SUBJECT: USAID/DCHA/ASHA Annual Program Statement (APS) No. APS-ASHA-15-000001 for Fiscal Year (FY) 2015 American Schools and Hospitals Abroad (ASHA) Program Worldwide

ISSUANCE DATE: **October 27, 2014**

The United States Agency for International Development (USAID), Office of American Schools and Hospitals Abroad (ASHA), is accepting funding requests for its program to assist schools, libraries, and medical centers outside the United States serving as study and demonstration centers for ideas and practices of the United States. This is a worldwide program.

A. Program Description

The Office of American Schools and Hospitals Abroad, part of the Bureau for Democracy, Conflict, and Humanitarian Assistance of the U.S. Agency for International Development (USAID/ASHA), seeks proposals to support or stimulate qualifying activities by eligible U.S. non-profit, nongovernmental organizations to implement activities as described in this Annual Program Statement (APS).

USAID/ASHA builds bridges of cooperation and mutual understanding between the people of foreign nations and the people of the United States by providing funds to schools, hospitals, and libraries overseas that demonstrate the ideas, innovations, and best practices of the United States in health and education, as authorized in Section 214 of the Foreign Assistance Act (FAA) of 1961, as amended (http://www.usaid.gov/sites/default/files/documents/1868/faa.pdf). In fulfilling its legislative mandate, USAID/ASHA builds positive relationships abroad and supports progress in the fields of health and education worldwide. The USAID/ASHA program directly contributes to U.S. foreign policy and public diplomacy objectives by fostering civil society, inclusiveness, tolerance, innovation, and new technology.

USAID/ASHA's approach to meeting its public diplomacy goals is discussed in-depth in the program's FY14-FY18 Strategic Plan, available at http://www.usaid.gov/documents/1866/office-american-schools-and-hospitals-abroad-2014-2018-strategic-plan. As this plan explains, USAID/ASHA provides tangible assistance from the people of the United States to the people of other countries, generally funding either capital improvement projects (construction or renovation projects) and commodity procurement. These activities provide concrete illustrations of the generosity of the American people and catalyze collaboration between citizens of the United States and citizens of other countries. A USAID/ASHA project will both result in sustainable improvements in the lives of people overseas in health and education and lead to

deeper relationships with the United States. Examples of successful USAID/ASHA projects are available in its Strategic Plan, referenced above, and its past annual reports, available at http://www.usaid.gov/work-usaid/business-funding/grant-programs/american-schools-and-hospitals-abroad/asha-assisted. Interested parties can also find reports from previous USAID/ASHA-funded projects by searching USAID's Development Experience Clearinghouse (DEC), at https://dec.usaid.gov/dec/content/search.aspx.

USAID/ASHA sponsors partnerships between nonprofit organizations based in the United States ("U.S. Organizations," or "USOs") and civil society institutions overseas ("Overseas Institutions," or "OSIs"). These partnerships enable OSIs to benefit from the expertise and experience of USOs, while ensuring that projects are locally owned and sustained. The partnerships also mitigate risk and allow for all parties to a project (including the USO, OSI, and USAID/ASHA) to leverage investments and maximize the potential benefits of an activity. Eligibility criteria for these organizations are defined in depth in Section C (pgs. 3-5) of this APS.

For more information on USAID/ASHA, including examples of prior awards, visit the program's website at http://www.usaid.gov/work-usaid/business-funding/grant-programs/american-schools-and-hospitals-abroad.

B. Federal Award Information

1. Anticipated Funding

In FY2015, USAID/ASHA expects approximately $20,000,000 will be available for funding. The ceiling for any individual award is $2,000,000 and there is no minimum award amount. Individual funding levels will depend on the content and quality of applications, the number of applications received, and availability of USAID/ASHA funding.

In FY2015, USAID/ASHA plans a single award cycle, resulting in multiple awards, subject to the availability of funds. Generally, USAID/ASHA provides between 30 and 40 awards each year. Nevertheless, USAID/ASHA reserves the right to make a single award, to fund parts of applications, or to not make any awards at all. Issuance of this APS does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for any costs incurred in the preparation and submission of any application.

2. Award Timing and Duration

USAID/ASHA expects to fund approved activities and make awards prior to September 30, 2015. Awards for projects that include only commodities may last up to two (2) years from the date of award. Awards for projects that include construction or renovation may last up to four (4) years from the date of award.

USAID/ASHA welcomes applications from all potential partners, previous, current and new. Applicants may choose to submit applications that supplement prior projects funded by USAID/ASHA.

3. Types of Awards and Substantial Involvement

USAID/ASHA awards both grants and cooperative agreements. A "cooperative agreement" is a form of grant that provides for "substantial involvement" on the part of USAID/ASHA in project implementation. "Substantial involvement" is further defined in ADS 303.3.11 (http://www.usaid.gov/ads/policy/300/303).

In general, USAID/ASHA will issue grants for projects that include only commodity procurement activities and cooperative agreements for projects that include any construction or renovation activities. The nature of USAID/ASHA's substantial involvement varies based on the nature of the project proposed and will be determined at the time of award. In general, USAID/ASHA's substantial involvement includes:

- Annual review and approval of the Recipient's Implementation Plans, including construction documents, a construction/renovation schedule, cost estimate, and signed drawings and specifications;
- The approval of Key Personnel for project implementation, such as the Project Manager and Chief Architect/Engineer; and
- Agency authority to immediately halt a construction activity if specifications identified in the cooperative agreement are not met.

C. Eligibility Information

Applications that do not demonstrate that they meet the following eligibility criteria will not be reviewed. See Annex 1 (pg. 22) of this APS for the information required to demonstrate eligibility.

1. Eligible Applications

a) Applications must clearly identify one (1) USO and one (1) OSI. The USO and OSI may be the same entity if the USO conducts activities in the proposed place of performance. The applicant (proposed awardee) must be the USO, which in turn intends to provide a sub-award to the identified OSI.

The applicant must be a registered tax-exempt non-profit organization in the United States, such as those organized under Section 501(c)(3) of the Internal Revenue Code of 1954, as amended. Registration must be complete by the date of application.

USAID strongly encourages applications from qualified Minority-Serving Institutions (MSIs).

b) The OSI must be located outside the United States.

c) The OSI must not be under the control or management of a government (including a local, regional, or national government) or any of its agencies. "Control or management" in this context indicates that a majority of the members of an

organization's Board of Directors are government employees/appointees or that the recipient government owns a majority interest in the organization. The receipt of financial or other assistance from a government or government agency or the observance of national educational or medical standards does not mean that the institution is "under the control or management" of a government.

d) The OSI must not discriminate against any beneficiary or potential beneficiary on the basis of any non-merit factor, including, but not limited to, one 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, and veteran's status. Nothing in this clause is intended to limit the ability of an OSI to target assistance to certain populations as defined in their application narrative.

   For more on USAID's policies regarding discrimination, see ADS 302 (http://www.usaid.gov/ads/policy/300/302mbf). The Agency strongly encourages its recipients and their subrecipients and vendors to develop and enforce comprehensive nondiscrimination policies for their workplaces that include protection for all their employees, subject to applicable law.

e) OSIs that are schools must meet one of the following three criteria:

   i. Provide post-secondary education, including technical schools, colleges, universities, or other post-graduate professional schools;

   ii. If they are a secondary school, they must serve students at the equivalent of the U.S. seventh grade level or higher; or

   iii. If they are a middle school, they must serve students at the equivalent of a U.S. sixth grade level or higher.

f) OSIs that are schools must either use English as the language of instruction in at least one course or provide English instruction.

g) OSIs that are medical centers must, in addition to being a treatment facility, perform medical education and/or research.

h) Where the proposed project involves construction or renovation activities, either the USO or OSI must be able to demonstrate ownership of, or possession of a long-term lease (extending at least 20 years from the expected start date of the project) to, the land to be used.

2. Cost Sharing or Matching

This award does not require cost sharing or matching. However, cost sharing may contribute to an application's cost effectiveness, as discussed in Section E.1.c (pg. 17-18) of this APS.

3. Other Eligibility Requirements

a) One USO may submit multiple applications, but each must be on behalf of a different OSI.

b) One application may request funds that benefit multiple organizational units at a given OSI (for example, multiple academic departments). In this case, the application would be regarded as benefitting *one* (1) OSI and should be submitted via *one* (1) application.

c) This is a worldwide program, and USAID/ASHA may make awards for activities performed in any country other than the United States, provided that USAID activities in the country are not otherwise restricted by statute, regulation, or Agency policy from receiving assistance.

d) There is no minimum amount of time that a USO must have been in partnership with an OSI. Similarly, there is no minimum standard for the nature of that collaboration, such as a specific funding level or legal agreement. The nature of the USO/OSI relationship is evaluated competitively for this award, as discussed in Section E.1.b (pg. 17) of this APS.

e) Any documentation or characteristic not specifically identified in this APS is not necessary for eligibility for this competition. Applicants should assume anything not stated in this APS is not relevant for eligibility determinations.

D. Application and Submission Information

1. Address to Request Application Package

All information about how to apply for this funding opportunity is contained in this document. No separate application package needs to be requested.

2. Questions about This APS

Questions about this APS should be sent via email to ASHAApplications@usaid.gov. Questions that pertain to issues that may be relevant to all applicants will be answered publicly via amendments to this solicitation's posting on www.Grants.Gov at least twice before the closing of this opportunity. The first such response will be provided approximately 60 days after the posting of this APS. The second such response will be provided approximately 60 days after the prior posting. Applicants may register to receive automatic notifications of such amendments by selecting "send me change notification emails" on this opportunity's posting on www.Grants.Gov.

USAID/ASHA may not provide guidance on specific applications while this solicitation is active.

3. Application Submission Method and Deadline

This APS is open for six months from the date of issuance. Applications must be received no later than **5:00 p.m. Eastern Daylight Time (EDT) on April 24, 2015.**

Applications must be submitted via email to ASHAApplications@USAID.Gov**. Email is the required method of submission for this APS, and applications submitted only through www.Grants.Gov will not be accepted.** The subject line of the application should include the solicitation number and the full name of the USO. Attachments to the email, including the application narrative, must be clearly labeled, using the naming conventions specified in this APS. Applicants should send the minimum number of emails necessary. If more than one email is necessary due to the size of attachments, include the sequence of emails and total number sent in the subject line (i.e. "1 of 3," "2 of 3," etc.). All application materials must be received by the deadline above for an application to be complete. Any materials submitted after this deadline will not be accepted.

USAID/ASHA will use a system-generated email timestamp to determine whether or not application materials have been submitted by the deadline. The timestamp generated by USAID's own email system will be the relevant criteria for this determination. All applications received before this deadline will receive an email confirmation of receipt. Applicants are strongly advised to submit their application well before this deadline to ensure receipt. Applications that are not received before this deadline will not be reviewed.

USAID/ASHA will review applications submitted at least 10 business days before the closing date of this APS for **completeness only**. The deadline for such reviews is **5:00pm Eastern Daylight Time on April 10, 2015**. Applicants that have provided incomplete applications before this deadline will be notified of any deficiencies, and permitted to submit missing materials prior to the closing date of this APS. Applications will be reviewed for completeness **only if they are received 10 business days prior to the APS closing date**. USAID/ASHA will not advise applicants of their eligibility or the merits of their proposal at any point before the closing of this APS.

4. Content and Form of Application Submission

a) General Formatting Requirements for Application Narrative

All applications must include an application narrative that adheres to the guidelines below. The application narrative and the supporting documentation requested in this APS will be the critical items of consideration in selection of awards. Any information beyond that necessary for a complete and effective response to this APS will not enhance applicants' competitiveness.

Application narratives must adhere to the following specific guidelines:

- All applications must be in English, single spaced, with each page numbered consecutively.
- Applications must be submitted either as Microsoft Word or searchable Portable Document Format (PDF) documents.
- All applications must use Times New Roman font in size 10 or larger.
- The application narrative file must be named "Application Narrative".

b) Application Narrative

The application narrative must discuss all of the elements below. Applicants should follow this format in structuring their application, including adhering to the specified page limits for each

section. There is no expectation or requirement that applicants use the full space allowed for each item. Rather, applicants should strive be as brief as possible when providing the requested information. Detailed information on the required contents of each section is provided below this summary outline.

Application Narrative Outline (Limit: 19 pgs. total)

1. Cover Page (Limit: 1 pg.)
2. Table of Contents (Limit: 1 pg.)
3. Eligibility (Limit: 1 pg.)
4. Executive Summary (Limit: 1 pg.)
5. Technical Application (Limit: 10 pgs.)
    - 5.1. Goal and Objectives
    - 5.2. Background
    - 5.3. Technical Approach
    - 5.4 Implementation Plan
    - 5.5. Monitoring and Evaluation
    - 5.6. Environmental Capability Statement Summary
    - 5.7. Construction/Renovation Information (if applicable)
    - 5.8. Commodities Information (if applicable)
6. Organizational Capacity and Past Performance (3 pgs.)
7. Cost Proposal and Budget Narrative (Limit: 2 pgs.)

1. Cover Page (Limit: 1 pg.)

On one page, clearly indicate the following:

- The solicitation number of this APS;
- The name of the applicant USO, its Dun and Bradstreet Universal Numbering System (DUNS) number, and its federal Employer Identification Number (EIN). See Section D.5 (pg. 15) of this APS for more information;
- The name of the applicant OSI, its city, state/province, and country;
- The total project cost, the amount requested from USAID/ASHA, and the amount of cost sharing proposed; and
- A brief (no more than 100 words) description of the project.

2. Table of Contents (Limit: 1 pg.)

List all major sections of the application, including page numbers, and attachments. Provide the relevant file names for all attachments.

3. Eligibility (Limit: 1 pg.)

Confirm compliance with all eligibility criteria identified in Section C.1 (pg. 3-4) of this APS. Applicants are strongly encouraged to use the framework provided in Annex 1 (pg. 22) to complete this section. All documentation requested by USAID/ASHA in Annex 1 must be provided as attachments.

4. Executive Summary (Limit: 1 pg.)

Provide a concise summary of the project proposed. At a minimum, this section should include brief descriptions of the USO and the OSI, the specific commodities to be procured or facilities

to be renovated/constructed, and an explanation of how the project will help USAID/ASHA achieve its legislative mandate and enhance mutual understanding with the people of other countries.

5. Technical Application (Limit: 10 pgs.)

Provide the following information:

5.1 Goal and Objectives

Identify the project's public diplomacy objectives and development methodologies and explain how they fulfill USAID/ASHA's legislative mandate by promoting a better understanding of the United States in other countries through the demonstration of ideas and best practices of the United States, as described in Part A of this Application, above. Reference to USAID/ASHA's Results Framework, as identified in USAID/ASHA's FY14-FY18 Strategic Plan (http://www.usaid.gov/documents/1866/office-american-schools-and-hospitals-abroad-2014-2018-strategic-plan), is encouraged but not required. If one of the goals of the project is to strengthen the capacity of the overseas institution, identify this as well, including an explanation of why a stronger institution supports the achievement of USAID/ASHA's legislative mandate.

5.2 Background

Provide a concise description of the context in which the proposed project will occur. This should explain why the proposed goals and objectives discussed in the prior section of the application are necessary, including why increased mutual understanding and the demonstration of the ideas and best practices of the United States would be a positive factor in the community where the project will be implemented.

5.3 Technical Approach

Describe how the project will achieve the goals or objectives identified in Part 5.1 of the application narrative, discussed above. Include a brief description of how the proposed activities will be accomplished and how the accomplishment will, in turn, enhance the institution or organization and enable it to achieve its goals or objectives. If relevant, include any innovative methods (science, technology, new methodologies) or approaches used; any contributions to the advancement of women's and girls' education or leadership; and how project activities promote stable and inclusive civil society.

Discuss the sustainability of project results. For USAID/ASHA's purposes, "sustainable" results are those that are embedded in local health and education systems and have a social impact beyond USAID/ASHA's direct contribution. Note that this is distinct from the operational and financial sustainability of the applicant organizations, which should be discussed in Part 6 of the application narrative, discussed below (pg. 11).

Discuss any potential differences in how the project might affect men and women, and how gender concerns have been integrated into the project proposed. While disaggregation of beneficiaries by sex is generally important to include, it does not by itself constitute a gender analysis. A gender analysis assesses how differences in gender roles and status affect a project's implementation and outcome. If relevant, please include a discussion of how the OSI enhances gender equality in the society more generally. Applicants may wish to review Gender 101 (http://usaidlearninglab.org/library/gender-101-gender-equality-usaid), a USAID-developed

online course; the USAID Gender Equality and Female Empowerment Policy (http://www.usaid.gov/sites/default/files/documents/1870/GenderEqualityPolicy.pdf); and ADS 205 (http://www.usaid.gov/ads/policy/200/205) for more information about the integration of gender concerns into USAID projects.

Discuss how the project proposed advances public diplomacy goals of the United States in the benefitting country. Information about USAID Mission development goals can be found on the Agency's website at http://www.usaid.gov/results-and-data/planning/country-strategies-cdcs. Information about the activities of U.S. Embassies and Consulates can be found at http://www.usembassy.gov. Applicants are encouraged to reach out to Missions, Embassies, or Consulates to discuss how potential projects might align with their work.

5.4 Implementation Plan

Clearly outline links between the proposed objectives, technical approach and performance milestones, as well as a realistic timeline for achieving the expected results. Requests for projects that support ongoing activities should identify specific milestones for the use of supported commodities or facilities within those activities, for example, when students will first begin to use new equipment or a constructed facility will open. The implementation plan should extend at least until the commodities or facilities that benefit from USAID/ASHA support begin to serve intended beneficiaries.

5.5 Monitoring and Evaluation

Applicants must explain how they intend to monitor and evaluate the project's success, both as activities unfold and at the end of the project. This explanation should identify what data the applicant intends to collect to verify the achievement of project goals, and outline how, when, and by whom this data will be gathered, analyzed, and used. Applicants are encouraged to review the information in Annex 3 (pg. 24), which discusses the indicators that USAID/ASHA uses to monitor and evaluate its own activities, and incorporate this into their monitoring and evaluation plans, if relevant to the project proposed. Annex 3 is provided for informational purposes only, and use of these indicators is not mandatory.

5.6 Environmental Capability Statement Summary

All applicants are required to submit a 2-page Environmental Capability Statement as an Attachment. Applicants must briefly summarize their Environmental Capability Statement in this section of the application narrative. See Annex 4 (pg. 26) of this APS for detailed information about the contents of the Environmental Capability Statement. In their summaries, applicants should include the expected environmental impact of the project, the intended measures to mitigate that impact, and the applicant organizations' capacity for environmental monitoring and mitigation. Due consideration should be given to implementation of climate change actions per current host country regulations and United States Government Executive Orders on climate change (http://www.whitehouse.gov/the-press-office/2013/11/01/executive-order-preparing-united-states-impacts-climate-change) and climate-resilient international development (http:/www.whitehouse.gov/the-press-office/2014/09/23/executive-order-climate-resilient-international-development).

5.7 Construction/Renovation Information (if applicable)

If the project proposed includes construction or renovation, include the following information:

5.7.1 Description
Provide a concise description of the facility to be constructed or renovated, including basic details such as the location of construction, floors and rooms affected, ancillary structures affected such as water, sanitation, or energy systems, and the projected end result of the construction. Provide Global Positioning Systems (GPS) coordinates, if available.

5.7.2 Conceptual/Architectural Design
Provide a Conceptual/Architectural design of the proposed project as an attachment. This is a basic picture of what the proposed project will look like, understandable by both engineers and non-engineers. Include these drawings in a single attachment. Applicants may submit other drawings, such as mechanical, electrical, or structural drawings, if they would be helpful to reviewers, but they are not required.

5.7.3 Issues and Compliance
The applicant must identify any existing significant engineering, construction, and environmental issues at the site for the proposed construction/renovation due to natural or man-made events. The applicant must state if the OSI is in compliance with applicable local, provincial, and national laws and regulations concerning land use, building, construction, and environmental management. If the OSI is not in compliance (for example, if this project is intended to support efforts towards larger overall facility compliance), the application must discuss the steps taken to address these gaps and what steps will be necessary in the future.

5.7.4 Construction/Renovation Timeline
The applicant should include a timeline for project completion, which includes milestones such as the permits required, the length of the design phase, the length of the construction phase, and the date of project completion. This information may be provided in an attachment, but if that is the case, reference the attachment in this section of the application narrative.

5.7.5 Additional Construction Information
Successful applications that include construction or renovation activities will be required to provide additional information prior to the beginning of construction, as per the substantial involvement described in Section B.3 (pg. 3) of this document.

5.8 Commodities Information (if applicable)
If the project proposed includes commodities, include the following information:

Description of Commodity	Number of Units	Cost per Unit	Total Cost

Total			

Recipients of awards must comply with ADS 310, Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID (http://www.usaid.gov/ads/policy/300/310), and ADS 312, Eligibility of Commodities (http://www.usaid.gov/ads/policy/300/312). Only eligible commodities may be funded by USAID/ASHA. For awards resulting from this APS greater than or equal to $250,000, the authorized geographic code is Code 937. This code authorizes goods with source and nationality in the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. For awards resulting from this APS less than $250,000, the authorized geographic code is Code 935. This code authorizes goods with source and nationality in any area or country including the recipient country, but excluding any country that is a prohibited source. A list of prohibited sources is available in ADS 310. In certain situations, identified in ADS 310.3.4, recipients may obtain waivers from USAID's Source and Nationality provisions.

6. Organizational Capacity (Limit: 3 pgs.)

Explain and summarize the ability of the USO and OSI to remain sustainable (financially and operationally), independent of funding from USAID/ASHA. This may include a discussion of the organizations' histories, if that discussion illustrates their ability to continue providing high quality services over the long term. Include a discussion of the organizations' ability to leverage financial, material, and human resources to sustain their activities beyond USAID/ASHA funding. "Leveraging" in this context should be interpreted more broadly than the amount of funding that applicants plan to commit to the project via cost share. Instead, it includes applicants' ability to secure all the resources necessary for continued operation at a level of excellence, including but not limited to private sources of funding, program income, investments, volunteer arrangements, and in-kind partnerships.

Discuss the capacity of both the USO and the OSI to implement the project proposed. Include a description of the organizational systems and structures in place to ensure the project is implemented efficiently and soundly, including the nature and length of the relationship between the USO and the OSI. Identify the key personnel who will be implementing the project proposed, and explain why these personnel are qualified to execute this project. Identify specific project managers for this activity at both the USO and the OSI, and explain their qualifications to serve in this role. Include their resumes or CVs as attachments. For the purposes of this application, "project managers" should be the individuals primarily responsible for the implementation of the majority of activities associated with the project. If the project includes partner organizations other than the USO and OSI, identify them here and explain how their involvement will contribute to a more effective project.

Briefly describe any similar projects to the one proposed that have been implemented within the previous three years. Include a brief discussion of the previous project's objectives, activities, results, and funding. The discussion should illuminate how the prior projects have demonstrated

the capacity to implement the project proposed. "Similar projects" for the purposes of this APS includes projects with elements of construction/renovation of facilities or commodity procurement that resemble the proposed project. It is not necessary for these projects to have been funded by USAID/ASHA or the U.S. Government. USAID/ASHA may use past performance information obtained from sources other than those identified in the application.

7. Cost Proposal and Budget Narrative (Limit: 2 pgs.)

Applicants must also submit a detailed cost proposal and budget narrative. The cost proposal and corresponding narrative must identify all project costs, including those to be funded by USAID/ASHA and those to be funded by cost sharing. It must also provide a description of each budget line item requested and a justification for these items.

This narrative is in addition to completed copies of the relevant forms from the SF-424 family of forms, which are required attachments. The cost proposal and budget narrative may refer to the SF-424 forms, but should provide additional detail not included in the standard forms.

c) Attachments

Applicants must submit the following documents as attachments with their application narrative, as applicable. Attachments must be less than 20 pages total, excluding SF-424 forms, construction drawings, the optional Survey on Ensuring Equal Opportunity, audited financial statements and translations thereof, and leases or titles and translations thereof. All attachments must follow the naming conventions specified. Attachments that are inappropriately named may not be reviewed. An attachment checklist is provided in Annex 2 (pg. 23).

Mandatory Attachments: These attachments are required for all applicants.

1. Application Forms SF-424 (required for all applicants), SF-424A and SF-424B (required for non-construction projects) or SF-424C and SF-424D (required for projects that include construction). These forms are available on the solicitation page for this opportunity (http://www.grants.gov/web/grants/view-opportunity.html?oppId=268248) on www.Grants.Gov on the "Application Package" tab. These forms should be submitted as a single PDF document, named "**M1 - SF424 Family**". Applicants may attach other documents to the SF-424 using the form provided by Grants.Gov if they choose, but this is not required.

2. The most recent independently audited financial statements of the USO. This document should be named "**M2 - USO Financial Statements**".

3. The most recent independently audited financial statements of the OSI. If originally completed in a language other than English, applicants must include an English translation of the audited financial statements in addition to a copy of the original financial statements. If originally completed using a currency other than the U.S. dollar, applicants must include a version that converts local currency to their U.S. dollar equivalents. Unaudited financial statements, OSI financial statements in a language other than English without an accompanying English translated version, and financial statements in a currency other than the U.S. dollar without an accompanying version in U.S. dollars will not be considered responsive. The original document

should be named "**M3 - OSI Financial Statements**". A translation or conversion to U.S. dollars, if included, should be named "**M3 - Translated OSI Financial Statements**".

4. Resumes/CVs of Project Managers identified in Part 6 of the Application Narrative. See Section D.4.b.6 (pgs. 11) of this APS for more information. These resumes/CVs should be submitted as a single attachment, named "**M4 - Project Managers**".

5. A list of the members of the USO and OSI's Boards of Directors, including names, titles, employers, and, in the case of the OSI, an indication of whether they are appointed by the host country government. This information should be submitted as a single attachment, named "**M5 - Boards of Directors**".

6. A two-page Environmental Capability Statement. See Annex 4 (pg. 26) of this APS for more information. This document should be named "**M6 - Environmental Capability Statement**".

Mandatory as Applicable Attachments: These attachments are required for applicants, as applicable.

7. An A-133 audit of the USO. See OMB Circular A-133 (http://www.whitehouse.gov/sites/default/files/omb/assets/omb/circulars/a133/a133.pdf) for applicability information. This document should be named "**AA1 - A133 Audit**."

8. An annual financial audit of the OSI conforming to the requirements of ADS 591 (http://www.usaid.gov/ads/policy/500/591), submitted both in its original language and translated into English, if the original language was not English. The original document should be named "**AA2 - ADS591 Audit**". A translation, if included, should be named "**AA2 - Translated ADS591 Audit**". See ADS 591 for applicability information.

9. Construction Drawings, required only for applications that include construction or renovation activities. These drawings should be submitted using as few attachments as possible. The name of each attachment related to this requirement should begin with"AA3 – Construction Drawings," followed by an indication of each attachment's order within all construction drawings. For example, an application with three construction drawings attached would name these attachments **"AA3 - Construction Drawings - 1 of 3**", "**AA3 - Construction Drawings - 2 of 3**," and "**AA3 - Construction Drawings - 3 of 3.**" The required conceptual construction drawing and additional optional construction drawings should utilize the same naming convention. See Section D.4.b.5.7 (pg. 9-10) of this APS for more information.

10. Evidence of Land Ownership or Lease, in English, required only for applications that include construction or renovation activities. The evidentiary document itself should be named "**AA4 - Land Ownership or Lease**". A translation, if included, should be named "**AA4 - Land Ownership or Lease - Translation**". A description, if included, should be named, "**AA4 - Land Ownership or Lease - Description**". See Annex 1 (pg. 22) of this APS for more information.

Optional Attachments: The following attachments may be included at the discretion of applicants:

11. Survey on Ensuring Equal Opportunity for Applicants (optional). See Section F.2.b (pg. 18) of this APS for more information. If included, this document should be named "**O1 - EEO Survey**".

12. Other attachments, not to exceed the 20 page limit identified above, may be included. Applicants should specifically reference all such attachments in the application narrative. Such attachments should only include supplementary information, as all information necessary to understand the project proposed must be included in the application narrative for consideration by technical reviewers. Such attachments must have file names that begin with the designation "O" and a number, followed by a short description of the information included. For example, if a strategic plan is included as an attachment, this document would be labeled "**O2 - Strategic Plan**", and so on.

d) Information Required Prior to a Federal Award

The following information will be required of successful applicants after notification of the intent of USAID/ASHA to make an award, but prior to the beginning of grant activities.

Branding Strategy and Marking Plan (BS/MP)
Successful applicants will be required to comply and ensure compliance with USAID/ASHA's branding and marking requirements, set forth in ADS 303 (http://inside.usaid.gov/ADS/300/303.pdf). Applicants will be required to submit an acceptable BS/MP after notification of intent to award, but prior to the issuance of an award.

Activity Monitoring and Evaluation Plan (AMEP)
Applicants will be required to complete and submit an AMEP that meets specific requirements set forth in their grant agreement for approval by USAID/ASHA prior to beginning program implementation.

Substantial Involvement Provisions
See Section B.3 (pgs. 3) of this APS for more information.

Project-Specific Initial Environmental Examination
See Part 2 of Annex 4 (pg. 27) of this APS for more information.

Certifications and Assurances
Copies of signed certifications, assurances, and other statements are required prior to receipt of an award. The certifications, assurances, and other statements are located in ADS 303 (http://www.usaid.gov/ads/policy/300/303mav).

611(e) Certification
As required by Part 611(e) of the FAA (http://www.usaid.gov/sites/default/files/documents/1868/faa.pdf), when capital assistance is proposed (for example, construction), and total U.S. assistance for it will exceed $1 million, the Mission Director of the country where construction will take place must certify and the cognizant Assistant Administrator must take into consideration the country's capability to maintain and

utilize the assistance effectively. Additional information may be requested from applicants to support this certification.

Applicants are strongly encouraged to review the information provided about these components, as they may have both budget and time implications for the implementation of proposed projects.

5. Dun and Bradstreet Universal Numbering System (DUNS) Number and System for Award Management (SAM)

All applicant USOs except those exempted under 2 CFR 25 (http://www.ecfr.gov) must:

- Be registered in the System for Award Management (SAM) before submitting their application;
- Provide a valid DUNS number in their applications; and
- Continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application under consideration by USAID/ASHA.

USAID/ASHA may not make an award to an applicant until that applicant has complied with all applicable DUNS and SAM requirements, and, if an applicant has not fully complied with the requirements by the time USAID/ASHA is ready to make an award, USAID/ASHA may determine that the applicant is not qualified to receive an award and use that determination as a basis for making an award to another organization. Visit www.SAM.gov and www.dnb.com, respectively, for more information.

6. Funding Restrictions

USAID/ASHA funds must be used to finance: (a) the procurement of durable commodities (equipment, furnishings, and other non-expendable items) and/or (b) capital improvements. Capital improvement activities are broadly expressed as the construction of a permanent structure, structural improvement, or the renovation/rehabilitation of existing facilities. Procurement of commodities may include such items as library materials, specialized medical and research technology, and education equipment and furnishings. Certain items, including but not limited to vehicles or pharmaceuticals, are generally not eligible commodities for USAID/ASHA funds. See ADS 312 (http://www.usaid.gov/ads/policy/300/312) for a full description of restricted commodities. One application may request funds to support both commodities and capital improvements.

USAID/ASHA will not fund operating costs of either the USO or the OSI. Applicants are expected to fund direct operational costs and indirect costs from other sources and must demonstrate they have the capacity to continue to support the planned project, including any annual maintenance costs associated with the project, without ongoing USAID/ASHA support. USAID/ASHA will only fund program support costs of USOs and OSIs related to the cost of audits and branding/marking materials associated with USAID/ASHA awards.

USAID/ASHA generally will not fund salaries or administrative expenses, though Architect/Engineering fees are acceptable in the case of capital improvement projects. Applicants

may include items that USAID/ASHA will not fund, such as USO operating costs and salaries, within the overall project budget if these items are funded by cost share.

E. Application Review Information

1. Criteria

Applications will be evaluated according to the criteria outlined below.

a) Technical Merit (Total: 55%)

The technical merit of the application will be evaluated based on the extent to which the application sets forth in sufficient detail a valid conceptual approach and methodology that will successfully achieve USAID/ASHA's legislative mandate according to the terms specified in this APS. Specifically, applications will be evaluated to the extent that they demonstrate the following:

1. Goals and Objectives (10%)
The proposed project, if successful, will enhance mutual understanding between the people of the United States and the people of other countries by supporting the study and demonstration of the ideas and practices of the United States in health and education.

2. Background (10%)
There is a need for greater mutual understanding with the people of the United States and the demonstration of the ideas and practices of the United States in the community to benefit from the proposed project, and the proposed project meets the specific context of that community.

3. Technical Approach (25%)
The application uses a sound technical approach to achieve its desired results. This must include a demonstration of each of the following:

3.1 That the technical approach proposed is likely to achieve the goals and objectives of the project. (15%)

3.2 That project results will be sustained beyond the life of a USAID/ASHA award, will have a social impact beyond USAID/ASHA's direct contribution, and are embedded in local health and education systems. (5%)

3.3 That gender concerns have been integrated into the project proposed. (5%)

3.4 The most competitive applications will demonstrate an awareness of U.S. Government goals and objectives in the country. Awards are not contingent on alignment with these goals or objectives, but a clear articulation of how the proposed project would supplement or enhance U.S. Government goals or objectives will benefit applications. Applications for projects that take place in countries without a USAID Mission will not be penalized. (Up to 5% additional points, not to exceed a total of 25% for Criterion 3, may be earned for this sub-criterion. No points will be deducted for not addressing this issue.)

4. Implementation Plan (3%)
The application provides a clear and feasible implementation plan, including a realistic timeline to achieve project results and specific, verifiable performance milestones.

5. Monitoring and Evaluation (4%)
The proposed monitoring and evaluation plan (1) specifies intended indicators; (2) gives clear descriptions of how each indicator will be measured; (3) identifies when indicators will be measured; and (4) provides a clear description of the data collection strategies for each indicator.

6. Environmental Capability (3%)
The application demonstrates sufficient capacity in environmental management to comply with USAID/ASHA requirements.

7. Commodity Information
For commodity requests, the application identifies specific commodities that directly contribute to the achievement of the goals or objectives of the project. (Though not provided its own weight, up to 5% may be deducted from the score for Criteria 3 if the commodities specified do not directly contribute to the achievement of project goals or objectives.)

8. Construction Information
For construction/renovation projects, the application presents a clear, feasible, and responsible plan for all construction activities. (Though not provided its own weight, up to 5% may be deducted from the score for Criteria 3 if applicants do not provide a clear, feasible, and responsible plan for all construction activities.)

b) Organizational Capacity and Past Performance (Total: 35%)

Applications must demonstrate that:

1. The USO and OSI have an ability to continue operating at a high-level beyond the term of USAID/ASHA funding, including the ability to leverage other financial, material, and human resources to meet their goals. (10%)

2. The USO/OSI pair possesses the capacity to implement the project proposed, including sound organizational systems and structures, strong partnerships, and qualified personnel. (10%)

3. Both the USO and OSI possess project managers that have the necessary managerial, technical and logistical skills to carry out the activity. (5%)

4. The USO/OSI pair has a record of success implementing similar projects. (10%)

c) Cost Effectiveness (5%) and Cost Realism (5%) (Total: 10%)

The cost proposal and budget narrative will be evaluated for feasibility, practicality, reasonableness, and scale. Whereas the technical merit criteria address an application's objectives and ability to achieve those objectives, cost realism addresses the ability of the applicant to achieve those objectives within the budget proposed and cost effectiveness addresses a project's return on investment for the U.S. Government. Applicants should demonstrate the cost-effectiveness of the organization's approach and its ability to achieve targets and make a positive measurable impact on a wide range of beneficiaries. Cost share is not required, but it

may contribute to the cost effectiveness of the application. See 2 CFR 200.29 (http://www.ecfr.gov/) for guidance on what can be claimed as cost sharing. Applicants are advised that applications that request USAID/ASHA support for costs that USAID/ASHA will not fund, as discussed in Section D.6 (pg. 15-16) of this APS, may be regarded as infeasible and impractical during the technical evaluation process.

2. Review and Selection Process

Following the APS closing date identified in Section D.3 (pg. 5) of this APS, USAID/ASHA will complete a preliminary application review to ensure applicants meet the APS eligibility criteria and that applications are complete. Applications that do not meet the eligibility criteria or are not complete will not be considered in the subsequent technical evaluation process.

During the technical evaluation process, all applications will be evaluated according to the criteria in Section E.1 (pg. 16) of this APS. Awards are based on those applications that score highest relative to these criteria. After the technical evaluation of eligible applications, USAID/ASHA will proceed to negotiate an award with each apparently successful applicant, subject to the availability of funding and a responsibility determination by the Agreement Officer (AO). USAID/ASHA will also inform unsuccessful applicants, including those judged to be ineligible, of the status of their applications at this time.

The recommendation or selection of an application by the Technical Evaluation Committee does not in any way guarantee the award. The AO makes the final determination on the award and must be fully satisfied that the applicant has the capacity to adequately perform on the award in accordance with the principles established by USAID and the Office of Management and Budget (OMB). Depending on the result of this responsibility determination, the AO may

- Make the award,
- Deny the recommendation of the Technical Evaluation Committee and not execute the award, or
- Award with "special award conditions," as discussed in ADS 303 (http://www.usaid.gov/ads/policy/300/303).

A positive responsibility determination means that the applicant possesses or has the ability to obtain the necessary management competence to plan and carry out the award, and that the applicant will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. In addition, prior to making an award, the AO must verify that neither the USO nor the OSI:

- Have active exclusions in the System for Award Management (SAM), available at www.sam.gov;
- Appear on the Specially Designated Nationals (SDN) and Blocked Persons List maintained by the U.S. Treasury for the Office of Foreign Assets Control, sometimes referred to as the "OFAC List," available at http://www.treasury.gov/resource-center/sanctions/SDN-List/Pages/default.aspx; or
- Are listed in the United Nations Security designation list (online at: http://www.un.org/sc/committees/1267/aq_sanctions_list.shtml).

In the absence of an affirmative responsibility determination, an award cannot be made. If the AO is uncertain about the prospective recipient's capacity to perform financially or technically; the prospective recipient has never had a USAID grant, cooperative agreement or contract; the prospective recipient has not received an award from any Federal agency within five years; the AO has knowledge of deficiencies in the applicant's annual audit; or the AO determines it to be in the best interest of the U.S. government, USAID/ASHA will undertake a formal pre-award survey to determine responsibility prior to making an award. Organizations should take this into account and plan their implementation dates and activities accordingly.

More information on USAID's rules and procedures for assistance competitions is available in ADS 303 (http://www.usaid.gov/ads/policy/300/303).

F. Federal Award Administration Information

1. Federal Award Notices

Applicants that are being considered for award following the technical review process will receive a letter from USAID/ASHA explaining that the application was favorably reviewed by the technical review panel and is being considered for funding. This letter may request additional information or budget adjustments if the full budget requested is not available. This information is required before issuance of an award.

If the information provided is sufficient and USAID otherwise determines that it wishes to award a grant to the applicant, the person identified in Line f of the applicant's SF-424 will receive an email attaching a proposed grant agreement signed by the AO. The applicant is not authorized to incur costs under the award until it receives this document and agrees to its terms, as evidenced by the applicant's counter-signature on the grant agreement.

2. Administrative and National Policy Requirements

a) General Administrative and National Policy Requirements

USAID's internal policies, to be used in the planning, formation, and administration of awards, are described in the Automated Directive System (ADS). The ADS in full is available online at http://www.usaid.gov/who-we-are/agency-policy.

In addition, prime awards to United States Organizations (USOs) resulting from this APS will be administered in accordance with the following:

1. 2 CFR 200-299, which is available at: http://www.ecfr.gov/.
2. USAID Standard Provisions for U.S. Nongovernmental Organizations, which are available at: http://www.usaid.gov/ads/policy/300/303maa.
3. ADS 321 on Small Business Programs, Disadvantaged Enterprises, and Minority Serving Institutions: http://www.usaid.gov/ads/policy/300/321.
4. 2 CFR 220 Cost Principles for Educational Institutions (formerly OMB Circular A-21), which is available at http://www.whitehouse.gov/omb/grants_circulars/.
5. 2 CFR 230 Cost Principles for Non-Profit Organizations which is available at http://www.whitehouse.gov/omb/grants_circulars/ (formerly OMB Circular A-122).

6. OMB Circular A-133 for both universities and non-profit organizations, which is available at http://www.whitehouse.gov/omb/grants_circulars/.
7. 22 CFR 216 USAID Environmental Compliance Procedures, which is available at http://pdf.usaid.gov/pdf_docs/pnadd883.pdf.

b) Voluntary Survey on Ensuring Equal Opportunity for Applicants

Applicants are encouraged, but not required, to submit USAID's Voluntary Survey on Ensuring Equal Opportunity for Applicants (http://www2.ed.gov/fund/grant/apply/appforms/surveyeo.pdf).

c) Assistance to the West Bank and Gaza:

The following shall be applicable to all projects providing assistance to the West Bank and Gaza:

- **USAID/WEST BANK AND GAZA MISSION NOTICES :**

The Recipient shall comply and adhere to all USAID West Bank and Gaza notices to Contractors and Grantees. The notices will be made available on the USAID/West Bank and Gaza website (http://www.usaid.gov/west-bank-and-gaza). Specific questions may be directed to USAID/ASHA.

- **USAID/WEST BANK AND GAZA MISSION ORDER NO. 21:**

The Recipient must comply with the Mission's updated anti-terrorism policies and procedures as stated under the revised Mission Order No. 21 (Mission Notice No. 2007-WBG-26) and any amendments thereafter. The Mission Order No. 21 will be made available on the USAID/West Bank and Gaza website (http://www.usaid.gov/west-bank-and-gaza). It is available on request from USAID/ASHA.

d) ADS Chapter 206, Prohibition of Assistance to Drug Traffickers:

Section 487 of the Foreign Assistance Act requires that reasonable steps be taken to ensure that assistance is not provided to or through drug traffickers or persons with narcotics convictions. The requirements for review, certifications, and implementing clauses apply as a routine matter to assistance in covered countries, as described in ADS 206.3.3 (http://www.usaid.gov/ads/policy/200/206). Covered countries are those identified annually by the President as major, illicit, drug-producing, or drug-transit countries under section 706(1) of the Foreign Relations Authorization Act. For FY 2015, covered countries can be found here: http://www.whitehouse.gov/the-press-office/2014/09/15/presidential-determination-major-drug-transit-or-major-illicit-drug-prod

e) USAID Implementing Partner Notices Portal for Assistance

By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

- Register with the IPN Portal if awarded an assistance award resulting from this solicitation, and
- Receive universal bilateral amendments to this award and general notices via the IPN Portal.

To register, go to https://sites.google.com/site/usaidipnforassistance/ and click the "Register" button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

f) Freedom of Information Act

Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files, including files associated with applications to this award programs, unless applicants indicate specific portions of their application that are entitled to protection from disclosure. See Annex 5 (pg. 29) of this APS for more information.

3. Reporting

Recipients of USAID/ASHA awards will be required to report quarterly on certain financial and performance aspects of the program. A final report will also be required following program completion.

G. Federal Awarding Agency Contact

For any questions concerning this award, contact:

Ms. Kerrin Goodspeed, Sr. Program Analyst
USAID
Ronald Reagan Building, Rm. 7-7-135
1300 Pennsylvania Ave. NW
Washington, DC 20523
ASHAApplications@usaid.gov
(202) 712-0510

ANNEX 1: Checklist for Eligibility Determination

In one page, answer each of the questions below, including providing additional documentation as an attachment when requested. It is not necessary to include the text of the questions themselves in the application. Additional documentation is not required beyond what is specifically identified below. When provided as an attachment, this documentation is included in the page-limits for total attachments identified in Section D.4.c (pg. 11) of this APS.

1. Is the USO is a registered tax-exempt non-profit organization in the United States, such as those organized under Section 501(c)(3) of the Internal Revenue Code of 1954, as amended? If so, provide the organization's Employer Identification Number.
2. Is the OSI located outside the United States? Name the OSI, its host city and country.
3. Is the OSI "under the control or management of a government or any of its agencies" as defined in Section C.1 (pg. 3) of this APS? Provide a list of the OSI's Board of Directors as an attachment, including the title and employer of each. Specify which members of the Board of Directors, if any, are appointed by the government.
4. Does the OSI discriminate against any beneficiary or potential beneficiary on the basis of any non-merit factor, as discussed in Section C.1 (pg. 3) of this APS? Targeting assistance to certain populations will not be construed as discrimination for the purposes of this APS.
5. If the OSI is a school, does it:
    a. Provide post-secondary education;
    b. Serve students at the equivalent of the U.S. 7^{th} grade or higher, if it is a secondary school, or;
    c. Serve students at the equivalent of the U.S. 6^{th} grade or higher, if it is a middle school?
6. If the OSI is a school, does it use English as the language of instruction in at least one class or provide English instruction?
7. If the OSI is a medical center, does it perform medical education or research? If so, describe the nature of that education or research in no more than 100 words.
8. If the proposed project involves construction or renovation activities, provide as an attachment either:
    a. A copy of a title or lease demonstrating a legal right to the land to be used for construction for at least 20 years from the start of the project. If the title or lease was originally written in another language, provide an English translation; or
    b. In contexts where obtaining a formal lease or title is not possible due to local land right systems, provide a copy of any other document that establishes a right to use the land recognized by local government authorities, an English translation if the original document is not in English, and a brief (no more than 1-pg.) description of the context, the document provided, and an explanation as to how it demonstrates a legal right to use the land in question for at least 20 years from the start date of the project.

ANNEX 2: Attachment Checklist

Mandatory Attachments: These attachments are required for all applicants.

- ☐ **M1 - SF424 Family**
- ☐ **M2 - USO Financial Statements**
- ☐ **M3 - OSI Financial Statements** and, if necessary, **M3 - Translated OSI Financial Statements**
- ☐ **M4 - Project Managers**
- ☐ **M5 - Boards of Directors**
- ☐ **M6 - Environmental Capability Statement**

Mandatory as Applicable Attachments: These attachments are required for applicants, as applicable. See Section D.4.c (pg. 11) for applicability information.

- ☐ **AA1 - A133 Audit**
- ☐ **AA2 - ADS591 Audit** and, if necessary, **AA2 - Translated ADS591 Audit**
- ☐ **AA3 - Construction Drawings** (Further identified as "1 of 3," '2 of 3," etc., if necessary.)
- ☐ **AA4 - Land Ownership or Lease** (Further identified as "Translation" or "Description" if necessary.)

Optional Attachments: These attachments may be included at the discretion of applicants.

- ☐ **O1 - EEO Survey**
- ☐ **Other attachments,** labeled as "O2," "O3," etc., with short, descriptive filenames and explicit references in the application narrative.

ANNEX 3: USAID/ASHA Indicators

USAID/ASHA tracks progress among its awardees using two types of indicators. It has identified five specific "Standard Indicators" it tracks across its entire portfolio, while awardees propose additional "Custom Indicators" that reflect their own priorities. Standard Indicators allow USAID/ASHA to summarize its overall results and communicate that impact to external stakeholders, while Custom Indicators allow USAID/ASHA to capture the diversity and innovation of its awardees.

Standard Indicators

1. **Number of public outreach activities held**. Examples of public outreach activities include publicity events, presentations, lectures and symposiums for patients, families, healthcare providers, students and community members, and the distribution of resource materials.

2. **Number of users directly benefitting from USAID/ASHA-funded activities, disaggregated by sex**.

3. **Number of individuals in marginalized groups benefitting from USAID/ASHA-funded activities, disaggregated by sex and by relevant groupings**.

4. **Number of new innovations or practices introduced locally**. Examples include improvements that lead to cost, labor, time, or energy savings, or the use of a new method in a country or region for the first time.

5. **Number of Performance Milestones met**.

USAID/ASHA acknowledges that all of these indicators may not be relevant to all awardees and will work with awardees to determine appropriate targets, including, in some cases, targets of zero (0), when these indicators are not relevant to a particular project.

Custom Indicators

Custom Indicators are measures that awardees and their stakeholders find relevant to the success of their USAID/ASHA-funded activity. They are proposed by awardees in AMEPs and approved by USAID/ASHA. When relevant, awardees are encouraged, but not required, to select Custom Indicators that align with USAID/ASHA's Strategic Plan. Categories of such indicators are outlined below. If a given activity is not expected to produce measurable changes related to these categories of indicators, awardees should choose Custom Indicators that are useful for the project, irrespective of these categories.

1. **Public Diplomacy:** To what extent are your USAID/ASHA-funded activities enhancing mutual understanding between the people of the United States and the people of other countries?

   Illustrative Indicator: Percent change in individuals expressing familiarity with the practices of the United States in education.

2. **Gender Equality and Women's Empowerment:** To what extent are your USAID/ASHA-funded activities contributing to reducing gender disparities or gender-based violence and its effects? Do they contribute to increasing the capabilities of women and girls to realize their rights, determine their life outcomes, and influence decision-making?

Illustrative Indicator: Number of women among tertiary education teachers or professors benefitting from USAID/ASHA-funded activities.

3. **Community Inclusion:** To what extent do your USAID/ASHA-funded activities enable the OSI to reach out to, interact with, or provide services to marginalized audiences or groups that are often excluded, or to provide such audiences with new opportunities to participate in their community?

Illustrative Indicator: Number of persons with special needs and disabilities served or directly benefiting from USAID/ASHA-funded activities.

4. **Innovation:** To what extent are USAID/ASHA funds enabling the creation and implementation of new or innovative tools or technologies that contribute to improvements in the OSI's operations?

Illustrative Indicator: Amount of power (in KW) generated by USAID/ASHA-funded solar power installation.

5. **Organizational Strengthening:** To what degree has USAID/ASHA assistance helped the OSI enhance its capacity or become more sustainable, beyond the addition of specific facilities or equipment?

Illustrative Indicator: U.S. dollars of financial leverage secured (co-financing or funds raised for an activity from non-USAID sources) that are a result of USAID/ASHA funding.

ANNEX 4: USAID/ASHA Environmental Requirements and New P-IEE for FY14-FY19

1. Environmental Capability Statement

Section 117 of the Foreign Assistance Act of 1961, as amended, 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 further elaborated in 22 CFR 216 (http://pdf.usaid.gov/pdf_docs/pnadd883.pdf) and in ADS 204 (http://www.usaid.gov/ads/policy/200/204).

All applicants to the FY14 APS, including projects that involve construction or renovation and those that involve only commodity procurement, are required to include an Environmental Capability Statement in their applications as an attachment, using the table provided below. This statement should be no more than two pages long. It should briefly describe the USO and OSI capabilities to identify potential environmental impacts and how to mitigate those impacts in the proposed project. The table is provided as a guide, and applicants are expected to answer all applicable questions. This Environmental Capability Statement should be summarized in the Application Narrative, as described in D.4.b.5.6 of this APS (pg. 9).

For a general review of environmental impacts associated with construction and infrastructure activities, it may be useful to refer to the USAID Environmental Guidelines for Construction (http://www.encapafrica.org/egssaa.htm; Healthcare Wastes (http://www.usaidgems.org/Sectors/healthcareWaste.htm); and the FY15-18 USAID/ASHA Programmatic Initial Environment Examination (http://gemini.info.usaid.gov/egat/envcomp/repository/pdf/39411.pdf).

ISSUE	PROJECT DESIGN CONSIDERATIONS
A. Site Selection	● Will the project take into consideration the proximity of the nearest sensitive biological ecosystems (e.g., wildlife park, eco-tourism site, protected area, etc.)? ● Will the project take into consideration any natural- or manmade-hazards that may affect the site, such as will the project be located in a flood zone or on former military base?
B. Construction Materials	● Have environmentally-friendly materials or suppliers been identified by the project (e.g., lead-free paint, chlorinated solvents like carbon tetrachloride [carbon tet])?
C. Pesticides	● Will the project anticipate the need for pesticide chemical controls, such as for rodents and termites?
D. Water Supply	● Will the project plan to ensure water sources are of sufficient quantity to meet projected demand from facility (e.g., 300 new students in dormitory)? ● How will the project ensure that quality of water will be safe for users (e.g., a plan for water quality assurance)?

E. Solid and Sanitary Waste	● Will the project identify proper disposal mechanisms for solid waste (e.g., construction waste, "regular" operational waste)? ● Will the project identify ways to minimize solid waste generation from the operation of the facility (e.g., composting)? ● How does the project plan to ensure proper sanitation systems are in place to meet any existing or projected increase in facility use?
F. Medical Waste	● Is there a well-maintained incinerator or other technology available to the project that can properly treat any expected medical wastes?
G. Energy	● Will the project identify ways to use non-fossil fuel energy sources (e.g., solar panels)?
H. Social Impact	● Will the project identify any waste streams that may affect those living nearby or "downstream", such as odors from morgue operations?
I. Greening of Awardee Operations	● Will the potential awardee identify any approaches to green their office operations (e.g., reduce emissions associated with transportation of staff, paper reuse or recycling in project offices)?

2. Project-Specific Initial Environmental Examination

Depending on the activities of the project proposed, successful awardees will be required to submit applicable project-specific information and analyses for USAID to determine the level of potential environmental risk. Projects will be classified as either low risk, earning a "Categorical Exclusion," or higher risk, earning a "Negative Determination with Conditions," in accordance with 22 CFR 216. These terms are defined in depth in USAID/ASHA's Programmatic Initial Environmental Examination (P-IEE) for Construction and Commodity Procurement (http://gemini.info.usaid.gov/egat/envcomp/repository/pdf/39411.pdf).

For commodity awards, all awardees must submit a detailed list of proposed commodities to undergo environmental review by the USAID Bureau Environmental Officer (http://www.usaid.gov/node/35406#beo) for the Bureau for Democracy, Conflict and Humanitarian Assistance. If the USAID BEO grants a Categorical Exclusion for the listed commodities, no further action is required by the awardee concerning those approved commodities.

Generally speaking, projects that involve the following types of activities will be regarded as higher risk, and consequently receive a Negative Determination with Conditions:

- Construction or renovation activities;
- Procurement of hazardous-substance containing commodities; or
- Procurement of healthcare commodities, including equipment that generates medical/hazardous waste.

For commodity procurement activities that receive a Negative Determination with Conditions, awardees will receive further information about the mitigation measures that will be required following submission of their commodities list. For capital improvement activities, awardees will have to submit a project-specific Initial Environmental Examination (IEE) prior to the start of activity implementation. The project-specific IEEs must describe environmental issues that would arise in the local region and partner country given the specific environmental resources (e.g., land, air, water) and social contexts of the activities. In the development of project-specific IEEs, the awardee must adhere to – at a minimum – the standards presented in the global FY15 P-IEE, which outlines common environmental impacts and mitigation measures that typically arise in USAID/ASHA projects. All of the project-specific IEEs must meet the standards necessary for approval by the USAID BEO prior to any field implementation of activities, including the start of construction.

ANNEX 5: Freedom of Information Act

A synopsis of the successful application or revised application, including relevant details such as the program budget and specific commodities to be purchased, will become the Program Description of the grants or cooperative agreements awarded as a result of this APS. Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files, including this Program Description, unless applicants indicate specific portions of their application that are entitled to protection from disclosure.

Upon award of the grants or cooperative agreements resulting from this APS, USAID will disclose, use, or duplicate any information submitted in response to this APS to the extent provided in the award and as required by the Freedom of Information Act.

Limited Use of Data Statement

An application may include data that the Applicant does not want disclosed for any purpose other than evaluation. USAID's determination to withhold or disclose a record will be based upon the particular circumstances involving the record in question and whether the record may be exempted from disclosure under the Freedom of Information Act. If the applicant wishes to restrict the data in the application, the title page must be marked with the following legend:

> "**USE AND DISCLOSURE OF DATA**
> Unless the disclosure is required by the Freedom of Information Act, 5 U.S.C. 552, as amended, (the Act) as determined by Freedom of Information (FOI) officials of the U.S. Agency for International Development, data contained in the portions of this application which have been specifically identified by page number, paragraph, etc. by the Applicant as containing restricted information shall not be used or disclosed except for evaluation purposes.
>
> The Applicant acknowledges that the Agency may not be able to withhold a record (data, document, etc.) nor deny access to a record requested pursuant to the Act and that the Agency's FOI officials must make that determination. The Applicant hereby agrees that the Government is not liable for disclosure if the Agency has determined that disclosure is required by the Act.
>
> If a grant/cooperative agreement is awarded to the Applicant as a result of, or in connection with the submission of this application, the Government shall have the right to use or disclose the data to the extent provided in the agreement. Applications not resulting in an award remain subject to the Act.
>
> The applicant also agrees that the Government is not liable for disclosure or use of unmarked data and may use or disclose the data for purpose, including the release of the information pursuant to requests under the Act.
>
> The data subject to this restriction are contained in pages _____ (insert page numbers, paragraph designation, etc. or other identification)."

In addition, the applicant should mark each page of data it wishes to restrict with the following statement:

> "Use or disclosure of data contained on this page is subject to the restriction on the cover sheet of this application." Applicants must clearly identify the person authorized as the official point of contact, the legal mailing and street addresses, phone and fax numbers and e-mail address.