤ **Prevention and Malaria Awareness Activities:**

1. Over 800 community members/community health workers have been trained in IRS, LLITN or Insecticide Treated Plastic Sheetting (ITPS) distribution.
2. Over 400,000 people have received malaria protection through either use of IRS, LLITNs or ITPS.

Technical support

- **National Strategy & Policy Change:** Over the past five years, MENTOR has supported the NMCP with policy changes and development of subsequent guidelines and national strategies.
- **MENTOR Technical support:** Since April 2003 MENTOR has provided full time technical field support for all malaria partners in country to improve the design and quality of malaria interventions. As well as providing direct technical and operational support to the NMCP for surveys and studies, such as the Liberia Malaria Indicator Survey (LMIS).
- **NGO material support:** MENTOR has been able to supply humanitarian agencies and the NMCP with essential stocks of malaria case management and prevention tools (following technical training) since early 2003, thereby enabling the rapid scale up and coverage of standardised best practice in Liberia.
- **Health Promotion Activities:** MENTOR has worked with local partners to develop dramas on key malaria messages. The dramas were performed by cultural troops in the community, and recorded as radio and television/video programmes. Posters were designed by the MENTOR team in collaboration with the NMCP and posted in target areas: health facilities, schools, public meeting areas. (See Annex: Liberia IEC Materials)

The MENTOR Initiative is uniquely skilled and experienced in training, mobilising and supporting varied country partnerships to take on, and scale up, effective malaria control action. It has almost five years country specific experience in Liberia's malaria control development, from the basic introduction of best practice policy in 2003 and emergency delivery, through to the more expansive and sustainable malaria control capacity now in place. The MENTOR Initiative is now poised to move into a new phase of country partner support in Liberia at the local NGO and community level. This support will provide the necessary environment which will support the national malaria strategic plan and policies at the community level.

SUB-PARTNERS

The MENTOR Initiative will be working with two types of sub-partners to implement this project. The first type of partner is one with a long established partnership with The MENTOR Initiative that has been created over the previous five years. The potential relationship for this project would be one of coordination, capacity building/technically advising and providing assistance with integrating malaria control messages and activities into existing programme structures and activities. Key partners identified in the proposed project counties include, but are not limited to: CHTs, Save the Children – United Kingdom (SC-UK), Medical Teams International (MTI), St.Luke's clinic, Calvery Empowerment Team, Islamic Citizens of Liberia, Diakonie Emergency Aid, Concern Worldwide and MERLIN.

The second type of partner would have a closer relationship with MENTOR as an implementing partner. This would be the case for three local NGOs: ADAM Inc, The Starks Foundation Inc. (SFI) and The Liberian National Red Cross Society (LNRCS). The relationship would be one of mentoring the local NGOs, community organisations in project planning, implementation, technical capacity, financial management, evaluation and report writing. Additionally administrative and logistical support, when appropriate, may be provided.

ADAM Inc.

ADAM, Inc. is a local Non-Governmental Organization working in the area of public health and primary health care especially in the areas of HIV/AIDS, Malaria, Water & sanitation and Sexual and Gender Based-Violence (SGBV). ADAM, Inc. is an active member of both the Malaria Steering Committee chaired by NMCP as well as the coordination Committee on HIV/AIDS, chaired by NACP.

Since 1999, ADAM has worked in several rural and urban communities in Liberia (Sinoe, Grand Gedeh, Grand Cape Mount, Nimba and Montserrado counties) in collaboration with the MoH&SW NMCP and STIs/HIV/AIDS control Programs and other partners including Adventist Development & Relief Agency (ADRA), AFRICARE, WHO and UNICEF. Apart from receiving funding from the GFATM, ADAM, Inc. is one of the local partners that implements projects for UN agencies (UNDP, UNFPA, UNICEF, AFRICARE, ETC). Presently, ADAM is working in three counties (Montserrado, Nimba and Grand Cape Mount), which covers eight districts and over 40 communities.

One of ADAM's primary activities is carrying out HIV/AIDS awareness and sensitization in collaboration with MoH&SW/NACP, which involves the distribution of health education materials and condoms within their operational areas in Montserrado, Nimba, Sinoe and Grand Cape Mount Counties. ADAM has experience in health education; carrying out awareness and sensitization of the disease by training of parents, care-givers and peer educators in various towns and communities. Additionally, they have been involved in distribution of LLITNs. At present ADAM, Inc. is collaborating with The MENTOR Initiative for guidance on malaria control activities and the hope is to integrate the HIV/AIDS and Malaria activities at the community level.

The Starks Foundation Inc.

The Starks Foundation Inc. is a local health non-governmental, non-profit, non-political organization founded on June 24, 2004 by Mr. Gabriel C. Starks who saw the threats arising for the impoverished Liberian population from HIV/AIDS, Malaria, Tuberculosis and other health related diseases. In the view of these problems SFI envisaged to be used as a catalyst to spread messages and adequately educate local people on prompt control and preventive measures. The Starks Foundation is an active member of the Malaria Steering Committee.

SFI works in urban Montserrado and in 29 towns in Dewonin District in Bomi County. Major activities include: training of parents and caregivers on malaria prevention and management of fever; training of parents and youth on STI/HIV/AIDS; LLITN and condom distributions in communities; as well as collection of information on community knowledge of malaria through focus group discussion. Malaria activities through this programme will be integrated into activities already being carried out in Dewonin District.

Liberia National Red Cross Society

The LNRCS, like other national societies is a membership organization operating in 15 Chapters/Counties countrywide with a total of 5,500 registered volunteers. It has its headquarters in Monrovia with a Health Care Disaster Management Department that has a technical back up of professionals in the Health and Disaster Management disciplines. At the Chapter level, a Chapter Management Team (CMT) and volunteers provide the administrative structures for implementation of activities.

The LNRCS implements all of its programmes at the level of the chapters in a cluster fashion. LNRCS programme implementation adopts the community based approach wherein the beneficiaries are considered a prime partner. The approach seeks the involvement and participation of community members in the planning and execution of an activity to achieve greater programme impact. The partnership with beneficiaries is effective through established community structures like CBOs, CAAC, CPE, CHV and CBWC.

Moreover; the LNRCS National Societies is chartered as an auxiliary to the government and represents a considerable core force for advocacy and community based interventions working through community volunteers. LNRCS volunteers work in the most under-served and hard to reach populations and participate in disaster and epidemic responses. Now with the African Red Cross/Red Crescent Health Initiative (ARCHI 2010) commitment, African national societies are addressing the every day silent emergencies such as malaria.

The LNRCS chapters are active in their communities and work through partnership with health workers, radio stations, schools and religious institutions. LNRCS has experience in malaria health promotion, in particular by conducting community health education at households, schools, religious institutions follow-up by Red Cross community volunteer visits. Additionally, as a Malaria Steering Committee member LNRCS has previously carried out LLITN distributions in the proposed project counties, for pregnant women and children under five.

III. PROJECT CONTEXT & GAPS OVERVIEW OF HEALTH AND MALARIA IN LIBERIA

Malaria is haloendemic and transmission of this disease is intense, occurring all year round (with peak transmission in rainy season). Malaria has always been the first cause of morbidity and mortality in Liberia. It accounts for 40-45% of OPD attendance and is also the number one cause of inpatient deaths in Liberia². Child mortality rates in Liberia are amongst the worst in the world (235/1000)³. Of these deaths, present data suggests that at least 17.8% (41/1000) are attributable to malaria. Based on these figures, an estimated 120,000 children under five years of age die each year in Liberia; with an approximate 21,300 malaria related deaths. This estimate may well be understated due to the low rate of reporting, weak surveillance system and limited access to health care by much of the population.

² Liberia Malaria Indicator Survey (LMIS), 2005

³ WHO World Health Report, 2006

Data from the recent Liberian Malaria Indicator Survey (LMIS) show that 65% of children under five had positive rapid diagnostic test (RDT) results⁴. Of those who were parasite positive 90% had fever⁵; indicating a massive malaria burden of approximately 50% of children under 5. Unborn children, and their pregnant mothers, are also at extreme risk in Liberia, as malaria during pregnancy causes anaemia in the mother significantly reducing the growth and development of the unborn child. As a result, malaria is believed to account for as high as 13% of spontaneous abortions and up to 40% of low birth weight babies, the principle cause of neonatal death.⁶ Proven interventions which could reduce malaria during pregnancy are IPT with SP and utilization of LLITNs. Although LLITNs are distributed in some health facilities, in most communities they are not yet widely available, and in addition attendance at ante-natal centres is low as women prefer to visit their local midwives.

The LMIS conducted in 2005 showed that just 43% of the population knew the cause of malaria and less than 10% of parents or caregivers took their children to the clinic within 24 hours of onset of fever. Given the high illiteracy rate in Liberia (~70%)⁷, it is no surprise to find that respondents to the LMIS reported getting information from written sources less often than from sources that involved verbal communication. The LMIS found that 42% of people receive information from the radio and 36% from community health workers with another 6% getting information from schools, peer educators and video clubs.

In 2005 LLITN ownership and utilization was low with a reported household ownership of any net to be 17.9%, of which only 36% were actually ITNs. The percentage of children under five that had slept under an ITN the previous night was only 2.6%, and this was slightly higher for pregnant women at 31%, however the type of net was not distinguished. Since 2005 there have been a number of LLITN distributions and education campaigns and it is hypothesized that the percentage of ownership and utilization has since increased. A household survey is planned under PMI in 2008 which will provide a more accurate representation of the current situation.

Today, as the situation in Liberia stabilizes, malaria is a great threat in areas such as the five programme counties (Bomi County, Gbarpolu, Grand Cape Mount, Margibi, and Montserrado) where access to health care services and means of effective malaria prevention are poorest. Exposure to infective mosquito bites, weakened immunity as a result of poor nutritional status and other infections, combined with poor or non-existent access to effective basic health care services and malaria prevention tools, makes communities in these settings amongst the most vulnerable to not only uncomplicated malaria, but to developing malaria, related severe anaemia, and death.

THE CHALLENGES AND GAPS IN MALARIA CONTROL IN LIBERIA

Malaria Control in Liberia has made great strides in the past few years, bringing effective antimalarial treatment, diagnostic tools and prevention materials to some of the most remote areas of Liberia in the post-war phase of malaria control. However, the focus of implementation has been concentrated at the more accessible central area (Monrovia and county capitals) and at the health facility level (targeting NMCP, CHT and international NGO staff) with few activities actually concentrated at the community level. There are difficulties in malaria control at this level and they hinder the assurance that the beneficiaries receive maximum impact through the

⁴ Positive RDT indicates blood currently had parasites or had them in the preceding two weeks

⁵ LMIS, 2005

⁶ WHO malaria in pregnancy information sheets, 2002

⁷ NMCP, National Strategic Plan 2008-2013

planned activities. It has been noted in PMI's MOP that during previous LLITN distributions no social mobilisation was conducted, and no investment was done in IEC/BCC materials by the NMCP. By working together with the communities and local partners active in the programme area on the planning, implementation and monitoring of malaria IEC activities MENTOR is ensuring involvement and acceptability of the interventions and enabling an increase in the success rate of current and future malaria control efforts in the country.

MALARIA PARTNERS

In the five counties selected The MENTOR Initiative has identified the organisations that have or are carrying out malaria activities (See table 1) The MENTOR team will continue to coordinate all its malaria control planning, implementation, capacity building and evaluation activities with its partners (NMCP, CHT, other MoH&SW divisions, NGOs, FBOs and UN agencies), in order to provide effective and well coordinated malaria control activities that provide sufficient coverage in target areas.

Table 1: Malaria Partners and Activities Identified

County	Health Facility Level (Case management & IPT)	Community Level (Prevention & awareness)
Bomi	CHT, SC-UK, St. Lukes, IMC, AHA	CHT, SC-UK, LNRC
Gbarpolu	CHT, SC-UK, AHA	CHT, SC-UK, LNRC
Cape Mount	CHT, MTI, IMC, AHA	CHT, ADAM, LNRC
Margibi	CHT, SC-UK, AHA	CHT, SC-UK, LNRC
Montserrado	CHT, MERLIN, SC-UK, IRC	CHT, Starks, LNRC

IV. PROGRAM STRATEGY PROGRAMME GOAL

The goal of the programme is to significantly reduce the burden of malaria on the most vulnerable Liberian communities (Bomi County, Gbarpolu, Grand Cape Mount, Margibi, and Montserrado) through collaboration with the communities themselves and locally based organizations, in conjunction with implementing partners (SFI, ADAM, LNRCs) and INGOs working in the same counties. This project will be guided by international best practices and Liberia's national malaria control strategy, and will build upon existing achievements in malaria control. This will be achieved by significantly expanding the community partners' technical and operational capacity to deliver quality malaria control interventions: malaria awareness and education campaigns (training community members to create IEC materials, carry out health talks, organize community programmes and house to house visits on malaria topics), LLITN distributions, and case management of malaria. The community involvement will ensure that culturally appropriate education strategies are designed, and that local ownership and responsibility for the malaria control activities is created.

GOAL: To significantly scale up the technical capacity of community based partners to implement effective malaria control education campaigns in communities in Bomi, Gbarpolu, Grand Cape Mount, Margibi and Montserrado Counties, in order to reduce the burden of malaria.

Objective 1: CAPACITY BUILDING OF LOCAL PARTNERS TO DEVELOP AND DELIVER MALARIA EDUCATION CAMPAIGNS

Through training sessions engaging members of local partners (MoH/NMCP, MoH/CHT, NGOs, FBOs, education & youth groups, etc.) elevate knowledge on malaria prevention, case management, IEC strategies and programme management capacity. This will include skills in planning, implementing, monitoring and coordination for malaria education campaigns. Experts in local media, programme management and malaria prevention and case management will facilitate trainings.

Objective 2: DEVELOPMENT AND DELIVERY OF MALARIA IEC MATERIALS

With the initiative and active participation from local partners (community malaria working groups) evaluate baseline knowledge of the community, design, test, and produce innovative methods to deliver malaria messages at the community level.

Objective 3: REINFORCEMENT OF MALARIA CASE MANAGEMENT

Refresher training of CHW, midwives, TTM on malaria case management to ensure best practice at the health facility level. Coordination with CHWs to deliver malaria caregiver training through home visits and informal discussions.

OVERVIEW

Year one of the programme will have a clear focus on the training of health workers, FBOs, educators, youth groups, and NGOs on how to innovatively design and deliver key malaria prevention and treatment messages through their established networks. All planning and implementation of training will be done at the county and district levels with the guidance of MENTOR and the participation of partner NGOs, local experts in media, programme management, malaria prevention and case management. The training will reflect best practices and the NMCP/MoH strategy. District level malaria education working groups will be established to create the platform for community level design and implementation of malaria IEC campaigns. The utilisation of a trainer of trainers (ToT) methodology will be used to facilitate the spread of messages to organisations interested in developing their own malaria education campaigns. Local media (radio, newspapers and video clubs) will contribute to these campaigns by assisting with field testing and production of materials for county-wide dissemination. Key messages delivered through these campaigns will encourage:

- Pregnant women to seek two or more doses of Sulphadoxine-Pyrimethanine (SP) for IPTp at their health facility during antenatal care (ANC)
- Children under 5 and pregnant women to consistently and properly use LLITNs
- Children under 5 to seek early (within 24hrs) and correct treatment for malaria (ACTs)
- IRS acceptability and safety (N.B. This will only be implemented in year two if it is determined by the PMI assessment team that IRS is suitable in the programme area)

Highlighted in this programme is the coordination with the NMCP, PMI and NGOs to ensure that prevention campaigns (LLITN distributions, IRS campaigns) planned for the programme area (Such as the 2007 launch of general distribution of 150000 LLITNs in Bomi County) are done so with the necessary complement of malaria education to assist in achieving high levels of IRS acceptability and LLITN retention and usage. The community involvement in prevention strategies, with this programme's community malaria education campaigns, will amplify the effects of malaria prevention campaigns furthering the likelihood of achieving PMI Targets.

Year two will see the incorporation of case management training for health workers

(including midwives, CHW, CHT). This will contribute to the propagation of the malaria education campaigns. Ensuring that health workers have solid skills in diagnosis and treatment will guarantee that the communities who benefit from malaria education will receive the correct malaria prevention and treatment resources when they approach health workers. This will create a cycle of positive reinforcement of the key health seeking messages. The health workers will reinforce the malaria education of the communities which they serve.

Years two and three of the programme will shift the focus from initial trainings, and the development and production of IEC materials, to activities related to Training of Trainer (ToT) sessions organised by the participants who were trained in year one. Community based malaria education programmes designed in year one will continue to roll out together with ongoing monitoring and evaluation of these programmes. The information derived from consistent monitoring in the counties will assist the MENTOR coordinators and their partners in adjusting education strategies, and media materials that were produced in year one to ensure that the efforts of the programme remain at a high level of efficiency and effectiveness.

ACTIVITIES

OBJECTIVE 1: CAPACITY BUILDING OF LOCAL PARTNERS TO DEVELOP AND DELIVER MALARIA EDUCATION CAMPAIGNS

The MENTOR Initiative will support local partners (health workers, NGOs, FBOs, Educators, Youth Groups) technically and operationally to deliver malaria prevention and treatment messages. This package of support will include development of skills in the evaluation of baseline knowledge, planning, designing, implementing, monitoring and coordination of malaria education. This will be carried out, through two lots of two day trainings sessions in each county. Trainings are designed to bring together members of different areas of the community organisations to improve coordination of malaria campaigns. This will also ensure the bringing together of ideas from different areas of experience.

Activity 1: Train 150 CHWs (1 per clinic), 10 CHTs (2 per county), 50 participants from LNGOs and INGOs, 300 CHDC, 492 educators (1 per school), educators within FBOs and leaders of youth groups to develop and deliver malaria prevention and treatment messages. This will result in the formation of community malaria working groups.

OBJECTIVE 2: DEVELOPMENT AND DELIVERY OF MALARIA IEC MATERIALS

The MENTOR Initiative will work with the MENTOR Initiative trained teams, NMCP, NGOs and community partners to develop and produce new malaria control, prevention and treatment messages. Partners (local NGOs, schools, FBOs, civil society organizations and health facilities/committees) will design, produce and deliver standardized health education messages designed for community level delivery, focusing particularly on early treatment seeking behaviour, IPT for pregnant women and utilization of LLITNs for children under five and pregnant women. The backbone of planning will be derived from evaluation of community gaps in knowledge and resources for malaria prevention. Mediums used in IEC campaigns will include: drama, focus group discussions (FGD), poster competition, brochures, radios, video clubs, newspapers, and television. Local media will be involved with the production of materials for publication and airing.

Activity 1: Development and production of IEC materials in both national and local dialects. (Videos, theatre, brochures, radio messages, poster competition, etc.)

Activity 2: Multi-media IEC package disseminated to the communities. Community programme strategies will be implemented.

Activity 3: Africa Malaria Day (April 25th) activities will be implemented in all five county programmes.

OBJECTIVE 3: REINFORCEMENT OF MALARIA CASE MANAGEMENT (year two and three only)

The devastating effects of malaria in children under five and pregnant women can be minimised by ensuring that those working in the health facilities, or as CHW and midwives; practice the correct procedures for case management, and IPT in pregnant women. These workers are at the front line for dissemination of information in communities and should encourage families to ensure that children with fever seek immediate treatment at the health facility within 24hrs and receive the correct (ACT) treatment for malaria. Training will be facilitated using the training manual for the management of malaria, participants guide (developed by the NMCP and MENTOR) Health workers will reinforce this message to patients, and CHWs will be a good route for message dissemination to parents and caregivers in their communities.

Activity 1: Training of 300 health workers (2 per clinic) on best practices for malaria case management and health education for parents/caregivers

Activity 2: Training of 150 midwives on best practices for malaria case management and health education for parents/caregivers

Activity 3: Caregiver training. CHWs will go house to house to deliver malaria prevention messages to caregivers, and conduct informal focus group discussions. Messages will be based on the NMCP manual developed for caregiver training.

See Annex Work Plan Matrix

PROGRAMME RATIONAL AND PARTNERSHIP

Over the course of the last three years great strides have been made to standardize and scale up malaria control activities. Funding came at a time when Liberia was transitioning from a complex emergency during conflict into a more stable nation. The majority of activities and money was at that time focused towards the most accessible areas. Malaria control activity and support began to expand into more distant areas as stability and accessibility improved.

In order to meet the goals of the NMCP strategic plan to increase awareness, knowledge and skills on malaria control and prevention to 80% by 2013⁸, it is necessary to expand malaria control activities to the community level, particularly those communities who have not benefited from previous malaria control activities. To ensure sustainability and long term benefit this program will work with established community partners in order to build their capacity to deliver malaria control messages and activities to their communities. This will be carried out with one goal in mind, to build local ownership of malaria prevention and treatment activities. Additionally, this programme aims to integrate malaria control into already existing activities and programmes in order to build upon the goals of the MoH&SW.

Local partners will be on the front lines of implementation. With the guidance of The MENTOR Initiative, they will be responsible for planning, carrying out and evaluating malaria activities

⁸ NMCP Strategic Plan 2008-2013

carried out in their communities. Specifically The MENTOR Initiative will train the local county partners in creating and distributing malaria messages through their established networks. The MENTOR Initiative will serve as a coach to the local networks during the entire process to ensure that the partners and activities are inline with internationally accepted best practices and the policies and priorities of the NMCP/MoH. All planning and implementation will be done at the county level with the input of local partners and communities. The MENTOR Initiative has and will continue to involve the NMCP/MoH in all planning and implementation plans.

The programme area will be focused on five western counties in Liberia (Bomi, Gbarpolu, Grand Cape Mount, Margibi and one district in Montserrado). These counties were chosen due to the prior experience in those counties by both MENTOR and the local partners. In particular the close relationships that the local implementing partners have with the individual communities themselves have contributed to identifying needs and opportunities on these areas. Additionally, three of the five counties (Bomi, Gbarpolu and Grand Cape Mount) have been selected as the counties where PMI 'kick off' activities will occur with mass LLITN distribution. Community level education to reinforce correct and continuous usage of the LLITNs will be important to ensure that these PMI activities achieve maximum.

An estimated total of 655,029 people will benefit from this programme. This includes around 31,050 pregnant women and 105,571 children under five. Details demographic information by county and district is provided in table 2. (See Annex Map of Programme Area Liberia)

Table 2: Estimated Population Demographics of Programme Area

County	District	2007 est population	Preg. Women 5%	< 5yrs 17%	# Health Facilities*	# Schools**
Bomi County	Dewoin	28,337	1,417	4,817		13
	Klay	44,427	2,221	7,553		
	Tubmanburg	42,729	2,136	7,264		59
	Suehn-Mecca	23,555	1,178	4,004		18
Total		139,048	6,952	23,638	22	90
Gbarpolu	Gbarpolu	33,779	1,689	5,742		25
	Gbarma	25,333	1,267	4,307		14
Total		59,112	2,956	10,049	9	39
Grand Cape Mount	Commenwealth (Robertsport)	6,456	323	1,098		19
	Tewor	31,952	1,598	5,432		31
	Garwula	48,299	2,415	8,211		32
	Porkpa	18,479	924	3,141		29
	Gola Konneh	34,024	1,701	5,784		28
Total		139,210	5,259	17,882	32	139
Margibi	Mahba-kaba	57,596	2,880	9,791		75

	Firestone	70,982	3,549	12,067		
	Kakata	107,448	5,372	18,266		81
	Gibi	30,837	1,542	5,242		20
	Total	266,863	13,343	45,367	30	176
Montserrado	Todee	50,796	2,540	8,635		48
	Total	50,796	2,540	8,635	111	48
Overall Total		655,029	31,050	105,571	204	492

Source: MoH&SW 2007 EPI Nationwide campaign and CHTs and MoE

* Number of Health Facilities is per county

** The MoE combines some of the districts together, but the total per county remains the same

V. PERFORMANCE MONITORING & EVALUATION

The MENTOR initiative, from its operational head quarters in Europe coordinates directly with the MENTOR country teams. The European management team continuously reviews programmes to help guide and amend the focus and balance of programme activities, as and when indicated through monitoring information, in order to maximize progress towards achieving the objectives. An advisory board of senior technical and operational specialists (*See Annex Organisational and Administration Details and Full Performance History*) has been established and supports the MENTOR Initiative to review country progress and strategy, and will assist in future strategic planning. This board will specifically help to review progress of this programme during its implementation.

For supervision and monitoring of operational indicators, The MENTOR Initiative county teams (two persons per team) will be working closely with both the MoH/NMCP and community partners to carry out regular field visits to IEC activities to monitor their progress. Program monitoring will be incorporated into normal activities and results will be reviewed regularly. The MENTOR team will work with the PMI and NMCP teams to support the monitoring and evaluation system strengthening tool (MESST) The MENTOR Initiative will continue to maintain, update and share databases on monitoring and evaluation activities with all partners involved in the programme (PMI, NMCP, MoH&SW, community partners). An IEC two stage cluster sample survey will be conducted in each of the counties in year two to evaluate the effectiveness of the IEC campaigns, and results will be used to feedback to the community groups to guide their future IEC activities. Results shared will include number of participants trained in IEC, Health facilities using RDTs and ACT, Pregnant women receiving IPT at ANCs, LLITN coverage and number of population receiving malaria prevention messages. See Table 3 for indicators.

Table 3: Monitoring and Evaluation Indicators

Objective	Indicator	Method Of Collection	Freq. Collection
1. Capacity building of local partners to develop and deliver malaria education campaigns	1. # of training sessions conducted	Records of initial malaria trainings participant lists Records of community malaria working group minutes of meetings	Data collection at initial trainings (64 training sessions)
	2. # of participants attending the training sessions		
	3. # of community malaria working groups formed		
	4. # of community malaria working group meetings and # of participants		
2. Development and	1. # of video clubs showing malaria	Videos Distributed and	Monthly

delivery of malaria IEC materials	videos 2. # of theater presentations presented 3. # radio stations airing messages 4. # contestants in poster contest 5. # malaria posters distributed 6. # malaria brochures distributed 7. # households visited in door to door campaign 8. # participants at Africa Malaria Day Activities 9. # of persons reached with IEC campaigns 10. # Level of community malaria understanding	video house visit Records of theater troupes Records from radio stations Records of entries Distribution records CHWs Records Statistics from community groups IEC Two-stage cluster surveys in each county.	Monthly Monthly End of contest Monthly Monthly Monthly April 2009 Year 2 (mid) Year 3 (end)
3. Reinforcement of malaria case management	1. # of training sessions 2. # of midwives trained 3. # of CHW trained 4. # of caregivers trained by CHW	Training records Training records Training records Campaign records	Year 2

VI. MANAGEMENT PLAN THE MENTOR INITIATIVE ORGANIZATIONAL STRUCTURE

- Programme Director (Monrovia): Kristin Banek, a senior director of the MENTOR Initiative team, will be responsible for the overall direction, development and management of in-country programme, including managing the programme team, representation, administrative and financial management, reporting and ensuring that the programme is implemented in full, and to schedule, with high quality general and overall technical management. (See Annex CV Programme Director; Annex Terms of Reference Key Positions) Supervisor: MENTOR Director
- Programme support co-ordinator (HQ): A skilled co-ordinator will provide 25% of their time to ensure good procurement, logistics and administrative support and continuity, plus high quality procurement and administrative reporting for this programme. This function will be implemented through an in-house off shore position. . Supervisor: MENTOR Director
- Deputy Programme Director-Technical (Monrovia with in-country travel): Will ensure the detailed technical implementation of the programme activities is done in an efficient and quality manner (See Annex Terms of Reference Key Positions). . Supervisor: Programme Director
- Communications Prevention Expert (Monrovia with travel to counties): Provide expertise in Information, Education and communication (IEC) and Behaviour Change Communication (BCC) to all programme staff. . Supervisor: DPD-Technical
- Health Promotion Co-ordinator (Monrovia with travel to counties): Will ensure effective health promotion tools and activities at both national and county level. Supervisor: Communications Prevention Expert
- Health Promotion Officers (Monrovia with travel to counties): Assist the Health Promotion coordinator with health promotion activities. Supervisor: Health Promotion Co-ordinator
- Data Co-ordinator (Monrovia with travel to counties): To ensure effective development of data collection tools and database, descriptive data analysis and interpretation. Supervisor: DCD-Technical

- Project Co-ordinator (Monrovia with travel to counties): To supervise proper implementation and coordination of county teams. Supervisor: DCD-Technical
- Bomi Partner Support Co-ordinator (25% Base; 75% Bomi): To supervise and ensure proper implementation in Bomi County. Supervisor: Project Co-ordinator
- Bomi Technical Officer (25% Base; 75% Bomi): To ensure proper technical implementation in Bomi County. Supervisor: Bomi Partner Support Co-ordinator
- Gbarpolu Partner Support Co-ordinator (25% Base; 75% Gbarpolu): To supervise and ensure proper implementation in Gbarpolu County. Supervisor: Project Co-ordinator
- Gbarpolu Technical Officer (25% Base; 75% Gbarpolu): To ensure proper technical implementation in Gbarpolu County. Supervisor: Gbarpolu Partner Support Co-ordinator
- Grand Cape Partner Support Co-ordinator (25% Base; 75% Cape Mount): To ensure proper technical implementation in Cape Mount County. Supervisor: Project Co-ordinator
- Grand Cape Technical Officer (25% Base; 75% Cape Mount): To supervise and ensure proper implementation in Cape Mount County. Supervisor: Grand Cape Partner Support Co-ordinator
- Margibi Partner Support Co-ordinator (25% Base; 75% Margibi): To ensure proper technical implementation in Margibi County. Supervisor: Project Co-ordinator
- Margibi Technical Officer (25% Base; 75% Margibi): To supervise and ensure proper implementation in Margibi County. Supervisor: Margibi Partner Support Co-ordinator
- Montserrado Partner Support Co-ordinator (Montserrado): To ensure proper technical implementation in Montserrado County. Supervisor: Project Co-ordinator
- Montserrado Technical Officer (Montserrado): To supervise and ensure proper implementation in Montserrado County. Supervisor: Montserrado Partner Support Co-ordinator
- Admin/Finance Co-ordinator (Monrovia): To provide support to help ensure financial and administrative policies, regulations and rules respond to the needs of the programme and enable the efficient and effective conduct of its work. Supervisor: Programme Director
- Administrative Officer (Monrovia): To provide administrative support to the programme. Supervisor: Admin/Finance Co-ordinator
- Administrative Assistant (Monrovia): To provide secretarial and office support. Supervisor: Administrative Officer
- Office Assistants; Cleaner (Monrovia): Help ensure efficient maintenance and cleanliness of office premises as well as expats residence and to ensure security of the programme assets and materials. Supervisor: Administrative Officer
- Logistics Co-ordinator (Monrovia): provide support to help ensure logistical policies, regulations and rules respond to the needs of the programme and enable the efficient and effective conduct of its work. Supervisor: DPD-Operations
- Logistics Assistant (Monrovia): To support logistics coordinator in providing logistical support to programme teams. Supervisor: Logistics Co-ordinator
- Chief Security Guard (Monrovia): To supervise the security guards and ensure proper oversight of MENTOR property. Supervisor: Logistics Co-ordinator
- Security Guard (Monrovia): To provide protection of MENTOR property, Supervisor: Chief Security Guard
- Radio Operator (Monrovia): To facilitate communication between the field and Monrovia office. Supervisor: Logistics Assistant

- Senior Driver (Monrovia with travel to counties): To oversee drivers and mechanics and ensure optimal performance of fleet. Supervisor: Logistics Assistant
- Driver / mechanic (Monrovia with travel to counties): To drive and maintain the programme vehicles. Supervisor: Logistics Assistant

See Annex Project Organigram The MENTOR Initiative MCP

LOCAL IMPLEMENTING PARTNERS

The local implementing partners will have a focal person for the NMCP programme for each county in which they are collaborating. This focal person will be the main liaison between the MENTOR Initiative county teams and their respective LNGO. The focal persons will take part in the monthly coordination meeting. The Programme Director will also meet monthly with the management of the LNGOs to provide feedback and reports on the progress of the programme.

Additionally, this programme will help to ensure the technical capacity development of partner organisations and the national and community based health systems they directly support. This will enable them to maintain and replicate effective, sustainable and targeted disease control interventions, both in this setting and others. This will be done through mentoring, local trainings and workshops and visits from experts when needed.

COORDINATION AND COMMUNICATION

Coordination and communication are the foundation to any partnership. To ensure that this collaborative project is successful the following activities will take place:

1. Weekly internal MENTOR Initiative project coordination meetings
2. Monthly partnership coordination meetings with MENTOR and their three key LNGOs partners and other identified community partners. Minutes of these meetings will be kept and shared with relevant stakeholders.
3. Regular Malaria Steering Group (MSG) meetings
4. Monthly coordination meetings with the NMCP and the MENTOR Initiative to ensure that activities are coordinated and reflective of the national malaria work plan.
5. Quarterly meetings held with the PMI coordinator and the MENTOR Initiative for feedback on progress, exchange ideas and to ensure that the programme continues in a way that the targets will be achieved.

A database of activities and results will be maintained and shared with NMCP on a regular basis. The data will be analyzed on a quarterly basis and incorporated into the quarterly reports that will be distributed to both USAID and the PMI coordinator. NMCP will also receive a copy of these reports. In addition to the regularly scheduled meeting and donor required reporting a bi-annual report/newsletter will be prepared and circulated to all key stakeholders and partners including, but not limited to: NMCP, CHT, LNGOs and FBO working in the target counties, INGO network and the PMI coordination.

VII: VOLUNTEERS FOR PROSPERITY

The MENTOR Initiative is interesting in incorporating Volunteers for Prosperity in to the delivery and capacity building actions of this programme, both within the three key LNGOs and/or at the county level. Unfortunately, the current organisational legislation of that governs Volunteers for Prosperity partnerships dictates that only US base organizations are eligible to become partners. As The MENTOR Initiative is an international organization with its head quarters in England, it is currently excluded from participating in, and benefiting from, this US volunteer

program. However, if the criteria for partnership are amended to include international agencies during the course of this project, The MENTOR Initiative would gladly participate.

ATTACHMENT C

Branding Strategy & Marking Plan

USAID/Organization Marking Plan

Date Submitted: 3rd September 2008

Applicant Information: The MENTOR Initiative

Office:

Contact Person: Richard Allan (Director, C.E.O)

Contact Phone Number: +44 796 193 6170

Contact E-mail: richard@mentor-initiative.net

For a New Award:

USAID Solicitation Number: RFA # USAID M/OAA/GH-08-147

USAID Solicitation Name (if applicable):

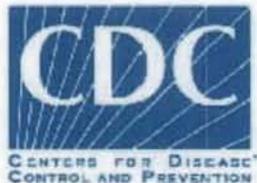
I. PROGRAM DELIVERABLES TO BE MARKED

The MENTOR Initiative plans to mark the following with the joint USAID Graphic Identity and The MENTOR Initiatives logo:



USAID
FROM THE AMERICAN PEOPLE

President's Malaria Initiative



B. Public Communications

- X Reports
- X Public Service announcements
- X Promotional Materials
- X Information Products

More information:

1. All official related programme reports or conference presentations produced by The MENTOR Initiative or any partners work sponsored through this programme.
2. A package of malaria messages, dramatic presentations, songs etc will be broadcast through public media such as radio, television and newspapers these will also be adapted and delivered at county communities through village theatre performances and video clubs
3. Team members working in all 5 counties will wear branded T-shirts and caps. Branded T shirts, LL ITNs, caps and other promotional items will be used as prizes for community and public competitions on Africa malaria day and also other events at county and national level.
4. A package of information products will be used to promote a series of key malaria awareness and control messages at county level and at national level (where suited) including a series of posters, videos, press packs for local media outlets and agencies, and health worker job aids. Information products will be used widely by those at community level that are trained in malaria education through the course of this programme. For national level dissemination media press packs will be regularly updated and distributed to national media outlets for their use.

C. Events

- X Community network training workshops for malaria prevention and Education
- X Health worker training workshops for malaria case management
- X Community / household education sessions to reinforce care giver capacity
- X Africa malaria day (25th April) activities will be organized and implemented in all five counties

More information:

1. Community Training workshops will be implemented to train 150 CHWs (1 per clinic), 10 Country Health Team managers (2 per county), 50 participants from LNGOs and INGOs , 300 CHDC, 492 educators (1 per school) and educators within FBOs and leaders of youth groups. These participants from the 5 counties will be trained in how to develop and deliver malaria prevention and treatment messages for use in their respective communities.
2. Health worker training will be conducted for:
300 health workers (2 per clinic) on best practices for malaria case management and health education for parents/caregivers.
150 midwives on best practices for malaria case management and health education for parents/caregivers.

3. CHWs will go house to house in each county to deliver malaria prevention messages to care givers, and conduct informal focus group discussions.

4. Africa malaria day (25th) will have a package of public media and community events including competitions, sponsored events and celebrations to raise awareness and reinforce key malaria control messages across 5 counties. Activities will also include announcements or coverage of country malaria day celebrations/activities on national radio/TV and national newspapers.

D. Commodities

X Equipment (non Administrative)

X Program Materials (non Administrative)

More information:

1. Logos (all weather 50x50cm external stickers) will be placed on the door of programme vehicles and the programme office.

2. A printed joint logo will placed on all technical guidelines, reports, job aids, and official IEC materials such as posters, leaflets, press packs etc which are produced and distributed through this programme. A banner including the joint logo will be displayed at every training event.

II. PRESUMPTIVE EXCEPTION REQUESTS

Organization Requests Presumptive Exceptions listed below for the reasons indicated:

D. Commodities (Non Administrative)

Supplies (Non Administrative)

Program Materials (Non Administrative)

Commodities Not To Be Marked:

Presumptive Exception Requested – Reasons:

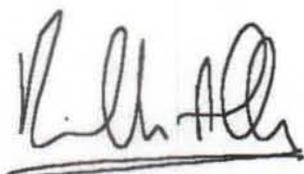
Explanation:

Table: Summary of Marking Strategy

Program Activity	Program Deliverable	Type of Marking	Material Used For Marking	Location of Marking	When Marking will take place
<i>Objective 1: Capacity building of local partners to develop and deliver malaria education campaigns</i>					
Trainings	Training materials, and technical guidelines	Joint PMI/ MENTOR logo	Ink Printed	On front cover of printed training materials. On inside cover of manufactured technical guidelines	On production of all print materials On receipt of all manufactured technical guidelines In all events prior to training workshops
Supervision of IEC planning and delivery in communities	Supervision monitoring forms	Joint PMI/ MENTOR logo	Ink Printed	On front cover of printed training materials.	On production Of all print materials
	T shirts and caps worn by supervisors	Joint PMI/ MENTOR logo	Printed on the T-shirt/cap material	T-shirt sleeves or back & on front of caps	On production of T-shirts and caps
Reporting	Training reports and supervision reports	Joint PMI/ MENTOR logo	Ink printed	On front cover of printed training materials	On production of all print materials
<i>Objective 2:</i>					
Development/ Production of IEC materials in national and local dialects	Videos Theatre and Radio plays	Verbal acknowledgements will be given to	Verbal	PMI at the end of radio and theatre broadcasts	End of performance
	Brochures Posters	Video produced will incorporate the	Integrated	Opening	Production of

	Press (media) briefing packs	logo in the opening credits All printed materials will include the	into video film Colour or black and white print	credits of video Foot of the page	video At time of production of print materials
IEC package dissemination to communities	This will be delivered using the package of materials above by various partners	As above	As above	As above	As above
Africa Malaria Day – Public media and community events including competitions, sponsored events and celebrations	Public events including malaria theatre; Malaria dance/song competitions; Media press packs including county activity news and interviews by leading community members and malaria specialists	Verbal acknowledgement of PMI's support will be given by all media broadcasts and at theatre performances etc; Banners with the joint logo will be on display at main Africa day celebration events; All distributed print material will include the logo; All programme team members will wear T-shirts/caps	Speak/ verbal Tarpaulins and colour print Print ink T-shirt and cap colour printing	Either at the start or end of the verbal messages/ performances Across the banner On front page Sleeve or back of T-shirts Front of caps	Either at the start or end of the verbal messages/ performances Upon production of banners On production of print materials On production of T-shirts and caps

Marking Plan Submitted By: The MENTOR Initiative - Richard Allan



Signature
Date 03/09/2008

Signature
Office

Marking Plan Approved By (USAID):

Printed Name
Date

Signature
Office

ATTACHMENT D
STANDARD PROVISIONS

**Mandatory Standard Provisions For
Non-U.S., Nongovernmental Recipients**

I. **MANDATORY STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL RECIPIENTS**

1. ***ALLOWABLE COSTS (OCTOBER 1998)***

- a. The recipient shall be reimbursed for costs incurred in carrying out the purposes of this award which are determined by the Agreement Officer to be reasonable, allocable, and allowable in accordance with the terms of this award and the applicable* cost principles in effect on the date of this award. The recipient may obtain a copy from the Agreement Officer. Brief definitions of what may be considered as reasonable, allocable, and allowable costs are provided below, however, it is the recipient's responsibility to ensure that costs incurred are in accordance with the applicable set of Cost Principles.
- (1) Reasonable. Shall mean those costs which are generally recognized as ordinary and necessary and would be incurred by a prudent person in the conduct of normal business.
- (2) Allocable Costs. Shall mean those costs which are incurred specifically for the award.
- (3) Allowable Costs. Shall mean those costs which conform to any limitations in the award.
- b. Prior to incurring a questionable or unique cost, the recipient shall obtain the Agreement Officer's written determination on whether the cost will be allowable.
- c. It is USAID policy that no funds shall be paid as profit or fee to a recipient under this agreement or any subrecipient. This restriction does not apply to contractual relationships under this agreement.

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*NOTE: For educational institutions use OMB Circular A-21; for all other non-profit organizations use OMB Circular A-122; and for profit making firms use Federal Acquisition Regulation 31.2 and USAID Acquisition Regulation 731.2.
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[END OF PROVISION]

2. ***ACCOUNTING, AUDIT, AND RECORDS (OCTOBER 1998)***

- a. The recipient shall maintain financial records, supporting documents, statistical records and all other records pertinent to the award in accordance with generally accepted accounting principles formally prescribed by the U.S., the cooperating country, or the International Accounting Standards Committee (an affiliate of the International Federation of Accountants) to sufficiently substantiate charges to this award. Accounting records that are supported by documentation will as a minimum be adequate to show all costs incurred under the award, receipt, and use of goods and services acquired under the award, the costs of the

program supplied from other sources, and the overall progress of the program. Unless otherwise notified, the recipient records and subrecipient records which pertain to this award shall be retained for a period of three years from the date of submission of the final expenditure report and may be audited by USAID and/or its representatives.

- b. Foreign for-profit and non-profit organizations that expend \$300,000 or more per their fiscal year in "USAID awards", i.e. as recipients or subrecipients of USAID grants or cooperative agreements, or as cost reimbursable subcontractors of USAID grants or cooperative agreements, shall have an annual audit conducted in accordance with the "Guidelines for Financial Audits Contracted by Foreign Recipients" issued by the USAID Inspector General.
- c. Foreign for-profit and non-profit organizations expending less than \$300,000 per their fiscal year under USAID cost-reimbursable contracts, grants, cooperative agreements, or agreements with host governments shall be exempt from the above financial audit requirements, but are subject to the requirement to make records available upon request for review by USAID officials or their designees.
- d. USAID shall retain the right to conduct a financial review, require an audit, or otherwise ensure adequate accountability of organizations expending USAID funds regardless of the audit requirement.
- e. Foreign organizations that provide USAID resources to other organizations to carry out the USAID program and activities shall be responsible for monitoring their subcontractors or subgrantees. Allowable costs for limited scope subrecipient audits charged to USAID funds shall be limited to one or more of the following types of compliance requirements: activities allowed or unallowed; allowable costs/cost principles; eligibility; matching, level of effort; earmarking; and reporting.
- f. The audit report shall be submitted to USAID within 30 days after completion of the audit; the audit shall be completed, and the report submitted, not later than 9 months after the close of the recipient's fiscal year. The USAID Inspector General will review this report to determine whether it complies with the audit requirements of this award. No audit costs may be charged to this award if audits have not been made in accordance with the terms of this provision. In cases of continued inability or unwillingness to have an audit performed in accordance with the terms of this provision, USAID will consider appropriate sanctions which may include suspension of all or a percentage of disbursements until the audit is satisfactorily completed.
- g. This provision in its entirety shall be incorporated into all subawards with non-U.S. organizations which meet the \$300,000 threshold as described at paragraph (b) of this Provision. Subawards to non-U.S. organizations which are for more than \$10,000 but do not meet the \$300,000 threshold shall at a minimum incorporate paragraph (d) of this Provision. Subawards of grants and cooperative agreements made to U.S. organizations shall state that the U.S. organization is subject to the audit requirements contained in OMB Circular A-133.

[END OF PROVISION]

3. PAYMENT ADVANCES AND REFUNDS (OCTOBER 1998)

- a. Recipients shall maintain advances of USAID funds in interest bearing accounts, unless:
- (1) the recipient receives less than \$120,000 in U.S. Government awards per year;
 - (2) the best reasonably available interest bearing account would not be expected to earn interest in excess of \$250 per year on U.S. Government cash balances; or
 - (3) the depository would require an average or minimum balance so high that it would not be practical to maintain the advance in an interest bearing account.
- b. Interest earned on advances will be remitted to USAID. However, the recipient may retain up to \$250 of interest earnings per account per year, for administrative expenses.
- c. At the time the award expires or is terminated, the following types of funds shall immediately revert to USAID:
- (1) USAID has obligated funds to the award, but has not disbursed them to the recipient; or
 - (2) USAID has advanced funds to the recipient, but the recipient has not expended them.
- Notwithstanding (c) (1) and (2) above, funds which the recipient has obligated in legally binding transactions applicable to this award will not revert to USAID.
- d. USAID reserves the right to require refund by the recipient of any amount which the recipient did not spend in accordance with the terms and conditions of this award. In the event that a final audit has not been performed prior to the closeout of this award, USAID retains the right to a refund until all claims which may result from the final audit have been resolved between USAID and the recipient.

[END OF PROVISION]

4. REVISION OF AWARD BUDGET (OCTOBER 1998)

- a. The approved award budget is the financial expression of the recipient's program as approved during the award process.
- b. The recipient is required to report deviations from budget and program plans, and request prior approvals from the Agreement Officer for any of the following reasons:
- (1) To change the scope or the objectives of the project and/or revise the funding allocated among project objectives.
 - (2) To change a key person where specified in the award, or allow a 25% reduction in time devoted to the project.

- (3) Additional funding is needed.
 - (4) Where indirect costs have been authorized, the recipient plans to transfer funds budgeted for indirect costs to absorb increases in direct costs or vice versa.
 - (5) The inclusion of costs that require prior approval in accordance with the applicable set of Cost Principles.
 - (6) The transfer of funds allotted for training allowances (direct payment to trainees) to other categories of expense.
 - (7) The recipient intends to contract or subaward any of the work under this award, and such contracts or subawards were not included in the approved award budget.
- c. If specified in the Schedule of the award, the recipient may be further restricted from transferring funds among cost categories. Such a restriction would require the recipient to get the prior approval of the Agreement Officer before making budget shifts which expect to exceed 10% of the total budget.
 - d. USAID is under no obligation to reimburse the recipient for costs incurred in excess of the total amount obligated under the award. If the total obligated amount under the award has been increased, the Agreement Officer will notify the recipient in writing of the increase and specify the new total obligated award amount.

[END OF PROVISION]

5. *TERMINATION AND SUSPENSION (OCTOBER 1998)*

- a. The Agreement Officer may terminate this award at any time, in whole or in part, upon written notice to the recipient, whenever it is determined that the recipient has materially failed to comply with the terms and conditions of the award.
- b. This award may be terminated at any time, in whole or in part, by the Agreement Officer with the consent of the recipient. Both parties shall agree upon termination conditions, including the effective date and, in the case of partial terminations, the portion of the award to be terminated. The agreement to terminate shall be set forth in a letter from the Agreement Officer to the recipient.
- c. This award may be terminated at any time in whole or in part by the recipient upon sending written notification to the Agreement Officer with the following information: the reasons for the termination, the effective date, and, in the case of a partial termination, the portion to be terminated. However, if USAID determines in the case of partial termination that the reduced or modified portion of the award will not accomplish the purposes for which the award was made, USAID may terminate the award in its entirety in accordance with paragraphs (a) or (b) above.
- d. If at any time USAID determines that continuation of all or part of the funding for a program should be suspended or terminated because such assistance would not be in the

national interest of the United States or would be in violation of an applicable law, then USAID may, following notice to the recipient, suspend or terminate this award in whole or part and prohibit the recipient from incurring additional obligations chargeable to this award other than those costs specified in the notice of suspension during the period of suspension. If the situation causing the suspension continues for 60 days or more, then USAID may terminate this award on written notice to the recipient and cancel that portion of this award which has not been disbursed or irrevocably committed to third parties.

- e. Termination and Suspension Procedures. Upon receipt of and in accordance with a termination notice as specified above, the recipient shall take immediate action to minimize all expenditures and obligations financed by this award and shall cancel such unliquidated obligations whenever possible. Except as provided below, the recipient shall not incur costs after the effective date of termination.

The recipient shall within 30 calendar days after the effective date of such termination repay to the U.S. Government all unexpended USAID funds which are not otherwise obligated by a legally binding transaction applicable to this award. Should the funds paid by USAID to the recipient prior to the effective date of the termination of this award be insufficient to cover the recipient's obligations in the legally binding transaction, the recipient may submit to the Government within 90 calendar days after the effective date of such termination a written claim covering such obligations. The Agreement Officer shall determine the amount(s) to be paid by USAID to the recipient under such claim in accordance with the applicable Cost Principles.

This provision must be included in all subagreements.

[END OF PROVISION]

6. *DISPUTES (OCTOBER 1998)*

- a. Any dispute under this award shall be decided by the USAID Agreement Officer. The Agreement Officer shall furnish the recipient a written copy of the decision.
- b. Decisions of the USAID Agreement Officer shall be final unless, within 30 days of receipt of the decision of the Agreement Officer, the recipient appeals the decision to USAID's Assistance Executive. Any appeal made under this provision shall be in writing and addressed to the Assistance Executive, U.S. Agency for International Development, Office of Procurement, 1300 Pennsylvania Ave, N.W., Washington, D.C. 20523. A copy of the appeal shall be concurrently furnished to the Agreement Officer.
- c. In order to facilitate review on the record by the Assistance Executive, the recipient shall be given an opportunity to submit written evidence in support of its appeal. No hearing will be provided.
- d. A decision under this provision by the Assistance Executive shall be final.

[END OF PROVISION]

7. *INELIGIBLE COUNTRIES (MAY 1986)*

Unless otherwise approved by the USAID Agreement Officer, funds will only be expended for assistance to countries eligible for assistance under the Foreign Assistance Act of 1961, as amended, or under acts appropriating funds for foreign assistance.

[END OF PROVISION]

8. *DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JANUARY 2004)*

a. The recipient agrees to notify the Agreement Officer immediately upon learning that it or any of its principals:

(1) Are presently excluded or disqualified from covered transactions by any Federal department or agency;

(2) Have been convicted within the preceding three-years 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, tax evasion, receiving stolen property, making false claims, or obstruction of justice; commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility;

(3) Are 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); and

(4) Have had one or more public transactions (Federal, State, or local) terminated for cause or default within the preceding three years.

b. The recipient agrees that, unless authorized by the Agreement Officer, it will not knowingly enter into any subagreements or contracts under this grant with a person or entity that is included on the Excluded Parties List System (<http://epls.arnet.gov>). The recipient further agrees to include the following provision in any subagreements or contracts entered into under this award:

DEBARMENT, SUSPENSION, INELIGIBILITY, AND VOLUNTARY EXCLUSION (DECEMBER 2003)

The recipient/contractor certifies that neither it nor its principals is presently excluded or disqualified from participation in this transaction by any Federal department or agency.

c. The policies and procedures applicable to debarment, suspension, and ineligibility under USAID-financed transactions are set forth in 22 CFR Part 208.

[END OF PROVISION]

9. DRUG-FREE WORKPLACE (JANUARY 2004)

- a. The recipient agrees that it will publish a drug-free workplace statement and provide a copy to each employee who will be engaged in the performance of any Federal award. The statement must
 - (1) Tell the employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in its workplace;
 - (2) Specify the actions the recipient will take against employees for violating that prohibition; and
 - (3) Let each employee know that, as a condition of employment under any award, he or she
 - (i) Must abide by the terms of the statement, and
 - (ii) Must notify you in writing if he or she is convicted for a violation of a criminal drug statute occurring in the workplace, and must do so no more than five calendar days after the conviction.
- b. The recipient agrees that it will establish an ongoing drug-free awareness program to inform employees about
 - (i) The dangers of drug abuse in the workplace;
 - (ii) Your policy of maintaining a drug-free workplace;
 - (iii) Any available drug counseling, rehabilitation and employee assistance programs; and
 - (iv) The penalties that you may impose upon them for drug abuse violations occurring in the workplace.
- c. Without the Agreement Officer's expressed written approval, the policy statement and program must be in place as soon as possible, no later than the 30 days after the effective date of this award, or the completion date of this award, whichever occurs first.
- d. The recipient agrees to immediately notify the Agreement Officer if an employee is convicted of a drug violation in the workplace. The notification must be in writing, identify the employee's position title, the number of each award on which the employee worked. The notification must be sent to the Agreement Officer within ten calendar days after the recipient learns of the conviction.

- e. Within 30 calendar days of learning about an employee's conviction, the recipient must either
 - (1) Take appropriate personnel action against the employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973 (29 USC 794), as amended, or
 - (2) Require the employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for these purposes by a Federal, State or local health, law enforcement, or other appropriate agency.
- f. The policies and procedures applicable to violations of these requirements are set forth in 22 CFR Part 210.

[END OF PROVISION]

10. NONLIABILITY (NOVEMBER 1985)

USAID does not assume liability for any third party claims for damages arising out of this award.

[END OF PROVISION]

11. AMENDMENT (OCTOBER 1998)

The award may be amended by formal modifications to the basic award document or by means of an exchange of letters or forms between the Agreement Officer and an appropriate official of the recipient.

[END OF PROVISION]

12. NOTICES (OCTOBER 1998)

Any notice given by USAID or the recipient shall be sufficient only if in writing and delivered in person or mailed as follows:

To the USAID Agreement Officer and Cognizant Technical Officer, at the addresses specified in the award. To recipient, at recipient's address shown in the award or to such other address designated within the award.

Notices shall be effective when delivered in accordance with this provision, or on effective date of the notice, whichever is later.

[END OF PROVISION]

13. METRIC SYSTEM OF MEASUREMENT (AUGUST 1992)

Wherever measurements are required or authorized, they shall be made, computed, and recorded in metric system units of measurement, unless otherwise authorized by the Agreement Officer in writing when it has found that such usage is impractical or is likely to cause U.S. firms to experience significant inefficiencies or the loss of markets. Where the metric system is not the predominant standard for a particular application, measurements may be expressed in both the metric and the traditional equivalent units, provided the metric units are listed first.

[END OF PROVISION]

14. *EQUAL PROTECTION OF THE LAWS FOR FAITH-BASED AND COMMUNITY ORGANIZATIONS (FEBRUARY 2004)

- a. The recipient may not discriminate against any beneficiary or potential beneficiary under this award on the basis of religion or religious belief. Accordingly, in providing services supported in whole or in part by this agreement or in its outreach activities related to such services, the recipient may not discriminate against current or prospective program beneficiaries on the basis of religion, a religious belief, a refusal to hold a religious belief, or a refusal to actively participate in a religious practice;
- b. The Federal Government must implement Federal programs in accordance with the Establishment Clause and the Free Exercise Clause of the First Amendment to the Constitution. Therefore, if the recipient engages in inherently religious activities, such as worship, religious instruction, and proselytization, it must offer those services at a different time or location from any programs or services directly funded by this award, and participation by beneficiaries in any such inherently religious activities must be voluntary.
- c. If the recipient makes subawards under this agreement, faith-based organizations should be eligible to participate on the same basis as other organizations, and should not be discriminated against on the basis of their religious character or affiliation.

[END OF PROVISION]

15. *IMPLEMENTATION OF E.O. 13224 -- EXECUTIVE ORDER ON TERRORIST FINANCING (MARCH 2002)*

The 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 recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all contracts/subawards issued under this agreement

[END OF PROVISION]

16. *MARKING UNDER USAID-FUNDED ASSISTANCE INSTRUMENTS (DECEMBER 2005)

(a) Definitions

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

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

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

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

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

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

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

USAID Identity (Identity) means the official marking for the United States Agency for International Development (USAID), comprised of the USAID logo or seal and new brandmark, with the tagline that clearly communicates that our assistance is “from the American people.” The USAID Identity is available on the USAID website at www.usaid.gov/branding and USAID provides it without royalty, license, or other fee to recipients of USAID-funded grants, or cooperative agreements, or other assistance awards

(b) Marking of Program Deliverables

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

(2) The Recipient will mark all program, project, or activity sites funded by USAID, including visible infrastructure projects (for example, roads, bridges, buildings) or other programs, projects, or activities that are physical in nature (for example, agriculture, forestry, water management) with the USAID Identity. The Recipient should erect temporary signs or plaques early in the construction or implementation phase. When construction or implementation is complete, the Recipient must install a permanent, durable sign, plaque or other marking.

(3) The Recipient will mark technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities and other promotional, informational, media, or communications products funded by USAID with the USAID Identity.

(4) The Recipient will appropriately mark events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities, with the USAID Identity. Unless directly prohibited and as appropriate to the surroundings, recipients should display additional materials, such as signs and banners, with the USAID Identity. In circumstances in which the USAID Identity cannot be displayed visually, the recipient is encouraged otherwise to acknowledge USAID and the American people's support.

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

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

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

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

(9) Subrecipients. To ensure that the marking requirements "flow down" to subrecipients of subawards, recipients of USAID funded grants and cooperative agreements or other

assistance awards will include the USAID-approved marking provision in any USAID funded subaward, as follows:

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

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

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

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

(c) Implementation of marking requirements.

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

(2) When the grant or cooperative agreement does not contain an approved Marking Plan, the recipient will propose and submit a plan for implementing the requirements of this provision within 30 days after the effective date of this provision. The plan will include:

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

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

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

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

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

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

(d) Waivers.

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

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

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

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

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

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

[END OF PROVISION]

***17. VOLUNTARY POPULATION PLANNING ACTIVITIES – MANDATORY REQUIREMENTS (MAY 2006)**

Requirements for Voluntary Sterilization Programs

- (1) None of the funds made available under this award shall be used to pay for the performance of involuntary sterilization as a method of family planning or to coerce or provide any financial incentive to any individual to practice sterilization.

Prohibition on Abortion-Related Activities:

- (1) No funds made available under this award will be used to finance, support, or be attributed to the following activities: (i) procurement or distribution of equipment intended to be used for the purpose of inducing abortions as a method of family planning; (ii) special fees or incentives to any person to coerce or motivate them to have abortions; (iii) payments to persons to perform abortions or to solicit persons to undergo abortions; (iv) information, education, training, or communication programs that seek to promote abortion as a method of family planning; and (v) lobbying for or against abortion. The term “motivate”, as it relates to family planning assistance, shall not be construed to prohibit the provision, consistent with local law, of information or counseling about all pregnancy options.

- (2) No funds made available under this award will be used to pay for any biomedical research which relates, in whole or in part, to methods of, or the performance of, abortions or involuntary sterilizations as a means of family planning. Epidemiologic or descriptive research to assess the incidence, extent or consequences of abortions is not precluded.

[END OF PROVISION]

[END OF MANDATORY PROVISIONS]

**Required As Applicable Standard Provisions For
Non-U.S., Nongovernmental Recipients**

II. REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S., NONGOVERNMENTAL RECIPIENTS

1. PAYMENT – REIMBURSEMENT (MAY 1986)

- a. The recipient shall submit to the USAID Controller noted in the Schedule of the award an original and 2 copies of SF 1034, "Public Voucher for Purchases and Services Other Than Personal" and SF 1034A, Continuation of SF 1034, on a monthly basis and in no event no later than on a quarterly basis. Each voucher shall be identified by the award number and shall state the total costs for which reimbursement is being requested.
- b. Copies of SF 1034 and 1034A may be obtained from the Controller.

[END OF PROVISION]

2. INTERNATIONAL AIR TRAVEL AND TRANSPORTATION (JUNE 1999)

a. PRIOR BUDGET APPROVAL

In accordance with OMB Cost Principles, direct charges for foreign travel costs are allowable only when each foreign trip has received prior budget approval. Such approval will be deemed to have been met when:

- (1) the trip is identified. Identification is accomplished by providing the following information: the number of trips, the number of individuals per trip, and the destination country(s).
- (2) the information noted at (a)(1) above is incorporated in: the proposal, the program description or schedule of the award, the annual implementation plan (initial or revisions), or amendments to the award; and
- (3) the costs related to the travel are incorporated in the approved budget of the award.

The Agreement Officer may approve travel which has not been incorporated in writing as required by paragraph (a)(2). In such case, a copy of the Agreement Officer's approval must be included in the agreement file.

b. NOTIFICATION

- (1) As long as prior budget approval has been met in accordance with paragraph (a) above, a separate Notification will not be necessary unless:
 - (i) the primary purpose of the trip is to work with USAID Mission personnel, or

- (ii) the recipient expects significant administrative or substantive programmatic support from the Mission.

Neither the USAID Mission nor the Embassy will require Country Clearance of employees or contractors of USAID Recipients.

- (2) Where notification is required in accordance with paragraph (1)(i) or (ii) above, the recipient will observe the following standards:

- (i) Send a written notice to the USAID Cognizant Technical Officer in the Mission. If the recipient's primary point of contact is a Technical Officer in USAID/W, the recipient may send the notice to that person. It will be the responsibility of the USAID/W Cognizant Technical Officer to forward the notice to the field.
- (ii) The notice should be sent as far in advance as possible, but at least 14 calendar days in advance of the proposed travel. This notice may be sent by fax or e-mail. The recipient should retain proof that notification was made.
- (iii) The notification shall contain the following information: the award number, the cognizant Technical Officer, the traveler's name (if known), date of arrival, and the purpose of the trip.
- (iv) The USAID Mission will respond only if travel has been denied. It will be the responsibility of the Cognizant Technical Officer in the Mission to contact the recipient within 5 working days of having received the notice if the travel is denied. If the recipient has not received a response within the time frame, the recipient will be considered to have met these standards for notification, and may travel.
- (v) If a subrecipient is required to issue a Notification, as per this section, the subrecipient may contact the USAID Cognizant Technical Officer directly, or the prime may contact USAID on the subrecipient's behalf.

c. SECURITY ISSUES

Recipients are encouraged to obtain the latest Department of State Travel Advisory Notices before traveling. These Notices are available to the general public and may be obtained directly from the State Department, or via Internet.

Where security is a concern in a specific region, recipients may choose to notify the US Embassy of their presence when they have entered the country. This may be especially important for long-term posting.

d. USE OF U.S.-OWNED LOCAL CURRENCY

Travel to certain countries shall, at USAID's option, be funded from U.S.-owned local currency. When USAID intends to exercise this option, USAID will either issue a U.S. Government S.F. 1169,

Transportation Request (GTR) which the grantee may exchange for tickets, or issue the tickets directly. Use of such U.S.-owned currencies will constitute a dollar charge to this grant.

e. THE FLY AMERICA ACT

The Fly America Act (49 U.S.C. 40118) requires that all air travel and shipments under this award must be made on U.S. flag air carriers to the extent service by such carriers is available. The Administrator of General Services Administration (GSA) is authorized to issue regulations for purposes of implementation. Those regulations may be found at 41 CFR part 301, and are hereby incorporated by reference into this award.

f. COST PRINCIPLES

The recipient will be reimbursed for travel and the reasonable cost of subsistence, post differentials, and other allowances paid to employees in international travel status in accordance with the recipient's applicable cost principles and established policies and practices which are uniformly applied to federally financed and other activities of the recipient.

If the recipient does not have written established policies regarding travel costs, the standard for determining the reasonableness of reimbursement for overseas allowance will be the Standardized Regulations (Government Civilians, Foreign Areas), published by the U.S. Department of State, as from time to time amended. The most current subsistence, post differentials, and other allowances may be obtained from the Agreement Officer.

g. SUBAWARDS

This provision will be included in all subawards and contracts which require international air travel and transportation under this award.

[END OF PROVISION]

3. OCEAN SHIPMENT OF GOODS (JUNE 1999)

- a. At least 50% of the gross tonnage of all goods purchased under this award and transported to the cooperating countries shall be made on privately owned U.S. flag commercial ocean vessels, to the extent such vessels are available at fair and reasonable rates.
- b. At least 50% of the gross freight revenue generated by shipments of goods purchased under this award and transported to the cooperating countries on dry cargo liners shall be paid to or for the benefit of privately owned U.S. flag commercial ocean vessels to the extent such vessels are available at fair and reasonable rates for such vessels.
- c. When U.S. flag vessels are not available, or their use would result in a significant delay, the recipient may request a determination of non-availability from the USAID, Transportation and Commodities Division, Office of Procurement, 1300 Pennsylvania Avenue, N.W., Washington, D.C. 20523, giving the basis for the request which will relieve the recipient of the requirement to use U.S. flag vessels for the amount of tonnage included in the

determination. Shipments made on non-free world ocean vessels are not reimbursable under this award.

- d. The recipient shall send a copy of each ocean bill of lading, stating all of the carrier's charges including the basis for calculation such as weight or cubic measurement, covering a shipment under this agreement to:

U.S. Department of Transportation,
Maritime Administration, Division of National Cargo,
400 7th Street, S.W.,
Washington DC 20590,

and

U.S. Agency for International Development,
Office of Procurement, Transportation Division
1300 Pennsylvania Avenue, N.W.
Washington, DC 20523-7900

- e. Shipments by voluntary nonprofit relief agencies (i.e., PVOs) shall be governed by this standard provision and by USAID Regulation 2, "Overseas Shipments of Supplies by Voluntary Nonprofit Relief Agencies" (22 CFR 202).
- f. Shipments financed under this award must meet applicable eligibility requirements set out in 22 CFR 228.21.
- g. This provision will be included in all subagreements which will finance goods to be shipped on ocean vessels.

[END OF PROVISION]

4. *PROCUREMENT OF GOODS AND SERVICES (OCTOBER 1998)*

The recipient may use its own procurement policies and practices for the procurement of goods and services under this award, provided they conform to all of USAID's requirements listed below and the standard provision entitled "USAID Eligibility Rules For Goods and Services".

- a. General Requirements:

(1) The recipient shall maintain a written code or standards of conduct that shall govern the performance of its employees engaged in the awarding and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by Federal funds if a real or apparent conflict of interest would be involved. Such conflict would arise when the employee, officer or agent, or any member of the employee's immediate family, the employee's partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors

or parties to subagreements. However, recipients may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the recipient.

(2) All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. The recipient shall be alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft specifications, requirements, statements of work, invitations for bids, and/or requests for proposals shall be excluded from competing for such procurements. Contracts shall be made to the offeror whose offer is responsive to the solicitation and is most advantageous to the recipient, price, quality, and other factors considered. Solicitations shall clearly establish all requirements that the bidder or offeror shall fulfill in order to be evaluated by the recipient. Any and all offers may be rejected when it is in the recipient's interest to do so.

(3) All recipients shall establish written procurement procedures. These procedures shall provide, at a minimum, that:

- (i) Recipients avoid purchasing unnecessary items,
- (ii) Where appropriate, an analysis is made of lease and purchase alternatives to determine which would be the most economical and practical procurement, and
- (iii) Solicitations for goods and services provide for all of the following:
 - (A) A clear and accurate description of the technical requirements for the material, product or service to be procured. In competitive procurements, such a description shall not contain features which unduly restrict competition.
 - (B) Requirements which the bidder/offeror must fulfill and all other factors to be used in evaluating bids or proposals.
 - (C) A description, whenever practicable, of technical requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards.
 - (D) The specific features of "brand name or equal" descriptions that bidders are required to meet when such items are included in the solicitation.
 - (E) The acceptance, to the extent practicable and economically feasible, of products and services dimensioned in the metric system of measurement.
 - (F) Preference, to the extent practicable and economically feasible, for products and services that conserve natural resources and protect the environment and are energy efficient.

(iv) Positive efforts shall be made by the recipients to utilize U.S. small business, minority owned firms, and women's business enterprises, whenever possible. Recipients of USAID awards shall take all of the following steps to further this goal:

(A) Make information on forthcoming opportunities available and arrange time frames for purchases and contracts to encourage and facilitate participation by small businesses, minority-owned firms, and women's business enterprises. To permit USAID, in accordance with the small business provisions of the Foreign Assistance Act of 1961, as amended, to give United States small business firms an opportunity to participate in supplying commodities and services procured under the award, the recipient shall to the maximum extent possible provide the following information to the Office of Small and Disadvantaged Business Utilization (OSDBU/MRC), USAID, Washington, D.C. 20523, at least 45 days prior to placing any order or contract in excess of \$100,000:

- (a) Brief general description and quantity of goods or services;
- (b) Closing date for receiving quotations, proposals, or bids; and
- (c) Address where solicitations or specifications can be obtained.

(B) Consider in the contract process whether firms competing for larger contracts intend to subcontract with small businesses, minority-owned firms, and women's business enterprises.

(C) Encourage contracting with consortiums of small businesses, minority-owned firms, and women's business enterprises when a contract is too large for one of these firms to handle individually.

(D) Use the services and assistance, as appropriate, of such organizations as the Small Business Administration and the Department of Commerce's Minority Business Development Agency in the solicitation and utilization of small businesses, minority-owned firms, and women's business enterprises.

(v) The type of procurement instruments used, (e.g. fixed price contracts, cost reimbursable contracts, purchase orders, incentive contracts), shall be determined by the recipient but shall be appropriate for the particular procurement and for promoting the best interest of the program or project involved. The "cost-plus-a-percentage-of-cost" or "percentage of construction cost" methods of contracting shall not be used.

(vi) Contracts shall be made only with responsible contractors who possess the potential ability to perform successfully under the terms and conditions of the proposed procurement. Consideration shall be given to such matters as contractor integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources. Contracts shall not be made with firms or individuals whose name appears on the "Lists of Parties Excluded from Federal

Procurement and Nonprocurement Programs." USAID will provide the grantee with copy of this list upon request.

(vii) Recipients shall, on request, make available for USAID, pre-award review and procurement documents, such as request for proposals or invitations for bids, independent cost estimates, etc., when any of the following conditions apply:

(A) A recipient's procurement procedures or operation fails to comply with the procurement standards in this part, and

(B) The procurement is expected to exceed \$10,000.

(viii) The recipient shall document some form of price or cost analysis in its procurement files in connection with every procurement action. Price analysis may be accomplished in various ways, including the comparison of price quotations submitted, and market prices, together with discounts. Cost analysis is the review and evaluation of each element of cost to determine reasonableness, allocability, and allowability.

(ix) Procurement records and files for purchases in excess of the recipient's own small purchase threshold shall include the following at a minimum:

(A) Basis for contractor selection;

(B) Justification for lack of competition when competitive bids or offers are not obtained, and;

(C) Basis for award cost or price.

(x) A system for contract administration shall be maintained to ensure contractor conformance with terms, conditions, and specifications of the contract and to ensure adequate and timely follow up of all purchases. Recipients shall evaluate contractor performance and document, as appropriate, whether contractors have met the terms, conditions, and specifications of the contract.

b. The recipient shall include, in addition to provisions to define a sound and complete contract, the following provisions in all contracts. The following provisions shall also be applied to subcontracts.

(1) Contracts in excess of \$10,000 shall contain contractual provisions or conditions that allow for administrative, contractual, or legal remedies in instances in which a contractor violates or breaches the contract terms, and provide for such remedial actions as may be appropriate.

(2) All contracts in excess of \$10,000 shall contain suitable provisions for termination by the recipient, including the manner by which termination will be effected and the basis for settlement. In addition, such contracts shall describe conditions under which the contract

may be terminated for default as well as conditions where the contract may be terminated because of circumstances beyond the control of the contractor.

(3) All negotiated contracts (except those for less than the recipient's small purchase threshold) awarded by the recipient shall include a provision to the effect that the recipient, USAID, the Comptroller General of the United States, or any of their duly authorized representatives, shall have access to any books, documents, papers, and records of the contractor which are directly pertinent to the specific program for the purpose of making audits, examinations, excerpts and transcriptions.

(4) In all contracts for construction or facility improvement awarded for more than \$100,000, the recipient shall observe generally accepted bonding requirements.

(5) Contracts, the principal purpose of which is to create, develop, or improve products, processes, or methods; or for exploration into fields that directly concern public health, safety, or welfare; or contracts in the fields of science or technology in which there has been little significant experience outside of work funded by the U.S. Government, shall contain a notice to the effect that matters regarding rights to inventions, intellectual property, and materials generated under the contract are subject to the regulations included in these grant provisions. The contractor shall be advised as to the source of additional information regarding these matters.

[END OF PROVISION]

5. USAID ELIGIBILITY RULES FOR GOODS AND SERVICES (SEPTEMBER 1998)

a. Ineligible and Restricted Goods and Services: USAID's policies on ineligible and restricted goods and services are contained in ADS Chapter 312. (See ADS 312)

(1) Ineligible Goods and Services. Under no circumstances shall the recipient procure any of the following under this award:

- (i) Military equipment,
- (ii) Surveillance equipment,
- (iii) Commodities and services for support of police or other law enforcement activities,
- (iv) Abortion equipment and services,
- (v) Luxury goods and gambling equipment, or
- (vi) Weather modification equipment.

(2) Ineligible Suppliers. Funds provided under this award shall not be used to procure any goods or services furnished by any firm or individual whose name appears on the "Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs." USAID will provide the recipient with this list upon request.

(3) Restricted Goods. The recipient shall not procure any of the following goods and services without the prior approval of the Agreement Officer:

- (i) Agricultural commodities,
- (ii) Motor vehicles,
- (iii) Pharmaceuticals,
- (iv) Pesticides,
- (v) Used equipment,
- (vi) U.S. Government-owned excess property, or
- (vii) Fertilizer.

Prior approval will be deemed to have been met when:

- (i) The item is of U.S. source/origin;
 - (ii) The item has been identified and incorporated in the program description or schedule of the award (initial or revisions), or amendments to the award; and
 - (iii) The costs related to the item are incorporated in the approved budget of the award.
Where the item has not been incorporated into the award as described above, a separate written authorization from the Agreement Officer must be provided before the item is procured.
- b. Source, Origin, and Nationality: The eligibility rules for goods and services based on source, origin, and nationality are divided into two categories. One applies when the total procurement element during the life of the award is over \$250,000 and the other applies when the total procurement element during the life of the award is not over \$250,000, or the award is funded under the Development Fund for Africa (DFA) regardless of the amount. The total procurement element includes procurement of all goods (e.g. equipment, materials, supplies) and services. Guidance on the eligibility of specific goods or services may be obtained from the Agreement Officer. USAID policies and definitions on source, origin and nationality are contained in 22 CFR 228, Rules on Source, Origin and Nationality for Commodities and Services Financed by the Agency for International Development, which is incorporated into this Award in its entirety. A copy will be provided upon request.
- (1) For DFA funded awards or when the total procurement element during the life of the award is valued at \$250,000 or less, the following rules apply:
 - (i) The authorized source for procurement of all goods and services to be reimbursed under the award is USAID Geographic Code 935, "Special Free World," and such goods and services must meet the source, origin and nationality requirements set forth in 22 CFR 228 in accordance with the following order of preference:
 - (A) The United States (USAID Geographic Code 000),
 - (B) The Cooperating Country,
 - (C) USAID Geographic Code 941, and
 - (D) USAID Geographic Code 935.

(ii) Application of Order of Preference: When the recipient procures goods and services from other than U.S. sources, under the order of preference in paragraph (b)(1)(i) above, the recipient shall document its files to justify each such instance. The documentation shall set forth the circumstances surrounding the procurement and shall be based on one or more of the following reasons, which will be set forth in the recipient's documentation:

(A) The procurement was of an emergency nature, which would not allow for the delay attendant to soliciting U.S. sources,

(B) The price differential for procurement from U.S. sources exceeded by 50% or more the delivered price from the non-U.S. source,

(C) Compelling local political considerations precluded consideration of U.S. sources,

(D) The goods or services were not available from U.S. sources, or

(E) Procurement of locally available goods and services, as opposed to procurement of U.S. goods and services, would best promote the objectives of the Foreign Assistance program under the award.

(2) When the total procurement element exceeds \$250,000, (unless funded by DFA), the following applies: Except as may be specifically approved or directed in advance by the Agreement Officer, all goods and services financed with U.S. dollars, which will be reimbursed under this award must meet the source, (including origin) and nationality requirements set forth in 22 CFR 228 for the authorized geographic code specified in the schedule of this award. If none is specified, the authorized source is Code 000, the United States.

c. Printed or Audio-Visual Teaching Materials: If the effective use of printed or audio-visual teaching materials depends upon their being in the local language and if such materials are intended for technical assistance projects or activities financed by USAID in whole or in part and if other funds including U.S.-owned or U.S.-controlled local currencies are not readily available to finance the procurement of such materials, local language versions may be procured from the following sources in order of preference:

(1) The United States (USAID Geographic Code 000),

(2) The Cooperating Country,

(3) "Selected Free World" countries (USAID Geographic Code 941),

(4) "Special Free World" countries (USAID Geographic Code 899).

d. If USAID determines that the recipient has procured any of these specific restricted goods under this award without the prior written authorization of the Agreement Officer, and has

received payment for such purposes, the Agreement Officer may require the recipient to refund the entire amount of the purchase.

- e. This provision will be included in all subagreements which include procurement of goods or services which total over \$5,000.

[END OF PROVISION]

6. SUBAGREEMENTS (OCTOBER 1998)

- a. Subawards shall be made only with responsible recipients who possess the potential ability to perform successfully under the terms and conditions of a proposed agreement. Consideration shall be given to such matters as integrity, record of past performance, financial and technical resources, or accessibility to other necessary resources. Awards shall not be made to firms or individuals whose name appears on the "Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs." USAID will provide the grantee with a copy of this list upon request.
- b. All subagreements shall at a minimum contain provisions to define a sound and complete agreement in addition to those that are specifically required by any other provisions in this award. Whenever a provision within this award is required to be inserted in a subagreement, the recipient shall insert a statement in the subagreement that in all instances where USAID is mentioned, the recipient's name will be substituted. If subagreements are being made to U.S. organizations, a suggested subaward format incorporating 22 CFR 226 and Standard Provisions will be provided.

[END OF PROVISION]

7. LOCAL PROCUREMENT (OCTOBER 1998)

- a. Financing local procurement involves the use of appropriated funds to finance the procurement of goods and services supplied by local businesses, dealers, or producers, with payment normally being in the currency of the cooperating country. Regardless of which source, origin, and nationality rules in paragraph (b) of the Provision entitled "USAID Eligibility Rules for Goods and Services" apply, these rules may be followed for local procurement. Rules on Ineligible and Restricted goods continue to apply.
- b. Locally financed procurements must be covered by source and nationality waivers as set forth in 22 CFR 228, Subpart F, except as provided for in the Standard Provision "USAID Eligibility Rules for Goods and Services," or when one of the following exceptions applies:
 - (1) Locally available commodities of U.S. origin, which are otherwise eligible for financing, if the value of the transaction is estimated not to exceed \$100,000 exclusive of transportation costs.
 - (2) Commodities of geographic code 935 origin if the value of the transaction does not exceed the local currency equivalent of \$5,000.

- (3) Professional services contracts estimated not to exceed \$250,000.
- (4) Construction services contracts estimated not to exceed \$5,000,000.
- (5) Commodities and services available only in the local economy (no specific per transaction value applies to this category). This category includes the following items:
 - (i) Utilities including fuel for heating and cooking, waste disposal and trash collection;
 - (ii) Communications - telephone, telex, fax, postal and courier services;
 - (iii) Rental costs for housing and office space;
 - (iv) Petroleum, oils and lubricants for operating vehicles and equipment;
 - (v) Newspapers, periodicals and books published in the cooperating country;
 - (vi) Other commodities and services and related expenses that, by their nature or as a practical matter, can only be acquired, performed, or incurred in the cooperating country, e.g., vehicle maintenance, hotel accommodations, etc.
- c. The coverage on ineligible and restricted goods and services in the standard provision entitled, "USAID Eligibility Rules for Goods and Services," also apply to local procurement.
- d. This provision will be included in all subagreements where local procurement of goods or services will be financed with USAID funds.

[END OF PROVISION]

8. PUBLICATIONS AND MEDIA RELEASES (MARCH 2006)

- a. The recipient shall provide the USAID Cognizant Technical Officer one copy of all published works developed under the award with lists of other written work produced under the award. In addition, the recipient shall submit final documents in electronic format unless no electronic version exists at the following address:

Online (preferred):

<http://www.dec.org/submit.cfm>

Mailing address:

Document Acquisitions

USAID Development Experience Clearinghouse (DEC)

8403 Colesville Road Suite 210

Silver Spring, MD 20910-6368

Contract Information

Telephone (301) 562-0641
Fax (301) 588-7787
E-mail: docsubmit@dec.cdie.org

Electronic documents must consist of only one electronic file that comprises the complete and final equivalent of a hard copy. They may be submitted online (preferred); on 3.5" diskettes, a Zip disk, CD-R, or by e-mail. Electronic documents should be in PDF (Portable Document Format). Submission in other formats is acceptable but discouraged.

Each document submitted should contain essential bibliographic elements, such as 1) descriptive title; 2) author(s) name; 3) award number; 4) sponsoring USAID office; 5) strategic objective; and 6) date of publication;

- b. In the event award funds are used to underwrite the cost of publishing, in lieu of the publisher assuming this cost as is the normal practice, any profits or royalties up to the amount of such cost shall be credited to the award unless the schedule of the award has identified the profits or royalties as program income.
- c. Except as otherwise provided in the terms and conditions of the award, the author or the recipient is free to copyright any books, publications, or other copyrightable materials developed in the course of or under this award, but USAID reserves a royalty-free nonexclusive and irrevocable right to reproduce, publish, or otherwise use, and to authorize others to use the work for Government purposes.

[END OF PROVISION]

9. *NONDISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS (MAY 1986)*

No U.S. citizen or legal resident shall be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity funded by this award on the basis of race, color, national origin, age, handicap, or sex.

[END OF PROVISION]

10. *REGULATIONS GOVERNING EMPLOYEES (JUNE 1993)*

- a. The recipient's employees shall maintain private status and may not rely on local U.S. Government offices or facilities for support while under this recipient.
- b. The sale of personal property or automobiles by recipient employees and their dependents in the foreign country to which they are assigned shall be subject to the same limitations and prohibitions which apply to direct-hire USAID personnel employed by the Mission including the rules contained in 22 CFR Part 136, except as this may conflict with host government regulations.
- c. Other than work to be performed under this award for which an employee is assigned by the recipient, no employee of the recipient shall engage directly or indirectly, either in the individual's own name or in the name or through an agency of another person, in any

business, profession, or occupation in the foreign countries to which the individual is assigned, nor shall the individual make loans or investments to or in any business, profession, or occupation in the foreign countries to which the individual is assigned.

- d. The recipient's employees, while in a foreign country, are expected to show respect for its convention, customs, and institutions, to abide by its applicable laws and regulations, and not to interfere in its internal political affairs.
- e. In the event the conduct of any recipient employee is not in accordance with the preceding paragraphs, the recipient's chief of party shall consult with the USAID Mission Director and the employee involved, and shall recommend to the recipient a course of action with regard to such employee.
- f. The parties recognize the rights of the U.S. Ambassador to direct the removal from a country of any U.S. citizen or the discharge from this award of any third country national when, in the discretion of the Ambassador, the interests of the United States so require.
- g. If it is determined, under either (e) or (f) above, that the services of such employee shall be terminated, the recipient shall use its best efforts to cause the return of such employee to the United States, or point of origin, as appropriate.

[END OF PROVISION]

11. PARTICIPANT TRAINING (OCTOBER 1998)

- a. Definitions: A participant is any non-U.S. individual being trained under this award outside of that individual's home country.
- b. Application of ADS Chapter 253: Participant training under this award shall comply with the policies established in ADS Chapter 253, Participant Training (including TrainNet requirements), except to the extent that specific exceptions to ADS 253 have been provided in this award with the concurrence of the Global Bureau's Center for Human Capacity Development. (See ADS 253) (ADS 253 may be obtained by submitting a request to the Agreement Officer.)
- c. Orientation: In addition to the mandatory requirements in ADS 253, recipients are strongly encouraged to provide, in collaboration with the Mission training officer, predeparture orientation and orientation in Washington at the Washington International Center. The latter orientation program also provides the opportunity to arrange for home hospitality in Washington and elsewhere in the U.S. through liaison with the National Council for International Visitors (NCIV). If the Washington orientation is determined not to be feasible, home hospitality can be arranged in most U.S. cities if a request for such is directed to the Agreement Officer, who will transmit the request to NCIV through R&O/IT.

[END OF PROVISION]

**12. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE)
(OCTOBER 1998)**

- a. Except as modified by the Schedule of this award, title to all equipment, materials, and supplies, the cost of which is reimbursable to the recipient by USAID or by the cooperating country, shall at all times be in the name of the cooperating country or such public or private agency as the cooperating Government may designate, unless title to specified types or classes of equipment is reserved to USAID under provisions set forth in the Schedule of this award, but all such property shall be under the custody and control of recipient until the owner of title directs otherwise or completion of work under this award or its termination, at which time custody and control shall be turned over to the owner of title or disposed of in accordance with its instructions. All performance guarantees and warranties obtained from suppliers shall be taken in the name of the title owner.
- b. The recipient shall prepare and establish a program, for the receipt, use, maintenance, protection, custody, and care of equipment, materials, and supplies for which it has custodial responsibility, including the establishment of reasonable controls to enforce such program. The recipient shall be guided by the requirements of 22 CFR Part 226.30 through 226.36.
- c. Within 90 days after completion of this award, or at such other date as may be fixed by the Agreement Officer, the recipient shall submit an inventory schedule covering all items of equipment, materials, and supplies under the recipient's custody, title to which is in the cooperating country or public or private agency designated by the cooperating country, which have not been consumed in the performance of this award. The recipient shall also indicate what disposition has been made of such property.

[END OF PROVISION]

13. PROGRAM INCOME (OCTOBER 1998)

- a. The Recipient shall apply the standards set forth in this Provision to account for program income earned under the award.
- b. Program Income earned during the project period shall be retained by the recipient and, in accordance with USAID regulations, other implementing guidance, or the terms and conditions of the award, shall be used in one or more of the following ways:
 - 1) Added to funds committed by USAID and the recipient to the project or program, and used to further eligible project or program objectives.
 - 2) Used to finance the non-U.S. Government share of the project or program.
 - 3) Deducted from the total project or program allowable cost in determining the net allowable costs on which the U.S. Government share of costs is based.

- c. When the agreement authorizes the disposition of program income as described in paragraph (b)(1) or (b)(2) of this section, program income in excess of any limits stipulated shall be used in accordance with paragraph (b)(3) of this section.
- d. If the terms and conditions of the award do not specify how program income is to be used, paragraph (b)(2) of this section shall apply automatically; program income in excess of the cost share amount may be applied in accordance with paragraph (b)(1). Recipients which are commercial organizations may not apply paragraph (b)(1) of this section.
- e. Unless the terms and conditions of the award provide otherwise, recipients shall have no obligation to the U.S. Government regarding program income earned after the end of the project period.
- f. Costs incident to the generation of program income may be deducted from gross income to determine program income, provided these costs have not been charged to the award and they comply with the applicable Cost Principles.
- g. Unless the terms and conditions of the award provide otherwise, recipients shall have no obligation to the U.S. Government with respect to program income earned from license fees and royalties for copyrighted material, patents, patent applications, trademarks, and inventions produced under an award. However, Patent and Trademark Amendments (35 U.S.C. 18) apply to inventions made under an experimental, developmental, or research awards.

[END OF PROVISION]

14. *REPORTING OF FOREIGN TAXES (MARCH 2006)*

- a. The recipient must annually submit a report by April 16 of the next year.
- b. Contents of Report. The report must contain:
 - (i) Contractor/recipient name.
 - (ii) Contact name with phone, fax and email.
 - (iii) Agreement number(s).
 - (iv) Amount of foreign taxes assessed by a foreign government [each foreign government must be listed separately] on commodity purchase transactions valued at \$500 or more financed with U.S. foreign assistance funds under this agreement during the prior U.S. fiscal year.
 - (v) Only foreign taxes assessed by the foreign government in the country receiving U.S. assistance is to be reported. Foreign taxes by a third party foreign government are not to be reported. For example, if an assistance program for Lesotho involves the purchase of

commodities in South Africa using foreign assistance funds, any taxes imposed by South Africa would not be reported in the report for Lesotho (or South Africa).

(vi) Any reimbursements received by the Recipient during the period in (iv) regardless of when the foreign tax was assessed and any reimbursements on the taxes reported in (iv) received through March 31.

(vii) Reports are required even if the recipient did not pay any taxes during the report period.

(viii) Cumulative reports may be provided if the recipient is implementing more than one program in a foreign country.

c. Definitions. For purposes of this clause:

(i) "Agreement" includes USAID direct and country contracts, grants, cooperative agreements and interagency agreements.

(ii) "Commodity" means any material, article, supply, goods, or equipment.

(iii) "Foreign government" includes any foreign governmental entity.

(iv) "Foreign taxes" means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

d. Where. Submit the reports to: [insert address and point of contact at the Embassy, Mission or FM/CMP as appropriate. see b. below] [optional with a copy to]

e. Subagreements. The recipient must include this reporting requirement in all applicable subcontracts, subgrants and other subagreements.

f. For further information see <http://www.state.gov/m/rm/c10443.htm>

[END OF PROVISION]

15. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JANUARY 2002)

Funds in this agreement 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 or as approved by the Agreement Officer.

[END OF PROVISION]

16. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)

a. The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website:

http://pdf.dec.org/pdf_docs/PDABQ631.pdf

b. USAID therefore requires that the recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

[END OF PROVISION]

[END OF STANDARD PROVISIONS]

ATTACHMENT E
INITIAL ENVIRONMENTAL EXAMINATION

**INITIAL ENVIRONMENTAL EXAMINATION
SUMMARY AND SIGNATURE PAGE**

PROGRAM/ACTIVITY DATA:

Program/Activity Number: (TBD)

Country/Region: Africa (Global Health Bureau), in President's Malaria Initiative countries

Program Title: Malaria Communities Program (MCP)

Funding Begin: FY 2007 **Funding End:** September 30, 2011

IEE Amendment (Y/N): N

Current Date: March 19, 2007

ENVIRONMENTAL ACTION RECOMMENDED:

Categorical Exclusion: X Negative Determination: X

Positive Determination: _____ Deferral: _____

ADDITIONAL ELEMENTS: (Place X where applicable)

CONDITIONS X

SUMMARY OF FINDINGS:

The activities under this Initial Environmental Examination (IEE) will provide support at the community level for malaria prevention activities. These activities will be carried out in collaboration with implementing partners for the President's Malaria Initiative (PMI). The PMI activities themselves are covered under their own IEEs, Programmatic Environmental Assessments (PEA), country-level Supplemental Environmental Assessments (SEA), and Pesticide Evaluation Report and Safer Use Action Plans (PERSUAP) and are not covered in this IEE.

A Categorical Exclusion is recommended for the following activities except to the extent that the activities directly affect the environment (such as construction of facilities), pursuant to 22 CFR 216.2(c)(1) and:

- a) 22 CFR 216.2(c)(2)(i), for activities involving education, training, technical assistance or training programs;
- b) 22 CFR 216.2(c)(2)(v), for activities involving document and information transfers;
- c) 22 CFR 216.2(c)(2)(viii), for programs involving nutrition, health care, or family planning services except to the extent designed to include activities directly affecting the environment (such as construction of facilities, water supply systems, waste water treatment, etc.);
- (d) 22 CFR 216.2(c)(2)(xiv), for studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning.

- Provide information, education and communication (IEC), including household and community mobilization, to support IRS spraying activities
- Support promotion of intermittent preventive treatment of pregnant women in government health facilities helping to increase the proportion of pregnant women who receive at least two doses of intermittent preventive therapy (IPT)

- Provide IEC aimed to support appropriate health seeking behavior and increasing early and effective treatment of malaria and treatment adherence
- Support community health workers in malaria community case management (i.e. home-based management of fever) activities and promoting correct and consistent use of ITNs by members of their community
- Build malaria prevention and promotional activities on to existing community-based HIV/AIDS programs

A **negative determination (with conditions)** is recommended per 22CFR216.3(a)(2)(iii) for the remaining activities that may be carried out under the MCP.

- Support for distribution and promotion of correct and consistent use of insecticide treated nets (ITNs) in both routine and campaign settings in order to increase the overall number used by pregnant women and children under five
- Partner in the promotion and implementation of bednet retreatment campaigns

The conditions include that implementing partners adhere to the stipulations made in the USAID Africa Bureau's [Programmatic Environmental Assessment for Insecticide-Treated Materials in USAID Activities in Sub-Saharan Africa](#). If a need for net treatment or retreatment arises under this funding and is not already covered under the PMI activity, the USAID Health Team in the mission will draft and gain approval for a "Pesticide Evaluation Report and Safer Use Action Plan" (PERSUAP) for the ITN program.

For activities that involve collection, storage and disposal of biological samples, the program must make reasonable efforts to assure development and implementation of an adequate medical waste management program. Consult EGSSA (www.encapafrika.org) and utilize the Minimal Program Checklist (Annex A).

As required by ADS 204.3.4, the SO team managing this program must actively monitor ongoing activities for compliance with approved IEE recommendations, and modify or end activities that are not in compliance. If additional activities not described in this document are added to this program, then amended or new environmental documentation must be prepared. The SO team must also ensure that provisions of the IEE concerning mitigative measures and the conditions specified herein along with the requirement to monitor be incorporated in all contracts, cooperative agreements, grants and sub-grants.

INITIAL ENVIRONMENTAL EXAMINATION

PROGRAM/ACTIVITY DATA:

Program/Activity Number:

Country/Region: Africa (Global Health Bureau), in President's Malaria Initiative countries

Program Title: Malaria Communities Program (MCP)

Funding Begin: FY 2007 **Funding End:** September 30, 2011

IEE Amendment (Y/N): N

Current Date: March 19, 2007

1.0 BACKGROUND AND ACTIVITY/PROGRAM DESCRIPTION

1.1 Purpose and Scope of IEE

The purpose of this Initial Environmental Examination (IEE) is to comprehensively review the activities USAID anticipates implementing across the Africa region under the Malaria Communities Program (MCP) (a program to complement activities undertaken as part of the President's Malaria Initiative (PMI)), and provide threshold determinations of environmental impact and conditions for mitigation if appropriate. This IEE is intended to fulfill the environmental review requirements of the U.S. Agency for International Development's (USAID's) environmental regulations, found in 22CRF216.

The activities under this Initial Environmental Examination (IEE) will provide support at the community level for malaria prevention activities. These activities will be carried out in collaboration with implementing partners for the President's Malaria Initiative (PMI). The PMI activities themselves are covered under their own IEEs, Programmatic Environmental Assessments (PEA), country-level Supplemental Environmental Assessments (SEA), and Pesticide Evaluation Report and Safer Use Action Plans (PERSUAP) and are not addressed in this IEE.

1.2 Background

Malaria is one of the most common and serious tropical diseases. It causes at least a million deaths yearly, the majority of which occur in sub-Saharan Africa. More than half of the world's population is at risk of acquiring malaria, but young children and pregnant women have the highest risk of both malaria infection and malaria mortality. In addition to poverty and climate, other risk factors for malaria include poor quality health facilities and systems, drug and insecticide resistance for the pathogen and its vectors, and changing ecological conditions that support existence of the vectors at elevations that were previously malaria-free.

USAID's malaria program is part of the US government (USG) foreign assistance program and contributes to the USG goal of "Helping to build and sustain democratic, well-governed states that will respond to the needs of their people and conduct themselves responsibly in the international system." Malaria activities fall under Objective 3 - Investing in People, under the Health Program, and they are reported on under the Malaria element 1.3. The goal of the PMI is to prevent 50 percent of malarial deaths in 15 of the worst-hit countries in Africa. For more information on the President's Malaria Initiative, see <http://www.fightingmalaria.gov/index.html>.

1.3 Description of Activities

The MCP was announced by First Lady Laura Bush on December 14, 2006, at the White House Summit to offer opportunities specifically aimed at fostering new partners, including local community-based and indigenous groups in PMI focus countries. The MCP seeks to award individual small grants to new partners, both US-based and organizations indigenous to Africa PMI-focus countries, to implement malaria prevention and control activities. The grants to be awarded under the MCP will include one or more of the following elements:

- Support for distribution and promotion of correct and consistent use of insecticide treated nets (ITNs) in both routine and campaign settings in order to increase the overall number used by pregnant women and children under five;
- Partner in the promotion and implementation of bednet retreatment campaigns;
- Provide information, education and communication (IEC), including household and community mobilization, to support IRS spraying activities;
- Support promotion of intermittent preventive treatment of pregnant women in government health facilities helping to increase the proportion of pregnant women who receive at least two doses of IPT;
- Provide IEC aimed to support appropriate health seeking behavior and increasing early and effective treatment of malaria and treatment adherence;
- Support community health workers in malaria community case management (i.e. home-based management of fever) activities and promoting correct and consistent use of ITNs by members of their community; and
- Build malaria prevention and promotional activities on to existing community-based HIV/AIDS programs.

MCP recipient organizations will work with and in direct complement to existing USAID partners who are associated with and have undergone environmental assessments according to the Agency's regulations and who are following these findings and determinations.

MCP recipients are not expected to procure commodities including those associated with pesticides under this Program, and such procurement is not covered by this IEE. Instead, recipients will partner with the host country government, PMI and other malaria control partners who are currently supporting the procurement and distribution of malaria commodities. PMI-funded activities will be covered by their own environmental compliance documents. MCP recipients will focus on complementing these efforts by supporting the non-commodity aspects of a comprehensive malaria program (i.e. health education and promotion, community mobilization, and extending direct beneficiary reach of the PMI-supported interventions).

2.0 COUNTRY AND ENVIRONMENTAL INFORMATION

The activities funded under the MCP will occur only in the 15 President's Malaria Initiative focus countries, as these community-based activities will directly complement the more commodity-focused PMI activities of bednet procurement and indoor residual spraying. The PMI activities

themselves are covered under their own IEEs, Programmatic Environmental Assessments (PEA), country-level Supplemental Environmental Assessments (SEA), and Pesticide Evaluation Report and Safer Use Action Plans (PERSUAP) and are not covered in this IEE. The countries selected for PMI activities were those with the highest malaria mortality, and are shown below in Table 1.

Table 1. List of President's Malaria Initiative (PMI) countries

Angola	Benin	Ethiopia
Ghana	Kenya	Liberia
Madagascar	Malawi	Mali
Mozambique	Rwanda	Senegal
Tanzania	Uganda	Zambia

3.0 EVALUATION OF ENVIRONMENTAL IMPACT POTENTIAL AND RECOMMENDED THRESHOLD DECISIONS AND PREVENTION/MITIGATION ACTIONS

The Environmental Determination for the MCP falls into two categories, and is presented below in Table 2. The activities related to training, health promotion and community mobilization justify Categorical Exclusions, pursuant to 22 CFR §216.2(c)(1) and (2), because the actions do not have an effect on the natural or physical environment.

The remaining activities may involve insecticide-treated materials (ITM) and/or medical waste that are not already covered by PMI environmental compliance documents, so these activities justify a negative determination, with the conditions as described below and summarized in Table 2.

The Africa Bureau has prepared a document entitled *Programmatic Environmental Assessment for Insecticide-treated Materials (PEA ITM) in USAID Activities in Sub-Saharan Africa*, which describes the risks associated with the use of ITMs, including bednets and curtains. Health and environmental risks from the use of ITMs include potential exposure of humans and the environment during production, distribution, storage, use, and disposal of pesticides, and a certain amount of exposure of persons using ITMs to pesticide vapors released from the materials. The CTO must work with the PMI country teams and the MCP implementing partners to ensure that the risks to humans and the environment are minimized, and that adequate safety precautions are observed, by following the guidance provided in the PEA ITM which can be found on the web at [http://www.afr-sd.org/documents/iee/docs/32AFR2 ITM PEA.doc](http://www.afr-sd.org/documents/iee/docs/32AFR2_ITM_PEA.doc)

The public health community has taken the issue of risk from ITM pesticides seriously, and effective guidance documents are already available as resources for ITM program managers. WHO's Roll Back Malaria web site hosts a collection of WHO and other documents on all the RBM program issues, including those related to effective and safe use of insecticides in ITM programs. (See <http://mosquito.who.int>, multiple prevention, insecticide-treated materials). An excellent resource for all aspects of ITM program management, including avoiding environmental or health problems with this technology, is a manual prepared for the

Malaria Consortium, titled, “Insecticide Treated Net Projects: A Handbook for Managers.”ⁱⁱ

The CTO must also work with the PMI country health teams and their implementing partners to assure, to the extent possible, that the medical facilities and operations involved have adequate procedures and capacities in place to properly handle, label, treat, store, transport and properly dispose of blood, sharps and other medical waste associated with malaria diagnosis and treatment. The ability of the health teams to assure such procedures and capacity is understood to be limited by its level of control over the management of the facilities and operations that USAID PMI and MCP are supporting.

The USAID Bureau for Africa’s Environmental Guidelines for Small Scale Activities in Africa (EGSSAA) Chapter 8, “[Healthcare Waste: Generation, Handling, Treatment and Disposal](http://encapafrica.org/SmallScaleGuidelines.htm)” (found at this URL: <http://encapafrica.org/SmallScaleGuidelines.htm>) contains guidance which should inform the Team’s activities to promote proper handling and disposal of medical waste, particularly in the section titled, “Minimum elements of a complete waste management program.” The program is also encouraged to make use of the attached “Minimal Program Checklist and Action Plan” for handling healthcare waste, which was adapted from the above EGSSAA chapter and which should be further adapted for use in USAID/[country] programs. Another useful reference is “WHO’s Safe Management of Wastes from Healthcare Activities” found at http://www.who.int/water_sanitation_health/medicalwaste/wastemanag/en/

Table 2. Summary of Environmental Determinations and Conditions

Key Elements of Program/Activities	Threshold Determination & 22 CFR 216 Citation	Impact Issues & Mitigation Conditions and/or Proactive Interventions
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Key Elements of Program/Activities	Threshold Determination & 22 CFR 216 Citation	Impact Issues & Mitigation Conditions and/or Proactive Interventions
<p>1. Provide information, education and communication (IEC), including household and community mobilization, to support IRS spraying activities</p> <p>2. Support promotion of intermittent preventive treatment of pregnant women in government health facilities helping to increase the proportion of pregnant women who receive at least two doses of intermittent preventive therapy (IPT)</p> <p>3. Provide IEC aimed to support appropriate health seeking behavior and increasing early and effective treatment of malaria and treatment adherence</p> <p>4. Support community health workers in malaria community case management (i.e. home-based management of fever) activities and promoting correct and consistent use of ITNs by members of their community</p>	<p>Categorical Exclusion pursuant to 22 CFR 216.2(c)(1) and:</p> <p>a) 22 CFR 216.2(c)(2)(i), for activities involving education, training, technical assistance or training programs;</p> <p>b) 22 CFR 216.2(c)(2)(v), for activities involving document and information transfers;</p> <p>c) 22 CFR 216.2(c)(2)(viii), for programs involving nutrition, health care, or family planning services</p> <p>(d) 22 CFR 216.2(c)(2)(xiv), for studies, projects or programs intended to develop the capability of recipient countries and organizations to engage in development planning.</p>	<p>No biophysical are interventions involved</p> <p>The categorical exclusion applies except to the extent that activities might directly affect the environment (such as construction of facilities, water supply systems, waste water treatment extent designed to include activities, etc.)</p>

Key Elements of Program/Activities	Threshold Determination & 22 CFR 216 Citation	Impact Issues & Mitigation Conditions and/or Proactive Interventions
<p>1. Support for distribution and promotion of correct and consistent use of insecticide treated nets (ITNs) in both routine and campaign settings in order to increase the overall number used by pregnant women and children under five</p> <p>2. Partner in the promotion and implementation of bednet retreatment campaigns</p> <p>3. Build malaria prevention and promotional activities on to existing community-based HIV/AIDS programs</p>	<p>Negative Determination with Conditions 22 CFR 216.3 (a)(2)(iii)</p> <p>Deferred: Treatment or retreatment of nets</p>	<p>If provision of supplies will include insecticide treated bednets (ITNs), the USAID Health Team in the mission and their partner organizations will be required to use reliable brands of long-lasting treated nets and adhere to the stipulations made in the USAID Africa Bureau Programmatic Environmental Assessment for Insecticide-Treated Materials in USAID Activities in Sub-Saharan Africa .</p> <p>If a need for net treatment or retreatment arises under this funding and is not already covered under the PMI activity, the USAID Health Team in the mission will draft and gain approval for a “Pesticide Evaluation Report and Safer Use Action Plan” (PERSUAP) for the ITN program.</p> <p>For activities that involve collection, storage and disposal of biological samples, the program must make reasonable efforts to assure development and implementation of an adequate medical waste management program. Consult EGSSA (www.encapafrika.org) and utilize the Minimal Program Checklist (Annex A).</p>

4. MONITORING AND COMPLIANCE ASSURANCE

Monitoring and compliance measures

As required by ADS 204.3.4, the MCP CTO and implementing partners will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this Request for Categorical Exclusion arise during implementation, and modify or end activities as appropriate. If additional activities are added that are not described in this document, an amended environmental examination must be prepared.

All grants or other monetary transfers of USAID funds (e.g., subgrants) to support this program's activities must incorporate provisions that the activities to be undertaken will comply with the environmental determinations and recommendations of this IEE. This includes assurance that the activities conducted with USAID funds fit within those described in the approved IEE or IEE amendment and that any mitigating measures required for those activities be followed. USAID PMI missions are responsible for assuring that implementing partners have the human capacity necessary to incorporate environmental considerations into program planning and implementation and to take on their role in the Environmental Screening Process. Implementing partners should seek training as needed, such as through participation in the Africa Bureau's regional ENCAP training courses.

Implementing partners' annual reports and, as appropriate, progress reports shall contain a brief update on mitigation and monitoring measures being implemented, results of environmental monitoring, and any other major modifications/revisions in the development activities, and mitigation and monitoring procedures.

ⁱ Chavasse DC, Reed C, Attawell K. 1999b. *Insecticide Treated Net Projects: A Handbook for Managers*. London, England: Malaria Consortium, London School of Tropical Hygiene and Tropical Medicine.