Issuance Date: October 30, 2019

Pre-Applicants Conference:
Deadline for registering to attend: November 12, 2019 4.00 p.m. Uganda Time
Date and Time Conference: November 19, 2019 9:00 a.m. Uganda Time
Location of Pre-Applicants: Will be provided after registration

Deadline for RFA Questions: November 12, 2019 4:00 p.m. Uganda Time
Anticipated date of response to Questions: December 6, 2019

Submission of Applications:
Closing Date for submission of Applications: December 30, 2019
Closing Time for submission of Applications: 4:00 p.m. Uganda Time

Place of Performance: Uganda

Subject: Notice of Funding Opportunity (NOFO)
Request for Applications (RFA) Number**:** 72061720RFA000002
Program Title: **USAID/Uganda Local Service Delivery for HIV/AIDS Activity**

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001-- USAID Foreign Assistance for Programs Overseas

Ladies/Gentlemen:

The United States Agency for International Development (USAID) Mission to Uganda (USAID/Uganda) is seeking applications from qualified entities to implement the USAID/Uganda Local Service Delivery (LSD) for HIV/AIDS Activity.

This funding opportunity is authorized under the Foreign Assistance Act (FAA) of 1961, as amended. The resulting award will be subject to 2 CFR 200 – Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, and USAID's supplement, 2 CFR 700, as well as the additional requirements found in other Sections of this NOFO.

Subject to the availability of funds, USAID intends to provide a cumulative total of up to $50 million, to be allocated over the five-year period.

USAID intends to make an award to the responsible Applicant/s who best meets the objectives of this funding opportunity based on the merit review criteria described in this notice of funding opportunity (NOFO) and subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of Activity sought, application submission requirements and selection process. The number of awards is dependent on the quality of the applications received, eligibility, pre-award risk determination and subject to the availability of funds. USAID reserves the right to fund any or none of the applications submitted.

To be eligible for award, the Applicant must provide all information as required in this NOFO and meet eligibility standards in Section C of this NOFO. This funding opportunity is posted on https://www.grants.gov, and may be amended. This NOFO and any future amendment can be downloaded from https://www.grants.gov. Select "Find Grant Opportunities," then click on "Browse Agencies," and select the "Agency for International Development" and search for the NOFO. It is the responsibility of the Applicants to regularly check the website to ensure they have the latest information pertaining to this NOFO. Applicants will need to have available or download a PDF program such as Adobe in order to view and save the forms properly. It is the responsibility of the applicants to ensure that the entire NOFO has been downloaded in its entirety. USAID bears no responsibility for data errors resulting from transmission or conversion process. If you have difficulty registering on www.grants.gov or accessing the NOFO, please contact the Grants.gov Helpdesk at 1-800-518-4726 or via email at support@grants.gov for technical assistance.

Expressions of interest to attend the Pre-Applicants conference should be sent to KampalaUSAIDSolicita@usaid.gov no later than the deadline set on the cover page of this NOFO.

Any questions regarding this NOFO must be submitted in writing to KampalaUSAIDSolicita@usaid.gov to the attention of Mr. Admir Serifovic, Agreement Officer and Ms. Janepher Nabitosi, Acquisition and Assistance Specialist. Questions sent to any other e-mail address will not be answered. The e-mail transmitting the questions must reference the NOFO number and title on the subject line of the e-mail. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted on https://www.grants.gov.

Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov, to the attention of Ms. Janepher Nabitosi, Acquisition and Assistance Specialist. Late applications will not be considered for award. Hard copy, telegraphic, or fax applications (entire Application) are not authorized for this NOFO and will not be accepted.

An Applicant under consideration for an award who has never received funding from USAID may be subject to a pre-award survey to determine financial responsibility, capacity, and ensure adequacy of financial controls. Applicants are encouraged to register with the Data Universal Numbering System (DUNS) and System for Award Management at https://www.sam.gov/portal/public/SAM/ as these are mandatory requirements before any award can be made. In the event that the submission deadline is due before registration is complete, Applicants should proceed with the submission of their applications. USAID may not award to an Applicant unless the Applicant has complied with all applicable unique entity identifier and System for Award Management (SAM) requirements detailed in Section D. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early enough in the process.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID/Uganda Local Service Delivery for HIV/AIDS activity.

Sincerely,

Admir Serifovic
Agreement Officer
USAID/Uganda

Table of Contents

Section A. PROGRAM DESCRIPTION

A. INTRODUCTION/BACKGROUND

A.1 Introduction

Under the President's Emergency Plan for AIDS Relief (PEPFAR), USAID/Uganda seeks to makes an award intends to increase access to quality HIV/AIDS prevention, care and treatment services through local organizations. Through this program, USAID aims to galvanize its partnership with Uganda's non-governmental health sector to accelerate progress toward HIV epidemic control, enhance country ownership and sustainability. This program will ensure that that local institutions are capably leading the way to epidemic control and maintenance, and ultimately contributing to ending AIDS in Uganda.

Epidemic control in Uganda will mean that the number of new HIV infections decreases below the total number of AIDS-related deaths. To achieve this, PEPFAR has mandated all its supported priority countries to meet the UNAIDS "90-90-90" goals whereby, by 2020, across all sexes and age groups, 90% of people living with HIV know their HIV status; 90% of people who know their status are enrolled on treatment; and 90% of people on treatment have suppressed viral loads. For Uganda, the agreed goals are even more ambitious - to achieve "95-95-95" across the treatment cascade. PEPFAR and USAID also remain committed to preventing new infections. The majority of Ugandans access HIV/AIDS care and treatment through the public sector. Of the 25% of HIV services provided by non-governmental institutions, 96% are in the private-not-for-profit (PNFP) sector, constituted by faith-based facilities, private non-governmental organizations and community based organizations. USAID and PEPFAR are also committed to local institutions taking the lead in achieving and maintaining epidemic control.

A.2 Background

The PNFP health sector currently provides 25% of comprehensive HIV and AIDS and over 40% of other health services in Uganda. Besides service delivery, the PNFP sector also plays a critical role in training health workers, with 65% of the nursing and midwifery training institutions in Uganda owned by this sector. This positions the PNFP as a key interlocutor in the Ugandan health sector. However, the sector's performance and growth remains suboptimal with potential to expand access to critical services. For instance, the sector is not sufficiently preventing new infections, identifying HIV positive individuals, enrolling patients on treatment, and achieving viral suppression in order to achieve epidemic control. Weak governance, financing, administration, data management and reporting systems, which are critical for achieving and sustainably maintaining epidemic control are some of the most challenging constraints to the sector.

PEPFAR envisions that with modest technical and financial assistance, local organizations will play a key role in accelerating achievement and maintenance of epidemic control in Uganda. Through targeted technical assistance in service delivery and project implementation, USAID/Uganda seeks to ensure that the PNFP sector is delivering services of the necessary quality and scale to meet these goals. This approach is also designed to enhance the institutional capacity of local PNFP organizations to ensure that administrative structures are well placed to mitigate risk, sustainable financing is more possible, data is managed well and used to yield the highest programmatic impact, and the PNFP sector is reporting its progress transparently and regularly.

USAID/Uganda has a history of investment in HIV/AIDS response and local institutional capacity development. PEPFAR Uganda and the HIV/AIDS service delivery sector established a deep base of knowledge about what works in HIV prevention and response. This activity will draw from best practices in both behavioral and biomedical approaches to prevention. It will also follow approved national guidelines on testing and HIV treatment. This activity will support HIV services that ongoing programs, including the USAID-funded Regional Health Integration to Enhance Services in Uganda (RHITES), implement. The activity will support interventions in the current geographical regions that USAID serves through PEPFAR – East, East Central, Southwest, Lango, and Acholi. Annex B shows districts supported by USAID through PEPFAR.

This activity is new insofar as it separates the PNFP service delivery sector from the governmental sector. In order to address the unique characteristics of the PNFP sector - such as governance structures and community networks -and to ensure that local Ugandan organizations are in the lead in the next phase of the HIV/AIDS response, USAID is pursuing this activity for only the PNFP service delivery sector. USAID/Uganda's Country Development Cooperation Strategy emphasizes Collaboration, Adaptation and Learning (CLA). Through the CLA methodology, this activity will have the ability to manage emerging challenges adaptively when evidence suggests that new approaches are necessary. This activity must strike a balance between deploying tested and evidence-based methods at preventing and responding to HIV and testing innovations to meet the goals of the program.

The RHITES programs and other USAID/Uganda-funded PEPFAR activities have achieved success toward the 95-95-95 goals. Particular successes during the 2018 "Surge for Success" were achieved through aggressive implementation of index partner testing and other differentiated service delivery models that this activity must incorporate. This activity must build on existing evidence and test new approaches to addressing the remaining challenges, for example, finding men over 30-years of age and retaining people diagnosed with HIV on treatment in order to achieve viral suppression.

This activity must reach the demographics most at risk for HIV. PEPFAR has gathered sufficient data to determine which populations are key and priority in the context of Uganda's epidemic. Key populations (KP) include sex workers, men who have sex with men (MSM), and transgender women. Priority populations include fisher folk, truckers, economic migrants, and discordant couples.

KPs face high prevalence and incidence of HIV along with major challenges in accessing quality, stigma-free HIV services. MSM are particularly stigmatized within a legal and policy environment that inhibits non-discriminatory service delivery. Sex work and injection drug use are illegal in Uganda creating challenges in providing services. Transgendered women are marginalized and have barriers to obtaining medical care. Stigma and discrimination against KP and PLHIV in general have been increasing due to the enactment of repressive laws like the Constitutional Amendment (No.2) Act of 2005, the Anti-Pornography Act 2014, the Non-Governmental Organizations Act 2016, the Narcotic Drugs and Psychotropic Substances (Control) Act 2015, and the Registration of Persons Act 2015 that challenge access to services and enjoyment of fundamental human rights. The legal environment not only drives these populations underground but also limits their access to health services and negatively impacts efforts towards epidemic control.[1]

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[1] Uganda COP 2018

This activity must ensure access to services for all eligible individuals in an open and inclusive environment with providers demonstrating the utmost care and professionalism. Measures shall be taken to ensure anonymity (such as unique identifier codes), confidentiality and security of all records, including laboratory results, especially for KPs. Tailored efforts shall be expended to reach populations who need services but are hiding from the law and build trust among them through participatory interventions and increased sensitivity.

In addition, PEPFAR recognizes that adolescent girls and young women (AGYW) require tailored approaches for prevention and response. It also remains a challenge to identify HIV positive men over 30-years of age, to initiate them on treatment and to ensure they stay on treatment to achieve and maintain a suppressed viral load.

PEPFAR and USAID/Uganda recognize that wide-ranging gender disparities and deeply entrenched social and cultural norms result in broad gender inequality. The results of this gender inequality include increased vulnerability to HIV, gender-based violence, and unequal access to financial and other resources. This activity will analyze the needs of different populations, consider tailored approaches to address the needs of differing demographics, and take opportunities to address gender and social inequalities.

B. Development Hypothesis and Project Goal

B.1 Development Hypothesis

In summary, this activity is designed on the premise that if the quality and sustainability of services in the PNFP health sector improves, then the sector will be better positioned to contribute to HIV epidemic control and sustainable maintenance in Uganda. The elements of epidemic control include prevention and follow the 95-95-95 cascade - testing and counseling, enrollment and retention on treatment, and viral suppression across all sexes and age groups. The activity will also enhance the institutional strength of PNFP entities to ensure that local organizations are in the lead as Uganda reaches and sustains control of the HIV epidemic.

B. 2. Project Goal

This activity will support the achievement of the Government of Uganda and PEPFAR goals of reaching and maintaining HIV epidemic control by 2020 and ending AIDS by 2030. The activity will be aligned to the jointly developed 2019 Uganda PEPFAR Country Operational Plan (COP) and subsequent COPs.

The duration of the activity is five years from the date of award. Over the course of the activity, the recipient will work through the non-governmental health sector to deliver quality HIV services along the 95-95-95 cascade including HIV prevention and institutional capacity development of the PNFP sector. The recipient will be assigned annual targets tailored to the HIV burden in each region as the epidemic evolves through the life of the award.

C. Objectives and Expected Results

The objectives and expected results are outlined below. The recipient is expected to work within the PNFP facilities in all of the USAID PEPFAR regions and at the community level. USAID/Uganda recognizes that at the community level, populations are not defined by the type of facilities they utilize and as such, the recipient is expected to work beyond PNFP community networks to achieve the necessary community-based targets within the designated catchment area.

Objective 1: New HIV Infections are Prevented

- Result 1.1 Proven high impact social, behavioral, structural and biomedical HIV prevention approaches scaled up in PNFP health facilities.
- Result 1.2 Proven high impact social and behavioral, structural and biomedical HIV prevention approaches scaled up in communities.
  - Output 1.2.1 PNFP clinical and non-clinical staff trained in KP programming and service delivery.
  - Output 1.2.2 Comprehensive HIV prevention package for KP rolled out and monitored along the cascade.

Objective 2: 95% of Target Populations Living with HIV know their HIV Status

- Result 2.1 Quality, targeted, high yield, facility-based HIV testing and counseling services provided at scale.
  - Output 2.1.1 Capacity of PNFP health providers for sustained delivery of quality HIV testing and counseling (HTC) services improved.
- Result 2.2 Quality, targeted, high yield, community-based HIV testing and counseling services provided at scale
  - Output 2.2.1 Communities mobilized and knowledge, attitudes and practices towards HTC as an entry service for HIV/AIDS prevention care and treatment increased
  - Output 2.2.2 Case finding of pediatrics, adolescents, key populations[2] and men enhanced.
- Result 2.3 Community and facility referrals and linkages improved so that all HIV positive clients identified are immediately enrolled on treatment.

Objective 3: 95% of Target populations Living with HIV are on Treatment

- Result 3.1 All diagnosed people living with HIV are promptly initiated on treatment
  - Output 3.1.1 Access for PLHIV to effective treatment and support interventions including adult and pediatric antiretroviral therapy (ART), TB/HIV and elimination of mother to child transmission (eMTCT) in the PNFP health sector increased.
  - Output 3.1.2 An effective continuum of response model implemented in the PNFP sector that ensures adequate access to a wide range of services for HIV-positive clients based on their needs.
  - Output 3.1.3 A standardized package of HIV clinical services implemented to ensure equitable HIV/AIDS care and treatment services across communities and different levels of PNFP facilities.
  - Output 3.1.4 An evidence-based package of services for KPs provided in PNFP health facilities.

[2] These populations are specified in COP 19 approval letter

  - Output 3.1.5 Effective utilization of community platforms including PLHIV networks for patient follow-up and treatment support.
  - Output 3.1.6 Innovative, low cost approaches for adherence, retention and patient follow-up tested and implemented. For example, scaling-up differentiated service delivery models such as community client-led ART delivery (CCLAD) groups, and fast track models such as community drug distribution points (CDDP) to support long-term retention by providing peer support as well as mitigating patient-level barriers to treatment such as long distances to facilities and transport costs.
  - Output 3.1.7 Access to quality laboratory services for HIV/AIDS diagnosis and monitoring services improved.
- Result 3.2 High quality, efficient and effective TB prevention and treatment intervention taken to scale in the PNFP Sector
  - Output 3.2.1 Number of TB cases identified increased.
  - Output 3.2.2 Number of TB patients enrolled on treatment increased.
  - Output 3.2.3 Number of TB patients cured increased.
  - Output 3.2.4 TB Preventative Therapy (TPT) rolled out in the PNFP Sector.

Objective 4: 95% of Target populations on Treatment Have Suppressed Viral Loads

- Result 4.1 All diagnosed people living with HIV on treatment achieve and maintain viral suppression.

Objective 5: Select PNFPs have institutional capacity to sustain epidemic control & maintenance

- Result 5.1 PNFPs have sufficiently strong and defined administrative structures to achieve results, mitigate risks and sustain interventions.
- Result 5.2 PNFPs have improved data management and reporting systems.

D. GEOGRAPHIC FOCUS

This activity will work in five USAID supported regions of Uganda, specifically Southwest, East Central, East, North - Lango, and North – Acholi (see Annex B). The implementing partner will work with USAID-funded PNFP facilities and at the community level in the designated catchment areas to meet PEPFAR targets. The recipient will address region-specific trends and characteristics in HIV prevention, case finding, enrollment, and adherence. The recipient must coordinate within each geography with other USAID implementing partners and Government of Uganda entities, especially PEPFAR and health-focused programs.

E. CROSS CUTTING REQUIREMENTS

E.1 Sustainability

Although PNFPs have established infrastructure and systems that have been built over time, it is acknowledged that these systems are not nimble enough to allow PNFPs to maintain a competitive edge in this rapidly evolving environment. The recipient will support PNFPs to revisit their operational architecture in order to enable them to remain effective, strategic, visionary, flexible and adaptable to changing circumstances. This support will be aimed at helping them strengthen their capacity and remain relevant as key stakeholders in government, civil society and the community. This activity will address sustainability by ensuring that PNFPs have: (i) the competence to perform the tasks associated with this award, (ii) the resources they need (human, logistical and financial) and, (iii) appropriate and functional structures to support service delivery. Competence of PNFPs will be achieved through targeted technical assistance in areas of project management, service delivery, data management and reporting as well as financial and administrative management structures. The recipient will strive to ensure that PNFPs adopt a systems management approach that allows them to keep abreast of modern HIV/AIDS prevention and treatment approaches, remain alert on emerging dynamics and innovations in the HIV/AIDS arena and build a culture of continuous skill improvement and information sharing. The recipient will also support PNFPs to reposition themselves on the national and international landscape through accumulation and dissemination of their own formative and evaluative research, best practices and lessons learned. This will enable them to improve performance on the current set of tasks (based on annual objectives and outputs) and to acquire new capabilities for addressing new sets of challenges. Resources, including financial and human are the core element of sustainability. Support in this area will be leveraged from the USAID/Uganda supported Health Systems Strengthening (HSS) and/or the Accountability and Risk Management Support Services activity (ARMSS) Awards being put in place.

The purpose of the ARMSS activity is to support USAID/Uganda's efforts to strengthen the accountability and fiduciary risk management of local development partners in Uganda. USAID/Uganda's activities are implemented in the context of entrenched and pervasive corruption. USAID takes "a zero-tolerance approach toward fraud, corruption, or violation of law that involves U.S. taxpayer funds." ARMSS is intended to provide technical assistance, training and other support for: (i) third party monitoring; (ii) fiduciary risk management; and (iii) fiduciary capacity building.

E.2. Local Capacity Development (LCD)

This award is restricted to local partners as defined by the Office of the Global AIDS Coordinator (OGAC) as a broader initiative to strengthen local capacity to respond to the HIV/AIDS epidemic in Uganda. Over the past two decades, USAID has expended substantial resources in developing the capacity of PNFP organizations, with assistance focused on building their institutional and technical strengths. This activity will be implemented through the structures and systems of the partner PNFPs. The recipient will prioritize sustainable capacity development using innovative approaches with realistic and measurable indicators for each of the capacity building interventions identified.

E.3. Gender & Inclusive Development

Promoting gender equality and advancing the status of women and girls is vital to achieving USAID's development objectives. It is USAID policy that all offerors/applicants must mainstream and integrate gender into their interventions. Therefore, the recipient is expected to demonstrate compliance with USAID Policy ADS 205, and should explicitly state how this activity supports the gender policies and strategies of the United States and the Government of Uganda[3].

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[3] These U.S. policies and strategies include: The Gender Equality and Female Empowerment Policy; The U.S. National Action Plan on Women, Peace and Security; The U.S. Strategy to Prevent and Respond to Gender-Based Violence Globally; The USAID Vision for Ending Child Marriage and Meeting the Needs of Married Children; The USAID Counter-Trafficking in Persons Policy.

E.4. Youth

USAID/Uganda is committed to ensuring the integration of youth considerations into its activities. At the inception of this award, the recipient will develop a Youth Action Plan to ensure that youth issues are appropriately and effectively integrated, not only into the activity's analyses, approach and activities, but also into the outcomes realized by it. The recipient will also ensure the systematic monitoring of gender and youth activities, outcomes and results as an integral part of the M&E Plan for the activity.

E.5 Environmental Considerations

1) The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Parts 201.3.11.2.b and 204, which require, in part, that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The Local Service Delivery Activity environmental compliance obligations under these regulations and procedures are specified in the following paragraphs.

1a) In addition, the recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1b) No activity funded under this cooperative agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for the activity, as documented in an Initial Environmental Examination (IEE), duly signed by the Bureau Environmental Officer (BEO). Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.

2) All USAID funded activities must comply with 22 CFR 216. Pursuant to this, the Local Service Delivery Activity is covered by an IEE file name: Uganda_ Resilience _Integrated _ Portfolio _IEE, under development.

USAID has recommended a Negative Determination with Conditions Environmental Threshold Determination for the following:

- procurement, storage, management and disposal of health commodities such as medicines and condoms;
- small scale construction/renovation of health facilities; and
- activities that will lead to generation of medical waste such testing for HIV and TB, as well as VMMC.

This indicates that if these activities are implemented subject to specified conditions, they are expected to have no significant adverse effects on the environment. The Recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this cooperative agreement.

3) As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Agreement Officer's Representative (AOR) and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this

cooperative agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

3a) If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the IEE documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

3b) Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

4) Cost and technical applications must reflect environmental documentation preparation costs and approaches where applicable. This may include costs towards the preparation of an environmental mitigation and monitoring plan (EMMP) after award. The recipient is expected to comply with all conditions specified in the approved IEE during implementation.

5) The respondent shall include an illustrative budget for implementing the environmental compliance activities/EMMP. For the purposes of this solicitation, applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost proposal.

6a) The recipient is predicted to use the Environmental Review Form (ERF) or Environmental Review (ER) checklist to screen subgrant proposals to ensure that the funded proposals will result in no adverse environmental impact, to develop necessary mitigation measures, and to specify monitoring and reporting. Use of the ERF or ER checklist is called for when the nature of the grant proposals to be funded is not known well enough to make an informed decision about their potential environmental impacts, yet due to the type and extent of activities to be funded, any adverse impacts are expected to be easily mitigated. Implementation of sub-grant activities cannot go forward until the ERF or ER checklist is completed by the recipient and approved by USAID.

The recipient is responsible for ensuring that mitigation measures specified by the ERF or ER checklist process are implemented and addressed in annual reports. Guidance on the ERF and ER checklist process shall be provided by the MEO.

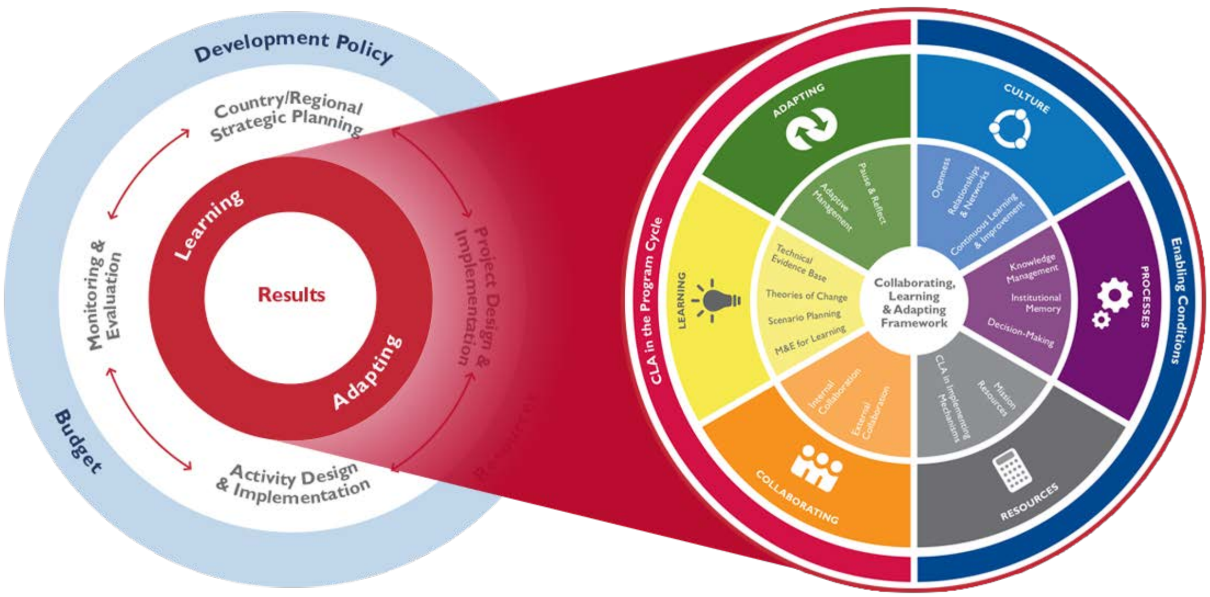
6b) The recipient is responsible for periodic reporting to the USAID AOR, as specified in the Schedule/Program Description.

E.6 Climate Risk Management (CRM)

The Automated Directives System (ADS) 201 mandates climate risk assessment and management for all new projects and activities across sectors to ensure the effectiveness and sustainability of project and activity objectives in the face of extreme weather and climate events. In 2018, climate risk screening analysis established that climate risks were low for HIV control and management project elements, under which the Local Service Delivery for HIV Activity falls. Per ADS 201 and the climate risk screening process detailed in the mission’s approved CDCS, no further climate risk analysis or action is required for the Local Service Delivery for HIV Activity.

E.7 Collaborating, Learning and Adapting (CLA)

Development work presents many opportunities to collaborate and engage with a broad set of stakeholders, to learn from both evidence and experience and to adapt iteratively to unexpected results or changes in context. This is why USAID places "Collaborating, Learning and Adapting" at the center of its Program Cycle, both as a connector between, and an integrated part of the components.



Collaborating

Collaboration enables cross-sector integration, convergence, and effective interventions to maximize development resources and enhance development results. The recipient shall collaborate with USAID-supported activities in common regions of operation and engage with stakeholders (defined collaboratively with USAID AOR) to deliver integrated services to target populations.

Learning

Learning is intentional, systematic and resourced. Sources for learning include data from monitoring, portfolio reviews, findings of research, evaluations, analyses conducted by USAID or third parties, knowledge gained from experience, stocktaking exercises, and other sources. Those documents produced by USAID will be shared with the recipient by the AOR for consideration in the learning phase of CLA.

These sources shall be used to develop and implement plans, manage adaptively, and contribute to the USAID/Uganda knowledge base in order to improve development outcomes. A collaborating, learning, and adapting focus helps to ensure that programming is coordinated, grounded in evidence, and adjusted as necessary to remain relevant and effective throughout implementation.

Knowledge generated by learning shall be applied throughout programming to implementation approaches, processes, and stakeholder engagement. Knowledge generated by learning should also be disseminated to activity stakeholders, partners, and collaborators in an appropriate forum and format so that it may be translated into decisions and actions that enhance the success of approaches and interventions designed to achieve common intermediate results.

The recipient shall share information and knowledge generated by monitoring data, portfolio review results, research findings, evaluations, analyses, and experiences with other USAID implementing partners. The recipient will apply actionable information and knowledge gained from collaborating partners to activity implementation in order to improve results.

USAID implementing partners shall convene on a periodic basis to reflect on actions taken, exchange analysis, and propose decisions that affect implementation.

Adapting

The recipient shall demonstrate adaptability that is informed by knowledge gained through learning, and recognize behaviors and incentives necessary to create change. Knowledge gained through learning shall influence decision making, resource allocation, and adaptation to contextual shifts. Application of new knowledge to implementation decisions shall be reflected in the Annual Work Plan and Activity Monitoring, Evaluation, and Learning Plan (AMELP). Decisions to adapt may be based on, but not limited to the following:

Extraneous changes in the operating environment (i.e. emergency or natural disaster; national policy changes)

Financial and human resource constraints

Evidence that signals targets are unmet

Emerging evidence that interventions are not working or could work better if adapted.

F. GRANTS

The PNFP sector is wide and diverse with multiple players in different regions and contexts. The major players are faith-based organizations (accounting for over 75% of the sector) and non-governmental organizations. Both of these have national coverage with sites across the country. In this context, sub-granting will be a major element of this activity. Sub-grants to partner organizations and health facilities will account for approximately 80 percent of the activity budget. However, no grants are anticipated to be offered to government entities such as local governments, parastatals, or public international organizations.

G. AUTHORIZING LEGISLATION

This activity is authorized in accordance with the Foreign Assistance Act of 1961. Resulting awards to U.S. Non-government Organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS 303), 2 CFR 200, 2 CFR 700, applicable OMB Circulars and Standard Provisions for Non-Governmental Organizations.

2 CFR 200 / 2 CFR 700 is applicable to an award to a U.S. organization made under this RFA.

a) All provisions of 2 CFR 200 / 2 CFR 700 and all Standard Provisions attached to this agreement are applicable to the recipient and to sub recipients which meet the definition of "Recipient" in Part 200, unless a section specifically excludes a sub recipient from coverage. The Recipient shall assure that sub recipients have copies of all the attached standard provisions.
b) For any sub awards made with Non-US sub recipients the Recipient shall include the applicable "Standard Provisions for Non-US Nongovernmental Grantees."
c) For U.S. organizations, 2 CFR 700, 2 CFR 200, and ADS 303maa, Standard Provisions for U.S. Non-governmental Organizations are applicable.; For non-U.S. organizations, ADS 303mab, Standard Provisions for Non-U.S. Non-governmental Organizations will apply.; The applicable Standard Provisions that will apply in any resulting award document can be viewed or downloaded from USAID's Web Site: http://www.usaid.gov/policy/ads/300/303.pdfz

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Section B. FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one or more Cooperative Agreements pursuant to this notice of funding opportunity. Subject to funding availability and at the discretion of the Agency, USAID intends to provide a cumulative total of up to $50 million in USAID funding for the award/s. USAID reserves the right to fund any or none of the applications submitted.

2. Start Date and Period of Performance for Federal Award

The start date is the date of the Agreement Officer's signature of the award and is anticipated to be May 2020. The anticipated period of performance will be five (5) years from the effective date of award.

3. Award Type and Substantial Involvement

USAID anticipates the award to be a Cooperative Agreement. Per guidance in the Automated Directive System (ADS) 303.3.11, to ensure the achievement of the program objectives, USAID's substantial involvement is required during the administration of this award as listed below:

a. Approval of the Recipient's Annual Implementation Plans:

If at the time of award, the program description does not establish a timeline in sufficient detail for the planned achievement of milestones or outputs, USAID may delay approval of the recipient's implementation plan for a later date. USAID must not require approval of implementation plans more often than annually.

Implementation plans include, but are not limited to, annual work plans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, event planning/management, international meeting preparation. USAID shall require the approval of implementation plans annually to ensure alignment with stated goals, milestones and outputs. The implementation plan communicates how and when the recipient will complete project activities and is drafted annually to describe a set of activities planned to be completed during that year. The AOR's review will ensure that the implementation plans fit within the scope, terms and conditions of the agreement.

Annual Implementation Plan will include targets for PEPFAR-Funded Activities as required in PEB No.19-02

Recipient must meet the targets that are set out for each COP Year. If the AO determines that Recipient is not on track to meet targets, or is otherwise noncompliant with the terms of this award, USAID reserves the right to place the Recipient on a Corrective Action Plan (CAP) and/or terminate the agreement in whole or in part pursuant to sections 2 CFR 200.338 through 2 CFR 200.342, Remedies for Noncompliance, or the terms of the award for non-U.S. non-governmental organizations.

Targets for each COP year will be documented in PEPFAR's Data for Accountability, Transparency, and Impact (DATIM) system. For access to DATIM, please register at register.datim.org and contact your AOR.

b. Approval of Specified Key Personnel:

USAID may designate as key personnel only those positions that are essential to the successful implementation of the recipient's program. USAID's policy limits this to a reasonable number of positions, generally no more than five positions or five percent of recipient employees working under the award, whichever is greater.

The Activity will require experts and specialists in a range of FP/RH technical areas as outlined in the Program Description.

For this activity USAID determines the following five (5) key personnel are essential for the successful implementation and achievement of activity results: Chief of Party; Deputy Chief of Party (DCOP); Director, Financial Management and Administration; Director, Grants and Capacity Building; and Director, Monitoring, Evaluation and Learning.

i. **Chief of Party (COP): 100% Time**

The Chief of Party (COP) shall provide overall strategic leadership and oversight to the activity. S/he shall have depth and breadth of technical expertise and experience, a solid professional reputation, interpersonal skills and professional relationships to fulfill the requirements of the activity description. The following are desired qualifications:

- A Master's Degree or higher in Public Health, Social Sciences or related field or a Bachelor's Degree with 5 years of relevant experience;
- Minimum of 12 years of progressively increasing responsibility in managing large comprehensive and complex international development assistance HIV/AIDS and health programs in sub-Saharan Africa;
- High level of interpersonal, technical, and analytical skills including a demonstrated ability to interact effectively and collaboratively with a broad range of public and private sector counterparts and other key stakeholders;
- Excellent organizational, analytical, oral and written communication skills in English;
- Excellent skills and experience in collaborative working relationships with senior level government leadership;
- Previous experience working on U.S. government programs will be considered an asset; and
- Previous experience working with PEPFAR programs will be considered an asset.

ii. **Deputy Chief of Party: 100% Time**

This individual shall directly assist the COP in the design, implementation and monitoring of high impact HIV/AIDS interventions as highlighted in section B. S/he shall have depth and breadth of technical expertise and experience in designing and implementing high impact HIV/AIDS and health services in Uganda or in a similar setting. S/he shall also have expertise in gender issues in Uganda and integration of gender into health projects and services. S/he shall have the requisite management expertise and interpersonal skills, as necessary. S/he will have the following desired qualifications, skills and experience to support this activity:

- Master's Degree in public health, or a related field or Bachelor's degree with 5 years of relevant experience;
- Minimum of ten years of experience with progressively increasing responsibility in supervising and leading a highly successful service delivery and technical assistance program in diverse geographic locations;

- Experience and demonstrated accomplishments in integrating gender into health projects and services;
- Experience in monitoring, evaluation and public health research; and
- Experience and expertise in designing and implementing successful facility and community based HIV services.

iii. **Director, Financial Management and Administration: 100% Time**

This individual shall be responsible for overall financial management and administration of the activity and reporting requirements. Minimum requirements for this position should include:

- Degree in Business Administration, Finance, Public Accounting or other relevant field;
- Professional certification (CPA or ACCA)
- Minimum of eight years of experience in administrative and financial management of large-scale, complex, international programs, including experience in managing donor funded grants and subcontracts/grants
- Experience in risk management and implementation of internal controls
- Strong English written and oral communication skills.

iv. **Director, Grants and Capacity Building: 100% Time**

This individual will be responsible for oversight and management of the grants portfolio under this activity. The individual will also oversee the capacity building component of the activity, with particular focus on strengthening internal systems, financial management of the sub-recipients and building their competence in overall program management. S/he will have the following qualifications, skills and experience to effectively support this activity:

- Master's Degree or Bachelor's degree with relevant experience
- Demonstrated experience in working with high level government, civil society and donor institutions.
- Professional certification (CPA or ACCA) and Audit experience
- Minimum of eight years of experience with progressively increasing responsibility in the management of a successful sub-granting portfolio, preferably with a bilateral or multilateral program.

v. **Director, Monitoring, Evaluation and Learning (MEL): 100% Time**

This individual will oversee all project monitoring, evaluation and learning activities of the project, data collection systems and tools, timely reporting, dissemination and publication of project outcomes, as well as mentor and support the MEL Coordinators. Minimum requirements for this position are:

- A Master's level degree in Public Health, Epidemiology or Statistics or related field;
- Minimum of six years of relevant experience in Monitoring and Evaluation of large scale health and HIV/AIDS service delivery and systems strengthening programs;
- Experience with PEPFAR reporting systems and requirements
- Must have excellent writing, presentation and communication skills in English and
- Demonstrated research experience and skills, complemented by experience in facilitation, close collaboration with varying types of partners.

The key personnel specified above are considered to be essential for successful achievement of goals and results under this Cooperative Agreement. Prior to replacing any of the above specified individuals, the

Recipient must immediately notify both the USAID/Uganda Agreement Officer and Agreement Officer's Representative with reasonable advance notice and submit written justification (including proposed substitutions' resume) in sufficient detail to permit evaluation of the impact on the Activity. No replacement of key personnel will be made by the Recipient without the written consent of the Agreement Officer.

c. Agency and Recipient Collaboration or Joint Participation:

1) Collaborative involvement in selection of advisory committee members:

If the Activity establishes an advisory committee that provides advice to the recipient, USAID will participate in selection of such advisory committee members and participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

2) Concurrence on the substantive provisions of sub-awards:

The recipient must obtain AO's prior approval for the sub-award, transfer, or contracting out of any work under an award in accordance with 2 CFR 200.308. The term 'sub-awards' includes both sub-agreements and contracts under assistance. Please note that any sub-awards (sub-agreements or contracts) to foreign governmental organizations or parastatals of any amount must be approved by the AO, and may warrant additional clearances in accordance with ADS 303.3.21.b and .c.

3) Approval of recipient's monitoring and evaluation plans:

USAID's involvement in monitoring progress toward the achievement of program objectives during the performance, including written guidelines for the content of annual reports and final evaluations through AOR's approval of AMELP.

During the initial activity planning period, the awardee will work closely with USAID to establish major milestones, program monitoring indicators, as well as baseline data and performance targets which will demonstrate successful achievement of the results noted in the Program Description.

4) Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects:

Activities are included in the program description.

Note: the AOR will provide review of the proposed change, and the AO is the only individual who can provide approval for this element of substantial involvement.

d. Agency Authority to Immediately Halt a Construction Activity

Construction is not eligible for reimbursement under this award.

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Section C: ELIGIBILITY INFORMATION

1. Eligible Applicants

In accordance with ADS 303.3.6.1.a and ADS 303.3.6.5.b.(2) the Eligibility for this NOFO is **restricted to Local Entities only**. In response to this RFA, any local Ugandan non-profit, or for-profit entity is eligible to apply who **meets** the following conditions:

Entities who fit the PEPFAR Local Partner definition and the 2016 Ugandan Non-Governmental Act's definition of an Indigenous Organization are eligible to apply for this program.

Under PEPFAR, a "local partner" may be an individual, a sole proprietorship, or an entity. However, to be considered a local partner, the applicant must submit supporting documentation demonstrating that the organization meets at least one of the two criteria listed below.

i. an entity (e.g., a corporation or partnership):

   a. must be incorporated or legally organized under the laws of, and have its principal place of business in, the country served by the PEPFAR program [Uganda] with which the entity is or may become involved;
   b. must be at 75% for FY 2019 beneficially owned by individuals who are citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (i)(a);
   c. at least 75% for FY 2019 of the entity's staff (senior, mid-level, support) must be citizens or lawfully admitted permanent residents of that same country, per subparagraph (i)(a), and at least 75% for FY 2019 of the entity's senior staff (i.e., managerial and professional personnel) must be citizens or lawfully admitted permanent residents of such country; and
   d. where an entity has a Board of Directors, at least 51% of the members of the Board must also be citizens or lawfully admitted permanent residents of such country; or

ii. In case of Sole proprietorship, must be fully owned by a citizen or lawfully admitted permanent resident of and having principal place of business in the country served by the PEPFAR program with which the individual is or may become involved.

The Recipient must be a responsible entity. The AO may determine a pre-award survey is required to conduct an examination that will determine whether the prospective recipient has the necessary organization, experience, accounting and operational controls, and technical skills – or ability to obtain them – in order to achieve the objectives of the program and comply with the terms and conditions of the award.

2. Cost Sharing or Matching

This NOFO requires a minimum of 5% cost share of the projected award amount for the recipient of the award. Applications that do not meet the minimum 5% cost share requirement are not eligible for award consideration and their application will not be evaluated.

Applicants should estimate the amount of cost-sharing resources to be mobilized over the life of the agreement and specify the sources of such resources, and the basis of calculation in the budget narrative. Applicants should also provide a breakdown of the cost share (financial and in-kind contributions) of all organizations involved in implementing the resulting Assistance award.

Cost share may be mobilized from the recipient; other multilateral, bilateral, and foundation donors; host governments; and local organizations, communities and private businesses that contribute financially and in-kind to implementation of activities at the country level. Cost Sharing, once accepted, becomes a condition of payment of the federal share. The proposed cost share (cash and/or in-kind contributions) will be monitored in accordance with 2 CFR 200.306 and 2 CFR 700.1. For guidance on cost sharing in grants and cooperative agreements, see 2 CFR 200 and 700, and ADS 303.3.10.

NOTE: The 5% cost share will be in addition to the total estimated budget of each award under this NOFO.

3. **Limitations on number of applications**

The number of applications an applicant may submit under this NOFO is limited to **one** and this limitation is on both the submitting organization and individual program director. USAID/Uganda will not consider any application in excess of this limitation.

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Section D: APPLICATION AND SUBMISSION INFORMATION

1) Point of Contact

Name: Mr. Admir Serifovic, Agreement Officer
Ms. Janepher Nabitosi, A&A Specialist
Address: USAID/Uganda US Embassy Compound, Ggaba Road Kampala, Uganda
Email: KampalaUSAIDSolicita@usaid.gov

2) Pre-Applicants Conference

Expressions of interest to attend the Pre-Applicants conference should be sent to KampalaUSAIDSolicita@usaid.gov no later than the deadline set on the cover page of this NOFO. Submit at most two names per applicant. Details of the venue will be shared to only those who have expressed interest.

3) Content and Format of Application Submission

a) General

Electronic Submission of Applications via E-mail is required. Applicants must provide applications in compatible MS Word, PDF with Optical Character Recognition and budgets as text accessible, MS Excel spreadsheets. **Paper copies of the applications are not accepted**.

There has been a problem with the receipt of *.zip files due to the anti-virus software. APPLICANTS MUST NOT SUBMIT ZIPPED FILES.

Applicants are expected to review, understand, and comply with all aspects of the NOFO. Applications that do not follow the instructions contained herein run the risk of not being considered in the review process.

Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. Please see subsections c).(1) and c)(2), below, for information on the content specific to the Technical and Business (Cost) Applications. The Technical Application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk and other related issues.

Both the Technical and Business (Cost) Applications must include a **cover page** containing the following information:

- Name of the organization(s) submitting the application;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of the alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name;
- Notice of Funding Opportunity number;
- Date of Application;
- Name of any proposed sub-recipients or partnerships;
- DUNS and Unique Entity Identifier number for primary applicant;
- System for Award Management (SAM) registration status;

Applications signed by an agent on behalf of the Applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

Applicants may choose to submit a cover letter in addition to the cover pages, but it will serve only as a transmittal letter to the Agreement Officer. The cover letter will not be reviewed as part of the merit review criteria.

For an application sent by multiple emails, please indicate in the subject line of the email whether the email relates to the technical or cost application, and the desired sequence of multiple emails (if more than one is sent) and of attachments (e.g. “No. 1 of 4”, etc.). For example, if your cost application is being sent in two emails, the first email should have a subject line which says: “[organization name], Cost Application, Part 1 of 2”. All emails must also contain the NOFO number in the subject line.

USAID’s preference is that the technical application and the cost application be submitted as single email attachments, e.g. that you consolidate the various parts of a technical application into a single document before sending them. If this is not possible, applications will be submitted via email with up to 10 attachments (4MB limit) per email.

Failure to comply with NOFO requirements will result in application to be considered as being non-responsive and run the risk of rejection. Applicants should retain a copy of the application and all enclosures for their records.

b) **Format of Applications**

Applications must comply with the following format:

- USAID will not review any pages in excess of the page limits noted in the subsequent sections. Please ensure that applications comply with the page limitations.
- The Application must be written in English.
- Use standard 8 ½” x 11”, single sided, single-spaced, 12 point Times New Roman font, 1” margins, left justification and headers and/or footers on each page including consecutive page numbers, date of submission, and Applicant’s name.
- 10 point font can be used for graphs and charts. Tables however, must comply with the 12 point Times New Roman requirement.
- The Application must be submitted via Microsoft Word or PDF formats, except budget files which must be submitted in Microsoft Excel.
- The estimated start date identified in Section B.2 of this NOFO must be used in the cost application.
- The technical application must be a searchable and editable Word or PDF OCR format as appropriate.
- The Cost application must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant’s discretion, however, the official cost application submission is the unlocked Excel version.

c) **Preparation of Applications - Technical & Cost**

All applications received by the submission deadline will be reviewed for responsiveness to the NOFO and the application format. No addition or modifications will be accepted after the submission date.

It is the Applicant’s responsibility to ensure that all necessary documentation is complete and received on time. USAID bears no responsibility for data errors resulting from transmission or conversion processes associated with electronic submissions.

1) Technical Application

The technical application should be specific, complete and presented concisely. The application should demonstrate the Applicant's capabilities and expertise with respect to achieving the goals and results of this activity as noted in the program description. The application should take into account the requirements of the program and evaluation criteria found in this NOFO. Applicants must organize the narrative sections of their applications with the same headings and in the same order as the Merit Review selection criteria.

The Technical Application is limited to a maximum of **30 pages**, and includes Technical Approach, Management Structure, and Key Personnel – excluding annexes.

The Technical Application shall include the following sections:

i. Cover Sheet (not to exceed 1 page and is not part of the 30-page limitation for the Technical Application).

ii. Table of contents (not to exceed 1 page and is not part of the 30-page limitation for the Technical Application).

iii. Executive Summary (not to exceed 2 pages and is not part of the 30-page limitation for the technical application).

iv. **Technical Approach**

The Technical Approach must address the following:

- The applicant's technical approach must demonstrate an in-depth understanding of the provision of inclusive and tailored HIV and TB services at facility and community levels targeting all eligible beneficiaries.
- The applicant must also demonstrate the ability and capacity to collaborate effectively for the successful achievement of PEPFAR targets.
- The applicant must provide a concise monitoring, evaluation and reporting plan for program results including innovative approaches to enhance timely adaptation of program approaches to achieve results.

v. **Organizational Capacity and Management Structure**

The Applicant should describe their proposed management approach that demonstrates the technical breadth and ability to adaptively manage the program, including the organizational chart reflecting roles, responsibilities and lines of authority, capacity and experience of the Applicant to start up in a timely fashion; the plan on how sub awards will be managed to optimize effectiveness; and the proposed strategies/approaches to ensure fraud, waste, and abuse mitigation.

Applicants shall describe how the proposed management plan will contribute towards achieving the objectives and results described in the activity description, capturing the following:

- Extent to which the proposed key personnel demonstrate the required technical, analytical, and interpersonal skills and experience to successfully achieve the program objectives and results.
- Extent to which the applicant and proposed sub-awardees demonstrate their institutional capability and experience to implement in each USAID PEPFAR region (Annex B)
- Extent to which the applicant demonstrates their ability to collaborate effectively with other USAID implementing partners in the region to ensure coordination and achievement of PEPFAR targets.

vi. **Annexes**

The following annexes must be submitted; any pages exceeding the limits for each annex will not be considered. No other supporting documentation will be reviewed.

Annex 1. Draft 1st year work plan (not to exceed total 5 pages)

Annex 2. Draft Activity Monitoring and Evaluation Plan (not to exceed 5 pages). A draft Activity Monitoring, Evaluation and Learning Plan should be submitted with the application and will include:

- A mobilization plan, which will at a minimum include a timeline for mobilization of key personnel and technical leads, plan for hiring, startup of office (s), and major equipment procurement;
- Performance indicators, planned data sources, data collection and calculation methods, and annual targets directly linked to proposed activities;
- Specific steps to achieve the proposed results in year 1, including outputs, outcomes, deliverables and milestones;
- Clear milestones and indicators for measuring sustainability of supported interventions; and
- A description of how the Recipient will use lessons generated during the course of activity implementation or operations research results to further inform planning and implementation of activities.

Annex 3. Resumes of Key Personnel (not to exceed 3 pages per resume/CV); Resumes for all 5 key personnel must include three past performance references with **up-to-date** telephone numbers and email contact information.

Annex 4. Letters of Commitment (not to exceed 1 page per letter of commitment); Please note that documentation that reflects an "exclusive" relationship or agreement between an individual and an Applicant is not requested and should not be submitted.

Annex 5. Organizational Chart / Management Structure Plan (3 pages); this will include a summary matrix of skills for all personnel anticipated contributing to this activity including all 5 key personnel. Applicants must illustrate staff reporting lines and relationships between the different positions taking into consideration the program's technical complexity and stakeholders.

Annex 6. Sustainability Plan (not to exceed 3 pages); The applicant will submit a sustainability plan as part of this application that demonstrates how activity results will be sustained after completion of the Activity. The applicant must describe the anticipated sustainable elements of the program and any specific approaches proposed to achieve sustainable outcomes.

NOTE: No additional annexes will be accepted.

2) Business (Cost) Application

There is no page limit on the Cost Application. However, unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this NOFO is not desired. The business (cost) application must illustrate the entire period of performance, following the budget format shown in the SF-424A, using the budget Template at Attachment A.

Prior to award, apparently successful Applicants may be required to submit additional documentation deemed necessary for the Agreement Officer to assess the Applicant's risk in accordance with ADS 303.3.9

and 2 CFR 200.205. Certain documents are required to be submitted by an Applicant in order for the Agreement Officer to make a determination of responsibility. However, it is USAID policy not to burden Applicants with undue submission requirements if that information is readily available through other sources. Applicants should not submit any additional information with their initial application unless requested.

If the Applicant has established a consortium or another legal relationship among its partners, the Cost/Business application must include a copy of the legal relationship between the parties. The agreement should include a full discussion of the relationship between the Applicant and Sub-Applicant(s) including identification of the Applicant with whom USAID will work with for purposes of Agreement administration, the identity of the Applicant which will have accounting responsibility, how Agreement effort will be allocated and the express agreement of the principals thereto to be held jointly and severally liable for the acts or omissions of the other.

The Business (Cost) Application must contain the following sections (which are further elaborated below this listing with the letters for each requirement):

i) **Cover Page** (See Section D.2.a) above for requirements)

ii) **SF 424 Form(s)**

The Applicant must sign and submit the cost application using the SF-424 series. Standard Forms can be accessed electronically at www.grants.gov or using the following links:

Instructions for SF-424	https://www.grants.gov/web/grants/forms/sf-424-family.html
Application for Federal Assistance (SF-424)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424A	https://www.grants.gov/web/grants/forms/sf-424-family.html
Budget Information (SF-424A)	https://www.grants.gov/web/grants/forms/sf-424-family.html
Instructions for SF-424B	https://www.grants.gov/web/grants/forms/sf-424-family.html
Assurances (SF-424B)	https://www.grants.gov/web/grants/forms/sf-424-family.html

Failure to accurately complete these forms could result in the rejection of the application.

iii) **Budget and Budget Narrative**

The Budget must be submitted as one unprotected Excel file (MS Office 2000 or later versions) with visible formulas and references and must be broken out by project year, including itemization of the proposed cost. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells make the cost analysis difficult and may result in rejection of the cost application. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed costs. The Applicant must ensure the budgeted costs address any additional requirements identified in Section A Program Description, such as Branding and Marking and Environmental Considerations. The Budget Narrative must be thorough, and should provide information in sufficient details regarding the basis of estimate for each line item, including reference to sources used to substantiate the cost estimate (e.g. organization's policy, payroll document, and vendor quotes, etc.) to support USAID's determination that the proposed costs are fair and reasonable. The required budget format is found in Attachment A of this RFA.

The Budget must include the following worksheets or tabs, and contents, at a minimum:

- Summary Budget, inclusive of all program costs (federal and non-federal), broken out by major cost elements and by year for activities implemented by the Applicant and any proposed sub-applicants for the entire period of the program.
- Summary Budgets - separate tabs for each sub-awardee/subrecipient. Applicants who intend to utilize contractors or sub-awardees/subrecipients should indicate the extent intended and a complete cost breakdown. Sub-applicants/subcontracts should follow the same cost format as submitted by the prime Applicant. A breakdown of all costs according to each partner organization, contract or sub-awardee involved in the program should be provided.
- Detailed Budget, including a breakdown by year of all costs associated with the program, including any regional or in-country offices, sufficient to allow the Agency to determine that the costs represent a realistic and efficient use of funding to implement the Applicant's program and are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.
- Detailed Budgets for each sub-recipient, for all federal funding, broken out by budget category and by year, for the entire implementation period of the project, in the same format as the applicant.

The Detailed Budget must contain the following budget categories and information, at a minimum:

1) **Salaries and Allowances** – Must be proposed consistent with 2 CFR 200.430 Compensation - Personal Services. The Applicant's budget must include position title, salary rate, level of effort in days, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position. Applicants must explain all assumptions in the Budget Narrative. The Budget Narrative must demonstrate that the proposed compensation is reasonable for the services rendered and consistent with what is paid for similar work in other activities of the Applicant. Applicants must provide their established written policies on personnel compensation. If the Applicant's written policies do not address a specific element of compensation that is being proposed, the Budget Narrative must describe the rationale used and supporting market research. Refer to Attachment C on additional guidance for allowances when engaging with Government of Uganda officials.

2) **Fringe Benefits** – (if applicable) If the Applicant has a fringe benefits rate approved by an agency of the U.S. Government, the Applicant must use such rate and provide evidence of its approval. If an Applicant does not have a fringe benefit rate approved, the Applicant may propose a rate in accordance with it established personnel policy and explain how the Applicant determined the rate. In this case, the Budget Narrative must include a detailed breakdown comprised of all items of fringe benefits (e.g., superannuation, gratuity, etc.) and the costs of each, expressed in U.S. dollars and as a percentage of salaries.

3) **Travel and Transportation** – Provide details to explain the purpose of each trip/s, the number of trips, the origin and destination, the number of individuals traveling, and the duration of the trips. Per Diem and associated travel costs must be based on the Applicant's established travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) **Equipment** – Provide information on estimated types of equipment and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and the basis for the estimates. The Budget Narrative must support the necessity of any rental costs and reasonableness in light of such factors as: rental costs of comparable equipment, if any; market conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the equipment leased.

5) **Supplies** – Supplies include all tangible property other than those described as Equipment, proposed to be purchased by government funds. Provide information on types of supplies and the cost per unit and quantity. The Budget Narrative must include the purpose of the supplies and the basis for the estimates for determining cost allowability and reasonableness.

6) **Contractual/Sub-awards -** This may include costs for all sub-awards/contracts. Specify the budget for the portion of the program to be passed through to any subrecipients or contracts including Consultants. See 2 CFR 200.330 for guidance in determining whether the sub-tier entity is a subrecipient or contractor. The subrecipient budgets must align with the same requirements as the Applicant's budget, including those related to fringe and indirect costs.

Note: Pursuant to 2 CFR 200 Contract means a legal instrument by which the Applicant purchases property or services needed to carry out the project or program under a resulting award. The term does not include a legal instrument when the substance of the transaction meets the definition of a Federal award or subaward (see § 200.92 Subaward), even if the Applicant considers it a contract. The Applicant must describe the work to be performed, the risk borne by the contractor, the contractor's investment, the amount of subcontracting, the quality of its record of past performance, and industry profit rates in the surrounding geographical area for similar work. The cost principles do not address profit or fee; A profit or fee under a grant is not a cost, but is an amount in excess of actual allowable direct and **indirect** costs. A fee cannot be paid by a recipient to a consortium participant, including a for-profit organization. However, a fee (profit) may be paid to a contractor/vendor providing routine commercial goods or services under a grant in accordance with normal commercial practice.

7) **Construction –** Not applicable.

8) **Other Direct Costs** – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and inoculations, as well as any other miscellaneous costs which directly benefit the program proposed by the Applicant. The Applicant should indicate the subject, venue and duration of any proposed trainings, workshops, conferences and seminars, and their relationship to the objectives of the program, along with detailed estimates of costs.

9) **Indirect Costs** – Applicants must indicate whether they are proposing indirect costs or will charge all costs directly. In order to better understand indirect costs please see Subpart E of 2 CFR 200.414. The application must identify which approach they are requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

<u>Method 1 - Direct Charge Only</u>
Eligibility: Any Applicant
Initial Application Requirements: See above on direct costs

<u>Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)</u>
Eligibility: Any Applicant with a NICRA issued by a USG Agency must use that NICRA
Initial Application Requirements: If the Applicant has a current NICRA, submit your approved NICRA and the associated disclosed practices. If your NICRA was issued by an Agency other than USAID, provide the contact information for the approving Agency. Additionally, at the Agency's discretion, a provisional

rate may be set forth in the award subject to audit and finalization. See [USAID's Indirect Cost Rate Guide for Non Profit Organizations] for further guidance.

Method 3 - De minimis rate of 10% of modified total direct costs (MTDC)
Eligibility: Any Applicant that has never received a NICRA
Initial Application Requirements: Costs must be consistently charged as either indirect or direct costs, but may not be double charged or inconsistently charged as both. If chosen, this methodology once elected must be used consistently for all Federal awards until such time as a non-Federal entity chooses to negotiate an indirect rate, which the non-Federal entity may apply to do at any time. The Applicant must describe which cost elements it charges indirectly vs. directly. See 2 CFR 200.414(f) for further information.

Method 4 - Indirect Costs Charged As A Fixed Amount
Eligibility: Non U.S. non-profit organizations without a NICRA may request, but approval is at the discretion of the AO Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

Indirect costs (common costs that benefit the day-to-day operations of the organization, including categories such as salaries and expenses of executive officers, personnel administration, and accounting, or that benefit and are identifiable to more than one program or activity, such as depreciation, rental costs, operations and maintenance of facilities, and telephone expenses) for the previous fiscal year and estimates for the current year; Proposed method for prorating the indirect costs equitably and consistently across all programs and activities of using a base that measures the benefits of that particular cost to each program or activity to which the cost applies.

If the Applicant does not have an approved NICRA and does not elect to utilize the 10% de minimis rate, the Agreement Officer will provide further instructions and may request additional supporting information, including financial statements and audits, should the application still be under consideration after the merit review. USAID is under no obligation to approve the Applicant's requested method.

iv) Prior Approvals in accordance with 2 CFR 200.407

In order to avoid subsequent disallowance or dispute based on unreasonableness or non-allocability, the recipient may seek the prior written approval of the USAID for indirect costs or the USAID in advance of the incurrence of special or unusual costs. The absence of prior written approval on any element of cost will not, in itself, affect the reasonableness or allocability of that element, unless prior approval is specifically required for allowability as described under certain circumstances in the 2 CFR 200.407.

v) Approval of Subawards in accordance with ADS 303.3.21

The Applicant must submit information for all subawards/subrecipients/contracts that it wishes to have approved at the time of award. For each proposed subaward the Applicant must provide the following:

- Name of organization
- DUNS Number
- Confirmation that the subrecipient does not appear on the Treasury Department's Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security designation list
- Confirmation that the subrecipient is not suspended or debarred

- Confirmation that the Applicant has completed a risk assessment of the subrecipient, in accordance with 2 CFR 200.331(b)Any negative findings as a result of the risk assessment and the Applicant's plan for mitigation.

4) **Dun and Bradstreet and SAM Requirements**

USAID **may not** award to an Applicant unless the Applicant has complied with all applicable unique entity identifier (DUNS number) and System for Award Management (SAM) requirements. Each Applicant (unless the Applicant is an individual or Federal awarding agency that is exempted from requirements under 2 CFR 25.110(b) or (c), or has an exception approved by the Federal awarding agency under 2 CFR 25.110(d)) is required to:

i. Provide a valid DUNS number for the Applicant and all proposed sub-recipients;
ii. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov).
iii. Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency.

The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin the process early. If an Applicant has not fully complied with the requirements above by the time USAID is ready to make an award, USAID may determine that the Applicant is not qualified to receive an award and use this determination as a basis for making an award to another Applicant.

DUNS number: http://fedgov.dnb.com/webform
SAM registration: http://www.sam.gov

Non-U.S. Applicants can find additional resources for registering in SAM, including a Quick Start Guide and a video on how to obtain an NCAGE code, on www.sam.gov, navigate to Help, then to International Registrants.

5) **Submission Dates and Times for application submission**

Deadline for the submission of applications is as per the cover page.

6) **Funding Restrictions**

USAID policy is not to award profit under assistance instruments. Therefore, profit is not allowable for recipients or subrecipients under this award. However, all reasonable, allocable and allowable expenses, both direct and indirect, which are related to the agreement program and are in accordance with applicable cost principle under 2 CFR 200 Subpart E. of the Uniform Administrative Requirements may be paid under the anticipated award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

USAID will not allow the reimbursement of pre-award costs under this award without the explicit written approval of the Agreement Officer.

Except as may be specifically approved in advance by the AO, all commodities and services that will be reimbursed by USAID under this award must be from the authorized geographic code 937 and must meet the source and nationality requirements set forth in 22 CFR 228.

The final award of any resultant cooperative agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

7) **Required certifications, assurances, representations, and other statements of the Recipient**

a) The Applicant **must complete** the following documents **and submit a signed copy** with their business (cost) application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf. See Annex C for complete Certifications, Assurances, Representations, and Other Statements of the Recipient. In the event that Representations and Certifications are not submitted with the Application; they must be completed and submitted before the final award is made.
(2) Assurances for Non-Construction Programs (SF-424B)
(3) Evidence of responsibility the Agreement Officer can use to determine that the Applicant:

- Has adequate financial resources or the ability to obtain such resources as require during the performance of the award;
- Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant;
- Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance;
- Has a satisfactory record of integrity and business ethics; and
- Is otherwise qualified and eligible to receive a Cooperative Agreement under applicable laws and regulations (e.g., EEO).

(4) **Past Performance Information / Pre-award Risk Assessment**

The applicant should describe its past experience in implementing activities of similar size and scope using template at Attachment B: Past Performance Information. This can include a description of both applicant and any consortium member/partner's and/or sub-awardees experience. Past Performance Information of the applicant must describe and provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past three years. The reference information for these awards must include:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last 3 years; and
- Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.
- If the Applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken.

The Applicant must not provide general information on its past performance. USAID reserves the right to obtain relevant information concerning an Applicant's history of performance from any sources and may consider such information in its review. Applicants should use the format provided in Attachment B: Past Performance Information of the NOFO to document the detailed information as requested.

Risk Assessment - Additional Information may be required for Applicant's mandatory risk assessment in accordance with ADS 303.3.9 and 2 CFR 200.205 and determination of responsibility by the Agreement Officer.

The submitted past performance information (PPI) of the "apparently successful applicant" will be reviewed and evaluated as part of the mandatory Risk Assessment. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment. The recipient must demonstrate a satisfactory record of executing programs or activities under Federal grants, cooperative agreements, or cost reimbursement contracts; and integrity and business ethics. [Refer Section E.1).v.]. Past performance references will not be checked for applicants that receive an 'Unsatisfactory' rating.

If a criterion found in ADS 303.3.9.1 applies to the apparently successful applicant, the AO is required to perform a formal pre-award survey in conformance with that provision before making a risk assessment decision. Depending on the result of the risk assessment, the AO may either decide to make the award, not execute the award, or award with "specific conditions" (2 CFR 200.207).

(5) **Potential Request for Additional Documentation**

Upon consideration of award or during the negotiations leading to an award, Applicant may be required to submit additional documentation deemed necessary for the Agreement Officer to make an affirmative determination of responsibility. **Applicants should not submit the information below with their applications.** The information below is provided so that Applicants may become familiar with additional documentation that may be requested by the Agreement Officer:

The information that may be requested should substantiate:

1. Bylaws, constitution, and articles of incorporation, if applicable.

2. Whether the organization's travel, procurement, financial management, accounting manual and personnel policies and procedures, especially regarding salary, promotion, leave, differentials, etc., submitted under this section have been reviewed and approved by any agency of the Federal Government, and if so, provide the name, address, and phone number of the cognizant reviewing official. The Applicant should also provide copies of the same.

b) **Pre-Award Terms**

1. **Branding Strategy – Assistance (June 2012)**

[Only the "apparently successful Applicant" will be asked to submit at a later date a Branding Strategy and Marking Plan as per the Branding and Marking Template for Agreements to be reviewed and approved by the Agreement Officer and incorporated into any resulting award.]

a) Applicants recommended for an assistance award must submit and negotiate a "Branding Strategy," describing how the program, project, or activity is named and positioned, and how it is promoted and communicated to beneficiaries and host country citizens.

b) The request for a Branding Strategy, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c) Failure to submit and negotiate a Branding Strategy within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d) The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e. The Branding Strategy must include, at a minimum, all of the following:

(1) All estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth.

(2) The intended name of the program, project, or activity.

i) USAID requires the applicant to use the "USAID Identity," comprised of the USAID logo and brandmark, with the tagline "from the American people" as found on the USAID Web site at http://www.usaid.gov/branding, unless Section VI of the RFA or APS states that the USAID Administrator has approved the use of an additional or substitute logo, seal, or tagline.

ii) USAID prefers local language translations of the phrase "made possible by (or with) the generous support of the American People" next to the USAID Identity when acknowledging contributions.

iii) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.

iv) If branding in the above manner is inappropriate or not possible, the applicant must explain how USAID's involvement will be showcased during publicity for the program or project.

v) USAID prefers to fund projects that do not have a separate logo or identity that competes with the USAID Identity. If there is a plan to develop a separate logo to consistently identify this program, the applicant must attach a copy of the proposed logos. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

(3) The intended primary and secondary audiences for this project or program, including direct beneficiaries and any special target segments.

(4) Planned communication or program materials used to explain or market the program to beneficiaries.

i) Describe the main program message.

ii) Provide plans for training materials, posters, pamphlets, public service announcement, billboards, Web sites, and so forth, as appropriate.

iii) Provide any plans to announce and promote publicly this program or project to host country citizens, such as media releases, press conferences, public events, and so forth. Applicant must incorporate the USAID Identity and the message, "USAID is from the American People."

iv) Provide any additional ideas to increase awareness that the American people support this project or program.

(5) Information on any direct involvement from host-country government or ministry, including any planned acknowledgement of the host-country government.

(6) Any other groups whose logo or identity the applicant will use on program materials and related materials. Indicate if they are a donor or why they will be visibly acknowledged, and if they will receive the same prominence as USAID.

The Agreement Officer will review the Branding Strategy to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.

f. If the applicant receives an assistance award, the Branding Strategy will be included in and made part of the resulting grant or cooperative agreement.

(END OF PRE-AWARD TERM)

2. **Marking Plan – Assistance (June 2012)**

a) Applicants recommended for an assistance award [“apparently successful applicant”] must submit and negotiate a “Marking Plan,” detailing the public communications, commodities, and program materials, and other items that will visibly bear the “USAID Identity,” which comprises of the USAID logo and brandmark, with the tagline “from the American people.” The USAID Identity is the official marking for the Agency and is found on the USAID Web site at http://www.usaid.gov/branding. Section VI of the RFA or APS will state if an Administrator approved the use of an additional or substitute logo, seal, or tagline.

b) The request for a Marking Plan, by the Agreement Officer from the applicant, confers no rights to the applicant and constitutes no USAID commitment to an award.

c) Failure to submit and negotiate a Marking Plan within the time frame specified by the Agreement Officer will make the applicant ineligible for an award.

d) The applicant must include all estimated costs associated with branding and marking USAID programs, such as plaques, stickers, banners, press events, materials, and so forth, in the budget portion of the application. These costs are subject to the revision and negotiation with the Agreement Officer and will be incorporated into the Total Estimated Amount of the grant, cooperative agreement or other assistance instrument.

e) The Marking Plan must include all of the following:

1) A description of the public communications, commodities, and program materials that the applicant plans to produce and which will bear the USAID Identity as part of the award, including:
   - i) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other sites physical in nature;
   - ii) Technical assistance, studies, reports, papers, publications, audio- visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;
   - iii) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and
   - iv) It is acceptable to cobrand the title with the USAID Identity and the applicant's identity.
   - v) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

2) A table on the program deliverables with the following details:
   - i) The program deliverables that the applicant plans to mark with the USAID Identity;
   - ii) The type of marking and what materials the applicant will use to mark the program deliverables;
   - iii) When in the performance period the applicant will mark the program deliverables, and where the applicant will place the marking;
   - iv) What program deliverables the applicant does not plan to mark with the USAID Identity, and
   - v) The rationale for not marking program deliverables.

3) Any requests for an exemption from USAID marking requirements, and an explanation of why the exemption would apply. The applicant may request an exemption if USAID marking requirements would:
   - i) Compromise the intrinsic independence or neutrality of a program or materials where independence or neutrality is an inherent aspect of the program and materials. The applicant must identify the USAID Development Objective, Interim Result, or program goal furthered by an appearance of neutrality, or state why an aspect of the award is presumptively neutral. Identify by category or deliverable item, examples of material for which an exemption is sought.
   - ii) Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent. The applicant must explain why each particular deliverable must be seen as credible.

iii) Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications. The applicant must explain why each particular item or product is better positioned as host-country government item or product.
iv) Impair the functionality of an item. The applicant must explain how marking the item or commodity would impair its functionality.
v) Incur substantial costs or be impractical. The applicant must explain why marking would not be cost beneficial or practical.
vi) Offend local cultural or social norms, or be considered inappropriate. The applicant must identify the relevant norm, and explain why marking would violate that norm or otherwise be inappropriate.
vii) Conflict with international law. The applicant must identify the applicable international law violated by the marking.

f) The Agreement Officer will consider the Marking Plan's adequacy and reasonableness and will approve or disapprove any exemption requests. The Marking Plan will be reviewed to ensure the above information is adequately included and consistent with the stated objectives of the award, the applicant's cost data submissions, and the performance plan.
g) If the applicant receives an assistance award, the Marking Plan, including any approved exemptions, will be included in and made part of the resulting grant or cooperative agreement, and will apply for the term of the award unless provided otherwise.

(END OF PRE-AWARD TERM)

3. **Conscience Clause Implementation (Assistance) – PRE-AWARD TERM (February 2012)**

a) An organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement for HIV/AIDS prevention, treatment, or care—
1) Shall not be required, as a condition of receiving such assistance—
   i) to endorse or utilize a multisectoral or comprehensive approach to combating HIV/AIDS; or
   ii) (to endorse, utilize, make a referral to, become integrated with, or otherwise participate in any program or activity to which the organization has a religious or moral objection; and
2) Shall not be discriminated against in the solicitation or issuance of grants, contracts, or Cooperative Agreements for refusing to meet any requirement described in paragraph (a)(1) above.

a) An applicant who believes that this solicitation contains provisions or requirements that would require it to endorse or use an approach or participate in an activity to which it has a religious or moral objection must so notify the cognizant Agreement Officer in accordance with the Mandatory Standard Provision titled "Notices" as soon as possible, and in any event not later than 15 calendar days before the deadline for submission of applications under this solicitation. The applicant must advise which activity(ies) it could not implement and the nature of the religious or moral objection.
b) In responding to the solicitation, an applicant with a religious or moral objection may compete for any funding opportunity as a prime partner, or as a leader or member of a consortium that comes together to compete for an award. Alternatively, such applicant may limit its application to those activities it can undertake and must indicate in its submission the activity(ies) it has excluded based on religious or moral objection. The offeror's proposal will be evaluated based on the activities for which a proposal is submitted, and will not be evaluated favorably or unfavorably due to the absence of a proposal addressing the activity(ies) to which it objected and which it thus omitted. In addition to the notification in paragraph (b) above, the applicant must meet the submission date provided for in the solicitation.

(END OF PRE-AWARD TERM)

4. **CONFLICT OF INTEREST PRE-AWARD TERM (August 2018)**

a) Personal Conflict of Interest
1. Agency official involved in the competitive award decision-making process that could affect that Agency official's impartiality. The term "conflict of interest" includes situations in which financial or other personal considerations may compromise, or have the appearance of compromising, the obligations and duties of a USAID employee or recipient employee.
2. The applicant must provide conflict of interest disclosures when it submits an SF-424. Should the applicant discover a previously undisclosed conflict of interest after submitting the application, the applicant must disclose the conflict of interest to the AO no later than ten (10) calendar days following discovery.

b) Organizational Conflict of Interest
The applicant must notify USAID of any actual or potential conflict of interest that they are aware of that may provide the applicant with an unfair competitive advantage in competing for this financial assistance award. Examples of an unfair competitive advantage include but are not limited to situations in which an applicant or the applicant's employee gained access to non-public information regarding a federal assistance funding opportunity, or an applicant or applicant's employee was substantially involved in the preparation of a federal assistance funding opportunity. USAID will promptly take appropriate action upon receiving any such notification from the applicant.

(END OF PRE-AWARD TERM)

8) **Other submission requirements**

Applications are to be sent as email attachments to KampalaUSAIDSolicita@usaid.gov, to the attention of Ms. Janepher Nabitosi, Acquisition and Assistance Specialist.

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Section E: APPLICATION REVIEW INFORMATION

1) Merit Review, Selection criteria and any sub-criteria

i) The merit review criteria prescribed here are tailored to the requirements of this particular NOFO. Applicants should note that these criteria serve to: (a) identify the significant matters which the Applicants should address in their applications, and (b) set the standard against which all applications will be evaluated. Please note that, per USAID policy, all criteria listed below will consider the Applicant's consideration of the role of gender and climate risk mitigation in all program activities.

ii) The criteria by which the Applications will be assessed are as follows **in Ascending order of importance**. Criterion A is significantly important than Criterion B. Sub-criteria are **of equal importance within each main criterion**.

iii) **Criterions and sub-criteria's**

(a) Criterion A: Technical Approach

The Technical Approach will be evaluated based upon:

- Extent to which the applicant demonstrates their ability to provide inclusive and tailored HIV and TB services at facility and community levels that target all eligible beneficiaries including men, women, children, key and priority populations.
- Extent to which the applicant demonstrates their approach to collaborate effectively with other USAID implementing partners in the region to ensure achievement of PEPFAR targets.
- Extent to which the applicant provides a concise draft year 1 work plan and plan for monitoring, evaluation and reporting of program results including innovative approaches to enhance timely adaptation of program approaches to achieve results.

(b) Criterion B: Organizational Capacity and Management Structure

The Organizational Capacity and Management Structure will be evaluated based upon:

i) The Applicants ability to describe and justify their proposed management approach that demonstrates the technical breadth and ability to adaptively manage the program, including the organizational chart reflecting roles, responsibilities and lines of authority, capacity and experience of the Applicant to start up in a timely fashion; the plan on how sub awards will be managed to optimize effectiveness; and the proposed strategies/approaches to ensure fraud, waste, and abuse mitigation.

ii) How the Applicant has demonstrated their ability to achieve the objectives and results described in the activity description, capturing the following:

- Extent to which the proposed key personnel have the technical, analytical, and interpersonal skills and experience to convincingly demonstrate the Applicant's ability to successfully achieve the program objectives and results.
- Extent to which the applicant and proposed sub-awardees demonstrate their institutional capability and experience to implement in each USAID PEPFAR region (see Annex B)

- Extent to which the applicant demonstrates their ability to collaborate effectively with other USAID implementing partners in the region to ensure coordination and achievement of PEPFAR targets.

iv) **Business (Cost) Review**

Note: Cost applications of Applicants with technical scores of Marginal and/or unsatisfactory will not be evaluated.

The AO will review the apparently successful applicant's budget to ensure that costs, including cost sharing, are in compliance with OMB's and USAID's policies. This will consist of a review of the cost application budget breakdown; and evaluate and analyze specific elements of costs for reasonableness and allocability of costs in the budget, and allowability of the costs under the applicable cost principles found in 2 CFR 200 Subpart E.

v) **Pre-award Risk Assessment**

In accordance with ADS 303.3.9 the Agreement Officer will perform a risk assessment (2 CFR 200.205) of the apparently successful applicant(s).

Past performance information of the "apparently successful Applicant(s)" will be reviewed as part of the Applicant's risk assessment and responsibility determination. The Selection Committee Chair will validate the Applicant's past performance reference information based on existing evaluations to the maximum extent possible, and may contact all references to verify or corroborate the following:

- How well an applicant performed,
- The relevancy of the work performed under the program,
- Instances of good performance,
- Instances of poor performance,
- Significant achievements,
- Significant problems, and
- Any indications of excellent or exceptional performance in the most critical areas.

USAID reserves the right to obtain past performance information from other sources including those not named in the applicant's application.

If a criterion found in ADS 303.3.9.1 applies to the apparently successful applicant, the Agreement Officer is required to perform a formal pre-award survey in conformance with that provision before making a risk assessment decision. Depending on the result of the risk assessment, the Agreement Officer may either decide to make the award, not execute the award, or award with "specific conditions" (2 CFR 200.207).

2) **Cost share** is an eligibility requirement.

Applicant's that do not meet the minimum 5% cost share requirements are not eligible for award consideration and their application will not be evaluated.

3) **Review and Selection Process**

A Selection Committee shall review the programmatic merits of the applications. However, the Agreement Officer makes the final selection.

4) Anticipated Announcement and Award Dates

USAID/Uganda anticipates to award by May 2020.

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Section F: FEDERAL AWARD ADMINISTRATION INFORMATION

1) Federal Award Notices

USAID may notify the apparently successful Applicant of their recommendation for funding, but only a signed and executed award will constitute an obligation by USAID Agreement Officer to reimburse any costs incurred in the performance and implementation of a project/program. The signed and executed award will be e-mailed to the apparently successful Applicant.

The Agreement Officer is the only individual who may legally obligate USAID to the expenditure of public funds.

USAID will notify all unsuccessful Applicants that will not be considered for award explaining briefly why USAID did not select their application. Requests for additional information will not be considered from unsuccessful applicants.

2) Administrative & National Policy Requirements

Resulting awards to non-U.S. non-governmental organizations will be administered in accordance with Chapter 303 of USAID's Automated Directives System (ADS-303), 2 CFR 200, 2 CFR 700, and ADS 303mab Standard Provisions for non-U.S. Nongovernmental Organizations. Standard Provisions for Non-U.S. Nongovernmental organizations are available at: http://www.usaid.gov/policy/ads/300/303mab.pdf

2 CFR 200:
http://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2cfr200_main_02.tpl

2 CFR 700 is available at: http://www.ecfr.gov/cgi-bin/text-idx?SID=74c9b031753603ccb31812ebb90e203a&tpl=/ecfrbrowse/Title02/2cfr700_main_02.tpl

Applicable OMB Circulars are available at: http://www.whitehouse.gov/omb/circulars_default

Mandatory Standard Provisions for U.S. Nongovernmental Recipients can be accessed through USAID's website: https://www.usaid.gov/sites/default/files/documents/1868/303maa.pdf

Potential for-profit applicants should note that **USAID policy prohibits the payment of fee/profit** to the prime recipient under grants and cooperative agreements. However, if a prime recipient has a contract with a for-profit commercial entity/organization for the acquisition of goods or services (i.e., if a buyer-seller relationship is created), fee/profit for the contractor is authorized.

The USAID Inspector-General's "Guidelines for Financial Audits Contracted by Foreign Recipients" is available at: http://www.usaid.gov/sites/default/files/documents/1868/591maa.pdf

3) Reporting

The types and frequency of financial and programmatic reports must be strictly limited to those detailed in 2 CFR 200.

This award follows the U.S. Government fiscal year for reporting, which runs from October 1 to September 30. References to quarters or years in reporting relates to the U.S. Government calendar below:

Quarter 1:	October 1 – December 31
Quarter 2:	January 1 – March 31
Quarter 3:	April 1 – June 30
Quarter 4:	July 1- September 30

The Recipient(s) will submit the following documents to the AOR electronically within the time period noted/specified in the award. Reports will be timed and formatted so that they can provide USAID with useful information needed for the reporting requirements.

i. **Annual Work Plan**

Based on the program description, the Recipient shall prepare and submit a detailed annual work plan to guide the implementation process with a breakdown of activities and timelines and anticipated progress in the achievement of the activity results (consistent with the Activity M&E and Learning Plan), as well as the associated costs. The Recipient shall ensure a collaborative process in work plan development, consulting beneficiaries, partners, USAID and other relevant stakeholders in preparing the annual work plan to ensure complementarity and shared ownership. The AOR's review will ensure that the implementation plans fit within the scope, terms and conditions of the agreement, and would enhance implementation, such as key assumptions and risks (as well as plans to mitigate and update these), lessons learned and any adjustments going forward.

CLA section must address:

- Any proposed actions to strategically collaborate internally and with other implementing partners to conduct joint targeting, collaborative research;
- How knowledge gaps in the theory of change, the technical implementation approach, operating environments, assumptions and risks, will be filled using activities such as, but not limited to, monitoring, research, evaluation and analytical studies;
- How knowledge generated by learning will be used to increase efficiency; and
- How/which approaches and activities will change based on CLA.

ii. **Quarterly Performance Reports**

The Recipient shall submit quarterly reports in the format prescribed at 2 CFR 200.328 that include narratives of quarterly achievements, and progress against the work plan, and agreed upon performance indicators. The quarterly report shall describe and assess the overall progress to date based upon agreed performance indicators. The reports will also describe the accomplishments of the Recipient and the progress made during the past quarter; including information on key activities, both ongoing and completed during the quarter (e.g. meetings, trainings, workshops, significant events, subcontracts, and grants). The quarterly reports must provide information on the extent to which gaps between males and females were closed; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. Recipients must notify USAID of developments that have a significant impact on the award-supported activities.

The quarterly report provides the opportunity to discuss impacts of learning on the program, updates in key assumptions and the underlying development hypotheses. Also, notification shall be given in the case of problems, delays, or adverse conditions which materially impair the ability to meet the objectives of the award or which may have an impact on the development hypothesis or theory of change for the activity, and/or other activities (USG-funded or not) which might be informed by such learning. This notification shall include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

With regard to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly;
- Include performance indicators to measure CLA;
- Increased ability of USAID's implementing partners to respond to the needs of target groups through learning;
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts; and
- Increased efficiency in activity implementation.

iii. **Annual Performance Report:**

Annual performance reports on the project activities and progress against indicators are the responsibility of the Recipient and are needed by USAID/Uganda to provide timely input to the USG's Operational Plan. To the extent possible, the annual performance report should cover activities and results through the end of the fiscal year, and should review the cumulative experience, learning, adaptations and the implications of these for the year.

With regard to CLA, the Recipient must address:

- The products and results of collaboration that improve implementation approaches and development practice broadly;
- Increased ability of USAID implementing partner to respond to the needs of target groups by using learning;
- Instances of learning applied to influence decision making, resource allocation, and contextual shifts; and
- Increased efficiency in activity implementation.

iv. **Final Performance Report:**

The report shall summarize the accomplishments of the agreement, methods of work used, and recommendations regarding unfinished work and/or program continuation, as well as key learnings from the total implementation experience. In addition, the report must specifically address how the Activity addressed gaps between males and females were closed; what new opportunities for men and women were created; what differential negative impacts on males/females were addressed or avoided; and what needs and gender inequalities emerged or remained. It shall cover the entire period of the award and include the cumulative results achieved, an assessment of the impact of the program, lessons learned and recommendations, any particularly notable impact stories (or challenges), and detailed financial information. It should be grounded in evidence and data. The final completion report shall also contain an index of all reports and information products produced under the award.

v. **Financial Reporting:**

Financial reporting requirements will be in accordance with 2 CFR 200.327. The Recipient must submit the Federal Financial Form (SF-425) on a quarterly basis via electronic format completed by the Recipient and emailed to the Agreement Officer Representative (AOR) and KampalaUSAIDVouchers@usaid.gov.

Accrual reports must be submitted at least 3 weeks before the end of each quarter or as requested on an ad hoc basis. The Recipient must also submit a copy of the Federal Financial Report (FFR) to the Agreement Officer's Representative (AOR). For non-U.S. Nongovernmental Organizations, financial reporting requirements will be in accordance with the procedures set forth in: Standard Provision "Advance Payment and Refunds (December 2014) or Standard Provision "Reimbursement Payment and Refunds (December 2014)"

Quarterly Financial Reports will include a report on expenditures incurred during the report period and activity projected expenditures for the next quarter, against award line items. Reports should breakout funds by funding stream and budget-line.

Reports are due as noted below:

Reporting Quarter	**SF-425 Due Date**
January 1 – March 31	April 30
April 1 – June 30	July 30
July 1 – September 30	October 30
October 1 – December 31	January 30

vi. **PEPFAR Reporting**:

Recipients implementing projects funded out of PEPFAR funds must report annually on program expenditures. Specifically, Recipients must use the form PEPFAR Program Expenditures (DS-4213 OMB 1405-0208) as a part of completing the PEPFAR Annual Progress Report at the end of each USG fiscal year (September 30).

In addition, recipients implementing PEPFAR-funded projects must provide necessary data to fulfill PEPFAR's strategic information requirements.

On an annual basis, the recipient(s) will receive PEPFAR specific targets derived from the Country Operational Plan (COP). The recipient's performance will be monitored and measured accordingly. On a quarterly basis, the recipient(s) will be required to submit reports indicating achievements against the set targets. The recipient will collaborate with USAID and USAID funded Strategic Information Technical Support (SITES) project in the collation and harmonization of performance data. In addition to the regular PEPFAR reporting, the recipient(s) may from time to time be required to prepare and submit data in response to ad hoc requests from USAID Washington and OGAC.

High Frequency Technical Data Reporting (PEB No. 19-02)

a. This provision specifies the minimum required indicators that must be reported to the in-country High Frequency Reporting (HFR) Point of Contact (POC), in Uganda, the HFR data is reported via the HIBRID database. These HFR data do not have to be final and may differ from what is entered into DATIM. HFR data will be used to track the Recipient's progress to meeting targets; DATIM remains the official PEPFAR system of record.
b. Reporting Frequency – Recipient must submit data every four weeks, with results broken out in weekly increments. The Reporting Calendar below is the HFR timeline. Each HFR period is defined as four complete weeks (weeks start on Mondays per ISO 8601), and reporting is due back to the HFR POC as indicated in the table below. The indicators listed in paragraph (c) below will be broken out in weekly increments, with the exception of current on treatment (TX_CURR) and multi-month dispensing (MMD) which will each be reported in one batch for the whole 4-week period. Prior to the end of each Fiscal Year, the Calendar in paragraph (d) below will be replaced with an equivalent calendar for each subsequent Fiscal Year. Quarterly submission of data to DATIM will still remain the official system of record for PEPFAR indicators.

c. Indicators - The set of indicators that are subject to HFR are listed below. In the event that the indicators require a change, the award will be modified with the mutual agreement of both parties. The AOR may also request additional data that is useful to monitoring the program. The Recipient must submit the full dataset it collects per the reporting calendar in paragraph (d) below, ensuring the required indicators below are included:

- Weekly Batches
  - HIV testing volume [HTS_TST]
  - HIV positive testing volume [HTS_TST_POS]
  - New enrollments on treatment [TX_NEW]
  - VMMC services completed [VMMC_CIRC]
  - Newly initiated on PrEP [PrEP_NEW]
- Full Period Reporting (1 data point per reporting period)
  - Current cohort on treatment [TX_CURR]
  - Multi-month dispensing (MMD custom indicator, collected monthly), disaggregated via:
- Number of patients receiving 1; 2; 3; 4 or 5; or 6 months ART dispensing.

d. Calendar Dates -

FY2020 HFR REPORTING CALENDAR					
Reporting	**Weeks Included**				**Submission**
Period	**W1**	**W2**	**W3**	**W4**	**Date**
1	Sep 30	Oct 07	Oct 14	Oct 21	Nov 13
2	Oct 28	Nov 04	Nov 11	Nov 18	Dec 11
3	Nov 25	Dec 02	Dec 09	Dec 16	Jan 08
4	Dec 23	Dec 30	Jan 06	Jan 13	Feb 05
5	Jan 20	Jan 27	Feb 03	Feb 10	Mar 05
6	Feb 17	Feb 24	Mar 02	Mar 09	Apr 02
7	Mar 16	Mar 23	Mar 30	Apr 06	Apr 30
8	Apr 13	Apr 20	Apr 27	May 04	May 28
9	May 11	May 18	May 25	Jun 01	Jun 25
10	Jun 08	Jun 15	Jun 22	Jun 29	Jul 23
11	Jul 06	Jul 13	Jul 20	Jul 27	Aug 20
12	Aug 03	Aug 10	Aug 17	Aug 24	Sep 17
13	Aug 31	Sep 07	Sep 14	Sep 21	Oct 15

vii. **Activity Monitoring Evaluation and Learning Plan (AMELP) and CLA Plan**:

The AMELP is a management tool that enables the Recipients and USAID to track whether the desired results are being achieved and project implementation is being adapted to changing conditions. This will also facilitate the flow of information within the Recipient's organizational structure, enabling all parties to more effectively monitor and manage activities required. The system will be designed to collect, store, analyze and report administrative, financial and programmatic data on project major inputs and outputs as well as actual progress toward achieving program objectives.

Adaptive management, weekly reporting, intensive program monitoring, scrupulous data analysis and short learning cycles will be a pillar approach in the implementation of this activity. Partners and facilities will be required to report progress on select assigned targets weekly through an established dashboard. This will enable USAID to maintain a pulse check on the performance, and undertake course correction interventions where needed. In addition, the Recipient will ensure complete reporting by facilities and partners of performance data against national targets into the HMIS system, DHISII and additional PEPFAR data into HIBRID.

The Activity will have a rigorous system for performance management. The recipient will submit a draft M&E plan (AMELP) that describes how the recipient will monitor progress towards the results and use the information to make adjustments. At a minimum, the draft M&E plan will identify appropriate indicators for each level of the results framework; show data sources and describe how data will be collected/collated/acquired, analyzed and presented to regularly inform performance. The plan will identify core indicators for every result and intermediate results/outcomes and provide preliminary five-year performance indicator targets.

Upon award, the USAID/Uganda AOR will provide guidance for completion of a detailed M&E plan to ensure that program monitoring and reporting requirements are in line with USAID's PMP and PEPFAR targets. The recipient(s) will also consult with other relevant IPs and MOH M&E Technical Working Group in developing the final M&E plan.

Each indicator in the final M&E plan will have a performance indicator reference sheet that provides a detailed description of the indicator, numerator and denominator where percent measures are used and a data collection, analysis and presentation plan. Where appropriate, indicator baselines should draw on and harmonize with UAIS, UMIS, HMIS and UDHS results as well as other studies and surveys.

The AMELP report will, at a minimum, but not limited to:

- Include all performance indicators, with targets and baseline figures needed to measure achievement of stated goals and results as well as other indicators the Recipient believes to be necessary to adequately track progress and impact of activities;
- Describe a clear data collection system, which includes adequate data quality controls and complies with all USAID data quality requirements (Automated Directives System-ADS 203.3.5.1) and specify the approximate dates for data collection, the method, type and source of information to be collected;
- Data analysis methodologies, including suggestions for data segregation by district, segregated, gender and others;
- Collaborate with data collection and M&E activities of other USG implementing partners, SITES, M&E of the Emergency Plan Progress (MEEPP), USAID/Uganda Learning Contract, the National HMIS, LQAS, Facility Assessment, and other national surveillance systems to avoid duplication in data collection and analysis;
- Include clear milestones and indicators for measuring sustainability of supported interventions;
- Dedicate a section of the M&E plan to describing how the Recipient will use lessons generated during the course of Activity implementation or operations research results to further inform planning and implementation of activities;
- Use Geographical Information Systems (GIS) to map health outcomes, key population groups, disease pattern, service coverage, and available resources in order to enhance analysis and interpretation of Activity results;
- A clear learning agenda and platform for integrating CLA in assessment, planning, implementation and monitoring.

USAID/Uganda expects the recipient(s) to be innovative and creative in their efforts, capturing, documenting and reporting all the outcomes of USAID assistance including success stories and failures.

viii. **Baseline Assessment**:

Recipient must submit an initial baseline assessment no later than 45 calendar days after the effective date of the award. This assessment will assist in identifying approaches required to achieve the activity's targets and will provide a benchmark for tracking achievements.

ix. **Sustainability Plan**:

The Recipient is expected to submit a sustainability plan for this Activity. The Recipient will avoid creation of new implementation and reporting structures and instead work within currently existing ones at national, district and community level, including working with existing platforms, networks and groups. Building local capacity to effectively plan, design, implement, monitor and maintain Local Service Delivery for HIV/AIDS activity improvements will be crucial for sustainability.

x. **Gender, Youth and Social Inclusion Analysis**:

The recipient will need to conduct a Gender, Youth, and Social Inclusion Analysis to determine how best to reach these key sub-populations and integrate the findings into work plans and interventions. A draft report will be due 120 days after award.

xi. **Close-Out and Disposition Plan:**

Close-out and disposition plan in accordance with 2 CFR 200.343 and 2 CFR 200.313, 2 CFR 200.314 and 2 CFR 200.315 will be submitted six months before the activity end date for USAID approval.

xii. **Quarterly VAT Reports:**

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the Recipient and by non-local subcontractors/sub-recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not permit tax exemption at the point of sale. Therefore, the Recipient must budget and bill USAID for expenses inclusive of 18% VAT.

The Recipient must submit original VAT tax invoices/receipts, original certified summary (using a format provided by USAID) and 1 copy of all documents to USAID by the 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.

USAID will seek a VAT refund from the Government of Uganda. The refund will not be returned to the Recipient.

The Recipient is responsible for ensuring that subcontractors, sub awardees, and grantees comply with this requirement. All VAT claims, for the Recipient, subcontractors, sub awardees and grantees, must be submitted to USAID through the prime Contractor.

The USAID point of contact for submission of quarterly VAT information is kampalavatusaid@usaid.gov Office of Financial Management, USAID/Uganda.

xiii. **Annual Certification for Human Trafficking:**

The recipient must submit to the Agreement Officer, the annual "Certification regarding Trafficking in Persons, Implementing Title XVII of the National Defense Authorization Act for Fiscal Year 2013" as required prior to this award, and must implement a compliance plan to prevent the activities described above in section (a) of the provision (Schedule C, Mandatory Standard Provisions "TRAFFICKING IN PERSONS (April 2016)"). The recipient must provide a copy of the compliance plan to the Agreement Officer upon request and must post the useful and relevant contents of the plan or related materials on its website (if one is maintained) and at the workplace.

The first Certification should be submitted at the start of award. The concurrent certifications should be submitted within 30 calendar days following the end of each fiscal year. The draft certificate is accessible at the link below:

https://www.usaid.gov/sites/default/files/documents/1866/USAID_Trafficking_Persons_Annual_Certification.pdf

xiv. **Other Reports:**

The Recipient will prepare and disseminate other reports needed to accomplish the purpose of this award, such as assessments, including but not limited to, gender and youth assessments, studies, and other analytical products. These reports will include activity reports; technical reports; data quality assessment reports, portfolio review and performance plan and report analytical products, evaluation, review and other operational research reports. The reports required and the number of copies will be determined at the time of the Annual Work plan.

xv. **Synopsis of Reports / Plans**

Type of Document/ Report	**Due Date**	**Distribution**
First Year Implementation Plan	The due date for draft Implementation Plans will be no later than May 1st, and final Annual Implementation Plans will be due no later than September 30th.	AOR
Baseline Survey Report	Final draft due no later than 45 calendar days after effective date of the award.	AOR, PPD
Activity Monitoring Evaluation and Learning Plan	First draft due no later than 45 calendar days after effective date of the award. Final due no later than 90 calendar days after effective date of the award.	AOR, PPD
Environmental Mitigation and Monitoring plan (EMMP) [See Section A, E.9]	Along with Annual Implementation Work plan	AOR, MEO
Sustainability plan	First draft due no later than 45 calendar days after effective date of the award. Final due no later than 90 days after effective date of the award.	AOR, PPD
Gender, Youth and Social Inclusion Analysis	First draft due no later than 120 calendar days after effective date of the award.	AOR
Quarterly Reports	No later than 30 days after the end of each fiscal	AOR

	quarter.	
Annual Implementation Plans	The due date for draft Implementation Plans will be no later than May 1st, and final Annual Implementation Plans will be due no later than September 30th.	AOR
Annual Performance Report	30 calendar days following the end of the fiscal year.	AOR
Annual Certification for Human Trafficking	The first Certification is to be submitted at the start of award. Following years, 30 calendar days after the end of the fiscal year.	AO, AOR
Annual PEPFAR Program Expenditures (DS-4213 OMB 1405-0208)	September 30, each year	AOR
Final Performance Report	Draft is report due 30 calendar days after the end date of award. Final report is due 90 calendar days after the award end date.	AOR
Financial Reporting	Accrual reports - 3 weeks before end of each quarter or as requested on an ad hoc basis. Quarterly Financial Reports - 30 days after the end of each calendar quarter	AOR
Close out & Disposition plan	Six months before end of award	AOR & AO
Quarterly VAT Reports	25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.	AOR & Controller
Annual VAT Reports	30 calendar days following the end of the fiscal year	AOR & Controller

4) Special Provisions

The following special provisions may be made part of the resulting award.

Geographic Information Systems (GIS)

i. There are three types of geographic data that the Mission would like to collect in a standardized manner:

1. **Project and Activity Location Data:** In consultation with the AOR, project and activity location data when utilized should be submitted according to the geographic precision defined by the Mission's data requirements. Capturing a discrete location for project and activity locations is an essential step towards establishing an effective method of managing and communicating project and activity information.

2. **Thematic Data:** This includes information such as demographic indicators, built infrastructure, environmental features, and any other thematic data. When created or acquired using USAID funds, these datasets are considered the property of USAID and when utilized should be submitted to the AOR.
3. **Project Specific Data:** This includes data that is created during a project and may be useful to the Mission's own strategic planning and design purposes. When created or acquired using USAID funds, these datasets are considered USAID's property and when utilized should be submitted to USAID.

Recording a discrete location for project and activity locations is essential in establishing an effective method of managing, analyzing, and communicating project and activity information.
The Recipient will work closely with the AOR to determine necessary information to collect, which may include:

- Type of activity
- Estimated cost of activity
- Photograph of activity
- Location of activity

    - Point features (latitude, longitude) such as public institutions with hand washing facilities, etc.
    - Area features (polygon) such as boundaries

- Location, including name of the village
- District name for activity location
- Facility type (home, school, health facilities, etc.)

Geographic Data should be projected to the Geographic Coordinate System World Geodetic System 1984 (GCS WGS 1984). All data should use the World Geodetic System 1984 (WGS 1984) datum.

The location and activity specific data would be recorded and managed by the Grantee. It would be submitted to the AOR and GIS Specialist in any of the following formats: .CSV file, MS Excel spreadsheet, MS Access database, or GIS-ready shapefile (.shp)/geodatabase.

As defined in the USAID Policy Framework (2011-2015), USAID is committed to geographically targeting aid investments, monitoring & evaluating overall aid effectiveness, and upholding the Agency's open data and transparency goals. Utilizing GIS technology, geographic data and analysis is integral to effectively achieving all of these objectives. Geospatial analysis is a top priority of the USAID/Uganda to be incorporated into the learning agenda and M&E work to build resilience. In alignment with the US Government commitment to transparency and open data, as well as with USAID Data Policy (ADS 579), geographical data collected and the resulting maps produced as part of this program will be shared with the affected communities, district local governments, and the general public. All efforts will be made to protect Personally Identifiable Information (PII).

[End of Provision]

ii. **Value Added Tax and Customs Duties**

Pursuant to bilateral agreements with the Government of Uganda (GOU), all imports and expenditures under this agreement by the recipient and by non-local subcontractors/sub recipients (as defined below) are exempt from Value-Added Tax (VAT) and Customs Duties imposed by the GOU. The GOU does not permit tax exemption at the point of sale.

Therefore, the recipient must budget and bill USAID for expenses inclusive of 18% VAT.

The recipient must submit original VAT tax invoices/receipts, original certified summary (using a format provided by USAID) and 1 copy of all documents to USAID by the 25th of the month after the calendar year quarter end. For example, taxes and receipts for the period January to March are due April 25.

USAID will seek a VAT refund from the Government of Uganda. The refund will not be returned to the recipient.

The recipient is responsible for ensuring that subcontractors, sub awardees, and grantees comply with this requirement. All VAT claims, for the recipient, subcontractors, sub awardees and grantees, must be submitted to USAID through the prime Contractor.

The USAID point of contact for submission of quarterly VAT information is kampalavatusaid@usaid.gov Office of Financial Management, USAID/Uganda.

[End of Provision]

iii. **Utilization of Science, Innovation, Technology, and Partnership (SITP) for Collaboration**

The recipient is strongly encouraged to utilize science, innovation, technology, and partnership (SITP) to:

- Do business differently to enhance the lives of Ugandan beneficiaries and share best practices;
- Integrate change management practices to allow for program adaptation and realignment;
- Utilize project management tools/software for enhanced partnership and synergy with USAID and other programs and allow for reporting on multiple funding streams.

[End of Provision]

iv. **Procurement Executive's Bulletin No. 2014-06: Electronic Payments System**

Definitions: "Cash Payment System" means a payment system that generates any transfer of funds through a transaction originated by cash, check, or similar paper instrument. This includes electronic payments to a financial institution or clearing house that subsequently issues cash, check, or similar paper instrument to the designated payee.

1) "Electronic Payment System" means a payment system that generates any transfer of funds, other than a transaction originated by cash, check, or similar paper instrument that is initiated through an electronic terminal, telephone, mobile phone, computer, or magnetic tape, for the purpose of ordering, instructing or authorizing a financial institution to debit or credit an account. The term includes debit cards, wire transfers, transfers made at automatic teller machines, and point-of-sale terminals.

2) The recipient agrees to use an electronic payment system for any payments under this award to beneficiaries, sub recipients, or contractors.

3) Exceptions. Recipients are allowed the following exceptions, provided the recipient documents its files with the appropriate justification:

a. Cash payments made while establishing electronic payment systems, provided that this exception is not used for more than six months from the effective date of this award.
b. Cash payments made to payees where the recipient does not expect to make payments to the same payee on a regular, recurring basis, and payment through an electronic payment system is not reasonably available.
c. Cash payments to vendors below $3000, when payment through an electronic payment system is not reasonably available.
d. The Recipient has received a written exception from the Agreement Officer that a specific payment or all cash payments are authorized based on the Recipient's written justification, which provides a basis and cost analysis for the requested exception.

4) More information about how to establish, implement, and manage electronic payment methods is available to recipients at http://solutionscenter.nethope.org/programs/c2etoolkit."

[End of Provision]

v. **Non-Discrimination in Implementation of USAID-Funded Programs**

In the implementation of USAID-funded programs, the Recipient or Sub Recipient shall not discriminate against any beneficiary or potential beneficiary, such as but not limited to, by capriciously or selectively withholding or denying assistance or benefits under the project, on the basis of any non-merit factor, including one or more of the following bases: race, color, religion, sex (including gender identity or perceived gender non-conformity, and pregnancy) national origin, disability, age, sexual orientation, genetic information, marital status, parental status, political affiliation, veteran's status, or other factors that adversely impact the beneficiaries' access to, or participation in, services provided under the award. Nothing in this provision is intended to limit the ability of a Recipient to target assistance to certain populations as defined in the approved work plan of a USAID-funded program.

[End of Provision]

vi. **Acquisition & Assistance Policy Directive No: 14-03: Representation by Organization Regarding a Delinquent Tax Liability or a Felony Criminal Conviction (AUGUST 2014)**

(a) In accordance with section 7073 of the Consolidated Appropriations Act, 2014 (Pub. L. 113-76) none of the funds made available by that Act may be used to enter into an assistance award with any organization that –

(1)Was "convicted of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency has direct knowledge of the conviction, unless the agency has considered, in accordance with its procedures, that this further action is not necessary to protect the interests of the Government"; or

(2)Has any "unpaid Federal tax liability that has been assessed for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency has direct knowledge of the unpaid tax liability, unless the Federal agency has considered, in accordance with its procedures that this further action is not necessary to protect the interests of the Government".

For the purposes of section 7073, it is USAID's policy that no award may be made to any organization covered by (1) or (2) above, unless the M/OAA Compliance Division has made a determination that suspension or debarment is not necessary to protect the interests of the Government.

[End of Provision]

vii. **Shock Modifier**

USAID intends to leverage existing programming for cross cutting support such as: Infection Prevention and Control, community engagement for adoption of health behaviors and general health systems improvement with cross-cutting health benefits including Ebola prevention, detection and response. Adaptive management will be required to respond in implementation of the shock modifier while maintaining development gains achieved through normal activity implementation.

This clause may be enacted in the event of Ebola Outbreak, pandemic threat or other natural disaster.

A. Data indicates that there is a high probability of a crisis developing in the operating environment during the life of this activity. If a crisis develops, it is imperative to use adaptive management principles to respond immediately to the crisis as well as maintain development gains achieved through activity implementation up until the crisis.

B. When the Mission Director has formally declared the need in writing, the Agreement Officer will, through oral or written communication, solicit a crisis response for adjustment from the recipient to respond to the crisis.

C. The recipient will submit the crisis response application for adjustment to the Agreement Officer in the time period indicated by the Agreement Officer.

D. If through negotiation the parties agree on a crisis response which increases or decreases the cost of, or time required for performing the work, the Agreement Officer shall make an equitable adjustment upon submittal of a final crisis response application for adjustment before final payment under the assistance.

E. Notwithstanding the terms and conditions of paragraphs (a) through (d) of this clause, as this award is incrementally funded, the funds allotted for performance of this agreement, shall not be increased or considered to be increased except by specific written modification. Until this modification is made, the Recipient shall not be obligated to continue performance or incur costs beyond the point established in A.3(2) Amount of Award and Payment.

F. Failure to agree to any adjustment shall be a dispute under the Disputes clause.

[End of Provision]

5) **Program Income**

Program Income is not anticipated to be generated under this award. If generated, program income earned during the Activity's period of performance must be added to the total program amount and used to further eligible objectives for the Activity. In accordance with 2 CFR 200.307(e), Program income that the recipient did not anticipate at the time of the Federal award must be used to reduce the Federal award and recipient contributions rather than to increase the funds committed to the project.

6) **Environmental soundness and compliance**

The LSD activity environmental compliance obligations under the FAA Sec 117 and 22 CFR 216 regulations and procedures are specified in Section A.I.E.5 of this NOFO.

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Section G: FEDERAL AWARDING AGENCY CONTACT(S)

Point of Contact Information:

Only the Agreement Officer is authorized to make commitments on behalf of USAID. The Agreement Officer is listed below:

Admir Serifovic
Agreement Officer
USAID/Uganda
US Embassy Compound
Plot 1577, Ggaba Road
Kampala, Uganda

Generic Email: KampalaUSAIDSolicita@usaid.gov

Any questions while the funding opportunity is open may be submitted to the attention of Ms. Janepher Nabitosi, A&A Specialist at the above generic email.

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Section H: OTHER INFORMATION

1) Other Information

USAID reserves the right to fund any or none of the applications submitted. Any award(s) and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

2) Applications with Proprietary Data

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

"This application includes data that must not be disclosed duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this application. If, however, an award is made as a result of – or in connection with – the submission of this data, the U.S. Government will have the right to duplicate, use, or disclose the data to the extent provided in the resulting award. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets {insert sheet numbers}."

Additionally, the Applicant must mark each sheet of data it wishes to restrict with the following:

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

3) List of Annex

Annex A: List of Acronyms
Annex B: USAID PEPFAR supported regions and districts
Annex C: Certifications, Assurances, Representations and Other Statements of the Recipient
Annex D: Standard Provisions

4) Other Resources

SAM: Quick Start Guide for New Grantee Registration
https://www.sam.gov/sam/transcript/Quick_Guide_for_Grants_Registrations.pdf

SAM: Quick Start Guide for International Registrants
https://www.sam.gov/SAM/transcript/Quick_Guide_for_International_Entity_Registration.pdf

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ATTACHMENTS AND RESOURCES LINKS

Attachment A	Budget Template (Attached separately)
Attachment B	Past Performance Information (Attached separately)
Attachment C	LDPG_Revised Schedule of Allowances_February 2019 (Attached separately)
Attachment D	Action Alliance for Preventing Sexual Misconduct resource. (Attached Separately)
Resource Link 1	USAID Uganda Country Development Cooperation Strategy (CDCS) 2.0 Guiding Principles https://www.usaid.gov/uganda/cdcs
Resource Link 2	USAID Gender Policy https://www.usaid.gov/sites/default/files/documents/1865/GenderEqualityPolicy_0.pdf
Resource Link 3	USAID Youth Development Policy http://blog.usaid.gov/2012/11/new-usaid-policy-on-youth-in-development
Resource Link 4	Standard Provisions for Non-U.S. NGOs https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf

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ANNEX A - LIST OF ACRONYMS

CDCS	Country Development Cooperation Strategy
CRVS	Civil Registration and Vital Statistics
DHIS2	District Health Information System
DNCC	District Nutrition Coordination Committee
DO	Development Objective
LSD	Local Service Delivery for HIV/AIDS Activity
GoU	Government of Uganda
HMIS	Health Management Information System
HSDP	Health Sector Development Plan
IP	Implementing Partner
IR	Intermediate Result
J2SR	Journey to Self-Reliance
KUHA	Kampala Urban Health Assessment
KUSP	Kampala Urban Slums Project
M/AAIF	Ministry of Agriculture, Animal Industry and Fisheries
MAP/D	Malaria Action Program for Districts
MCH	Maternal Child Health
MCHN	Maternal Child Health and Nutrition
MEL	Monitoring, Evaluation and Learning
M/GLSD	Ministry of Gender, Labour and Social Development
MNCAH	Maternal, Newborn, Child and Adolescent Health
MoH	Ministry of Health
NIRA	National Identification and Registration Authority
OPM	Office of the Prime Minister
PNFP	Private Not-For-Profit
RMNCAH	Reproductive, Maternal, Newborn, Child and Adolescent Health
RRH	Regional Referral Hospital
SBC4T	Social and Behavior Change for Transformation
SITES	Strategic Information Technical Support
SMGL	Saving Mothers Giving Life
TWG	Technical Working Group
UBOS	Uganda Bureau of Statistics
UNAP	Uganda Nutrition Action Plan

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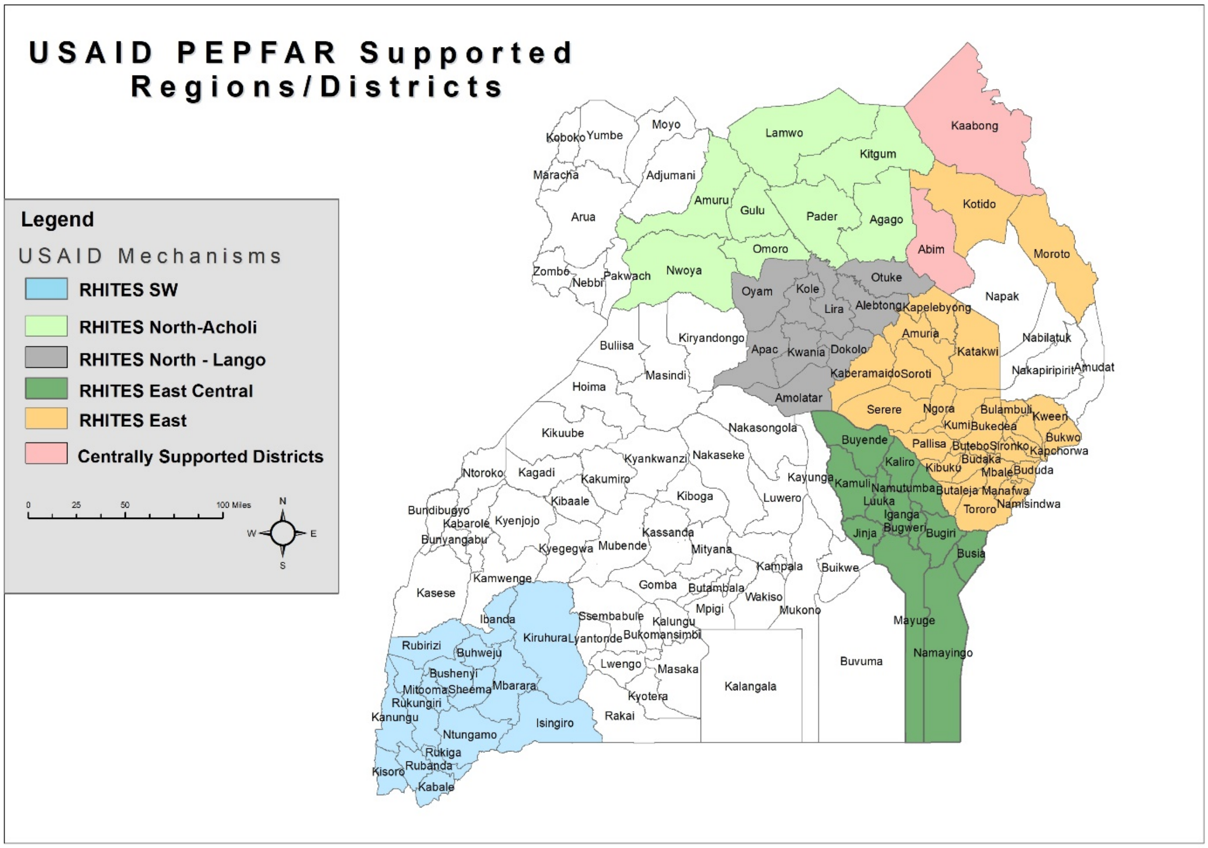
ANNEX B - USAID PEPFAR SUPPORTED REGIONS AND DISTRICTS.



ANNEX C - Certifications, Assurances, Representations and Other Statements of The Recipient

Can be downloaded from https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

ANNEX D: MANDATORY STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS
can be found here https://www.usaid.gov/sites/default/files/documents/1868/303mab.pdf .

REQUIRED AS APPLICABLE STANDARD PROVISIONS FOR NON-U.S. NONGOVERNMENTAL ORGANIZATIONS

Required	Not Required	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
TBD		RAA4. INDIRECT COSTS – CHARGED AS A FIXED AMOUNT (NONPROFIT) (JUNE 2012)
X		RAA5. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA6. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
X		RAA7. SUBAWARDS (DECEMBER 2014)
X		RAA8. TRAVEL AND INTERNATIONAL AIR TRANSPORTATION (DECEMBER 2014)
X		RAA9. OCEAN SHIPMENT OF GOODS (JUNE 2012)
X		RAA10. REPORTING HOST GOVERNMENT TAXES (JUNE 2012)
	X	RAA11. PATENT RIGHTS (JUNE 2012)
	X	RAA12. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
	X	RAA13. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA 14. COST SHARE (JUNE 2012)
TBD		RAA15. PROGRAM INCOME (DECEMBER 2014)
	X	RAA16. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
	X	RAA17. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
	X	RAA18. PROTECTION OF HUMAN RESEARCH SUBJECTS (JUNE 2012)
	X	RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
	X	RAA20. ELIGIBILITY OF SUB-RECIPIENTS OF ANTI-TRAFFICKING FUNDS (JUNE 2012)
	X	RAA21. PROHIBITION ON THE USE OF ANTI-TRAFFICKING FUNDS TO PROMOTE, SUPPORT, OR ADVOCATE FOR THE LEGALIZATION OR PRACTICE OF PROSTITUTION (JUNE 2012)
X		RAA22. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)

X		RAA23. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
X		RAA24. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA25. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING(ASSISTANCE) (SEPTEMBER 2014)
TBD		RAA26. LIMITATION ON SUBAWARDS TO NON-LOCAL ENTITIES (JULY 2014)
	X	RAA27. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA28. CONTRACT AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
X		RAA29. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE (MAY 2017)

[END OF NOFO]