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REQUEST FOR APPLICATIONS
RFA SOLICITATION NUMBER: HAP2015-001

**Household Air Pollution Implementation Research:
Evaluating Sustained Adoption of Clean Cookstoves and Fuels**

Date of Issue: Friday, January 30, 2015

**Closing Time and Date for Applications:
Friday, March 20, 2015, 11:59p.m. (EST)**

Applications must be emailed to: tracapply@urc-chs.com and research@cleancookstoves.org

Deadline for Letters of Intent: Friday, February 20, 2015

Deadline for Questions: Monday, February 23, 2015, 11:59p.m. (EST)

Letters of Intent and Questions by email ONLY to:
tracapply@urc-chs.com and research@cleancookstoves.org

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Issuance of this RFA does not constitute an award commitment on the part of URC or the Alliance, nor does it commit URC/TRAction, the Alliance or the US government to pay for costs incurred in the submission of an application. URC and the Alliance may reject any submission that does not fully comply with requirements of the RFA. Furthermore, funding of successful proposals is contingent on the availability of funds from USAID.

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LIST OF ACRONYMS

Alliance	Global Alliance for Clean Cookstoves
AOR	Agreement Officer's Representative (i.e. the USAID technical oversight officer)
CV	Curriculum Vitae
DALY	Disability Adjusted Life Year
G&A	General & Administrative
GHI	Global Health Initiative
HAP	Household Air Pollution
IRB	Institutional Review Board
ISO	International Organization for Standardization
IWA	International Workshop Agreement
LOE	Level of Effort
LPG	Liquefied Petroleum Gas
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MOH	Ministry of Health
NGO	Non-Governmental Organization
NICRA	Negotiated Indirect Cost Rate Agreement
NIH	National Institutes of Health
PI	Principal Investigator
RFA	Request for Application
TRAction	Translating Research into Action
TRP	Technical Review Panel
URC	University Research Co., LLC
USAID	United States Agency for International Development
USD	United States Dollars
USG	United States Government
WHO	World Health Organization

1 SPONSORING ORGANIZATIONS

The Translating Research into Action (TRAction) Project and the Global Alliance for Clean Cookstoves (the Alliance) are releasing this joint solicitation for research focused on the implementation and outcomes of efforts to promote adoption of clean cooking technologies and factors influencing sustained use over time.

1.1 Translating Research into Action (TRAction) Project

The Translating Research into Action (TRAction) Project supports implementation research to develop, test, and compare approaches to more effectively deliver health interventions, increase utilization, achieve coverage, and scale-up evidence-based interventions for maternal and child health problems. TRAction is funded by the U.S. Agency for International Development (USAID), and is managed under a Cooperative Agreement by University Research Co., LLC (URC) in collaboration with its partner, the Harvard University School of Public Health.

While there is growing recognition of successful approaches to measure and address health disparities, up-to-date guidance on how to implement new and proven health interventions at scale and across different contexts is often not readily available. TRAction-supported implementation research focuses on bridging the gaps between intervention research and its accelerated translation into relevant evidence for program implementers and policy-makers.

1.2 Global Alliance for Clean Cookstoves

The Global Alliance for Clean Cookstoves (the Alliance) is an innovative public-private partnership hosted by the United Nations Foundation to save lives, improve livelihoods, empower women, and combat climate change by creating a thriving global market for clean and efficient household cooking solutions. The Alliance's '100 by '2020' goal calls for 100 million homes to adopt clean and efficient stoves and fuels by 2020. The Alliance believes that the scope and severity of cookstoves' impacts on the health and environment of nearly half of the world's population – especially girls and women – necessitate an immediate and concerted response from the global research, policy, and donor communities.

The Alliance believes that by providing governments, NGOs, impact investors, and donors with evidence based information on the benefits of clean cooking technologies, it can help them quantify the impact of their investments in the sector. Thus, as we move into the next phase (2014-2017) of our efforts, and the Alliance focuses on scaling up adoption of clean cooking technologies, the Alliance has also redirected its research strategy to focus less on the magnitude of the problem, with an emphasis on the impacts of traditional cooking, towards an emphasis on quantifying the benefits (health, gender, livelihood, climate, environment) of adopting clean cooking technologies. For more detailed information, please refer to our Marketing Enabling Roadmap for Phase 2.

2 TECHNICAL STATEMENT OF WORK

2.1 Background

More than 3 billion people cook their food using solid fuels such as wood, coal, dung, charcoal,

and crop residues. The harmful emissions released from the incomplete combustion of solid fuels lead to high levels of household air pollution (HAP), which has been linked to health problems including acute lower respiratory infections, low birth weight, chronic obstructive pulmonary disease, lung cancer, and cataracts.¹ HAP was ranked as the third leading risk factor for morbidity and mortality in the 2010 Global Burden of Disease Study; HAP is estimated to have caused 3.9 million premature deaths and 4.8% of the disability-adjusted life years in 2010.^{1,2} Among children under 5, the HAP burden is estimated to be over 450,000 annual deaths (7% of the total child deaths in 2010).¹ This high burden of disease makes household air pollution a critical public health issue.

Household air pollution also extends beyond the structure in which the pollution is created. Emissions produced indoors can exit houses through windows, doors, chimneys, or other cracks, leading to elevated levels of ambient air pollution. Estimates suggest that annually around 500,000 deaths and nearly 10 million DALYs associated with ambient air pollution are actually attributable to HAP.¹

A range of social and environmental benefits can be achieved through the adoption of clean cookstoves and fuels, but recent research suggests that substantial health benefits can only be achieved with intensive, near exclusive adoption of extremely low emission technologies. This may involve: 1) increasing the use of advanced biomass stoves specifically designed to reduce emissions (not just increase efficiency) and to burn solid fuel far more cleanly than traditional methods; and 2) increasing the use of clean fuels such as liquefied petroleum gas (LPG), ethanol, biogas, and electricity.

Several advances have been made toward increasing the performance, availability and accessibility of clean fuels. For example, improvements in LPG stoves such as the efficient “porous, radiant burner” may allow the supply of LPG to reach more households, especially if these downstream technology improvements are supported.⁸ Smith’s recent studies in India suggest that a large shift from biomass-burning stoves to clean fuel stoves for household use is underway.⁹ In Ghana, recent government policies aim to increase access to LPG to half of all households by 2020. Preliminary results from randomized controlled trials on truly clean cooking and child survival in Ghana, Nepal, and Nigeria also offer promising evidence that switching to clean fuels may be attainable at a large-scale. Among the initial findings, these studies have demonstrated both drastic reductions in exposure and almost exclusive use of the clean fuels. Their results suggest that when people have access to very clean fuels, they use it almost daily and even abandon their old stoves.

While recent evidence suggests that near exclusive use of clean fuels may be the most effective way to reduce emissions to WHO-recommended levels low enough to achieve health benefits,³ clean fuels may still not be accessible for large segments of the global population due to a lack of infrastructure or high cost. Thus, clean biomass stoves will likely remain an important option for reducing HAP in the near-term.⁴

Over the past several years, there has been unprecedented movement in the global clean cooking sector. Hundreds of experts, authorities, and influencers have been mobilized to help address this issue. This momentum has helped drive investment, strengthen enterprises, and

encourage innovation, with at least 20 million cleaner and more efficient cookstoves distributed by Alliance partners from 2011 to 2013.¹⁰ The International Organization for Standardization (ISO), in conjunction with the Global Alliance for Clean Cookstoves, developed the International Workshop Agreement (IWA) Guidelines for Evaluating Cookstove Performance. The guidelines provide standards for ranking cookstoves based on efficiency, emissions, and safety. Stoves classified as Tier 3 or higher for 'indoor emissions' are considered 'clean' cookstoves, i.e. clean enough to likely provide health benefits, and to date are the cleanest available stoves on the market.⁷ Emerging evidence demonstrates that in order to realize significant benefits associated with reduced exposures to HAP, households must replace their traditional stoves with clean cookstoves and fuels that meet IWA tier 3 or tier 4 standards for indoor emissions.¹¹

Despite these advances in promoting clean fuels and cookstoves, recent reports have revealed that adoption studies of clean cooking technologies are scarce, scattered, and of differential quality, even though global distribution programs are quickly expanding. Furthermore, previous reviews and studies on adoption have not necessarily focused on clean fuels and technology, and have not yielded promising results.⁴⁻⁶ These reviews suggest that people may be less willing to adopt technologies that do not offer a perceived benefit. They do not, however, inform the extent to which people are willing to adopt technologies that are perceived to be drastically better than what they are already using.

Regardless of whether the focus is placed on clean cookstoves or fuels, the successful reduction of the HAP burden of disease requires that demonstrably clean cookstoves and fuels 1) perform consistently well in the field, 2) are used frequently, and 3) displace lesser performing cooking technologies. Achieving such sustained adoption has proven to be a key challenge for clean cooking efforts, and little information is available on the drivers and determinants of sustained adoption of demonstrably clean cooking technologies, especially among households that purchase stove and fuels directly.¹² Critical research gaps include: the extent to which sustained use of clean stoves and fuels can bring exposure down to WHO-recommended levels; reasons why households practice stove and fuel stacking and strategies for changing this behavior; social, cultural, and economic factors influencing use of new clean cooking technologies; barriers to complete transition to clean fuels; the role of gendered approaches in sustained adoption; and strategies for most effectively implementing adoption programs. Recent increases in the availability of clean cookstoves and fuels provide an opportunity to study the factors influencing and strategies for achieving sustained adoption of clean cooking solutions, in order to inform future implementation efforts and reduce household air pollution.

2.2 Purpose of the RFA and Focus of the Research

The purpose of this Request for Applications (RFA) is to invite proposals to study the motivators and barriers to sustained adoption of clean cooking technologies. It is expected that this implementation research will be nested within and designed around clean cooking distribution programs that are already in progress, especially market-based or humanitarian approaches to scaling up access to clean cooking. The research is intended to identify key determinants influencing the sustained correct, consistent, and exclusive use of clean cooking technologies (demonstrably clean cookstoves and/or fuels) in order to inform future implementation efforts

aiming to reduce household air pollution and ultimately decrease the burden of disease in women and children.

TRAction and the Alliance anticipate making up to 4 awards of approximately USD 200,000-300,000 each to achieve the goals described in this solicitation.

The findings will inform a theory of change, through which the identified determinants of clean cooking adoption are built into an evidence-based implementation framework that can guide future efforts to reduce HAP exposure. The research will help to inform future investments in the mitigation of household air pollution.

2.3 Research Design

Ideal studies will use both quantitative and qualitative methods to determine the relative importance of factors influencing sustained adoption of clean cooking technology. This study should be robust in design to ensure that external factors are controlled in a way that allows for a focus on the decisions around clean cooking.

The research must incorporate the following key components:

1. The research study must **target a vulnerable population** that has traditionally lacked access to clean cooking technologies, such as poor and less educated populations and those living in rural areas. The research should target a specific customer segment within a given area.
2. An **existing effort to scale up access to clean cooking** must be leveraged for the research to enable the evaluation of adoption and sustained use within a short evaluation time frame. Studies that build on **market-based or humanitarian approaches** to increasing access to clean cooking that are already in progress are of particular interest. Proposals must demonstrate that adoption of clean cooking devices has penetrated the targeted community, and that the number of households is sufficient for meaningful statistical analysis.
3. For projects evaluating technologies being promoted through market-based approaches, the approach must demonstrate long-term commercial viability and a clear potential to scale over the next several years.
4. This application defines two categories of eligible clean cooking solutions: 1) Biomass-burning cookstoves or processed biomass fuels distributed through an existing effort that are demonstrably clean (at least **Tier 3 indoor emissions** as defined by the ISO International Workshop Agreement 11:2012), and 2) Clean fuels including ethanol, LPG, or electricity. Stove performance should be **verified by third-party** testing results included in the application, using the IWA reporting template. Applicants involved with programs that have distributed stoves lower than Tier 3 indoor emission standards may be considered if the lessons on sustained adoption are also applicable to clean cooking options as defined above.
5. The research must propose a **mixed-methods approach** including both qualitative and quantitative methods to identify the key factors that influence the sustained adoption of

clean cooking technologies. For example, quantitative information may be collected on stove use through Stove Use Monitors (SUMS), air quality through particulate matter monitors, and demographics and basic preferences through surveys; qualitative information on perceptions, contextual influences, and other more in-depth factors could be collected to supplement this quantitative data through individual interviews, focus group discussions, observations, or other methods.

6. The research study site should be located in one or more of the **USAID priority countries and/or Alliance focus countries** (see Section 3.3.2). However, other qualified organizations working in other locations may also be considered.
7. The research must propose **strategies for widely disseminating** the learnings to key stakeholders, including governments, manufacturers, distributors, and programmers, to inform future and ongoing implementation strategies.

Studies that do not incorporate the above criteria will be considered non-responsive to the RFA.

2.4 Research Goals and Objectives

The goal of this implementation research is to increase understanding of the determinants of sustained clean cooking adoption and to document the processes that led to the results. The focused field investigations are expected to strengthen the adoption evidence base around the key factors required to ensure acceptance and sustained adoption of demonstrably clean cookstoves and fuels, in order to identify and promote best practices. Studies that leverage stove programs using market-based approaches and that evaluate the role gender plays in household decision-making process around cooking technologies and fuels are of particular interest.

Nesting the research within currently ongoing stove adoption programs will provide the opportunity to document not only adoption results, but also key steps involved in the implementation of the program. Within the context of this study, implementation research focuses on investigating the processes for carrying out the program, and the barriers and enablers influencing the desired result of sustained adoption of clean cooking technologies.

The research questions that this solicitation seeks to address are:

1. How effective has the implementation of the program been, in terms of the design, operation, administration, and evaluation?
 - a. How do the program or strategies aim to achieve sustained adoption of clean cooking technologies?
 - b. What factors have facilitated the implementation process and how have key challenges been overcome (for example, in terms of stakeholder engagement, community participation, political or environmental context, public or private partnerships, etc.)?
2. What are the key social, cultural, and economic considerations that serve as motivators and barriers at the household level to achieving sustained correct, consistent, and

exclusive adoption of clean cooking technologies?

- a. What motivates households to use clean cooking methods? (for example, do factors such as public or private subsidies, financial incentives, maintenance support, governmental policies, market forces, peer support networks, social diffusion, community-level incentives, compatibility with household cooking energy requirements, etc. influence sustained use?)
 - b. What are the barriers to sustained adoption of clean cookstoves and fuels?
3. What impact have the program strategies had on sustained adoption and household air pollution levels?
- a. Among households that demonstrate sustained use of clean stoves or fuels, are household air pollution levels reduced enough to meet WHO air quality guidelines?
 - b. What is the intensity of adoption (i.e. how much are people using the clean cookstove/fuels compared to other lesser-performing cooking devices)?

Applicants must address these three main questions in their research, and are free to also develop other questions not presented here. Applicants should state clearly the questions their research will address and how the research design will answer the questions. Though these research questions are focused at the household level, the findings are expected to inform knowledge about how a complete change to clean cooking can be achieved in entire communities, which is ultimately necessary for improving both indoor and ambient air pollution simultaneously.

3 INSTRUCTIONS FOR THE APPLICATION

Applicants are encouraged to review in detail the following eligibility requirements, preparation, and submission instructions. Applicants requiring clarification should send their written questions in English to tracapply@urc-chs.com and research@cleancookstoves.org by 11:59p.m. EST on the date specified on the cover page of this notification, referencing the RFA Solicitation Number.

All applicants interested in submitting an application are encouraged to submit a **Letter of Intent** in English to tracapply@urc-chs.com and research@cleancookstoves.org by 11:59p.m. EST on the date listed on the cover page of the RFA. The Letter of Intent should indicate the name of the applicant organization(s), PI/Study Director names and contact information, proposed country location, and short description of the ongoing program interventions. Submission of a Letter of Intent does not obligate the organization to prepare and submit a full application. Letters of Intent are preferred, but not required.

3.1 Amount of Awards and Required Cost Share

TRAction and the Alliance intend to issue up to 4 sub-agreements on a competitive basis to applicants best responding to the requirements and objectives for this research as described in this RFA. Anticipated awards will be in the range of USD 200,000 to 300,000.

For this project, the required cost share is 15% of the total estimated project-funded amount. Cost-sharing includes cash and/or in-kind contributions from the awardees own, private, other donor, and/or local sources but cannot include US federal government funds (USG) or US federal government funded in-kind contributions. Cost sharing is defined at 2 CFR 200.306 at the following link: www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200.

3.2 Anticipated Award Date, Duration, and Post-Award Workshop

The anticipated award date is 6 to 10 weeks following the application submission deadline. The expected duration of the study is 12 months, but shorter studies may be acceptable if justified by the proposed workplan. The proposed research, including planning/preparation activities, fieldwork activities, and analysis must be completed by June 2016.

Two post-award meetings should be included in the budget (please see Section 3.5 for more details). The first is anticipated within a month of the Award Date to discuss the research purpose and design, the timeline, and expected results. The second is anticipated prior to completion of the award for initial dissemination of results. Adjustments to this schedule may be necessary depending on project activities and participant availability.

3.3 Eligibility

Applications may be submitted by organizations based in countries where the research will be conducted, US organizations, and/or international organizations (see Section 3.3.1 for details on eligible types of organization). Prime applicants based outside of countries where research will be conducted must demonstrate substantial local partnerships, including the designation of a local co-principal investigator. Local provision of data/field activities alone will not be considered a demonstration of active local ownership of the research. Applications should describe how the research team is committed to facilitating capacity building around areas of expertise included in the project, through partnership with in-country institution(s), and provision for supervised training within the proposed research activity. Plans should contain a provision for ensuring, as far as is practicable, sustained development of this enhanced capacity. In addition, given the interdisciplinary nature of these studies, TRAction and the Alliance encourage the formation of qualified teams of researchers possessing the range of necessary skills and expertise required to execute the proposed research.

Proposed research must demonstrate that existing clean cooking efforts in the region meet the needs of the proposed research. The research funds cannot be used to support the actual implementation of the clean cookstove or fuel distribution program. If the prime applicant plans to add an evaluation component to another organization's HAP efforts, a signed letter of agreement from the partner organization must be provided.

3.3.1 Eligible Organization Types

The prime applicant and any sub-awardees must be an organization of one of the following types:

- Public and state controlled institutions of higher education.
- Private institutions of higher education.

- Nonprofits (other than institutions of higher education). If a US organization, it must be a 501-3C certified non-profit.
- For profit research organizations (no fee or profit will be allowed).
- Parastatal research institutions.
- Host country or international non-profit research or accounting organizations.

3.3.2 Eligible Country Locations

The studies to be supported through this RFA should ideally take place in one or more of the USAID priority or Alliance focus countries. Other country locations may also be considered.

USAID Priority countries

Afghanistan	Nepal	Pakistan
Bangladesh	Kenya	Rwanda
Democratic Republic of Congo	Liberia	Senegal
Ethiopia	Madagascar	Sudan
Ghana	Malawi	Tanzania
Haiti	Mali	Uganda
India	Nepal	Yemen
Mozambique	Nigeria	Zambia

Alliance Focus Countries

Bangladesh	Guatemala	Nigeria
China	India	Uganda
Ghana	Kenya	

3.4 Instructions and Evaluation Criteria for the Technical Application

The applicant should prepare a technical application containing the following sections in the order shown, using clear and concise language that will enable the reviewers to easily understand the approach and ability to complete the work as described.

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines. Complete technical applications will be reviewed by a Technical Review Panel (TRP), convened by TRAction and the Alliance, and will be evaluated against the following criteria. Applications may be judged as nonresponsive if they do not follow the instructions in the RFA.

3.4.1 Executive Summary (2 pages maximum)

This section should include a general overview of the existing intervention or program within which the research will be conducted (specifically focusing on implementation strategies and evaluation of the correct, consistent, and exclusive use of clean cookstoves and/or fuels), a description of the proposed mixed methods research to be embedded within the existing program, the rationale for the relevance of the proposed research to the HAP field for reducing

maternal and child deaths, and a summary of the applicant's capacity to conduct and manage the research.

3.4.2 Technical Approach (14 pages maximum, 60 points)

The applicant will describe its approach to designing and carrying out the research so as to meet the purpose and requirements of the RFA. The applicant should provide:

1. A brief description of how the applicant's proposed study aligns with other efforts to address HAP and increase cookstove adoption nationally, regionally, or internationally **(about 1 page)**
2. The rationale for selection of the country or countries in which the research will be conducted, including a description of the plausibility for the existing clean cooking intervention in the selected location to meet the needs of the proposed adoption study. This description of the ongoing HAP efforts should include **(about 3 pages)**:
 - a. Date of start and duration of the existing HAP intervention or program;
 - b. Goals, objectives, and key activities or strategies of the existing program, including any behavior change strategies being used;
 - c. Role of stakeholders, including national government, provincial, and district health or government officials, civil society partners, private sector, and the community;
 - d. Current coverage of the program (i.e. number of stoves distributed to date, characteristics of targeted population (vulnerability criteria), stove purchase/uptake, geographic reach of the services);
 - e. Evidence of program sustainability and scalability;
 - f. Type of stove and/or fuel distributed, including validated evidence that the cooking technology meets at least IWA Tier 3 indoor emissions requirements or rationale for how lessons on sustained adoption of lower tier stoves are applicable to the clean cooking options defined above (see Section 2.3, 4);
 - g. Monitoring and evaluation activities, including types of qualitative and/or quantitative data, and the baseline, process, and outcome indicators being collected;
 - h. Evidence of program progress and/or impact to date, such as evidence of stove/fuel usage, field and/or lab-based air quality emissions or exposure data, health impacts, fuel requirements, or other data that has been collected;
 - i. (optionally, in a separate appendix) Any written reports and ongoing or published research focused on the HAP program or intervention; questionnaires, research protocols, or maps; etc.
3. The proposed research design and methods **(about 8 pages)**, including:
 - a. The objectives of the research, and how the proposed objectives align with those outlined in Section 2.4;
 - b. The research questions and how each question will be addressed through the proposed research methods (see next point);
 - c. The overall research design, associated methods (quantitative and qualitative) and rationale for how selected methods will inform the research questions;

- d. Discussion of the limitations and strengths of the proposed design;
 - e. Description of quantitative and qualitative data to be collected, including the process by which self-reported data will be validated and how potential confounders will be controlled;
 - f. Description of proposed instruments for data collection;
 - g. Sample size calculations for quantitative methods aiming to detect statistically significant differences in outcomes of interest;
 - h. How the theory of change will be considered and integrated into the evaluation.
4. The plan for analyzing the data (**about 1 page**), including:
- a. Overview of proposed process for analyzing qualitative data from transcription to coding to elicitation of relevant themes;
 - b. Overview of proposed quantitative data analysis methods;
 - c. Description of resources that will be drawn upon to conduct the analysis.
5. Write-up and dissemination (**about 1 page**), including:
- a. Plans for developing both an academic publication as well as other local dissemination products such as policy briefs, fact sheets, or implementation guidelines and recommendations, especially regarding lessons learned that can inform other HAP efforts;
 - b. Plans for sharing and soliciting feedback from TRAction, the Alliance, and USAID on drafts of publications, presentations, or other products prior to public distribution;
 - c. Proposed opportunities for a modest dissemination event in the country of the HAP implementation research program.

3.4.3 Management Plan and Organizational Capacity (4 pages maximum, 20 points)

This section must describe the plan and capacity of the applicant and any proposed sub-awardees for managing and carrying out the research, including:

1. List of which research tasks will be carried out by which organizational unit or sub-awardees;
2. The proposed relationships of the applicant, local/governmental organizations, and any proposed sub-awardees, including lines of authority and communication;
3. The management functions necessary for research implementation and how the organization involved will carry them out, including a description of the management policies that will be applied and used for the implementation of this research. These functions include budgeting, financial control, personnel management, adherence to USAID and USG regulations, maintenance of donor relationships, travel, telecommunications, procurement of equipment and supplies, and communication procedures;
4. Description of the depth and breadth of experience of the applicant and any sub-awardee organizations in the research and technical areas described in the application, referencing previously conducted, relevant projects that demonstrate their capabilities;

5. Demonstration that the prime applicant has experience and capability in administratively and financially managing a study of this scale and of managing sub-grants such as those that may be given to other sub-awardees, if any are proposed;
6. Demonstration of the applicant's ability to ensure compliance with ethical standards for human subjects' research through the use of an accredited/registered institutional review board(s) (IRB) or the equivalent thereof, if such approval is necessary. The institution receiving the research award is responsible for protecting the rights and welfare of human subjects. It is the responsibility of the applicant to indicate what, if any, ethical review of their proposed protocol may be required and, if so, through what institution they will submit the proposal for ethical review.

In a separate appendix, the applicant should provide an organizational chart of the organizational relationships.

In a separate appendix, the applicant should provide references for three prior contracts, grants and/or cooperative agreements, which the applicant organization has received. In addition, two references should also be provided for each partner proposed as a sub-recipient. The references should include the name of the activity funded, its scope of work, and the current contact information for each reference (complete name, institution/affiliation, email addresses and telephone numbers). Where feasible, references for USAID or other USG financed projects are preferred. Also preferred are references for projects on subject matter related to this RFA. References should not exceed 2 pages each. The format for these references is shown in **Appendix A**.

3.4.4 Personnel & Staffing (2 pages maximum, 10 points)

This section should clearly describe the staffing for the research, including:

1. A list and description of positions;
2. The staff that will be assigned to each position;
3. Proposed roles, qualifications, experience, and percent time to be devoted to this research for all staff proposed;
4. How the background and experience of each proposed staff member relates to their proposed roles and responsibilities;
5. A description of any short-term technical assistance experts that will be utilized for specific purposes in the project;
6. The staff considered to be key personnel. Key personnel for this project include a PI or Co-PIs, a Study/Project Director, and any senior staff from the key prime and collaborating partner(s) (please limit Key Personnel to no more than three people). The Study/Project Director is responsible for overseeing the administrative direction and financial oversight of the award. The PI is responsible for the technical implementation of the project. The Study/Project Director must be a full time employee of the prime applicant organization. The same person may serve as both the PI and the Study Project

Director. If the roles of PI and Study/Project Director are assumed by two different people, the PI may be a staff member from a sub-recipient partner of the prime organization. Neither the PI nor the Study/Project Director need to be assigned full time to the study.

In separate appendices, the applicant should provide CVs and letters of commitment from all key personnel, indicating their availability to serve in the stated position for the percentage of time indicated (full-time, part-time %, etc.), intention to serve for a stated term, and agreement to the compensation level.

3.4.5 Implementation Plan (in appendix, 10 points)

In a separate appendix, the applicant must provide an Implementation Plan consisting of:

1. A table detailing the main categories of research activities (i.e. planning, data collection, data analysis, etc.) and specific activities to be carried out in each category, which will be described in a report at the end of each quarter in which the activity is taking place or to be completed;
2. A feasible research timeline;
3. Study milestones appropriate for the research;
4. Study deliverables; and
5. Identification and mitigation strategies for overcoming any potential risks or delays to timely completion of the research.

3.4.6 Appendices to the Technical Application

The following appendices should be submitted in the same document with the technical proposal:

1. A letter of support from a local partner in each country that the research is being conducted who agrees to support the research.
2. Letters of commitment from applicant organization and proposed sub-awardees (if any);
3. Past performance references of the applicant organization;
4. Past performance references of the proposed sub-awardee organizations (if any);
5. Organizational chart;
6. CVs from key personnel;
7. Letters of commitment from key personnel;
8. Implementation Plan table;
9. Additional documentation such as questionnaires, maps of study locations, laboratory protocols, etc. (optional)

3.5 Cost Application Instructions and Evaluation

The Cost Application budget must be submitted in a separate document in Microsoft Excel format (with formulas) at the same time the technical application is submitted. The applicant should propose a line item budget submitted according to the instructions and template in **Appendix C** of this RFA. There will be no profit/fee allowed for this award. The detailed budget, once negotiated and approved, will be the successful applicant's budget to manage the project. If there are sub-awards to other organizations, the applicant's budget should include a subtotal line for each sub-award. A separate detailed budget should also be provided for each sub-award. Specifically, the budget should include a detailed estimate of costs involved in:

1. Preparing for and attending a two-day kick-off workshop (the applicant should budget for travel, per diem, and salary/wage costs for one or two key personnel to attend the workshop in Washington, DC);
2. Conducting the research study and analysis, including the associated salaries and wage costs of project personnel, travel expenses, equipment and supplies, direct and indirect costs, and costs of sub-awards; and
3. Preparing for and participating in a one-day dissemination event in the country of the HAP implementation research program (the applicant should budget for travel, per diem, and salary/wage costs for one or two key personnel to attend the dissemination event).

A Budget Narrative should include a description of the costs and how they were determined or calculated for each line item in the budget. Applicants should review and confirm that all amounts and formulas are correct and in US dollars and state the exchange rate (if applicable) for the day of submission.

After the Technical Applications are evaluated by the Technical Review Panel, TRAction and the Alliance will review the Cost Applications. There will be no points given for the Cost Application. However, final selection of awards will take into consideration cost realism, cost sharing, and best value for TRAction, the Alliance, and the US Government.

3.5.1 What Can be Funded

1. Implementation expenses for the research such as planning meetings, staff training needed for project purposes, reproduction or printing of documents;
2. Limited international travel and per diem as required by the research;
3. Computer supplies and software needed for the research;
4. Salaries or other compensation for staff;
5. Compensation or reimbursements for subjects involved in extensive data collection;
6. Telecommunications related to the research;
7. Rental of driver services with vehicles; and

8. Local travel and per diem for research purposes, provided that any such reimbursement is paid at the Host Country Government rate, US government rate, or on an actual cost reimbursement basis.

3.5.2 What Cannot be Funded

Operating costs of a program such as health care provider salary supplements or stipends, drugs and medical supplies, transportation of patients for referrals, and purchase of vehicles cannot be funded. Also, the research funds cannot be used to pay for any financial or non-financial incentives. The funding cannot support the implementation of the actual HAP intervention (such as provision of clean cookstoves or fuels, or other support for carrying out the intervention). This list is not all-inclusive, and additional questions on eligibility of items and costs should be addressed to tracapply@urc-chs.com and research@cleancookstoves.org prior to the deadline for questions noted on the cover page of this RFA.

3.6 Submission Instructions

Applications must be submitted in English to tracapply@urc-chs.com and research@cleancookstoves.org by 11:59p.m. EST on the Submission Date on the cover page of this RFA.

1. Applicants are encouraged to submit a Letter of Intent, indicating the applicant organization(s), PI/Study Director names and contact information, country location, and program interventions, to tracapply@urc-chs.com and research@cleancookstoves.org by 11:59p.m. EST on the date listed on the cover page of this RFA. Letters of Intent are preferred, but not required.
2. The application must be divided into two parts, the Technical Application and the Cost Application.
3. The Technical Application should be typed in a 12 point font and not exceed 20 pages (not including Cover Page, Table of Contents, List of Acronyms, Executive Summary, or Appendices).
4. The Technical Application and Appendices should be submitted by email as a single document in Microsoft Word or PDF format.
5. The Cost Application budget should be sent as a separate Microsoft Excel document.
6. A Budget Narrative should be typed in a 12 point font and be submitted in Microsoft Word or PDF format. The Budget Narrative should be sent as part of the Cost Application.
7. An Application Checklist can be found in **Appendix B** with more detailed specifications for submission.
8. Incomplete submissions that do not include the items required in this RFA and any amendment/modification or late submissions may be excluded from further consideration.

9. Modifications to the RFA may be made at any time prior to the Application submission deadline. Deadline for submission may be extended depending on the scope of a modification. All modifications will be posted on the TRAction and Alliance websites (<http://www.tractionproject.org> and <http://cleancookstoves.org/>). Modifications after the deadline for submission will be communicated only to those applicants who submitted applications. All prospective applicants are encouraged to visit the website regularly, and the sponsoring organizations will not have any responsibility if an applicant is not aware of a posted modification or an update.

4 ADMINISTRATION OF AWARD

4.1 Post-Submission Supporting Documents

After initial review of the applications, before making the final award decisions, top applicants will be required to provide the following documents. These do not need to be provided in the initial application.

- **Certifications and Representations** as elaborated in **Appendix E**.
- A **research design consort chart or logic model** to display graphically the research design and proposed process for dissemination of the research findings.
- For all studies involving human subjects, applicants must submit written assurance for compliance with the guidelines established by the appropriate Institutional Review Board (IRB) or equivalent concerning the protection of human subjects before the research study begins. The following documentation must be submitted prior to the start of the study: 1) **complete application submitted to IRB or equivalent**; 2) **consent forms** to be used in the study, if applicable; and 3) a **signed letter from the IRB** or equivalent indicating that the study has been approved or exempted by the IRB.

4.2 Reporting Requirements

Once the award is made, the applicant/awardee must provide TRAction and the Alliance with:

1. **Work plan and Budget:** Within 30 days of award, the awardee must provide a work plan describing the activities to be undertaken. A corresponding revised line item budget should also be provided for any sub-awardees of lower tier, if changes from the original are anticipated. Any changes in major categories of line items exceeding 10% of the total budget need to be approved by TRAction and the Alliance. However, the revised budget must not exceed the award amount.
2. **Quarterly Technical Progress Reports** describing progress made and any problems encountered. These reports will consist of an annotated update of progress on the activities listed in the approved Implementation Plan. The awardee will list the activities completed during the quarter, whether they occurred according to the original schedule and, if not, why not. The Quarterly Technical Reports must be submitted within 20 days following the end of each quarter.

3. **Quarterly Financial Reports** showing funds obligated, budgets, expenditures and funds remaining for the awardee and for each sub-awardee of lower tier within 20 days following end of each quarter.
4. **Advance copies** of any abstracts, publications or presentations, submitted to TRAction and the Alliance for review (not approval) as early as possible, but at least 3 weeks prior to submission of an abstract or article to a journal or conference.
5. **Final Study Report** within 60 days of completion of the research activities, detailing:
 - a. Strategies, methods, and tools used to conduct the research and analysis;
 - b. key outcomes/major findings and their implications, and any important lessons learned related to implementation;
 - c. innovative program or intervention approaches identified;
 - d. program and/or policy recommendations relevant to implementing HAP programs;
 - e. unexpected barriers identified and how those barriers were addressed; and
 - f. dissemination activities underway or completed, including any publications or presentations and suggested future dissemination activities.
6. **Publications:** Publication of the research in an open access, high-impact, peer-reviewed journal. Applicants are encouraged to publish additional publications jointly with other awardees where feasible.

Other reporting requirements include:

- **USAID Health Research Information Tracking System:** The awardee and/or sub-awardees shall enter study specific data and attach study documentation (e.g. protocols, updates, policy briefs, presentations, draft manuscripts, and final publications) into the web-based Health Research Information tracking system (HRIT) at <http://hrit.kmsggh.org/login.aspx> regularly, and not less than two times a year.
- The awardee and sub-awardees will agree to adhere to the **NIH Public Access Policy**. Please see <http://publicaccess.nih.gov/FAQ.htm>
- **Data sharing** is essential for expedited translation of research results into knowledge, products, and procedures to improve human health. URC/TRAction, USAID, and the Alliance endorse the sharing of study designs and final research data to serve these and other important scientific goals. The sponsoring organizations expect and support the timely release and sharing of final research data from the funded studies for use by other researchers and public health programs. As studies are developed with support from URC/TRAction and the Alliance, the successful awardee and sub-awardees are expected to develop plans and timetables for release and sharing of data in conjunction with the protocol development process or at that time communicate an acceptable rationale why data sharing will not be possible or appropriate.

4.3 Fiscal Controls

The award will be cost-reimbursable and involve incremental funding. Therefore, appropriate accounting for expenditures is required with adherence to USAID regulations for eligible costs.

Any sub-award of lower tier is subject to prior written approval from TRAction and the Alliance. Awardees will be responsible for disbursement of funds to any lower tier sub-awardees and for their compliance with standard accounting procedures and with USAID regulations.

4.4 Substantial Involvement of USAID, TRAction, and the Alliance

1. The selected awardee will be responsible for the development of a workplan and budget, which will be reviewed for approval by URC/TRAction, the Alliance, and the USAID TRAction AOR. The awardee will also be responsible for getting IRB and other government clearances, when needed, before initiating any research activities. No work will be initiated before the approved start date of the sub-agreement.
2. TRAction and the Alliance will approve the awardees' work plans, including: planned activities, travel plans, planned expenditures, knowledge management plans, event planning/management, studies/protocols, and changes to any activity to be carried out under the sub-agreement.
3. Monitoring by TRAction, the Alliance, and USAID is intended to permit specified kinds of direction or redirection because of interrelationships with other projects, including approval of:
 - An initial Implementation Plan, or later substantive changes;
 - Any changes to specified key personnel;
 - Any substantive changes in the research plan;
 - Any sub-agreements from the awardee to sub-awardees of lower tier; and
 - A branding strategy and marking plan (guidance to be provided post-award).
4. In addition to URC/TRAction and the Alliance, the USAID/TRAction Agreement Officer's Representative (AOR) will closely monitor the progress of the research studies and at times may ask URC/TRAction and the Alliance to consult with the PIs to request additional information or to suggest or require changes in the plan or activities. Periodic meetings may be planned to discuss the research during the course of the work.

4.5 Other Sub Award Management Issues and Policies

1. Issuance of this RFA does not constitute an award commitment on the part of URC or the Alliance, nor does it commit URC/TRAction, the Alliance, or the US government to pay for costs incurred in the submission of an application. Furthermore, URC and the Alliance reserve the right to reject any and all applications, or to award a grant without further discussion or negotiations if it is considered to be in the best interests of USAID, TRAction, and the Alliance.
2. Any awards made in response to this RFA will be funded incrementally and are subject to the availability of US government funds.
3. The applicant must commit to initiate implementation within **thirty (30) days** of the award.

4. Any reports or publications produced must follow the USAID Branding Strategy and Marking Plan, which will be provided to the sub-awardee upon award.
5. The awardee must obtain a valid DUNS number prior to award and provide it to URC/TRAction and the Alliance. Requirements for DUNS numbers can be found here: <http://transition.usaid.gov/policy/ads/300/302sao.pdf>
6. URC/TRAction and the Alliance may be required to report on names and executive compensation of the awardee's five most highly compensated executives for the awardee's preceding completed fiscal year, if: (i) In the awardee's preceding fiscal year, the awardee's received - (a) 80 percent or more of its annual gross revenue from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and sub-awards); and (b) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and sub-awards); and (ii) The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. Applicability of this requirement will be determined upon award.

5 REFERENCES

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6 APPENDICES TO THIS RFA

Appendix A: Format for Organizational References

Appendix B: Application Checklist

Appendix C: Budget Instructions

Appendix D: Legal Authority for the Administration of Grants

Appendix E: Certifications and Representations

APPENDIX A: FORMAT FOR ORGANIZATIONAL REFERENCES

PERFORMANCE REPORT – SHORT FORM
PART I: Award Information (to be completed by applicant)
1. Name of Awarding Entity:
2. Award Number:
3. Award Type:
4. Award Value (TEC): (if sub-agreement, sub-agreement value)
5. Problems: (if problems were encountered on this award, explain corrective action taken):
6. Contacts: (Name, Telephone Number and email addresses)
6a. Agreement Officer:
6b. Agreement Officer's Representative (AOR):
6c. Other:
7. Recipient:
8. Title/Brief Description of Product/Service Provided:
9. Information Provided in Response to RFA:
PART II: Performance Assessment (to be completed by Agency)
1. Quality of product or service, including consistency in meeting goals and targets, and cooperation and effectiveness of the applicant in fixing problems. Comment:
2. Cost control, including forecasting costs as well as accuracy in financial reporting. Comment:
3. Timeliness of performance, including adherence to agreement schedules and other time-sensitive project conditions, and effectiveness of home and field office management to

make prompt decisions and ensure efficient operation of tasks. Comment:

4. Customer satisfaction, including satisfactory business relationship to clients, initiation and management of several complex activities simultaneously, coordination among subcontractors and developing country partners, prompt and satisfactory correction of problems, and cooperative attitude in fixing problems. Comment:

5. Effectiveness of key personnel including: effectiveness and appropriateness of personnel for the job; and prompt and satisfactory changes in personnel when problem with clients where identified. Comment:

APPENDIX B: APPLICATION CHECKLIST

1. Letter of Intent

- A. Name of applicant organization(s)
- B. Names of PI/Study Director
- C. Contact Information of PI/Study Director
- D. Proposed country location
- E. Short description of program interventions

2. Technical Application

A. Format Requirements

1. Written in English
2. Typed in a Microsoft Word compatible program, single-spaced with a 12 point font and one inch margins
3. Maximum of 20 pages not including cover page, table of contents, list of acronyms, executive summary, cost application, and appendices
4. Saved and submitted by email as one document in .pdf format
5. Labeled with page numbers, the RFA number and the name of the applicant organization on every page

B. Content Requirements

1. Cover Page
2. Table of Contents
3. List of Acronyms
4. Executive Summary (2 pages maximum)
5. Technical Approach (14 pages maximum)
6. Management Plan and Organizational Capacity (4 pages maximum)
7. Personnel & Staffing (2 pages maximum)
8. Appendices to the technical Application, to include the following:
 - a. A letter of support from a local partner in each country that the research is being conducted who agrees to support the research;
 - b. Letters of commitment from applicant organization and proposed sub-awardees (if any);
 - c. Past performance references of the applicant organization;
 - d. Past performance references of the proposed sub-awardee organizations (if any);
 - e. Organizational chart;
 - f. CVs from key personnel;
 - g. Letters of commitment from key personnel;
 - h. Implementation Plan table;
 - i. Additional documentation such as questionnaires, maps of study locations, study protocols, reports, etc. (optional)

3. Cost Application

Translating Research into Action (TRAction) and Global Alliance for Clean Cookstoves (the Alliance)
RFA Solicitation Number: HAP2015-001

- A. Summary Budget in Excel for applicant and any proposed sub-awardees
- B. Detailed Budget in Excel
- C. Budget Narrative
- D. NICRA (if applicable) or other documentation to support indirect cost rates (if the applicant does not have a NICRA, all costs should be directly billable), or the applicant has the ability to use a de minimus 10% rate in accordance with 2 CFR 200.414; see www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200). NOTE: Research awards funded by the Alliance will be required to cap indirect costs at a maximum of 13% of the total budget.
- E. Audited Financial Statements

APPENDIX C: BUDGET INSTRUCTIONS

1. Provide a Summary Budget in US dollars in EXCEL format with the following categories:

- a. Applicant Personnel
- b. Applicant Fringe Benefits
- c. Applicant Travel and Per Diem
- d. Equipment
- e. Other Direct Costs
- f. Sub-awards or Sub-contracts, if any
- g. Indirect Costs (if supported by NICRA)*
- h. Total costs
- i. Cost Share

Please be sure to review and confirm that all amounts and **formulas are correct and in US dollars**. Please state the exchange rate for the day of submission.

*Note: If the applicant does not have a NICRA, all costs should be directly billable.

2. Provide a Detailed Line Item Budget in US dollars as follows:

Personnel: Please list each person separately, including their title/position. The personnel line item must clearly indicate that person's salary or daily rate and their anticipated level of effort (LOE) by year. LOE is the number of work days or percentage of overall work time that will be dedicated and charged to the sub-grant. While proposed daily rates must be in accordance with the actual level of compensation for proposed individuals, compensation of these rates shall not be in excess of the USAID Contractor Salary Threshold rate, currently \$648.88.

Fringe Benefits: Fringe benefits are additional personnel costs that are either required by local law or are provided according to common practice and your organization's written policies applicable to all staff. Examples include mandatory contributions to the national health and social insurance fund; severance pay accruals; private health and accident insurance; expatriate staff allowances. The fringe benefits may be shown as a percent of labor costs, e.g., the approved NICRA fringe benefit rate.

Consultants: Please list all consultants, local, and international, in this line item.

Travel: Please include all costs for travel to be charged to the sub-agreement as well as any lodging/per diem to be provided to staff and consultants while traveling. Local in-country travel and per diem should also be included in this section. Travel and per diem rates must be consistent with your organizations' policies applicable to all projects and may not exceed the Department of State rates found at http://aoprals.state.gov/content.asp?content_id=184&menu_id=81. Local in-country travel and per diem should also be included in this section.

Equipment and Supplies: Equipment is defined as having a useful life of more than one year and a unit price of US \$5,000 or more. Supplies are those items valued at less than US \$5,000 and consumed directly for the operation of the program, e.g., furniture, stationery, etc. If needed for the project purposes, applicants shall budget for supplies and equipment.

Translating Research into Action (TRAction) and Global Alliance for Clean Cookstoves (the Alliance)
RFA Solicitation Number: HAP2015-001

Sub-awards: Please list each sub-grant in separate tabs. Please provide the same level of detail for sub-grantees of lower tier budgets as what is provided for the applicant's budget. Please include the name of the sub-awardee and the total amount of the anticipated sub-award by year and over the life of the research. If other sub-awards are anticipated but not known at this time, the applicant should estimate the amount and list the name of the sub-awardee as To Be Determined (TBD).

Other Direct Costs: Other direct costs of the program include banking fees, printing costs, postage, and a reasonable proportion of office costs (rent, utilities, security, email access) to be charged to the project, if not covered by the indirect cost charges. For the proportion of office costs, applicants must specify the method they used to determine how much was allocable to the project (e.g., a percentage based on the proportion the budget represents of the organization's total budget; or on staff time devoted to project as a proportion of the organization's total staff time on all projects). Sub-contracts for services (e.g., translation, printing) should be budgeted under "Other Direct Costs".

Indirect Costs: Please include any indirect charges (e.g. fringe benefits, overhead or General and Administrative (G&A) showing the rate(s) and the base to which the rates are applied. Please include how the indirect rates were determined (e.g., USG approved NICRA rates). If you have approved NICRA rates, these must be used and please submit your NICRA in your Cost Application. If the applicant does not have NICRA, all costs should be directly billable and included in the appropriate line items in the budget for direct costs, or the applicant has the ability to use a de minimus 10% rate in accordance with 2 CFR 200.414; see www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200. Research awards funded by the Alliance will be required to cap indirect costs at a maximum of 13% of the total budget.

A separate detailed line item budget for each sub-awardee must also be provided and listed in the applicant's budget. The detailed sub-award budgets should include line items for the same categories as for the applicant's budget.

Cost Share: The applicant should provide the amount of cost share to be contributed (must be at least 15%), the research cost items to be shared and the sources of the cost share. The total amount can be provided on a line under the budget total costs, and then described in more detail in the budget narrative.

3. Provide a Budget Narrative as follows:

Describe for each line item: How costs were determined or calculated, if these are based on actual costs, prior experience, or recently received quote.

A budget template can be found on the website for your use:

<http://www.tractionproject.org/research-areas/implementation-and-delivery-science/rfa-listings/household-air-pollution>

APPENDIX D: LEGAL AUTHORITY FOR THE ADMINISTRATION OF GRANTS

1. Authority

The authority for these awards is found in the Foreign Assistance Act of 1961, as amended, and re-delegated to University Research Co., LLC under Cooperative Agreement No. GHS-A-00-09-00015-00 with the U.S. Agency for International Development.

2. Policies and Provisions

Awards will be administered in accordance with the USAID policies and procedures.

Awards organizations will be administered in accordance with the cost principles contained in 2 CFR 200 and USAID Standard Provisions for Non-U.S. and Non-governmental Organizations. These documents are available at the below websites.

2 CFR 200 - www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200

Standard Provisions - <http://www.usaid.gov/policy/ads/300/303mab.pdf>

APPENDIX E: CERTIFICATIONS AND REPRESENTATIONS

PART I - Certifications, Assurances, and Other Statements of Applicant

1. Assurance Of Compliance With Laws And Regulations Governing Non-Discrimination In Federally Assisted Programs (This assurance applies to Non-U.S. organizations, if any part of the program will be undertaken in the U.S. Otherwise – put “Not Applicable”)

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

- (1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;
- (2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;
- (3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;
- (4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and
- (5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

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

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

or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

2. Certification Regarding Lobbying

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

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

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

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

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

3. Statement for Loan Guarantees and Loan Insurance

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

4. Certification Regarding Terrorist Financing, Implementing Executive Order 13224

By signing this Subagreement, the Subrecipient provides the certification set out below:

A. The Recipient, to the best of its current knowledge, did not provide, within the previous ten years, and will take all reasonable steps to ensure that it does not and will not knowingly provide, material support or resources to any individual or entity that commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated, or participated in terrorist acts, as that term is defined in paragraph 3.

B. The following steps may enable the Recipient to comply with its obligations under paragraph 1:

a. Before providing any material support or resources to an individual or entity, the Recipient will verify that the individual or entity does not (i) appear on the master list of **Specially Designated Nationals and Blocked Persons**, which is maintained by the U.S. Treasury's Office of Foreign Assets Control (OFAC), or (ii) is not included in any supplementary information concerning prohibited individuals or entities that may be provided by USAID to the Recipient.

b. Before providing any material support or resources to an individual or entity, the Recipient also will verify that the individual or entity has not been designated by the United Nations Security (UNSC) sanctions committee established under UNSC Resolution 1267 (1999) (the "1267 Committee") [individuals and entities linked to the Taliban, Usama bin Laden, or the Al-Qaida Organization]. To determine whether there has been a published designation of an individual or entity by the 1267 Committee, the Recipient should refer to the consolidated list available online at the Committee's Web site:

<http://www.un.org/sc/committees/1267/pdf/AQList.pdf>

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

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

C. For purposes of this Certification -

a. "Material support and resources" means currency or monetary instruments or financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials."

b. "Terrorist act" means -

(i) an act prohibited pursuant to one of the 12 United Nations Conventions and Protocols related to terrorism (see UN terrorism conventions Internet site:

<http://www.un.org/en/terrorism/>; or

(ii) an act of premeditated, politically motivated violence perpetrated against noncombatant targets by subnational groups or clandestine agents; or

(iii) any other act intended to cause death or serious bodily injury to a civilian, or to any other person not taking an active part in hostilities in a situation of armed conflict, when the purpose of such act, by its nature or context, is to intimidate a population, or to compel a government or an international organization to do or to abstain from doing any act.

c. "Entity" means a partnership, association, corporation, or other organization, group or subgroup.

d. References in this Certification to the provision of material support and resources must not be deemed to include the furnishing of USAID funds or USAID-financed commodities to the ultimate beneficiaries of USAID assistance, such as recipients of food, medical care, micro-enterprise loans, shelter, etc., unless the Recipient has reason to believe that one or more of these beneficiaries commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

e. The Recipient's obligations under paragraph 1 are not applicable to the procurement of goods and/or services by the Recipient that are acquired in the ordinary course of business through contract or purchase, e.g., utilities, rents, office supplies, gasoline, etc., unless the Recipient has reason to believe that a vendor or supplier of such goods and services commits, attempts to commit, advocates, facilitates, or participates in terrorist acts, or has committed, attempted to commit, facilitated or participated in terrorist acts.

This Certification is an express term and condition of any agreement issued as a result of this application, and any violation of it will be grounds for unilateral termination of the agreement by USAID prior to the end of its term.

5. Prohibition On Assistance To Drug Traffickers For Covered Countries And Individuals (Ads 206)

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

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

PART II - OTHER STATEMENTS OF RECIPIENT

1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:
Name Title Telephone No. Facsimile No.

Translating Research into Action (TRAction) and Global Alliance for Clean Cookstoves (the Alliance)
RFA Solicitation Number: HAP2015-001

2. TAXPAYER IDENTIFICATION NUMBER (TIN)

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

TIN: _____

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

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

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

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

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

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

DUNS: _____

4. LETTER OF CREDIT (LOC) NUMBER

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

LOC: _____

5. TYPE OF ORGANIZATION

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

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

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

6. KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

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

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

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

Signature: _____

Date: _____

Name: _____

Title/Position: _____

Organization: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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

7. PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

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

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

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

Translating Research into Action (TRAction) and Global Alliance for Clean Cookstoves (the Alliance)
RFA Solicitation Number: HAP2015-001

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

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

Signature: _____

Name: _____

Date: _____

Address: _____

Date of Birth: _____

NOTICE:

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

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