Issue Date: October 19, 2018

Deadline for Questions: To be provided with notification of "Pass" and request for full application

Closing Date for CONCEPT NOTE: November 1, 2018
Closing Time for CONCEPT NOTE: 5:00 PM, Washington DC local time

Closing Date for FULL APPLICATION: To be provided with notification of "Pass"
Closing Time for FULL APPLICATION: To be provided with notification of "Pass"

Subject: Notice of Funding Opportunity (NOFO) 7200AA18RFA00039

Program Title: Reaching Pregnant Breastfeeding Women, Children, and Youth (RCAY)

Catalog of Federal Domestic Assistance (CFDA) Number: 98.001

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for a cooperative agreement from qualified entities to implement the Reaching Pregnant Breastfeeding Women, Children, and Youth (RCAY) project. Eligibility for this award is not restricted.

USAID intends to make an award to the applicant(s) who best meets the objectives of this funding opportunity based on the merit review criteria described in this NOFO subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this NOFO thoroughly to understand the type of program sought, application submission requirements, and selection process.

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 www.grants.gov, and may be amended. It is the responsibility of the applicant to regularly check the website to ensure they have the latest information pertaining to this NOFO and to ensure that the NOFO has been received from the internet 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 (U.S.), 1-606-545-5035 (international), or via email at support@grants.gov for technical assistance.

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 in the process.

Issuance of this NOFO 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. Applications are submitted at the risk of the applicant. All preparation and submission costs are at the applicant's expense.

Thank you for your interest in USAID programs.

Sincerely,

Christopher Nikola
Agreement Officer

ABBREVIATIONS AND ACRONYMS

4Children: Coordinating Comprehensive Care for Children
ACT: Accelerating Children's HIV/AIDS Treatment
ADS: Automated Directive System
AIDS: Acquired Immune Deficiency Syndrome
AIDSFree: Achieving an AIDS-free generation
AGYW: Adolescent Girls and Young Women
AO: Agreement Officer
AOR: Agreement Officer's Representative
ART: Antiretroviral Treatment
ARVs: Antiretroviral (drugs)
ASA: Apparently Successful Applicant
ASAP: Accelerating Support to Advanced Local Partners
ASPIRES: Accelerating Strategies for Practical Innovation and Research in Economic Strengthening
CBO: Community-Based Organization
CDC: Centers for Diseases Control and Prevention
COP: Country Operational Plan
CSO: Civil Society Organizations
DEC: Development Experience Clearinghouse
DFI: Translating Data for Implementation
DREAMS: Determined, Resilient, Empowered, AIDS-free, Mentored and Safe
EID: Early Infant Diagnosis
EIMC: Early Infant Male Circumcision
FAA: Foreign Assistance Act
FBO: Faith-Based Organization
FY: Fiscal Year
GBV: Gender-Based Violence
GHP: Global Health Programs
HEI: HIV-Exposed Infants
HIV: Human Immunodeficiency Virus
HIVST: HIV Self-Testing
HMIS: Health Management Information Systems
HTS: HIV Testing Services
IEE: Initial Environmental Examination
IPV: Intimate Partner Violence
IS: Implementation Science
KP: Key Populations
LMIC: Lower Middle Income Countries
LOE: Level of Effort
LP: Local Partner
M&E: Monitoring & Evaluation
MER: Monitoring, Evaluation, and Reporting
MMD: Multi-Month Dispensing

MOH: Ministry of Health
MSI: Minority Serving Institution
NICRA: Negotiated Indirect Cost Rate Agreement
NGO: Non-Governmental Organization
NOFO: Notice of Funding Opportunity
NUPAS: Non-US preaward survey
OFAC: Office of Foreign Assets Control (OFAC)
OGAC: Office of the Global AIDS Coordinator
OHA: Office of HIV/AIDS
PAD: Project Appraisal Document
PBF: Pregnant and Breastfeeding
PD: Project Director
PEP: Post-Exposure Prophylaxis
PEPFAR: President's Emergency Plan for AIDS Relief
PrEP: Pre-Exposure Prophylaxis
PHIA: Population-based HIV Impact Assessments
PIEE: Programmatic Initial Environmental Examination
PIP: Performance Improvement Plan
PLHIV: People Living with HIV
PMTCT: Prevention of Mother to Child Transmission
PYD: Positive Youth Development
OFAC: Office of Foreign Assets Control
OVC: Orphans and Vulnerable Children
RCAY: Reaching Targeted Pregnant and Breastfeeding Women, Children, and Youth
SAM: System for Award Management
SC: Selection Committee
SO: Sub-Objective
SOAR: Supporting Operational AIDS Research
SRE: Surveys/surveillance, research, and evaluation
SRH: Sexual-Reproductive Health
S/GAC: State/Global AIDS Coordinator
TA: Technical Assistance
TAT: Turnaround Time
TMEC: Meeting Targets and Maintaining Epidemic Control
TSP: Technical Support for PEPFAR
U=U: Undetectable equals Untransmittable
VACS: Violence Against Children Surveys
VL: Viral Load
UNFPA: United Nations Population Fund
USAID: U.S. Agency for International Development
VMMC: Voluntary Medical Male Circumcision
WHO: World Health Organization

SECTION A: PROGRAM DESCRIPTION

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 Section F.

I. Introduction

The goal of the Reaching Pregnant and Breastfeeding Women, Infants, Children, and Youth (RCAY) project is to achieve and maintain HIV/AIDS epidemic control specifically for the most-at-risk and hard to reach pregnant and breastfeeding (PBF) women, infants, children, and youth in PEPFAR-supported countries. The focus also includes mitigating the impact of HIV/AIDS and preventing HIV infection among high priority, at risk sub-populations. Evidence-based strategies will be used to find, engage, and retain the partners of PBF women and youth in prevention efforts as well as the clinical cascade. In the case of this NOFO, activities targeting youth will concentrate primarily on those aged 10-24, which includes adolescent girls and young women (AGYW). Building on the current evidence base and successful practices, RCAY will work with countries to implement targeted interventions that are best poised to address gaps identified in current programming and do so either through a technical assistance (TA) model or direct service delivery. This goal will be accomplished through the following:

1. Attain and maintain HIV epidemic control among at risk PBF women, infants, children, and youth.
2. Support the transition of prime funding and implementation to capable local partners (indigenous organizations) in order to meet the PEPFAR goal of 70% of funding to local partners by 2020.

To achieve results, RCAY will utilize and build on the latest programmatic evidence to ensure the delivery of key services across the HIV continuum amongst targeted populations: prevention and mitigation of HIV and gender-based violence (GBV); identification of HIV-infected PBF women, infants, children, youth and their partners; and assurance of viral suppression and health and well-being in RCAY HIV+ populations. This mechanism will diagnose and address gaps in programming needed to reach 95-95-95[1] using known, cost-effective, implementation strategies as well as innovations that capitalize on existing platforms to reach targets and epidemic control goals. These platforms include but not limited to services for: prevention of mother to child transmission (PMTCT); PBF women antiretroviral treatment (ART); pediatrics and adolescents; orphans and vulnerable children (OVC); Determined, Resilient, Empowered, AIDS-Free, Mentored, Safe women (DREAMS); and GBV. Additionally, RCAY will sustain these achievements as maintenance programming transitions to local partners throughout the life of the award.

RCAY will measure and improve results through frequent data and budget monitoring per

[1] Defined as 95 percent of people living with HIV who know their status, 95 percent of people who know their status are accessing treatment, and 95 percent of people on treatment have suppressed viral loads across all ages, genders, and at-risk groups.

PEPFAR standard processes. In addition, Implementation Science (IS) approaches may be used as a tool to improve and/or scale-up HIV prevention, care, and treatment programs.

PEPFAR data is collected by population and age groups, geographic areas, and at the facility and site level. Systematic, standardized implementation of activities that are known to be successful and effective will be a strong focus of the award's initial years, as it focuses on attainment of epidemic control and the achievement of the 95-95-95 goals. Innovative, cost effective solutions that can be taken to scale will also be supported. As epidemic control is reached, focus will shift to ensuring maintenance of support and sustainability of the program. RCAY will implement programming that simultaneously supports attainment and maintenance of the 95-95-95 goals based on the specific contexts and needs of RCAY target populations in varying countries.

As part of the Journey to Self-Reliance, USAID recognizes the considerable experience and expertise of local partners including faith-based and civil society service delivery organizations (including youth-led organizations). In support of bringing new expertise to USAID programming, RCAY will support local partnerships which capitalize on the expertise of these local organizations, while also providing them with technical and organizational support, as applicable, to ensure the highest quality of programming for PBF women, infants, children, youth, and their partners. RCAY, in conjunction with USAID, will pursue transition awards for local partners, as discussed below. Support and implementation of activities via local partners, through transition awards, is critical to longer term sustainability planning and partner country ownership. Please see Annex 4 for the definition of local partner.

II. Program Background

The U.S. President's Emergency Plan for AIDS Relief

Working in over 50 countries for the past 15 years, the U.S. President's Emergency Plan for AIDS Relief (PEPFAR) has saved and improved millions of lives, prevented millions of HIV infections, and changed the course of the global HIV/AIDS epidemic. Today, PEPFAR supports more than 14 million men, women, and children with ART – more than twice as many as 4.5 years ago – and has provided HIV testing services for 85.5 million people. PEPFAR has enabled more than 2.2 million babies to be born HIV free to HIV+ women, and provides assistance to more than 6.4 million OVC and their caregivers.

PEPFAR funds the clinical cascade of services which includes finding people at risk for HIV infection, testing them, referring HIV negative individuals for HIV prevention services, initiating those HIV infected individuals onto ART, and retaining them on treatment so that they will remain virally suppressed. Viral suppression, at an undetectable level, substantially reduces the risk of transmitting the virus to others. Delivering the clinical cascade of services at scale provides the basis for attaining and maintaining epidemic control. Epidemic control is the point at which new HIV infections have decreased and fall below the number of all-cause mortality among people living with HIV (PLHIV).

PEPFAR supports other efforts aimed at contributing to epidemic control, which include influencing the dynamics driving stigma, discrimination, and violence against those who are HIV+. These barriers restrict access to services, particularly for key populations that include men having sex with men and female sex workers. PEPFAR is working to ensure that all drivers of the epidemic are addressed through high quality HIV/AIDS prevention and treatment services.

In July 2018, at the 22nd International AIDS Conference, Ambassador Deborah Birx (the U.S. Global AIDS Coordinator) highlighted a number of PEPFAR initiatives which aim to continue the momentum of the last 15 years, including new, country-specific Population-based HIV Impact Assessment (PHIA) results; the DREAMS initiative for adolescent girls and young women; and the MenStar Coalition to strengthen efforts to engage young men and boys in testing and treatment services.

PEPFAR supports partner countries' efforts to achieve epidemic control while also promoting the long-term sustainability of their HIV/AIDS responses as they assume greater responsibility for controlling the HIV/AIDS epidemic and ensuring epidemic maintenance thereafter. Epidemic maintenance is defined as a state, after epidemic control is achieved, when achievements made along the HIV/AIDS prevention and treatment cascades can be fully controlled, financed, and led by local health systems (inclusive of public, private, and civil society sectors) with little to no involvement by PEPFAR.

In alignment with the United Nations Sustainable Development Goals, PEPFAR collaborates with partner countries, multilateral institutions, the private sector, faith groups, and community and civic society organizations toward the goal of ending AIDS as a public health threat. The potential for sustainability, innovation, and scalability is much greater with the support and collaboration of a broad array of partners, especially capable local partners including community-based organizations (CBOs) and faith-based organizations (FBOs), academic institutions, private sector, and most importantly, partner country governments.

RCAY activities will support the attainment and maintenance of epidemic control for PBF women, infants, children, and youth by targeting the most-at-risk and hard to reach individuals in PEPFAR-supported countries. Partners of PBF women and youth will also be targeted. Data demonstrates the importance of improving services for these specific populations. As results from the PHIAs demonstrate, despite progress in older adults, there are still critical gaps in HIV prevention and treatment programming which require urgent attention and action for the populations being addressed by RCAY. In all seven surveys conducted to date, children, youth, and youth partners were far less likely to know their HIV status, be on HIV treatment, or be virally suppressed than older adults. Additionally, the results from the PHIAs show that it is during youth that there is a significant increase in HIV infections. With the known "youth bulge" that exists in many lower middle income countries, mitigation and prevention services for these populations is an essential component of programs geared to reaching epidemic control. Additionally, the Violence Against Children Surveys (VACS) have demonstrated that rates of physical, emotional, and sexual violence against children and adolescents are extremely high, and that interventions to prevent violence, as well as provide comprehensive post-violence care, are urgently needed.

PEPFAR utilizes a robust set of Monitoring, Evaluation, and Reporting (MER) indicators that capture site-level programmatic results by age and sex for each person receiving PEPFAR-supported services. In the most recent version of the MER indicators, there is an increased focus on understanding how and where populations access services to reach optimal testing coverage, treatment saturation, and viral suppression. This data will be used to gauge progress and inform the appropriate targeting and tailoring of interventions. RCAY will track a range of routine indicators (input, output, outcome, and impact) that are relevant to each of its components and consistent with PEPFAR indicators, including financial data to enable costing and financial analyses. PEPFAR also recognizes the need to better utilize the wealth of non-routine data (such as Demographic Health Surveys, PHIA surveys, and IS studies). These have not yet been fully leveraged to optimally inform HIV service delivery activities and RCAY will incorporate and build on these other types of data to address programmatic gaps for PEPFAR/USAID's current and emerging core priorities.

III. Technical and Strategic Areas of Emphasis

Over the past 15 years, USAID has been a leader in the delivery of successful clinical cascade services and supports over 14 million people on antiretroviral treatment. USAID's strategic objective of attaining HIV epidemic control in all PEPFAR supported countries by 2020 as well as its overall goal of maintaining epidemic control through cost-effective, at-scale program implementation guides this project.

There are four core priorities for PEPFAR:

1. Increasing the Impact and Cost-Effectiveness of Every Dollar Invested
2. Focusing Prevention for Impact
3. Accelerating Access to HIV Treatment
4. Leveraging Partnerships for Sustainability

PEPFAR's epidemic control strategy focuses and aligns U.S. government resources and activities by emphasizing the following five action steps:

1. Acceleration of optimized HIV testing and treatment strategies, particularly to reach men under age 35. This is important, as more than half of men under age 35 do not know their HIV status and are not on treatment, which is fueling the epidemic in young women ages 15–24 and young men ages 25–35.
2. Expansion of HIV prevention, particularly for young women under age 25 and men under age 30, through the scale-up of innovative and successful DREAMS efforts and the expansion of voluntary medical male circumcision (VMMC) for boys and young men in targeted age bands.
3. Continuous use of granular epidemiologic and cost data to improve partner performance and increase program impact and effectiveness.
4. Renewed engagement with FBOs and the private sector to accelerate and improve efforts toward epidemic control and ensuring access to lifesaving services for children.
5. Strengthened policy and financial contributions by partner governments in the HIV/AIDS response.

To demonstrate clear outcomes and impact for every U.S. dollar invested, PEPFAR continuously updates the way it programs, collects, and uses data to strengthen programmatic approaches. Since PEPFAR began collecting data on key indicators at the site level and by age and sex, data quality has significantly improved the information available to inform critical programmatic shifts. That focus on optimizing outcomes and impact is a driving force behind global efforts to achieve epidemic control and reach all those at risk and in need of HIV prevention and treatment.

The priorities of this project are designed to support those put forth in the PEPFAR 2018 annual report to Congress, and reflect the programmatic successes of the past 15 years. RCAY will find those HIV+ people who have not yet been reached, deliver services to those who continue to need it most, and ensure that the next chapter of PEPFAR, after achievement of epidemic control, will maintain outcomes necessary for epidemic control through support to highly-competent local partners.

RCAY populations span a broad range of ages and challenges and therefore interventions need to be tailored by population and targeted to achieve epidemic control. All approaches must be age and developmentally appropriate to meet the needs of targeted populations. Different country and site level contexts will require varying approaches to address gaps and achieve results. Therefore, all RCAY activities will be predicated on a routine review of country program data, determination of gaps, and rapid programming of interventions that address those particular identified gaps.

Successful practices identified from across PEPFAR supported countries over the last few years will be a key component in RCAY program implementation. PEPFAR has noted that numerous effective interventions have already been identified and need to be scaled up across PEPFAR supported sites.[2] RCAY may implement and assess numerous evidence-based approaches targeting varying populations in line with the local country context including, but not limited to: prevention of incident infections in HIV-negative adolescent girls, young women, adolescent boys, and PBF women; comprehensive sexual education; ensuring early infant diagnosis through to the final diagnosis after end of ongoing breastfeeding exposure (final outcome); linkage to treatment for HIV+ infants; effective case identification and linkage to care and treatment services in children and youth; OVC care and support; expanding contraceptive method mix and decreasing unmet need for family planning; GBV prevention and response in high risk populations (including prevention of sexual violence for young women); ensuring retention in care and adherence to ART; viral suppression in infants, children, youth, and PBF women; and the use of optimized antiretroviral (ARV) treatment regimens. Innovative interventions, as well as innovative and cost-effective methods for taking these interventions to scale, are encouraged.

Gender Equality and Gender-Based Violence Considerations

The PEPFAR Gender Strategy outlines key technical priorities and approaches for implementing gender and GBV considerations into HIV prevention, care, and treatment programming, including addressing harmful gender norms and inequities; overcoming gender-specific barriers to prevention, care, and treatment interventions; creating opportunities for economic empowerment and education; shaping a supportive legal and policy environment; overcoming stigma and

[2] PEPFAR Solutions Platform and PEPFAR DREAMS Guidelines:
https://www.pepfarsolutions.org/
http://ghpro.dexisonline.com/sites/default/files/PEPFAR%20Final%20DREAMS%20Guidance%202015.pdf

discrimination; and preventing and responding to GBV. In addition, the USAID Gender Equality and Female Empowerment Policy and the U.S. Strategy to Prevent and Respond to Gender-Based Violence Globally detail technical priorities and institutional requirements to addressing gender inequalities and GBV in USAID programs and services (Auerbach, 2011).

Gender influences an individual's status within society, as well as the roles, norms, and behaviors that influence access to and utilization of health services – all of which affect dynamics of the HIV epidemic and the success of prevention, care, and treatment programs and services. Gender norms – how society prescribes what it means to be male or female and the socio-cultural sanctions for not adhering to such norms – play a significant role in the uptake of and adherence to services. Harmful gender norms and disparities are the result of biological, structural, socio-economic, and cultural conditions, as well as stigma and discrimination that affect individuals differently and impede access to HIV prevention, care, and treatment programs and services.

GBV facilitates HIV transmission by limiting one's ability to negotiate safe sexual practices, disclose HIV status, and access services, including HIV testing services (HTS), pre-exposure prophylaxis (PrEP), post-exposure prophylaxis (PEP), and ART, due to fear of reprisal (Dunkel and Decker, 2012). An estimated one in three women worldwide has been beaten, coerced into sex, or otherwise abused in her lifetime, with intimate partner violence (IPV) as the most common form of violence experienced by women globally (WHO, 2013). Studies indicate that the risk of becoming infected with HIV among women who have experienced violence may be up to three times higher than among those who have not (Global Coalition on Women and AIDS, 2004). Sexual violence can also directly lead to HIV (WHO, 2013).

Throughout the life of the program, RCAY will be expected to conduct gender analyses in order to identify significant gender inequities. RCAY will routinely monitor sex- and age-disaggregated program data, as well as other routine and custom indicators data sources. RCAY will utilize appropriate and feasible methods for data collection (disaggregated by sex and age), tracking, verification, analysis, and reporting, including attention to differential impacts by sex and age. It will make needed adjustments to the project in order to address harmful gender norms and prevent and respond to gender-based violence in prevention and mitigation efforts as well as across the clinical cascade.

IV. USAID Journey to Self-Reliance and Local Partnerships

USAID defines Self-Reliance as a country's ability to plan, finance, and implement solutions to solve its own development challenges. The Journey to Self-Reliance has been characterized by two mutually reinforcing factors: local capacity and commitment. Commitment is defined as the degree to which a country's laws, policies, actions, and informal governance mechanisms - such as cultures and norms - support progress towards self-reliance. Capacity is defined by how far a country has come in its journey across the dimensions of political, social, and economic development, including the ability to work across multiple sectors. Effective development partnerships are characterized by a collective shared vision between funders and local actors, common definitions of success, shared contribution of resources, and mutual accountability to communities and beneficiaries.

In April 2018 Ambassador Birx also announced PEPFAR Local Partner Targets. These targets are defined as the percentage of funding to local partners and are: 25% by FY2018; 40% by FY2019; and 70% by FY2020. Under PEPFAR, CBOs and FBOs play an integral role in delivering key HIV/AIDS services at the facility and community levels. The continued achievement of targets to reach 95-95-95 goals and attain epidemic control is dependent on ensuring local partners are not only sub-partners but direct implementers of HIV services. The involvement of local partners, especially as prime implementing partners of PEPFAR programs, is crucial for a country's journey to plan, finance, and implement solutions to maintain HIV epidemic control.
According to PEPFAR's draft definition, a local partner must meet one of the three criteria below:

1. An individual:
    a. The individual must be a citizen or legal permanent resident of the country served by the PEPFAR program; and
    b. The individual's principal place of business must be located in the country served by the PEPFAR program and a sole proprietorship must be owned by the individual.
2. Local entities (e.g. corporations/partnership, organizations):
    a. The entity must be registered in and have its principal place of business in the country served by the PEPFAR program; and
    b. The entity must be 75% beneficially owned by citizens or legal permanent residents of the country served by the PEPFAR program; and
    c. 75% of staff and 75% of senior staff must be citizens or legal permanent residents of the country served by the PEPFAR program; and
    d. If the entity has a board, the majority of board members must be citizens or legal residents of the country served by the PEPFAR program.
3. Host country government ministries, sub-national government, and parastatal entities are considered "local" partners.*

* Please Note: A transition award cannot be made to a governmental organization per USAID regulations.

All local entities must provide documentation demonstrating that the organization meets criteria 1, 2, or 3, as described above. Please see Annex 4 for the full draft definition of Local Partner under PEPFAR.

Transition Awards

Transition awards will be facilitated by this project to help PEPFAR reach its goals of 70% of funding going to local partners. Transition awards require the prime implementing partner (also referred to as the initial award partner) to: 1) identify a high capacity local sub-partner in collaboration with the USAID mission and 2) provide any necessary capacity building and/or conduct any necessary assessments, such as a pre-award audit, so that the Mission can transition funding from the prime implementing partner to the local partner under a new bilateral award without competition. The period of transition will depend on the capacity of the sub-partner. Additional information about transition awards is included below in Section B.

V. Previous and Current USAID/Washington Flagship HIV/AIDS Mechanisms

The USAID Global Health Bureau's Office of HIV/AIDS (OHA) is simultaneously procuring four projects designed to more rapidly reach epidemic control and ensure maintenance while reducing costs to PEPFAR by employing targeted interventions to address key gaps, ensure at-scale programs, and meet goals for transition to local partners. These mechanisms will coordinate and collaborate proactively at the headquarters and field levels to maximize US Government investment and efficiencies and minimize duplication. All new projects will support countries to directly meet PEPFAR targets while supporting in-country teams to work with partner governments and local partners to achieve self-reliance. In addition to RCAY, this new suite of projects includes:

Meeting Targets and Maintaining Epidemic Control (TMEC)

There are four overarching project objectives under TMEC focused on filling the prevention and treatment gaps and building long-term sustainability in order to attain and maintain epidemic control. These are in line with the current PEPFAR priorities and the long-term well-being of country programs and the patients they serve:

1. Attain and maintain epidemic control among at-risk adult men, women, and priority populations.
2. Ensure that countries reach and maintain epidemic control through the provision of the comprehensive package of services for key populations and their networks.
3. Ensure sustainable programmatic, political, financial, and structural systems that support maintenance of epidemic control beyond PEPFAR's investment.
4. Support the transition of funding to capable local partners to elevate their role in maintaining the epidemic.

Translating Data for Implementation (DFI)

DFI will employ verified data for immediate program action to course correct and scale up activities, models, and approaches to attain and maintain epidemic control. DFI strategic objectives are as follows:

1. Accelerate data utilization to rapidly course correct and take to scale cost-effective and impactful activities, models, and approaches required to attain and maintain HIV epidemic control.
2. Scale and optimize in-country health information system capabilities to collect, exchange, adapt, govern, and visualize information in order to track the attainment and maintenance of HIV epidemic control.

Accelerating Support to Advanced Local Partners (ASAP)

While many local partners are currently *involved* in USAID PEPFAR service delivery activities, most act in a sub-prime role (i.e., under an international prime) and lack experience independently managing, implementing, and monitoring USAID funded activities central to sustaining HIV/AIDS epidemic control. The ASAP Task Order will provide **rapid** TA to help advanced local organizations achieve and maintain prime-ready status in the next 12-18 months, specifically to support local partner (LP) transition activities for PEPFAR Country Operational Plan (COP) 2019 and COP 2020 programming. This award is intended to help USAID achieve transfer of

70% of USAID PEPFAR funding to local prime partners by 2020. The ASAP strategic objectives are as follows:

1. Ensure LP beneficiaries serve as successful prime recipients of USAID funds and comply with USG regulations and policies.
2. Ensure LPs successfully implement PEPFAR programs and meet PEPFAR performance standards.

OHA's anticipated future projects are designed to more rapidly reach epidemic control and 95-95-95 goals and ensure maintenance while reducing costs to PEPFAR. All new projects will support countries to directly meet PEPFAR targets, and epidemic control and maintenance, while supporting in-country teams to work with partner governments to achieve self-reliance. Additionally, all new projects will be based on the current (and future) evidence base of solutions that have been proven effective and are scalable. See "Collaboration and Coordination" below for additional details about the four new projects.

Previous USAID Central Mechanisms

RCAY streamlines and builds on the work of multiple central mechanisms that are ending, including the Coordinating Comprehensive Care for Children (4Children) and the Accelerating Strategies for Practical Innovation and Research in Economic Strengthening (ASPIRES) cooperative agreements. In addition to providing a vehicle for high-quality OVC service delivery, these two awards made significant strides in helping country programs to, for example, understand the economic barriers for pregnant women and key populations to access HIV services, measure and track graduation of OVC beneficiaries, more effectively target at-risk youth with prevention and social protection interventions, integrate violence prevention and response into programs, strengthen parenting skills, and increase knowledge of HIV status and linkage to clinical services on/from the OVC platform. Mechanisms such as EQUIP, Achieving an AIDS-free generation (AIDSFree), and Technical Support for PEPFAR (TSP) that focus primarily on clinical approaches and service delivery have extensive experience in pediatric and youth treatment throughout southern Africa, and therefore, have numerous best practices that may inform some of the proposed initiatives in RCAY. The Supporting Operational AIDS Research (SOAR) mechanism has been used to generate, translate, and use evidence to improve HIV/AIDS programming -- for example through testing programmatic approaches to improve maternal and fetal outcomes, and producing evidence to improve programming for AGYW and increase efforts to engage their male partners in HIV services.

The YouthPower Action and YouthPower Learning projects provide experience and resources in cross-sectoral, positive youth development (PYD)[3] approaches engaging youth, community members, and governments to support and empower youth.

The RCAY approach will be different than the previous mechanisms and tailored to the current epidemic by responding specifically to key gaps identified in country programs which are preventing the countries from attaining epidemic control in PBF women, infants, children, youth and the partners of PBF women and AGYW. Drawing on successful practices and RCAY

[3] Definition of positive youth development: http://www.youthpower.org/positive-youth-development

expertise, countries can access solution options that best respond to identified gaps through either a TA model or through direct service delivery. Quarterly, site-based analysis and rapid course correction to fill gaps and scale programs is required. Additionally, RCAY will capitalize on solutions that strengthen and support bi-directional linkages between community-based and clinical services.

This project aims to sustain and advance the achievements of PEPFAR initiatives targeting children and youth impacted by the HIV epidemic, including the DREAMS and the Accelerating Children's HIV/AIDS Treatment (ACT) initiatives. As noted by the State/Global AIDS Coordinator (S/GAC), the latest PEPFAR data show significant declines in new HIV diagnoses among adolescent girls and young women in 10 sub-Saharan African countries, with the majority (over 60%) of the highest HIV burden communities or districts achieving a greater than 25% decline in new HIV diagnoses among young women. Through support from RCAY, these gains will be sustained and expanded and HIV incidence among AGYW will continue to decline. As of September 2016, PEPFAR, through the ACT initiative, was able to provide 561,610 children and youth living with HIV with high-quality treatment in nine priority countries. Through support from RCAY, HIV+ children and youth will continue to be identified and supported to achieve viral suppression with the end result of reaching epidemic control.

VI. Project Stakeholders

RCAY will set the standard for quality HIV programming for PBF women, infants, children, and youth; implementing, documenting, and promoting best practices to a broad range of stakeholders at the global, regional, and country levels.

OHA in the Bureau for Global Health: OHA will centrally manage RCAY out of USAID/Washington. USAID expects that 5-10% of RCAY's funding will come from core-central funding. OHA will provide technical, financial, and administrative oversight of the project. This management team will regularly communicate with RCAY leadership, including providing strategic guidance and review of project outputs.

USAID Missions: Missions represent key stakeholders for the project. USAID expects that 90-95% of RCAY's funding will come from Missions. These funds will likely support multi-year, national-level programs, with significant sub-grants to local partners, some of which will transition to prime recipients themselves, as well as shorter-term TA. RCAY will engage with Mission staff actively, through both the project management team at USAID/Washington and other mutually agreed upon strategies. The USAID/Washington management team will facilitate and approve field buy-ins as well as provide oversight on all field activities. Missions will coordinate with the Agreement Officer's Representative (AOR) on direct day-to-day management oversight of Mission buy-ins.

Local and International Organizations: USAID and other donors collaborate with many local and international organizations. These partners include small non-governmental and community-based organizations, businesses, governments, international organizations, and academic institutions. Some of these organizations are themselves experts in HIV prevention and mitigation services as well as HIV clinical services, while others have more limited experience and capacity. USAID expects that RCAY will actively and continuously engage these partners, ensuring effective experience-sharing and exploitation of programmatic synergies.

VII. Project Goal and Objectives

The goal of RCAY is to achieve and maintain HIV/AIDS epidemic control specifically among PBF women, infants, children, and youth in PEPFAR-supported countries. This focus also includes mitigation and prevention efforts with the high priority sub-populations of OVC; PBF women, their partners, and their HIV-exposed infants; children; and AGYW and their partners. In the case of this NOFO, activities targeting youth will concentrate primarily on those aged 10-24. RCAY's approach will address the evolving epidemic and the PEPFAR environment and respond to key gaps which are preventing countries from attaining epidemic control among these priority populations. Under RCAY, countries can employ a range of evidence-based interventions that best address identified gaps through either a TA model or direct service delivery. All RCAY activities will be predicated on a regular review of country program data, determination of gaps, engagement of target populations, and subsequent programming and assessment of interventions that address those particular identified gaps. RCAY seeks to build on evidence-based approaches informed by and tailored to the needs of the most at-risk, hard to reach PBF women, infants, children, youth, and the partners of PBF women and AGYW, including the application of innovative and cost-effective approaches.

Strategic Objective 1: ***Attain and maintain HIV epidemic control among at risk pregnant and breastfeeding (PBF) women, infants, children, and youth.***

Effective strategies under RCAY will vary by population, location, and country context. Programming under RCAY will focus on gaps in services identified through regular data review and engagement of target populations, and will quickly adjust and adapt to address them. Country programs have differing levels of support needs and RCAY will respond with support in areas of need and synergize in areas that function well. Once the gaps are rapidly addressed, maintenance of these activities should require less effort from the implementing partner, and other areas needing corrective action should be addressed. Areas that may require focus span the HIV cascade of services and continuum of support.

HIV prevention services are a key component of epidemic control, and, under RCAY, programming will focus on distinctive activities for the different target groups supported by this award. Under RCAY, target populations will be assessed to determine risks and vulnerabilities to ensure they receive the appropriate services. RCAY will employ and assess evidence-based prevention services which may include, but are not limited to, condoms, family planning, and sexual reproductive health (SRH) services, particularly adolescent-friendly services, as well as PrEP, PEP, and VMMC or early infant male circumcision (EIMC) services, as well as other evidenced-based tools that may become available in the future for preventing the spread of HIV. RCAY will increase availability and access to HIV and GBV prevention and mitigation services for the most at risk and hard to reach RCAY target populations as well as address harmful gender norms and inequalities, particularly those that underpin GBV. Programming under RCAY will address the pervasive stigma and discrimination associated with HIV. RCAY will collaborate with key stakeholders, national and local governments, local leadership and partners, CSOs, and other facility- and community-based structures to deliver evidence-based HIV and GBV prevention and mitigation services, and ensure that the needed health and social service systems are able to maintain and sustain achievements in the absence of external funding support. Evidence-based strategies will be used to find, engage, and retain the male partners of PBF and AGYW in prevention efforts as well as the clinical cascade.

Optimal case identification is an entry point into the HIV cascade and a key strategy to identify PBF women, infants, children, and youth who do not know their status. RCAY will work in communities and with community stakeholders, and ensure that those who are orphaned, vulnerable and at risk of having or acquiring HIV are being tested safely, confidentially, and without fear of stigma and discrimination, and will do so in a continuum with facilities to achieve the best outcomes. RCAY will ensure that >95% of HIV-exposed infants will be actively followed and brought into the facility for Early Infant Diagnosis (EID) services at two months of life, again before one year of age, and finally after cessation of breastfeeding. RCAY will also prioritize linking >95% of newly identified HIV+ individuals to care and treatment services, strengthening facility linkages to OVC services and support, and bolstering the continuum of care for HIV+ PBF women and their infants, children, and youth. Addressing structural factors, such as appropriate age of consent laws and guidance in country and health care worker attitudes, can play a large role in reducing missed opportunities for youth seeking testing. Individuals who test negative should be referred to or maintained in appropriate prevention services.

For those HIV+ individuals identified, timely and active linkage and initiation on ART are crucial, and RCAY will ensure that >95% of newly identified HIV cases are initiated on ART and offered needed support services. Individuals living with HIV have different support needs, whether they be clinical, social, educational, or economic. RCAY will consider differentiated models and approaches to a variety of care and support services, including OVC services, and will strengthen and support eligible HIV+ clients through family and community interventions organized under a case management model. Under RCAY, differentiated clinical services should also be incorporated and inclusion in these differentiated services should be maximized to at least 80% for those PBF women, children and youth who are virally suppressed and prefer less facility-based contact.

An essential component for achieving epidemic control and 95-95-95 lies in viral suppression, and this is a challenge in the populations supported through RCAY. RCAY programming should consider effective approaches to adherence support that address the varied needs of the RCAY target populations, including OVC services via case management. RCAY should work to institutionalize these varied services, as well as routine viral load monitoring and timely and responsive management of individuals who are not virally suppressed, as country programs attain 95-95-95 goals and move into the maintenance phase of HIV programming. As there are significant challenges with viral suppression in PBF women, infants, children and youth, RCAY will focus programming in this area to ensure that > 95% of RCAY HIV+ populations on ART are virally suppressed.

RCAY will aim to achieve this Objective through the following Sub Objectives (SOs). Following each SO is a list of illustrative indicators, presented as examples of how USAID will measure the success of RCAY's implementation. (Note: All references to increases or decreases relate to the baseline established prior to RCAY technical assistance compared to the changes after implementation of RCAY technical assistance.)

SO 1.1: Prevention and Mitigation. Provide direct services and/or TA to attain country specific targets, and implement activities, models, and approaches for prevention and mitigation of HIV in at risk PBF women, infants, children and youth populations that are necessary to achieve and maintain epidemic control.

Illustrative indicators:

- *% increase in the number of at-risk negative PBF women and AGYW who are initiated on PrEP in RCAY assisted districts*
- *% increase in OVC enrollment of high priority sub-populations (such as HIV+ children and adolescents, and children of HIV+ parents, especially sex workers and PBF women) in RCAY assisted districts*
- *% increase in sexual violence survivors receiving clinical care within 72 hours of assault in RCAY assisted districts*

SO 1.2: Clinical Cascade. Provide direct services and/or TA to find, test, treat, and retain (on treatment) at risk PBF women, infants, children and youth populations necessary to achieve and maintain epidemic control.

Illustrative indicators:

- *Number of RCAY assisted districts with 95% of HIV exposed infants (HEI) undergoing EID testing at 6 weeks, and virologic diagnostic test results returned to parents/caregivers within 2 weeks*
- *% of infants with a positive EID test result initiated on ART before 10 weeks of life in RCAY assisted districts*
- *% increase in index testing for children of positive parents in RCAY assisted districts*
- *% increase in number of children and adolescents screened for risk and/or symptoms of HIV, and those that screen positive tested for HIV, in RCAY assisted districts*
- *% increase in the number of negative PBF women who retested during pregnancy and breast-feeding period in RCAY assisted districts*
- *% increase in the number of PBF women and AGYW, and their partners, who are identified through HIV self-testing (HIVST), confirmed positive, and initiated on treatment in RCAY assisted districts*
- *% increase in PBF women, infants, children, and youth identified as HIV+ in community-based/OVC programming on treatment in RCAY assisted districts*
- *% increase in PBF women, infants, children, and adolescents tested positive and initiated on ART within one week of initial diagnosis in RCAY supported districts*
- *% increase in the number of stable HIV+ PBF women, children, and AGYW who receive their ARVs through multi month dispensing (3 or 6 months) by facility and/or community distribution points in RCAY assisted districts*

- *% increase in proportion and number of adolescents successfully retained in care and virally suppressed when transitioning from pediatric to adult care in RCAY assisted districts*

SO 1.3: Viral Load Suppression. Provide direct services and/or TA to achieve country specific targets for viral load suppression in PBF women, infants, children, and youth populations necessary to attain and maintain epidemic control.

Illustrative indicator:

- *% increase in HIV+ PBF women, children, and youth on treatment for more than 6 months who have had a viral load test within the last 12 months in RCAY assisted districts*

SO 1.4: Data: Strengthen data and systems for planning, monitoring, evaluating, and assuring the quality of programs for at risk PBF women, infants, children and youth, and ensure that national and sub-national health management information systems (HMIS) are using validated data.

Illustrative indicators:

- *Number of districts in RCAY assisted countries that employ most highly recommended RCAY approaches to data collection and use for program quality and improvement*
- *Number of RCAY assisted countries and/or districts using validated data in national and sub-national HMIS*

Strategic Objective 2: ***Support the transition of prime funding and implementation to capable local partners in order to meet the PEPFAR goal of 70% of funding to local partners.***

Assist local partners to become successful prime recipients of USAID funds and comply with USG regulations, policies, and PEPFAR performance standards and reporting requirements. This support from the prime implementing partner may include, depending on the local partner, but is not limited to:

- Improved financial management and internal control systems (e.g. having banking accounts, book keeping system, financial statements, accounting cycle, sources of funding, financial reporting, audit and review of financial statements)
- Demonstrated ability of the local partner to manage funding responsibly and efficiently
- Capacity to meet USG programmatic and financial reporting requirements
- Active status on SAM website, no exclusions on OFAC website and UN Sanctions List
- Capability to use PEPFAR data systems for decision-making and course correction as needed
- Ensuring the LP has well-defined indicators of success and a description of how it intends to monitor its own program performance in a cost-effective and efficient manner, including sources of data
- Helping the LP to attain proficiency using PEPFAR reporting and performance management systems, and developing a capacity for data analysis and use

Illustrative indicators:

- *Number of indigenous organizations identified with advanced and successful experience in RCAY technical focus areas*
- *Number of indigenous organizations that attain proficiency using PEPFAR reporting and performance management systems, and capacity for analysis and use*
- *Number of indigenous organizations receiving transition awards under RCAY*

VIII. Cross-cutting Issues

Gender

PEPFAR and USAID policies and strategies emphasize the importance of integrating gender considerations into HIV programming to positively impact the epidemic, underlying structural and behavioral epidemic drivers, including gender inequalities and GBV. Gender influences the roles, norms, and behaviors that impact access to and utilization of health services – all of which affect dynamics of the HIV epidemic and the success of prevention, care, and treatment programs and services. GBV facilitates HIV transmission by limiting one's ability to negotiate safe sexual practices, disclose HIV status, and access services, including HTS, PrEP, PEP, and ART, due to fear of reprisal. Biomedical prevention and treatment interventions alone do not address the underlying behavioral and structural drivers of the epidemic. Addressing gender inequalities, harmful gender norms, and preventing and responding to GBV are essential to controlling the epidemic and reaching 95-95-95 goals.

Sustainability

The sustainability and long-term success of development assistance ultimately requires local ownership and strengthening the capacity of local systems to produce development outcomes at the regional, national, sub-national, and/or community levels, as appropriate. RCAY implementation should be designed to align with the priorities of local actors, leverage local resources, and increase local implementation to sustain results over time.

PEPFAR's commitment to achieving and maintaining epidemic control relies on strategic, sustainable improvements in the local systems through which HIV/AIDS prevention and control activities are implemented. Meeting PEPFAR's targets of 70% of funding to local partners is a significant step towards increasing local implementation of PEPFAR programming. RCAY will strengthen the role of local partners in the implementation of HIV/AIDS programming. As noted above, the PEPFAR definition of Local Partner differs from USAID's definition (see Annex 4).

PEPFAR has identified fifteen critical elements for PEPFAR program sustainability in the Sustainability Index and Dashboard, which provides a guiding framework for measuring progress towards sustainability. USAID/OHA has focused on several specific priorities for enhancing sustainability over the next five years. These include advancing country systems towards achieving and maintaining epidemic control by targeting specific improvements in key, system-level domains essential for sustainability, for example, human resources for health, commodity security and supply chain strengthening, and health information systems. While sustainability is a long-term agenda, RCAY should identify one or more specific aspects of sustainability that will be measurably strengthened and improved as a result of project activities. RCAY should also plan for and explain how these targeted improvements will be maintained beyond the life of the project.

Collaboration and Coordination

Coordination, communication, and collaboration among stakeholders facilitates trust and mutual understanding; reduces redundancy; increases synergy, scalability, and impact; and promotes learning and mutual accountability. This project is intended to be a leader in the field to ensure activities are implemented in an effective way, and successes and challenges are shared to broadly improve health outcomes and policies. RCAY will therefore demonstrate thoughtful coordination, effective communication, and strategic collaboration in all areas of its work. The project is expected to build and enhance constructive partnerships, as appropriate. The project will collaborate and coordinate with a wide variety of stakeholders, including country Ministries of Health (MOH) and other relevant government entities; USG partners, such as the Office of Global AIDS Coordinator (OGAC) and the Centers for Disease Control and Prevention (CDC); other donors and global health partnerships; bilateral and multilateral agencies; academic and research institutions; private sector and philanthropic organizations; and civil society organizations including youth-led organizations.

The project will also collaborate with other USAID mechanisms, including but not limited to TMEC, DFI, and ASAP, and implement creative approaches to cost-effective and timely data collection and use, while simultaneously strengthening technical capacity in the field. The anticipated coordination among the new OHA projects is expected to be extensive and may include, but is not limited to, quarterly meetings among project leadership, coordinated workplans, and in-country coordination between projects and the Mission which may include sharing office space and staff and joint project activities when appropriate.

IX. Project Monitoring and Evaluation

In line with PEPFAR monitoring and evaluation (M&E) requirements, all implementing partners are required to develop an extensive M&E plan. A robust M&E plan is a critical component of this project because it will allow the implementing partner to track the performance, effectiveness, and impact of its HIV activities. The project's proposed M&E plan will include, at a minimum, appropriate PEPFAR MER indicators being collected through the national data systems, including but not limited to indicators across the clinical cascade, as well as indicators related to specific programming (i.e. KP_PREV[4] for key population (KP)-focused services). Custom indicators, such as the illustrative indicators provided above, should also be employed to capture measurable progress in key areas as a result of RCAY implementation. RCAY will be required to report disaggregated data by age and sex on a quarterly basis. The AOR and Activity Managers will review annual work plans and reports, including detailed M&E plans and results to ensure that programming is properly targeting the right population(s) in the most at-need geographic area(s). RCAY and USAID Mission and Washington employees will regularly review the data to identify

[4] Per the PEPFAR MER 2.0 Indicator Reference Guide, KP-PREV is the number of key populations reached with individual and/or small group-level HIV prevention interventions designed for the target population. https://www.pepfar.gov/documents/organization/263233.pdf

the most cost-effective interventions and approaches (particularly in light of limited budgets), what interventions promote the greatest sustainability (using the Journey to Self-Reliance definitions), and how fast and at what cost epidemic control can be maintained for each population by gender and age bands. This project will remain flexible and adapt to meet the needs of the current, and consistently transitioning, epidemic on a country-by-country basis.

In addition to reporting requirements articulated above, RCAY is expected to report on all non-routine data generated with support of USAID PEPFAR funding including all surveys/surveillance, research, and evaluation (SRE) activities to meet USAID OHA-specific reporting requirements. The reporting parameters, data elements and reporting time points (e.g., quarterly, semi-annually, and annually) will be provided by the AOR and will aim to capture and facilitate the use of interim results through existing program and policy decision making platforms.

External Evaluations

There will be one external evaluation in accordance with USAID standard evaluation guidelines. This will be implemented at the end of Year 3 or at the end of project. If there are any changes to USAID evaluation guidance for PEPFAR-funded programs, this guidance will be applied to this project.

X. Key Personnel and Staffing

USAID's support to RCAY will include funding from Missions via field support, as well as central funds. It is therefore critical that this project utilize a staffing structure that can not only meet technical objectives, but also remain adaptive and flexible to meet the needs that arise at both the central and field levels. Rapid start-up will be critical to both ensure continuity of needed services to beneficiaries and address the urgent and swiftly evolving PEPFAR priorities. In addition, the project must provide timely responses to requests from USAID/Washington and USAID Missions.

The RCAY project will have expertise in, or access to, specialists in the range of technical areas needed to implement the work as outlined in above. Up to five (5) key personnel may be proposed, one of which must be a Project Director. See Section D for additional information. Each key personnel position requires USAID approval, as noted in the substantial involvement provisions (see Section B) and should represent experience and expertise sufficient to successfully achieve RCAY objectives and results.

SECTION B: FEDERAL AWARD INFORMATION

I. Estimate of Funds Available and Number of Awards Contemplated

USAID intends to award one cooperative agreement pursuant to this NOFO; however, USAID reserves the right to fund additional cooperative agreements or none. Subject to funding availability and at the discretion of the Agency, USAID intends to provide up to $195 million in total USAID funding not to exceed a five year period of performance.

II. Start Date and Period of Performance for Federal Awards

The anticipated period of performance is up to five years. The estimated start date will be upon signature of the award on or about February 28, 2019.

The prime implementing partner of this award will be monitored on a quarterly basis. USAID will measure its performance against the benchmarks in the Annual Implementation Plan (workplan) and as amended; the Cooperative Agreement will require that the prime implementing partner meet the targets laid out in the workplan. Primes who are not in compliance will be placed on a Performance Improvement Plan (PIP) for the following quarter. Depending on the results of that quarter following the PIP, USAID reserves the right to terminate in whole or in part the Cooperative Agreement. The performance may be further defined in consultation with the AOR and Mission staff if the awardee is not meeting benchmarks in a particular technical area, and/or country.

III. Substantial Involvement

The overarching goal of RCAY is best achieved through the award of a Cooperative Agreement. Per guidance in Automated Directive System (ADS) 303.3.11, to ensure the achievement of the program objectives, the Agreement Officer (AO) requires substantial involvement during the administration of this award. To assist in substantial involvement, the AO will appoint an Agreement Officer's Representative (AOR) for the award, who will serve as the main point of contact between USAID and RCAY. The AOR will help connect RCAY to other USAID projects as well as facilitate communications between RCAY and USAID Missions and other partners.

USAID's substantial involvement during the implementation of the program will be limited to approval by the AOR – delegated to the AOR by the AO – of the elements listed below, except for any changes to the program description or the approved budget that requires AO approval.

A. Approval of the Recipient's Implementation Plans:

Implementation plans include, but are not limited to, annual workplans, including planned activities for the following year and any subsequent revisions, international travel plans, planned expenditures, knowledge management plans, event planning/management, international meeting preparation, and research studies/protocols.

USAID requires the approval of implementation plans annually to ensure alignment with stated goals and outputs. The implementation plan communicates how and when the recipient(s) will complete project activities and is drafted annually to describe new activities. This plan will be developed in partnership between the recipient(s) and the AOR and his/her team. The AOR will ensure that the implementation plan fits within the scope, terms, and conditions of the agreement. Note: Site-level and above-site annual targets for each COP year will be documented in PEPFAR's Data for Accountability, Transparency, and Impact (DATIM) system, as well as in other downstream locations such as the COP Approval Memo and PEPFAR's Panorama results monitoring web portal. This provision incorporates those targets into this award and will be enforced in full effect, as if each target is included in the recipient's award. It is the responsibility of the recipient to monitor its progress toward the targets set during COP and reflected in DATIM. USAID reserves the right to place the recipient on a PIP, restrict future funding, and/or terminate the agreement in whole or in part.

B. Approval of Specified Key Personnel:

A total of up to 5 key personnel may be proposed with the Project Director being a required key personnel position. Note that the applicant is not required to submit five key personnel positions if the applicant does not think they are required.

The applicant shall identify key personnel by name and position. Each key personnel position requires USAID approval, as noted in the substantial involvement provisions.

The Key Personnel are:

- Project Director
- To be proposed by applicant
- To be proposed by applicant
- To be proposed by applicant
- To be proposed by applicant

C. Agency and Recipient(s) Collaboration or Joint Participation:

a. Collaborative involvement in selection of advisory committee members, if the program will establish an advisory committee that provides advice to the recipient. USAID may participate as a member of this committee as well. Advisory committees must only deal with programmatic or technical issues and not routine administrative matters.

b. Concurrence on the substantive provisions of subawards. 2 CFR 200.308 already requires the recipient to obtain the AO's prior approval for the subaward, transfer, or contracting out of any work under an award. This is generally limited to approving work by a third party under the agreement. If USAID wishes to reserve any further approval rights for subawards or contracts, it must clearly spell out such Agency involvement in the substantial involvement provision of the agreement.

c. Approval of the recipient's monitoring and evaluation plans.

d. Monitor to authorize specified kinds of direction or redirection because of interrelationships with other projects. All such activities must be included in the program description, negotiated in the budget, and made part of the award.

D. Agency Authority to Halt a Construction Activity:
The AO may immediately halt a construction activity if identified specifications are not met. However, construction activities are not permitted under this cooperative agreement.

IV. Authorized Geographic Code

The geographic code for the procurement of commodities and services under this program is 935, any area or country including the recipient country, but excluding any country that is a prohibited source.

V. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the recipient under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the HIV/AIDS prevention and support services for the RCAY target populations, which is authorized by Federal statute. The successful recipient will ensure the achievement of the program objectives and the efficient and effective administration of the award through the application of sound management practices. The recipient will assume responsibility for administering Federal funds in a manner consistent with underlying agreements, program objectives, and the terms and conditions of the Federal award.

VI. Transition Awards

In April 2018, Ambassador Birx announced PEPFAR Local Partner Targets at Principal's meeting with targets defined as the percentage of Country Operation Programming (COP) funding to Local Partners: 25% by FY2018; 40% by FY2019; and 70% by FY2020. In order to reach the target by 2020, RCAY's overall strategy will require the prime implementing partner (initial award recipient) to develop the capacity of local sub-recipients so that these local organizations may be eligible to receive a transition award (direct award) from USAID or other donors in the future.

USAID may make an award without competition to a local organization that is a subrecipient under RCAY if certain criteria are met in accordance with ADS 303.3.6.5.(b)(3). Note that the definition of local organization as it applies to transition awards at this time does not envision subawards to partner government entities[5]. For the definition of a local partner that will be eligible for direct awards, please see Annex 4. Transition Awards are designed exclusively for work with local partners, thus promoting local and direct engagement, and ensuring the sustainability of this Activity. The RCAY activity is expected to provide sub-grants to local organizations, some of whom may become eligible for a direct award from USAID. The initial award Recipient is required to focus activity resources on building the capacity of subpartners

[5] In order for subawards to be made to local government entities, a PAD amendment or a Determination & Findings (D&F) are required per ADS 303.3.21

which will allow them to eventually receive direct awards from USAID Missions. Throughout the period of performance, the initial award Recipient will identify potential local organizations that could be eligible for a direct Transition Award. The number of subrecipients the prime Recipient will support to build capacity will be based on the specific Mission(s) buying into this activity. In order to qualify, the local organization must demonstrate sufficient capacity, particularly in terms of financial management to receive direct funding from USAID. Moreover, additional emphasis may be given to local organizations that demonstrate innovative approaches and solutions in line with the objectives of this activity.

Criteria for the initial award recipient to identify and qualify a subrecipient for a direct award

In order to ensure achievement of RCAY's Objectives, upon a Mission(s) buying into this award, the initial award Recipient will be responsible for performing an organizational capacity assessment (OCA) or similar assessment to determine which local organizations within the respective country will be viable sub-awardees, capable of meeting the criteria set forth below and ultimately receiving a direct award. This analysis will likely be based on a structured tool designed to assess the baseline of an organizations capacities to function as a prime and will set forth an action plan on what capacity building actions are needed to reach an optimal level. Information on the USAID OCA tool is located at https://usaidlearninglab.org/library/organizational-capacity-assessment. The Mission team and initial award AO and AOR may consult with the initial award Recipient; however, the final decision regarding that partner's readiness for a direct award will be determined by USAID.

After the initial award Recipient identifies promising local organizations and institutions based on the above mentioned assessment it will collaborate with the initial award AOR and the Mission Activity Manager (AM). After one or more local organization(s) is selected, RCAY's will work with the relevant Mission, initial award AOR, and AO to determine the special conditions applicable to this particular subaward. A portion of the initial award Recipient's payments will be tied to the achievement of these special conditions to ensure that Objective 2 is fulfilled. These will include the activities required to improve capacity, specifically the local partner's organizational and financial management procedures, with specific benchmarks and goals (special conditions) needed to prepare the local partner for independent operations that meet USG standards. These special conditions, along with the respective payments tied to each special condition, will be incorporated into the RCAY agreement via an award modification.

The initial award Recipient will then proceed to furnish a subaward to the local organization and also work to build their technical, managerial, and financial capacity to lead as primes in future USAID funded awards. The initial award Recipient will work with the selected local partner to ultimately prepare it for a Non-U.S. Organization Pre-award Survey (NUPAS) (Annex 6) or a similar detailed analysis in accordance with ADS 303.3.9.1(b)(2) that achieves the same objectives as the NUPAS (see, for example ,Annex 7). In addition, when a NUPAS or similar analysis is conducted, the initial award Recipient, in consultation with the initial award AOR and relevant Mission, may be asked to provide assistance to the local partner to rectify deficiencies identified in the NUPAS or similar analysis mentioned above to ensure compliance with USAID regulations and policies.

To qualify for a direct award and be eligible to receive USAID funding, local organizations must have:

- Active status on SAM, and no exclusions on the OFAC website or UN Sanctions List.
- Technical and management experience in the relevant fields pertaining to RCAY's objectives.
- Consistent access to and capacity to use minimum necessary infrastructure (office, internet access, electricity, etc.), and hardware and software (computer equipment and professional/statistics/visualization, etc. software packages) to perform tasks related to objectives of the direct award.
- Working relations and active engagements with host country governments, multilateral, and USG agencies to build collaborative working relationships.
- Well-defined indicators of success and description of how it intends to monitor its own program performance in a cost-effective and efficient manner, including the sources of data used for this performance monitoring.
- Staffing capacity with an appropriate balance of skills and a staffing management plan which optimizes efficiency, and demonstrates how the proposed staffing configuration will enable the local subrecipient to accomplish desired results; and the extent to which the overall staffing plan fosters local ownership and utilizes local capacity.
- Proficient financial management and internal control systems (e.g. banking accounts, book keeping system, financial statements, accounting cycle, sources of funding, financial reporting, audit and review of financial statements).
- Ability to manage funding responsibly and efficiently.
- Capacity to meet USG program and financial reporting requirements to include PEPFAR specific requirements.

Procedures for making the direct award

USAID/Washington does not anticipate issuing any direct awards to local organizations. USAID Missions will issue direct awards based on the availability of funding and evaluated needs, as well as the readiness of the local partner to perform the required work.

In order for the initial award Recipient and subrecipient to become familiar with the Transition Award process, Missions should follow the process below for recommending, reviewing, and selecting local organizations for Transition Awards.

The initial award Recipient will inform the initial award AOR and the relevant Mission AM of the potential suitability of the Transition Award applicant. The recommendation will discuss how the proposed organization meets the above criteria, and together the initial award Recipient and subrecipient will develop a concept note and summary budget for the proposed Transition Award activity.

The submission will include:

  - Goals and objectives for the Transition Award that are identified and measurable;
  - Explanation of how the proposed Transition Award supports the goal and objectives of the RCAY activity; and
  - Substantial evidence to demonstrate the subrecipient's financial management capabilities, as defined above.

- The initial award AOR and the relevant Mission AM will review the concept note and summary budget for the proposed award against the criteria issued with the request for the concept note and make a determination whether to pursue a full application. If the Mission Transition Award criteria are met, the initial award AOR and Mission AM will make a formal recommendation to the Mission AO to pursue a full application.

- The Mission AO will issue a request for a full application (RFA) for the proposed Transition Award and copy the initial award AO when sending the RFA.

- The Transition Award applicant in collaboration with the initial award Recipient will prepare the full application response and submit it to the USAID Mission team consisting of the AO and the AM.

- The Mission AM, other mission staff as relevant, and the initial award AOR, if requested, will review the submitted application and provide a technical recommendation to the Mission AO, including any additional reviews, approvals assessments, analyses, notifications, historical performance, etc. that may be required.

- The Mission AO will inform the initial award AO, the initial award Recipient, and the Transition Award applicant of the determination regarding the award. The Mission AO reserves the right to further define the activity goal and objectives and/or to require additional information, as needed, in order to make a determination for a Transition Award. Awards under this exception are at the discretion of the Mission AO and will follow USAID regulations and policies for assistance pursuant with ADS 303.

USAID is actively seeking a deviation from the ADS policy to increase the current threshold for Transition Awards from $5 million up to $40 million, with a duration not to exceed five years.

The decision, timing, and funding of a direct award to a local partner will be determined by the USAID Mission.

Location: The countries in which RCAY must identify and groom the local entities will be added through subsequent modifications as this Cooperative Agreement accepts Mission funding. Revisions to the list will be done in collaboration with RCAY and the initial award's AOR and AO.

Decision: USAID will make a decision to award a direct award based on the availability of funds, readiness of the local partner(s), and the goals of the Mission.

Timing: If, prior to the baseline OCA or similar assessment, RCAY identifies local partners that have the capacity to lead USAID-funded awards and satisfy both the requirements listed under "Criteria for the initial award recipient to identify and qualify a subrecipient for a direct award" and the NUPAS or similar detailed analysis that achieves the same objectives as the NUPAS, the RCAY should inform the initial award AOR.

Funding: Note that the limits to the funding for the subrecipient will be based on the actual needs of the local organization to become a fully successful direct award recipient, as well as Mission funding limitations. In order to maximize efforts, as mentioned above, the initial award AOR and relevant Mission AM will collaborate with the RCAY team to identify specific benchmarks and goals (special conditions) needed to prepare the local partner for independent operations that meet USG standards and ensure success in the areas outlined above in "Criteria for the initial award recipient to identify and qualify a subrecipient for a direct award" within the first year and all subsequent years thereafter. These special conditions, along with the respective payments tied to each special condition, will be incorporated into the RCAY cooperative agreement via an award modification. The identified capacity building activities must be included in the annual work plan; progress in advancing the local organizations' capacities will be requested in accordance with semi-annual performance reports found in Section F.

SECTION C: ELIGIBILITY INFORMATION

I. Eligible Applicants

Eligibility for this NOFO is not restricted.

USAID welcomes concept notes/applications from organizations which have not previously received financial assistance from USAID.

The recipient must be a responsible entity and must have the necessary organizational, experience, accounting and operational controls and technical skills, or ability to obtain them in order to achieve the objectives of this project and comply with the terms and conditions of the award.

USAID has led a major push in the past few years to foster a larger assistance base and expand the number and sustainability of development partners, including faith-based organizations, small businesses, and Minority Serving Institutions (MSIs). The USAID MSI program's mission is to facilitate an environment where US MSIs become USAID partners by successfully competing for USAID awards and by engaging in US foreign assistance.

The USAID MSI program provides supports to minority-serving U.S. higher education institutions interested in USAID programs and activities and promotes the interests, capabilities, and experience of MSIs within USAID. MSI's include Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), and Asian American and Native American Pacific Islander Serving Institutions (AANAPISIs). For more information on MSIs please see https://www.usaid.gov/partnership-opportunities/universities/minority-serving-institutions

II. Cost Sharing or Matching

Cost share is required under this project. The applicant must propose at least five (5) percent of the project costs as cost share for the first three (3) years and then ten (10) percent of the project costs for the fourth and fifth years.

Such funds may be provided directly by 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. This may include contribution of staff level of effort, office space, or other facilities or equipment which may be used for the program, provided by the recipient. For guidance on cost sharing in grants and cooperative agreements, see 2 CFR 200.306.

III. Other

A prime applicant may only submit one concept note/application in response to this NOFO. Note that a prime applicant that submits a concept note/application may be proposed as a subawardee in another organization's concept note/application.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

I. Agency Points of Contact

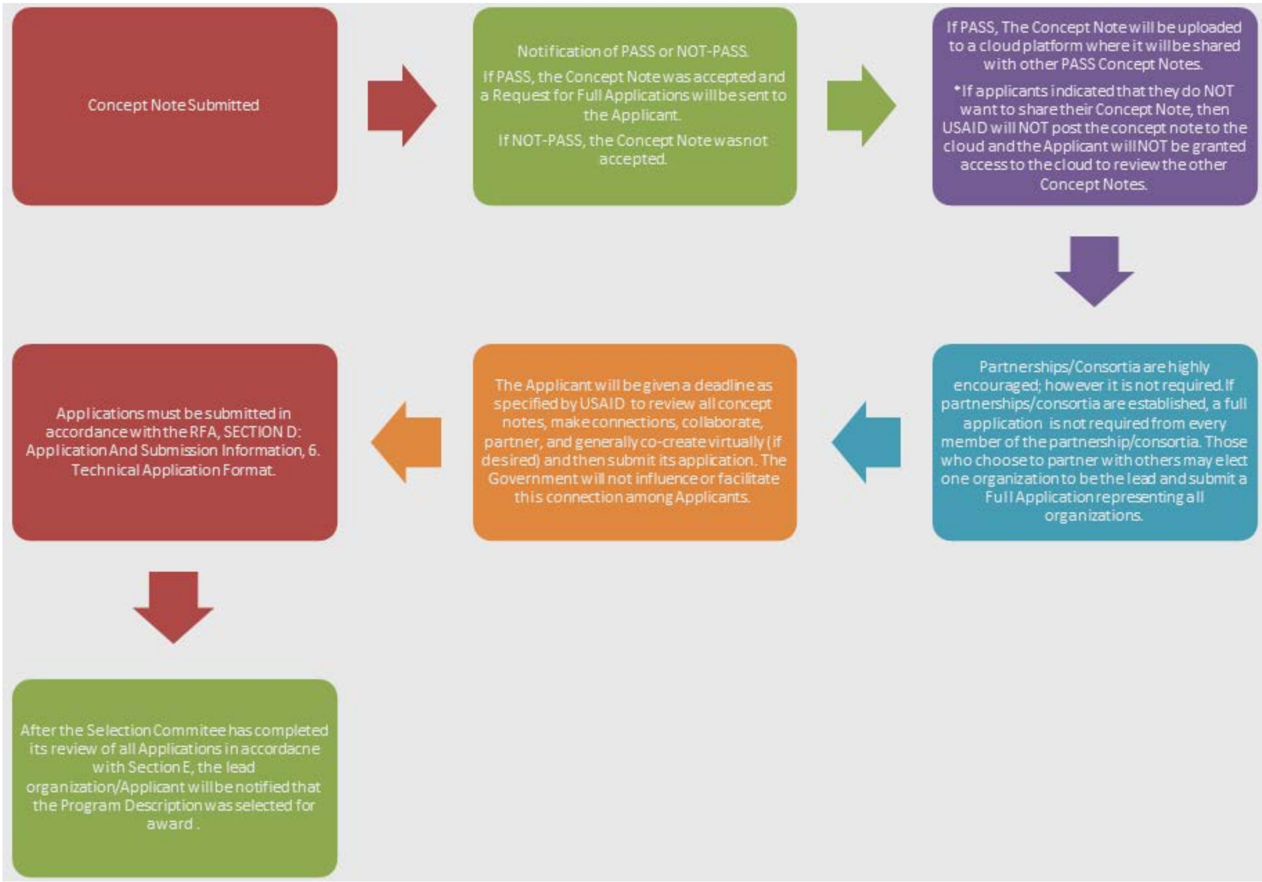
Name: Erin Long
Title: Agreement Officer
Email: elong@usaid.gov

Name: Courtney J. Magill
Title: Agreement Officer
Email: cmagill@usaid.gov

II. Questions and Answers

Questions regarding this NOFO should be submitted via email to the points of contact listed above no later than the date and time indicated on the cover letter, and as amended. Any information given to a prospective applicant concerning this NOFO will be furnished promptly to all other prospective applicants as an amendment if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicant.

III. Overview of Concept Note and RFA Process



IV. Concept Note and Full Application General Submission Procedures

PLEASE NOTE

ALL ELIGIBLE APPLICANTS MAY SUBMIT A CONCEPT NOTE; HOWEVER, <u>DO NOT</u> SUBMIT A FULL APPLICATION UNLESS REQUESTED TO DO SO.

Concept notes and full applications in response to this NOFO must be submitted no later than the closing dates and times indicated on the cover letter or as stated in an amendment to this NOFO, if issued. Late concept notes and applications may be considered at the discretion of the AO. Applicants should retain proof of timely delivery in the form of system generated documentation of the delivery receipt date and time.

Concept notes and full applications must be submitted by email to cmagill@usaid.gov and elong@usaid.gov. Email submissions must include the NOFO number and the applicant's name in the subject line heading.

If an applicant is requested to submit a full application, the technical application and cost application should be submitted under separate emails. Additionally, USAID's preference is that the technical application and the cost application each be submitted as consolidated email attachments, e.g. consolidate the various parts of a technical application into a single file and the various part of the cost application into a single file before sending it. If this is not possible, please provide instructions on how to collate the attachments. USAID will not be responsible for errors in compiling electronic applications if no instructions are provided or are unclear.

In addition, for an application sent by multiple emails, the subject line must also indicate whether the email relates to the technical or cost application, and the desired sequence of the emails and their 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 that states: "[NOFO number], [organization name], Cost Application, Part 1 of 2".

After submitting an application electronically, applicants should immediately check their own email to confirm that the attachments were indeed sent. If an applicant discovers an error in transmission, please send the material again and note in the subject line of the email or indicate in the file name that it is a "corrected" submission. Do not send the same email more than once unless there has been a change, and if so, please note that it is a "corrected" email.

Applicants are reminded that emails are NOT instantaneous, and in some cases delays of several hours occur from transmission to receipt. Therefore, applicants are requested to send the application in sufficient time ahead of the deadline. For this NOFO, the initial point of entry to the government infrastructure is the USAID email server.

There may be a problem with the receipt of .zip files due to anti-virus software. Therefore, applicants are discouraged from sending files in this format as USAID cannot guarantee their acceptance by the internet server. The file size must not exceed 25MB.

V. Concept Note Format

Preparation of Concept Notes

The concept paper must be written in English and must not exceed seven (7) pages, using Times New Roman 12-point font, on standard 8.5” x 11” sized paper, and single spaced with no less than one inch margins and pages numbered consecutively. Any pages submitted beyond the seven page limit will not be evaluated. Additional documentation, such as annexes, charts and graphs that exceed the seven pages will not be reviewed. The concept paper should be in either PDF or Microsoft Word format (.docx).

a) Cover Page (1 page)

1. Include the NOFO number, the organization’s name, and a main point of contact at the organization along with their contact information. Please indicate if the applicant **DOES NOT** wish to have its concept note posted to USAID’s cloud platform for sharing purposes.

*Please note that if an applicant states it does not wish to share its concept note, it will **NOT** be provided access to review the other concept notes that pass.

b) Technical (5 pages)

1. Describes the applicant's understanding of, and approach to achieving, the RCAY objectives as described in Section A. The approach must be feasible, innovative, and contribute to sustainability while advancing and offering actionable approaches to address key HIV/AIDS programming gaps. Describes the technical expertise and capabilities of the proposed applicant, and consortium members and/or sub-awardees, if any.
2. The applicant's approach to developing the capacity of local partners as outlined under the transition awards to local partners in Section A, Objective 2.

c) Utilization of U.S. Small Businesses and/or MSIs and/or FBOs (1 page)

1. Describes the applicant's historical utilization, current utilization, and intended utilization of U.S. Small Businesses and/or MSIs and/or FBOs and integrates them into the concept note.

VI. Full Application Format

PLEASE NOTE

ALL ELIGIBLE APPLICANTS MAY SUBMIT A CONCEPT NOTE; HOWEVER, <u>DO NOT</u> SUBMIT A FULL APPLICATION UNLESS REQUESTED TO DO SO.

Preparation of Full Applications

Each applicant invited to submit a full application must furnish the information required by this NOFO. Applications must be submitted in two separate parts: the Technical Application and the Business (Cost) Application. The Technical Application must address technical aspects only while the Business (Cost) Application must present the costs, and address risk, as well as other related issues.

<u>Applications must:</u>

- Adhere to the page limitations specified in the sections below. USAID will not review any pages in excess of the page limits.
- 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 may be used for tables, graphs, and charts.
- Be submitted in searchable and editable Microsoft Word or PDF, except budget files which must be submitted in Microsoft Excel.
- Use the estimated start date identified in Section B of this NOFO in the cost application.
- Include an Excel spreadsheet(s) with all cells unlocked and no hidden formulas or sheets for the cost application. A PDF version of the Excel spreadsheet(s) 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.

Applicants must review, understand, and comply with all aspects of this NOFO. Failure to comply with all aspects of the NOFO may be considered non-responsive and applications may be eliminated accordingly. Applicants should retain a copy of the application and all enclosures for their records.

(1) TECHNICAL APPLICATION

The technical application should be specific, complete, and presented concisely. The application must demonstrate the applicant's approach to achieving the goals of this program. The application should take into account the requirements of the program and merit review criteria found in this NOFO.

a) Cover Page

The Technical Application 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 an alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name;
- NOFO number; and
- Name of any proposed sub-recipients or partners.

b) Table of Contents

This must include major sections and page numbering.

c) Executive Summary (1 page)

The Executive Summary must provide a high-level overview of key elements of the technical application.

d) Technical Design (No more than 27 pages)

This section provides the applicant's overall technical design and approach for RCAY and is comprised of the following sections: Technical Approach, Data Review Responses, and Performance Monitoring, Evaluation, and Learning.

Technical Approach (18 pages)

The applicant must include a discussion of its proposed technical approach.

The applicant must:

- Elaborate on the concept note to further describe its understanding of, and approach to achieving, the objectives and sub-objectives for RCAY as described in Section A. The approach must be innovative, feasible, and contribute to sustainability while advancing and offering actionable solutions to meet targets.
- Describe its approach to developing new and creative partnerships and identifying opportunities for collaboration with key stakeholders.

- Describe how its approach will address both headquarters and field needs, taking into account country-specific challenges and expertise.
- Describe its approach to developing the capacity of local partners as outlined under the transition awards to local partners subsection. This includes a realistic methodology, including but not limited to details about the landscape/organizational capacity analysis, for identifying promising subrecipients in country. For those countries (Missions) that buy into this award whose scope includes developing the capacity of local partners describe the applicant's approach to providing the local partner(s), with technical assistance, much of which will be geared toward making the partner eligible for a bilateral award from the respective Mission within an established timeframe. Please consider all challenges, both technical and financial (e.g., $750K threshold audit requirements for Non-US NGOs, Non-US preaward survey (NUPAS)), a local partner may encounter and strategies for overcoming those barriers and country-specific barriers, in order to successfully achieve the transition award goals.

Data Review Responses (6 pages)
The applicant must provide responses to the two hypothetical scenarios described in Annex 3 - Scenarios. In its response, the applicant should apply its proposed technical approach(es) to the scenarios. The combined length, for responses to both scenarios, must not exceed 6 pages; the applicant may choose how to distribute the number of pages between scenarios.

For the scenarios the applicant must:
- Discuss its approach to selecting and implementing appropriate interventions and describe how achievements will be reached using these interventions.
- Describe the specific expertise, partners (subrecipients and/or local partners), and stakeholders that it will engage.
- Discuss the anticipated challenges and how they will be addressed.
- Discuss how it will measure the impact and success of the proposed interventions.

Performance Monitoring, Evaluation and Learning (3 pages)
The applicant must include a clear description of the approach that will be used to monitor and evaluate RCAY. This should describe key priorities and challenges in measuring global and country-level project results, including strategies for using and adapting existing tools, as appropriate; developing and testing new tools, where required; and measuring cross-cutting priorities, such as integration of gender equity in project activities. The applicant must describe how it will translate trends and bottlenecks from data into improved and effective program implementation. The applicant must discuss how it will fulfill all PEPFAR and USAID reporting requirements. Additionally the applicant must discuss its strategy for ensuring attention to results and its methods for addressing poor performance.

e) Management and Staffing Approach (No more than 8 pages)

This section provides details about the applicant's management and staffing approach. The management and staffing approach is comprised of the following sections: Management and Staffing, and Utilization of U.S. Small Business and/or MSIs and/or FBOs.

Management and Staffing (7 pages)
The applicant must develop management and staffing plans that are clear, feasible, and suited to the applicant's proposed technical approach. The plans must be flexible in order to respond to variable USAID demand while demonstrating proven practices to support efficiency, responsiveness, cost containment, and avoid duplication while minimizing USAID/PEPFAR risk. The applicant's management plan must address coordination with other projects to maximize resources and achieve the overall goal of HIV/AIDS epidemic control. The management plan must also clearly describe the overall plan for managerial and administrative functions and delineate the management and reporting structure between the prime applicant and subrecipients, both international and local. The management plan must describe how it will meet both country-level and global technical needs.

The staffing plan must demonstrate an appropriate mix of skills, which includes highly experienced professionals for the management and technical requirements of the project while also ensuring efficiency and cost control. The staffing plan should have minimum core staff, but have the flexibility to augment technical staff in response to evolving needs and change over time. The staffing plan should also describe how the applicant will leverage, hire, and retain local host country staff. The staffing plan should address the role of the applicant and its partners, particularly with regard to building the capacity of the local subrecipients such that they become sufficient and independent PEPFAR partners that eventually no longer require USAID support.

Utilization of U.S. Small Businesses and/or MSIs and/or FBOs (1 page)
The applicant must describe how it will utilize U.S. Small Businesses and/or MSIs and/or FBOs, and how they will be integrated into the program description.

f) Key Personnel (No more than 5 pages)
This section should include a discussion of the proposed key personnel positions and candidates.

Key Personnel (5 pages)
The applicant may identify up to five (5) Key Personnel positions. USAID considers the Project Director integral to project success and therefore it is a required Key Personnel position. The applicant may designate up to four (4) additional Key Personnel positions that are considered necessary for program success.

The applicant must describe any additional Key Personnel positions, their roles and responsibilities, and include the minimum criteria (qualifications, education, experience, etc.) required for each position.

The minimum criteria for the Project Director are: A senior manager with an advanced degree and at least 10 years of experience leading, managing, and implementing large international or national HIV/AIDS prevention, care, and treatment programs in developing countries. An additional 10 years of experience may be substituted for an advanced degree. This is a full-time position; in order to ensure adequate managerial oversight of the project, it is envisioned that the Project Director's international travel will be limited to 10-20%.

For the remaining Key Personnel positions, describe the rationale for the positions and the proposed candidates. The applicant must include a summary of the proposed candidates' skills and experience to ensure appropriate leadership in executing the applicant's technical approach.

g) History of Performance (2 pages)

This section provides information about the applicant's performance in implementing recent projects of similar scope and size.

Narrative: The applicant must demonstrate its capability and experience: (1) supporting developing countries in planning, implementing, and evaluating HIV/AIDS activities, with a substantive focus on RCAY target populations; and (2) forming strong collaborative partnerships with a range of donors, implementing partners, host country governments, local organizations, and other relevant stakeholders.

See section H (immediately below) for additional required performance information to be included as an annex.

h) Technical Application Annexes (Not included as part of the 43-page limit)

- Professional references (Limited to one page per Key Personnel). The applicant must provide names and contact information (email address and phone number) for three references for each Key Personnel candidate. Please note that USAID reserves the right to obtain reference information from other sources, including those not provided by the applicant.
- CV/resume (Limited to 3 pages per candidate). CVs/resumes must be provided for each Key Personnel.
- Signed Letters of Commitment from each of the proposed Key Personnel candidates (Limited to one page per Key Personnel). Each Key Personnel's signed letter must state that the proposed candidate will be available within one month of project start-up and participate for at least two (2) years post award.
- Signed Letters of Intent from Subrecipients (Limited to no more than one page per subrecipient). Letters of Intent to Collaborate from each proposed major subrecipient. Major subrecipient is defined as any entity receiving 20% of the total estimated cost.
- Organizational chart. This should reflect the proposed roles and responsibilities and lines of authority and reporting between the applicant and its partners/subawardees. For Key Personnel and all technical positions anticipated to have 50% or more Level of Effort (LOE) devoted to RCAY, the organizational chart should indicate the proposed physical location/duty station of that staff member.
- Past Performance references. (Limited to two pages per reference; use the template in Annex 8). The applicant must provide information regarding its recent history of performance for all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs within the past 5 years, as follows:
    - Name of the Awarding Organization;
    - Award Number;
    - Activity Title;

  - A brief description of the activity;
  - Period of Performance;
  - Award Amount;
  - 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 should not provide general information on its 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 of the applicant's risk. The Agency may request additional information and conduct a pre-award survey if it determines that it is necessary to inform the risk assessment.

(2) BUSINESS (COST) APPLICATION FORMAT

The Business (Cost) Application must be submitted separately from the Technical Application. While no page limit exists for the full cost application, applicants are encouraged to be as concise as possible while still providing the necessary details. The Business (Cost) Application must illustrate the entire period of performance, using the budget format shown in the SF-424A.

Prior to award, applicants may be required to submit additional documentation deemed necessary for the AO to assess the applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any information that USAID has not requested.

The Cost Application must contain the following sections (which are further described below).

a) Cover Page

The Business (Cost) Application must include a Cover Page containing the following information:

- Name of the organization(s) submitting the application including address, and DUNS number;
- Identification and signature of the primary contact person (by name, title, organization, mailing address, telephone number and email address) and the identification of an alternate contact person (by name, title, organization, mailing address, telephone number and email address);
- Program name;
- NOFO number; and
- Name of any proposed subrecipients and/or partners

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

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

c) Required Certifications and Assurances

The applicant must complete the following documents and submit a signed copy with its application:

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at http://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf
(2) Assurances for Non-Construction Programs (SF-424B)
(3) Certificate of Compliance: Please submit a copy of your Certificate of Compliance if your organization's systems have been certified by USAID/Washington's Office of Acquisition and Assistance (M/OAA).

d) 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 federal and non-federal (cost share) amount. Files must not contain any hidden or otherwise inaccessible cells. Budgets with hidden cells lengthen the cost analysis time required to make award, and may result in a rejection of the cost application. The Budget Narrative must be in a searchable and editable Word or PDF format and contain sufficient detail to allow USAID to understand the proposed costs. The applicant must ensure the budgeted costs address any additional requirements identified, such as Branding and Marking. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

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 budget category and by year for activities implemented by the applicant and any potential sub-applicants for the entire period of the program. See Annex 1 for Summary Budget Template.
- Detailed Budget, including a breakdown by year, 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 and cost share, broken out by budget category and by year, for the entire implementation period of the project.

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, and salary escalation factors for each position. Allowances, when proposed, must be broken down by specific type and by position and included under either the fringe benefits line item or a separate allowances line item, as applicable. 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.

2) Fringe Benefits – (if applicable) If the applicant has a fringe benefit 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 an approved fringe benefit rate, the applicant must propose a rate 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, 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 normal travel policies. When appropriate please provide supporting documentation as an attachment, such as company travel policy, and explain assumptions in the Budget Narrative.

4) Procurement or Rental of Goods (Equipment & Supplies), Services, and Real Property – Must include information on estimated types of equipment, models, supplies, and the cost per unit and quantity. The Budget Narrative must include the purpose of the equipment and supplies 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 property, if any; market

conditions in the area; alternatives available; and the type, life expectancy, condition, and value of the property leased.

5) Subawards – Specify the budget for the portion of the program to be passed through to any subrecipients. See 2 CFR 200.330 for assistance 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.

6) Construction – If applicable.

7) Other Direct Costs – This may include other costs not elsewhere specified, such as report preparation costs, passports and visas fees, medical exams and innoculations, 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 conferences and seminars, and their relationship to the objectives of the program, along with estimates of costs.

8) 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 applicant must identify which approach it is requesting and provide the applicable supporting information. Below are the most commonly used Indirect Cost Rate methods:

Method 1 - Direct Charge Only
Eligibility: Any applicant.

Initial Application Requirements: See above on direct costs.

Method 2 - Negotiated Indirect Cost Rate Agreement (NICRA)
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 a copy of 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
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 versus 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 a fixed amount, but approval is at the discretion of the AO.

Initial Application Requirements: Provide the proposed fixed amount and a worksheet that includes the following:

- Total costs incurred by the organization for the previous fiscal year and estimates for the current year.
- 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 AO 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.

9) Cost Sharing – The applicant should estimate the amount of cost-sharing resources to be provided 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 award.

e) Prior Approvals in accordance with 2 CFR 200.407

Inclusion of an item of cost in the detailed application budget does not satisfy any requirements for prior approval by the Agency. If the applicant would like the award to reflect approval of any cost elements for which prior written approval is specifically required for allowability, the applicant must specify and justify that cost. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

f) Approval of Subawards

The applicant must submit information for all subawards 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 OFAC list
- Confirmation that the subrecipient does not have active exclusions in 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 of such findings

g) 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 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:

a. Provide a valid DUNS number for the applicant and all proposed sub-recipients.
b. Be registered in SAM before submitting its full 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).
c. 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 that 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.

h) Apparently Successful Applicant

USAID will contact the apparently successful applicant (ASA) and at that time will provide any questions or clarifications still required, if any. USAID may invite the ASA to attend a meeting and/or phone call to discuss any substantive feedback. The ASA must submit responses to the questions and/or a revised application (technical and/or cost), as requested by USAID. It is anticipated that the ASA will have approximately one week to submit the responses/revised application.

In addition, the ASA may be required to submit additional information necessary for the AO to make an affirmative determination of responsibility. The type of information will be specified by the AO.

i) Branding Strategy & Marking Plan

It is a Federal statutory and regulatory requirement that all overseas programs, projects, activities, public communications, and commodities that USAID partially or fully funds under an assistance award or subaward must be appropriately marked with the USAID identity.

Under 2 CFR 700.16, USAID requires the submission of a Branding Strategy and Marking Plan from only the ASA; therefore, applicants **do not** need to submit a draft Branding Strategy and Marking Plan with the initial full application. The ASA, when requested by the AO, must submit the Branding Strategy and Marking Plan 30 calendar days after effective date of award. Any requested updates to the Branding Implementation and Marking Plan will be submitted on an as-needed basis.

More information on the Branding Strategy and Marking Plan are available at https://www.usaid.gov/sites/default/files/documents/1868/320.pdf.

Branding Strategy – Assistance (June 2012)

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.

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

(End of Pre-Award Term)

Marking Plan – Assistance (June 2012)

a. Applicants recommended for an assistance award 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. This section 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, audiovisual 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)

j) Funding Restrictions

Profit is not allowable for recipients or subrecipients under this award. See 2 CFR 200.330 for assistance in determining whether a sub-tier entity is a subrecipient or contractor.

Construction will not be authorized under this award.

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 specified in Section B.IV of this NOFO and must meet the source and nationality requirements set forth in 22 CFR 228.

k) Conscience Clause

CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) - SOLICITATION PROVISION (FEBRUARY 2012)

(a) Any organization, including a faith-based organization, that is otherwise eligible to receive funds under this agreement 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.

(b) Any 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 no 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.

(c) 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. Alternative, 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)

l) Conflict of Interest

CONFLICT OF INTEREST PRE-AWARD TERM (August 2018)

a. Personal Conflict of Interest
   1. An actual or appearance of a conflict of interest exists when an applicant organization or an employee of the organization has a relationship with an 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)

SECTION E: CONCEPT NOTE AND APPLICATION REVIEW INFORMATION

PLEASE NOTE

ALL ELIGIBLE APPLICANTS MAY SUBMIT A CONCEPT NOTE; HOWEVER, DO NOT SUBMIT A FULL APPLICATION UNLESS REQUESTED TO DO SO.

I. Overview

The merit review criteria described 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 must address in their concept note and full applications, and (b) set the standard against which all concept notes and full applications will be evaluated.

Concept Note

A Merit Review Committee will review concept papers according to the criteria in Section II, below. The purpose of this review is to ensure that prospective partners bring appropriate capabilities, experiences, and potential contributions to the implementation of activities supporting the strategic objectives of this NOFO. The final selection of successful concept papers will be determined by the AO. A concept paper is determined to be successful if it receives a PASS overall based on the Concept Note criteria.

Full Application

Technical and other factors will be evaluated relative to each other, as described under Section D VI: Full Application Format. The Technical Application will be scored by a Selection Committee (SC) using the criteria described in Section II below.

II. Criteria and Selection Process for Concept Notes and Full Applications

A. Merit Review

All concept notes/applications received by the deadlines stated on the cover page and as revised via amendment of the NOFO will be reviewed for eligibility and compliance with the instructions for submission prior to evaluation against the criteria listed in this section. The AO will then forward those concept notes/applications that are complete and comply with the instructions to the Merit Review/Selection Committees. The Merit Review/Selection Committees will conduct a review of the concept notes/full applications.

USAID will not provide feedback on concept notes that do not pass. USAID does not anticipate providing feedback to those applicants that pass; however, it reserves the right to provide written feedback. Should such feedback be provided it will be provided to all applicants that pass. Concept notes/applications will be reviewed and evaluated in accordance with the criteria listed below.

B. Concept Note Evaluation Criteria

The criteria below are listed in descending order of importance.

1) Technical Approach

- The extent to which the applicant describes a sound and feasible approach to address gaps in HIV/AIDS programming and how it will contribute to sustainability while advancing and offering actionable, evidence-based solutions that accelerate achievement and maintenance of HIV/AIDS epidemic control, specifically among PBF women, infants, children, and youth for PEPFAR-supported countries, with attention to the strategic objectives, expected outcomes, and technical considerations described in Section A of this NOFO.
- The degree to which the applicant clearly exhibits innovative strategies, new and creative partnerships and opportunities for collaboration with key stakeholders. The degree to which the applicant and its consortium members and/or sub-partners have the institutional capability and relevant technical expertise needed to achieve RCAY and epidemic control goals.
- The extent to which the applicant describes the approach for identifying and strengthening local partners to meet the anticipated transition award goals.

2) Utilization of U.S. Small Businesses and/or MSIs and/or FBOs

The extent to which the applicant describes and demonstrates its past and current utilization of U.S. Small Businesses and/or MSIs and/or FBOs. If the applicant has not previously worked with US small businesses, and/or MSIs and/or FBOs, this will result in a neutral rating, neither counting for or against the applicant. The applicant should provide some explanation as to why it lacks such experience.

The extent to which the applicant describes how it intends to utilize U.S. Small Businesses and/or MSIs and/or FBOs in the concept note, as contextually feasible and appropriate.

C. Technical Application Criteria

1) Merit Review

Full applications will be reviewed for compliance with the NOFO instructions and will be evaluated in accordance with the evaluation criteria listed below. Full applications will be evaluated using an adjectival rating against each evaluation criterion. The criteria listed below are presented in descending order of importance by major category.

Where subcriteria exist, these are also presented in descending order of importance in relation to the major criterion under which they appear, and will be used when establishing the overall rating for the major criterion and subcriterion. An overall rating of the application will be determined using the adjectival ratings, and the relative importance of the evaluation criteria.

The following criteria **(listed in descending order of importance)** will be used to evaluate the full applications:

1. **Technical Design**

Sub-criteria 1: **Technical Approach**

- The extent to which the applicant describes in further detail the primary challenges faced by RCAY target populations, the gaps in current programming for these populations and an approach that is feasible and contributes to sustainability while advancing and offering actionable solutions that accelerate achievement and maintenance of HIV/AIDS epidemic control specifically among PBF women, infants, children, and youth for PEPFAR-supported countries, with attention to the strategic objectives and sub-objectives, expected outcomes, engagement of target populations, and technical considerations described in Section A of this NOFO.

- The degree to which the application clearly exhibits and details innovative strategies, new and creative partnerships, and opportunities for collaboration with key stakeholders needed to achieve RCAY and epidemic control goals.

- The extent to which the applicant demonstrates how the implementation approach will address both headquarters and field needs. In particular with regard to field needs, the approach should explain important criteria for determining how country-specific challenges will be met and opportunities leveraged, and the important technical considerations to meet specific needs.

- The extent to which the applicant explicitly describes its approach for identifying and strengthening local partners, primarily with regard to meeting the transition award goals described in Section B VI. This includes the degree to which the applicant demonstrates its understanding of the challenges facing local partners in PEPFAR countries, its ability to tailor support based on varying partner and country needs, and its strategy for overcoming barriers to ensure successful achievement of the transition award goals.

Sub-Criteria 2: **Data Review Responses**

- The degree to which the applicant's responses reflect appropriate interventions to achieve results based on the scenarios provided, and the extent to which the proposed approaches are feasible, evidence-based, innovative, measurable, and represent an efficient use of resources.

- The extent to which the applicant describes the potential challenges and how it will address them, as well as the extent to which and how it will maximize and leverage the technical expertise of the proposed partners and stakeholders.

- The degree to which it demonstrates the appropriate selection and use of indicators, project monitoring approaches, and data collection methods to achieve activity objectives.

Sub-Criteria 3: **Performance Monitoring, Evaluation, and Learning**

- The extent to which the applicant presents a clear Performance Monitoring, Evaluation, and Learning approach, with the appropriate selection and use of custom indicators (beyond those included in Section A as illustrative indicators) and required PEPFAR indicators for the RCAY objectives. The approach identifies the data collection method, source, and frequency of collection for all indicators (illustrative indicators in Section A and additional custom indicators) across core and field support-funded activities.

- The extent to which the applicant details how it will successfully meet all PEPFAR and USAID reporting and monitoring and evaluation requirements, as well as the strength of the strategy for ensuring attention to results and methods for addressing poor performance.

2. **Management and Staffing Approach**

Sub-Criteria 1: **Management and Staffing Plans**

- The extent to which the applicant demonstrates it and its sub-partners possess the necessary technical expertise to achieve the overall goal of HIV/AIDS epidemic control. This includes how the applicant will manage and implement activities to maximize the cohesion of overall project activities and coordination with other projects supporting the overall aim of HIV/AIDS epidemic control.

- The degree to which the application describes an effective management and administrative structure for multi-country implementation, and a realistic plan for technical and financial management, including efficiencies, cost-effectiveness, and budgetary responsiveness to program results in overall project management.

- The extent to which the staffing pattern, number, and type of positions, and organizational arrangements (e.g., consortium, sub-awardees) proposed are responsive to the management and technical requirements, including capacity building of local subrecipients, with an optimal configuration for efficiency, flexibility, cost containment, and use of expertise.

- The degree to which the applicant demonstrates the ability to recruit local host country staff, consultants, and/or specialists in order to build host country capacities and reduce costs.

Sub-Criteria 2: **Utilization of Small Businesses and/or MSIs and/or FBOs**

- The extent to which the applicant proposes to utilize the above referenced organizations.

3. **Key Personnel**

- The extent to which the proposed Key Personnel position(s) align with the proposed technical approach.

- The extent to which the Project Director meets or exceeds the minimum requirements in Section D and the extent to which the other proposed Key Personnel candidates meet or exceed the proposed minimum requirements.

- The extent to which the professional references support the candidate’s ability to successfully accomplish the requirements of the position.

4. History of Performance

Past performance will be evaluated on:

- How well an applicant performed
- Relevancy and recency work performed under a similar program.

Business Review

The Agency will evaluate the cost application of the applicant(s) under consideration for an award as a result of the merit criteria review to determine whether the costs are allowable in accordance with the cost principles found in 2 CFR 200 Subpart E.

The Agency will also consider (1) the extent of the applicant's understanding of the financial aspects of the program and the applicant's ability to perform the activities within the amount requested; (2) whether the applicant's plans will achieve the program objectives with reasonable economy and efficiency; and (3) whether any special conditions relating to costs should be included in the award.

Proposed cost share will be reviewed for compliance with the standards set forth in 2 CFR 200.306, 2 CFR 700.10, and the Standard Provision "Cost Sharing (Matching)" for U.S. entities, or the Standard Provision "Cost Share" for non-U.S. entities.

The AO will perform a risk assessment (see 2 CFR 200.205). The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the prospective recipient has the necessary organizational, experience, accounting and operational controls, financial resources, 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. Depending on the result of the risk assessment, the AO will decide to execute the award, not execute the award, or award with “specific conditions” (see 2 CFR 200.207).

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

I. Federal Award Notices

Award of the agreement contemplated by this NOFO cannot be made until funds have been appropriated, allocated, and committed through internal USAID procedures. While USAID anticipates that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for the award.

A notice of award signed by the Agreement Officer is the authorizing document for this NOFO. The notice of award will be provided electronically to the successful applicant's point of contact listed in the full application. Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b. As noted above, USAID may reach out to the applicant with clarifying questions and a request for a revised application by a specified date. USAID reserves the right to award without requesting clarifications or additional detail on an application.

II. Administrative & National Policy Requirements

The resulting award from this NOFO will be administered in accordance with the following policies and regulations.

For US organizations: ADS 303, 2 CFR 700, 2 CFR 200, and Standard Provisions for U.S. Non-governmental organizations.

For Non US organizations: Standard Provisions for Non-U.S. Non-governmental Organizations.

See Annex 2, for a list of the Standard Provisions that will be applicable to any awards resulting from this NOFO.

III. Reporting Requirements

(A)Semi-Annual and Annual Performance Reports - The recipient must submit semi-annual performance reports, unless the recipient is notified by the AOR that more frequent reporting (up to quarterly) is required. The performance reports must be submitted each year as follows:

- A mid-term performance report covering the first six months of each twelve-month reporting period. These reports must be submitted within 30 calendar days after the end of the first six months of the twelve-month reporting period, or in accordance with AOR instruction.
- An annual performance report covering the entire twelve-month reporting period. These reports must be submitted within 30 calendar days after the end of the twelve-month reporting period, or in accordance with AOR instruction.

Performance reports must contain the following information:

- An executive summary that highlights progress and achievements, as well as obstacles in implementation.
- Progress towards objectives for the period, including progress towards meeting

established program performance indicators, benchmarks and targets and, if established goals were not met, reasons why.

- Analysis and explanation of any costs that deviate from the budget (recipients must immediately notify USAID of developments that have a significant impact on award-supported activities).
- Discussion of any problems, delays, or adverse conditions, if encountered, which may materially impair the ability to meet the award objectives. These notifications must include a statement of the action taken or contemplated and any assistance needed to resolve the situation.
- A gender section reporting on related gender activities and achievements.
- An environmental compliance section reporting on related environmental compliance activities and any issues encountered.
- Success stories and photographs (if available). Photographs should comply with guidance provided in the USAID Graphics Standards Manual and should list information on each photo's subject and location.
- Descriptions of all media coverage received (if applicable), including press clippings, links, etc. as appropriate.
- Additional content, formatting, and entry into an electronic database may be requested by the AOR.

(B) Annual Implementation Plan- The recipient will prepare an Annual Implementation Plan (workplan) in accordance with the schedule and format shared by the AOR. It will be submitted to the AOR for approval as outlined under Substantial Involvement in Section C. The recipient will submit the country-specific portion draft workplan to the Activity Manager (AM) at the relevant USAID Mission(s) for concurrence prior to seeking approval from the AOR. Depending on the date of award, the first and final year's workplans may cover more or less than twelve calendar months, as agreed upon with the AOR.

The due date for draft workplans will be no later than May 1st, and final workplans will be due no later than September 30th, or as determined by the AOR. Should a change in due dates be required, the cooperative agreement will be modified accordingly.

(C) Management Review- USAID may require quarterly management reviews to assess program directions, determine achievement of the prior quarter's work plans, examine major management and implementation issues, and to make recommendations for any program changes. This review may incorporate programmatic and management questions, which may require written responses, as dictated by the AOR. This review and responses may form the basis for a management review discussion between the recipient, the AOR and other relevant USAID staff. Other OHA projects may be included in the review to enhance partner coordination, collaboration, and joint work planning processes.

(D) Financial reporting- Financial reporting will be implemented in accordance with 2 CFR 200, 2 CFR 700, and PEPFAR financial reporting requirements.

Pending system upgrades during FY19 to the Payment Management System (PMS) housed within the Department of Health and Human Services (HHS), implementing partners using HHS/PMS for drawdown on Letters of Credit (LOC) will be required to allocate drawdown amounts to program area HL.1 for HIV/AIDS and at the respective Operating Unit (OU) level.

1. Annual PEPFAR Expenditure Reporting

Recipients of PEPFAR funds must currently 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).

Recipients are required to submit the final PEPFAR Program Expenditures form 60 days prior to the end of the USG fiscal year.

However, please note that we anticipate PEPFAR will: (a) move to quarterly reporting of expenditures and (b) include sub-prime reporting. Should such a change be implemented, the cooperative agreement will updated accordingly. Please consider this additional reporting requirement when developing the cost application (if such an application is requested).

2. Quarterly Financial Reporting

In accordance with 2 CFR 200.327, the Recipient must submit the Federal Financial Form (FFR) (SF-425) and SF-425A (available at http:www.whitehouse.gov/omb/grants_forms/) on a quarterly basis via electronic format to the AOR. The quarterly FFR is due 30 calendar days following the end of each calendar quarter or as otherwise indicated by the AOR.

(E) Close-out Plans - 3 months prior to the completion of country-level activities and/or the award end date, the recipient must submit a close-out plan for the specific country and/or award.

(F) Final Report- 90 days after the completion date of this award, the recipient must submit a final report. The final report will include an executive summary of the recipient's achievement of results; a description of the recipient's activities and attainment of objectives and sub-objectives by country and/or region, as appropriate; analysis of the significance of these activities; and overall project impact.

(G) Ad Hoc Reporting- The recipient will provide to the AOR any cost data, work plans, schedules, and progress or results reports requested which are relevant to approval, design, implementation, and monitoring of results to satisfy Agency reporting requirements.

(H) Additional PEPFAR reporting required by OGAC--The recipient must submit any additional program and/or fiscal related data collected from PEPFAR- related programming, in accordance with federal regulations and/or Agency requirements.

IV. Program Income

USAID does not anticipate that there will be program income generated from this NOFO. However, if program income is generated, the AOR will provide direction to the recipient in accordance with applicable federal regulations and/or Agency provisions.

V. Environmental Compliance

Environmental Compliance

The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment are considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in 22 CFR 216 and in USAID's Automated Directives System (ADS) Parts 201.5.10g and 204, which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision being made and that appropriate environmental safeguards are adopted for all program activities. The recipient(s)'s environmental compliance obligations under these regulations and procedures are specified in the attached Initial Environmental Examination (IEE). Applicants should reflect illustrative costs for environmental compliance implementation and monitoring in their cost applications.

Environmental Compliance Planning and Reporting

A Programmatic Initial Environmental Examination (PIEE) has been approved for the Epidemic Control and Maintenance Project PAD, which includes RCAY (see Annex 5). The PIEE covers activities expected to be implemented under this NOFO. USAID has determined that a Categorical Exclusion applies to one or more of the proposed activities and a Negative Determination with conditions applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all PIEE conditions pertaining to activities to be funded under this NOFO.

1. As part of its initial Work Plan, and all Annual Work Plans thereafter, the recipient, in collaboration with the USAID Cognizant Technical Officer and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under cooperative agreements awarded under this NOFO to determine if they are within the scope of the approved Regulation 216 environmental documentation.

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

3. 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. When the approved Regulation 216 documentation is (1) a PIEE that contains one or more Negative Determinations with conditions and/or (2) an Environmental Analysis (EA), the recipient shall:

    a. Unless the approved Regulation 216 documentation contains a complete Environmental Mitigation and Monitoring Plan (EMMP) or a project Mitigation and Monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all PIEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

b. Integrate a completed EMMP or M&M Plan into the initial Work Plan.

c. Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

VI. Other Requirements

A) Title to Property

Property title under the resultant agreement shall vest with the Recipient(s) in accordance with the requirements of 2 CFR 200.310 through 2 CFR 200.316 regarding use, accountability, and disposition of such property.

B) Development Experience Clearinghouse (DEC) Requirements

The assistance provisions required in M.21 Standard Provisions for U.S. NGOs and M.8 Standard Provisions for non-U.S. NGOs, Submission of Development Experience Documents, require the implementing partner to submit reports or deliverables they produce under the award to the DEC. AORs or other individuals who are the most familiar with the award will monitor the recipient's compliance with this requirement.

The recipient will submit an original and one copy of the final report to the Technical Advisor and the AOR and one copy to the USAID Development Experience Clearinghouse. Submission instructions can be found at: http://dec.usaid.gov.

For detailed guidance on the submission of copies of reports and other information to USAID's DEC, please review ADS 540. Important research findings and recommendations; and a fiscal report that describes use of funds expended under this award. See 22 CFR 226.51.

C) VMMC Informed Consent and Voluntarism for Adults and Children

In order to ensure that male circumcision services are carried out safely, under conditions of informed consent, and without coercion, Applicants must clearly demonstrate approaches to supporting VMMC programs that comply with guidance and definitions outlined in PEPFAR's Best Practices for VMMC Site Operations (https://aidsfree.usaid.gov/resources/pepfars-best-practices-vmmc-site-operations).

D) Foreign Tax Reports

Reporting of foreign taxes under this agreement shall follow the standard provision entitled "Reporting Host Government Taxes (December 2014)." Foreign Tax Reports must be submitted prior to April 16th of each year.

SECTION G: FEDERAL AWARDING AGENCY CONTACTS

The points of contact regarding this NOFO are:

Erin Long, Agreement Officer, elong@usaid.gov
Courtney J. Magill, Agreement Officer, cmagill@usaid.gov

SECTION H: OTHER INFORMATION

USAID reserves the right to fund any or none of the applications submitted. The Agreement Officer is the only individual who may legally commit the Government to the expenditure of public funds. Any award and subsequent incremental funding will be subject to the availability of funds and continued relevance to Agency programming.

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 of the *concept note* with "Do NOT wish to share". As stated above, if the applicant does not wish to share its concept note, it will not have access to other concept notes that receive a pass and are uploaded to the cloud. Please note that should an applicant fail to opt out of sharing its concept note (e.g. opt to share), USAID assumes no liability for the use of data and/or ideas that are shared in concept notes via the shared drive.

Applicants, submitting a full application, who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should mark the cover page of the full application 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."

ANNEX 1 - SUMMARY BUDGET TEMPLATE

BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006
Expiration Date: 01/31/2019

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds: Federal (c)	Estimated Unobligated Funds: Non-Federal (d)	New or Revised Budget: Federal (e)	New or Revised Budget: Non-Federal (f)	New or Revised Budget: Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. Totals		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total
	(1)	(2)	(3)	(4)	(5)
a. Personnel	$	$	$	$	$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges (sum of 6a-6h)					$
j. Indirect Charges					$
k. TOTALS (sum of 6i and 6j)	$	$	$	$	$
7. Program Income	$	$	$	$	$

Authorized for Local Reproduction

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e)TOTALS
8.	$	$	$	$
9.				
10.				
11.				
12. TOTAL (sum of lines 8-11)	$	$	$	$

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$	$	$	$	$
14. Non-Federal	$				
15. TOTAL (sum of lines 13 and 14)	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b)First	(c) Second	(d) Third	(e) Fourth
16.	$	$	$	$
17.				
18.				
19.				
20. TOTAL (sum of lines 16 - 19)	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges:	22. Indirect Charges:
23. Remarks:	

ANNEX 2 - STANDARD PROVISIONS

(Note: the full text of these provisions may be found at: https://www.usaid.gov/ads/policy/300/303maa and https://www.usaid.gov/ads/policy/300/303mab). The actual Standard Provisions included in the award will be dependent on the organization that is selected. The award will include the latest Mandatory Provisions for either U.S. or non-U.S. Nongovernmental organizations**.** The award will also contain the following "required as applicable" Standard Provisions:

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

Required	Not Req.	Standard Provision
TBD		RAA1. NEGOTIATED INDIRECT COST RATES - PREDETERMINED (DECEMBER 2014)
		RAA2. NEGOTIATED INDIRECT COST RATES - PROVISIONAL (Nonprofit) (DECEMBER 2014)
		RAA3. NEGOTIATED INDIRECT COST RATE - PROVISIONAL (Profit) (DECEMBER 2014)
X		RAA4. EXCHANGE VISITORS AND PARTICIPANT TRAINING (JUNE 2012)
X		RAA5. VOLUNTARY POPULATION PLANNING ACTIVITIES – SUPPLEMENTAL REQUIREMENTS (JANUARY 2009)
X		RAA6. PROTECTION OF THE INDIVIDUAL AS A RESEARCH SUBJECT (APRIL 1998)
	X	RAA7. CARE OF LABORATORY ANIMALS (MARCH 2004)
X		RAA8. TITLE TO AND CARE OF PROPERTY (COOPERATING COUNTRY TITLE) (NOVEMBER 1985)
X		RAA9. COST SHARING (MATCHING) (FEBRUARY 2012)
X		RAA10. PROHIBITION OF ASSISTANCE TO DRUG TRAFFICKERS (JUNE 1999)
	X	RAA11. INVESTMENT PROMOTION (NOVEMBER 2003)
X		RAA12. REPORTING HOST GOVERNMENT TAXES (DECEMBER 2014)

X		RAA13. FOREIGN GOVERNMENT DELEGATIONS TO INTERNATIONAL CONFERENCES (JUNE 2012)
X		RAA14. CONSCIENCE CLAUSE IMPLEMENTATION (ASSISTANCE) (FEBRUARY 2012)
X		RAA15. CONDOMS (ASSISTANCE) (SEPTEMBER 2014)
X		RAA16. PROHIBITION ON THE PROMOTION OR ADVOCACY OF THE LEGALIZATION OR PRACTICE OF PROSTITUTION OR SEX TRAFFICKING (ASSISTANCE) (SEPTEMBER 2014)
X		RAA17. USAID DISABILITY POLICY - ASSISTANCE (DECEMBER 2004)
	X	RAA18. STANDARDS FOR ACCESSIBILITY FOR THE DISABLED IN USAID ASSISTANCE AWARDS INVOLVING CONSTRUCTION (SEPTEMBER 2004)
X		RAA19. STATEMENT FOR IMPLEMENTERS OF ANTI-TRAFFICKING ACTIVITIES ON LACK OF SUPPORT FOR PROSTITUTION (JUNE 2012)
X		RAA20. ELIGIBILITY OF SUBRECIPIENTS 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. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015)
X		RAA23. REPORTING SUBAWARDS AND EXECUTIVE COMPENSATION (DECEMBER 2014)
	X	RAA24. PATENT REPORTING PROCEDURES (DECEMBER 2014)
X		RAA25. ACCESS TO USAID FACILITIES AND USAID'S INFORMATION SYSTEMS (AUGUST 2013)
X		RAA26. CONTRACT PROVISION FOR DBA INSURANCE UNDER RECIPIENT PROCUREMENTS (DECEMBER 2014)
X		RAA27. AWARD TERM AND CONDITION FOR RECIPIENT INTEGRITY AND PERFORMANCE MATTERS (April 2016)
X		RAA28. PROTECTING LIFE IN GLOBAL HEALTH ASSISTANCE

		(MAY 2017)

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

Required	Not Req.	Standard Provision
TBD		RAA1. ADVANCE PAYMENT AND REFUNDS (DECEMBER 2014)
		RAA2. REIMBURSEMENT PAYMENT AND REFUNDS (DECEMBER 2014)
TBD		RAA3. INDIRECT COSTS – NEGOTIATED INDIRECT COST RATE AGREEMENT (NICRA) (DECEMBER 2014)
		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)
	X	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 SUBRECIPIENTS 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)
	X	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)

ANNEX 3 - SCENARIOS

Data Review Exercise

Scenario 1:
Country W is a small country with a population of >10 million and a low prevalence of around 1.3% in adults. While adult ART coverage is at 73%, and PMTCT coverage is at 85%, pediatric ART coverage remains a challenge at 38% and youth coverage is also poor at 47%.

[Please refer to table below].

Epidemiologic Data					**HIV Treatment and Viral Suppression**			**HIV Testing and Linkage to ART Within the Last Year**		
	Total Population Size Estimate (#)	**HIV Prevalence**	**Estimated Total PLHIV (#)**	**PLHIV diagnosed (#)**	**On ART (#)**	**ART Coverage**	**Viral Suppression (%)**	**Tested for HIV (#)**	**Diagnosed HIV Positive (#)**	**Initiated on ART (#) [these PLHIV are included in the ART coverage numbers]**
Total population	10,532,146	1.3%	136,918	106,796	99,950	73%	90%	1,541,199	14,316	11,890
Population <15 years	4,810,054	0.37%	17,799	8,722	6,764	38%	73%	71,468	582	491
Men 15-24 years	1,023,371	0.47%	4,792	2,396	1,677	35%	83%	148,278	806	787
Men 25+ years	1,803,604	2.71%	49,290	39,432	37,954	77%	85%	325,768	4,084	3,310
Women 15-24 years	1,115,800	0.7%	8,215	5,751	4,436	54%	87%	430,657	3,032	1,836
Women 25+ years	1,779,317	3.2%	56,958	50,123	48,984	86%	93%	565,028	5,812	5,068

The mission from Country W has just bought into RCAY for FY19 and FY20 with $10M to address their Pediatric and Youth programs with the goal of achieving 95/95/95 by 2020.

Scenario 2:
Country X is geographically small with a population of approximately 2.5 million and high HIV prevalence – 24% among adults ages 15 to 59 years, and 1.9% known prevalence among children 0-14. Women are more likely than men to be infected. This disparity by sex is most pronounced among young adults: HIV prevalence among 20- to 24-year-olds is four times as high among females (18%) than males (4.5%). Pediatric HIV coverage lags behind adults, and both knowledge of status in pregnant women and EID are significant challenges. Approximately 48% of the Country X population live below the poverty line. A recent Violence Against Children Survey indicates that rates of sexual violence and intimate partner violence are particularly high, 25% and 40% respectively. However, rates of violence against young children under 10 years of age are unknown. Despite survey findings, only a small number of children and adults who experience violence make formal reports, and response and protection services are inconsistent. The current DREAMS program rolled out rapidly in the last two years; however it has struggled with prioritizing and tracking layered services for these AGYW.

The Mission plans to provide $3 million in funding over two years for this activity. USAID requests RCAY propose interventions to increase the knowledge of HIV status in PBF women and OVC program populations, improve EID coverage, support HIV-positive OVC households through the service continuum to improve pediatric results, and more effectively protect and prevent HIV acquisition, and prevent and respond to GBV, in AGYW.

ANNEX 4 - LOCAL PARTNER DEFINITION

DRAFT PEPFAR Local Partner Definition

Under PEPFAR, a "local partner" may be an individual or sole proprietorship, an entity, or a joint venture or other arrangement. However, to be considered a local partner in a given country served by PEPFAR, the partner must meet the criteria under paragraph (1), (2), or (3) below:

(1) an individual must be a citizen or lawfully admitted permanent resident of and have his/her principal place of business in the country served by the PEPFAR program with which the individual is or may become involved, and a sole proprietorship must be owned by such an individual; or

(2) 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 with which the entity is or may become involved;

b) must be at 75% for FY 2018 beneficially owned by individuals who are citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), or by other corporations, partnerships or other arrangements that are local partners under this paragraph or paragraph (3);

c) at least 75% for FY 2018 of the entity's staff (senior, mid-level, support) must be citizens or lawfully admitted permanent residents of that same country, per sub-paragraph (2)(a), and at least 75% for FY 2018 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

(3) Partner government ministries (e.g., Ministry of Health), sub-units of government ministries, and parastatal organizations in the country served by the PEPFAR program are considered local partners. A parastatal organization is defined as a fully or partially government-owned or government-funded organization. Such enterprises may function through a board of directors, similar to private corporations. However, ultimate control over the organization rests with the government.

Local partners will have to submit supporting documentation demonstrating their organization meets at least one of the three criteria listed above.

ANNEX 5 - INITIAL ENVIRONMENTAL IMPACT (IEE)

COVERSHEET

INITIAL ENVIRONMENTAL EXAMINATION

Epidemic Control and Maintenance Project

1. EXECUTIVE SUMMARY

1.1. PROGRAM/ACTIVITY DATA

Program/Activity Number	TBA
Program/Activity Title	Four (4) new awards under the **Epidemic Control and Maintenance Project PAD**: 1) Meeting Targets and Maintaining Epidemic Control (TMEC) 2) Reach Targeted Children and Youth with PEPFAR specified services in USAID PEPFAR Programs (RCAY) the option for transition awards. 3) Translating Data for Implementation (DFI) 4) Accelerating Support to Local Able Partners (ASAP)
Country/Region	Global
USG Foreign Assistance Framework	Functional Objective: 3. Investing in People Program Areas: Health (HL) Program Elements: HL.1.1: Preventing Mother-to-Child Transmission (PMTCT) HL.1.2: Sexual Prevention - Abstinence/Be Faithful HL.1.3: Biomedical Prevention - Blood Safety HL.1.4: Biomedical Prevention - Injection Safety HL.1.5: Sexual Prevention - Other Sexual Prevention HL.1.6: Adult Care and Support HL.1.7: TB/HIV HL.1.8: Orphans and Vulnerable Children HL.1.9: Counseling and Testing HL.1.10: Treatment/ARV Drugs HL.1.11: Treatment/Adult Treatment HL.1.12: Laboratory Infrastructure HL.1.13: Health System Strengthening HL.1.14: Strategic Information HL.1.15: Biomedical Prevention - Medical Male Circumcision HL.1.16: Biomedical Prevention - Prevention Among Injecting and Non-Injecting Drug Users HL.1.17: Pediatric Care and Support HL.1.18: Treatment/Pediatric Treatment
Period Covered	2019-2024
Life of Project Amount	$1.645 million
IEE Amendment	No
IEE Prepared By	Joel Nelson, Senior Advisor, Office of HIV/AIDS
Management Unit Contact Point	Joel Nelson, Senior Advisor, Office of HIV/AIDS

1.2. ENVIRONMENTAL ACTION RECOMMENDED

Categorical Exclusion	X	**Negative Determination**	X
Positive Determination			

Project does not cover the following activities	-Large scale construction activities are not authorized under this IEE. Small scale construction/ renovation activities will require a supplemental analysis. - Pesticides or vector control are not authorized under this IEE. - Procurement, installation, or operation of incinerators with capacities to destroy > 100 kilograms of waste per hour are not authorized under this IEE.

1.3. THRESHOLD ENVIRONMENTAL DETERMINATIONS

Activity or Activity Category	**Recommended Determination**
Procurement, storage, management, and disposal of public health commodities (e.g. HIV test kits, ARVs, treatment for opportunistic infections, etc.)	**Negative Determination with conditions,** per 22 CFR 216.3 (a)(2)(iii), that the generation, storage and disposal of medical materials will have potential for negative impact on the environment.
Training of professional and paraprofessional health care workers in methods that may result in generation and disposal of hazardous medical waste - (TMEC, RCAY, ASAP)	**Negative Determination with conditions,** per 22 CFR 216.3 (a)(2)(iii), that health activities likely to involve blood testing will have potential generation of hazardous waste
Activities involving generation, storage, management and disposal of hazardous and highly hazardous medical waste - (TMEC, RCAY, ASAP)	**Negative Determination with conditions,** per 22 CFR 216.3 (a)(2)(iii), that health activities likely to involve blood testing will have potential generation of hazardous waste.
Activities involving ongoing developing, manufacturing, and distribution of novel antiretroviral formulations - (TMEC, RCAY, ASAP)	**Negative Determination with conditions,** per 22 CFR 216.3 (a)(2)(iii), that health activities will have potential generation of hazardous health waste
Small-scale construction and rehabilitation of health facilities and training centers	**Negative Determination with conditions,** per 22 CFR 216.3 (a)(2)(iii), for activities potentially involving minor construction and renovation of existing facilities. No large-scale construction activities will be conducted.
Procurement, installation, commissioning, operation, and maintenance of treatment equipment for medical waste (i.e. incinerators) – (TMEC)	**Negative Determination, per 22 CFR 216.3(a)(2)(iii), subject to Conditions** For incinerators with capacities to destroy approximately 12 to 100 kilograms of waste per hour[12]

[1] USAID PATH Incinerator Guidebook (2010) https://www.path.org/publications/files/TS_mmis_incin_guide.pdf

	Note: The use of incinerators with capacities to destroy > 100 kilograms of waste per hour are not authorized under this IEE. The IEE will be amended if capacities exceed this amount, with a resulting scoping study and, if necessary, an Environmental Assessment developed and approved by the COR and the GH BEO
Activities involving education, technical assistance, or training programs - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(i), for all activities consisting of education, technical assistance, or training programs except to the extent that such programs include activities directly affect the environment (eg generation of medical waste, construction of facilities, etc)
Activities involving analyses, studies, academic or research workshops and meetings - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(iii), for analyses, studies, academic or research workshops and meetings
Activities involving document and information transfers (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(v), for document and information transfers
Studies, projects, or programs intended to develop the capability of recipient countries and organizations to engage in development planning - (TMEC, RCAY, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(xiv), for studies, projects, or programs intended to develop the capability of recipient countries to engage in development planning except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)
Activities involving market and user understanding, policy, and advocacy - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(xiv), for studies, projects, or programs intended to develop the capability of recipient countries to engage in development planning except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)

1.4. SUMMARY OF IMPLEMENTATION, MONITORING, AND REPORTING MEASURES

The following standard conditions consist of conditions for project implementation for all Global Health mechanisms as well as additional conditions developed specifically for this project. These conditions are assigned for any project activities with a Negative Determination.

1. **Environmental Management Training.** The GH AOR/COR and Activity Manager(s) assigned to this program are to enroll in and successfully complete the Bureau for Global Health Environmental Management Process Training course. The course is offered

through GHPOD.

2. **Climate Change.** GH projects awarded after October 1, 2016 are required to follow USAID/GH guidelines for the screening of activities for climate resiliency to comply with EO 13677.

3. **Provision of the IEE.** The AOR/COR shall provide the Implementing Partner with a copy of this IEE and brief the Implementing Partner on their environmental compliance responsibilities.

4. **AOR/COR monitoring responsibilities.** As required by the ADS 204, the AOR will actively monitor and evaluate whether the conditions of this IEE are being implemented effectively and whether new or unforeseen consequences arise during implementation not identified and reviewed in this IEE. If new or unforeseen consequences arise, the team will suspend the activity and initiate appropriate, further review, in accordance with 22 CFR 216.

5. **Annual compliance documentation and reporting.** The Implementing Partner is responsible for the preparation of an Environmental Mitigation and Monitoring Plan (EMMP) and submitting the completed plan to the AOR/COR for review and approval with the project workplan and prior to initiating work on the activity. The EMMP template is included with the IEE. The EMMP will outline the environmental impacts that can be reasonably anticipated from the implementation of the program activities, the mitigation measures to address the impacts, monitoring measures, and frequency of inspection. The AOR/COR is responsible for reviewing and approving the EMMP and providing a copy to the Global Health BEO for review and concurrence.

   The Implementing Partner is responsible for annually preparing and submitting to the AOR/COR an Environmental Mitigation and Monitoring Report (EMMR) to document compliance with the conditions of this IEE. The EMMR must be submitted to the AOR/COR within 45 days after the end of each fiscal year. The EMMR template is attached to the IEE.

6. **Integration of compliance responsibilities in prime and subcontracts, agreements, and grants.** The AOR/COR shall ensure that the cooperative agreement document references and requires compliance with the conditions set out in this IEE, as required by ADS 2014.3.4(a)(6) and ADS 303.3.6(3)(e). The Implementing Partner shall assure that subcontracts, agreements, and grants reference and require compliance with relevant elements of these conditions.

7. **Assurance of sub-awardee, -grantee, -contractor capacity and compliance.** The Implementing Partner shall assure that sub-awardees, grantees, contractors have the capability to implement the relevant requirements of this IEE. The Implementing Partner shall, if appropriate, provide training to sub-awardees, -grantees, and -contractors in their environmental compliance responsibilities.

8. **Pesticides or pesticide products.** Any program activities conducted under this Agreement involving the procurement, use, research or disposal of pesticides and/or larvicides and their waste products will require a supplemental IEE, SEA, or PERSUAP based on consultations with the Bureau Environmental Officer for Global Health.

9. **Compliance with human subject research requirements.** The AOR/COR in consultation with the BEO for the Global Health Bureau shall assure that the Implementing Partner and sub-awardees demonstrate completion of all requirements for ethics review and adequate medical monitoring of human subjects who participate in research trials carried out through this agreement. The BEO for Global Health may request copies of documentation from the AOR/COR to demonstrate compliance with applicable requirements of human subject trials. All documentation demonstrating completion of required review and approval of human subject trials must be in place prior to initiating any trials and cover the period of performance of the trial as described in the research protocol.

10. **New or modified activities.** As part of its workplan, the implementing partner in collaboration with the AOR shall review all on-going and planned activities to determine if they are within the scope of this IEE. The Implementing Partner shall complete the screening questionnaire (Part 1 of the EMMT) with the workplan.
    a. If activities outside the scope of this IEE are planned, the AOR/COR shall assure that an amendment to this IEE addressing these activities is prepared and approved prior to implementation of any such activities.
    b. Any ongoing activities found to be outside the scope of this IEE shall be modified to comply or halted until an amendment to this IEE is submitted and approved.

11. **Compliance with Host Country requirements.** Nothing in this IEE substitutes for or supersedes Implementing Partner, sub-awardees/-grantee/-contractor's responsibility for compliance with all applicable host country laws and regulations. The Implementing Partner and sub-awardee, -grantee, -contractor must comply with host country environmental regulations unless otherwise directed in writing by USAID. However, in the case of a conflict between host country and USAID regulations, the latter shall govern.

12. **Waste Management Plan.** The IP will prepare an integrated Waste Management Plan (WMP) or utilize an equivalent standard operating procedure (SOP) that will define and detail direct and indirect waste streams generated by IP-managed activities and specify appropriate management and disposal practices for each. The IP will verify the use of such WMP or SOP as a part of its environmental mitigation, monitoring, and reporting, including documentation in the annual EMMR.

1.5. APPROVAL OF ENVIRONMENTAL DETERMINATION AND MEASURES

1.5.1. Clearance:

[signature]	8/7/2018
Polly Dunford **Director, Office of HIV/AIDS, Bureau of Global Health**	**Date**

[signature]	8/7/18
Nida Parks, Acting Div Chief OHA/SCC **~~Joel Nelson~~** **AOR/COR, Office of HIV/AIDS, Bureau of Global Health**	**Date**

Additional Clearance(s) as indicated by the GH Office Director or GH BEO. Examples of additional clearance include other office directors, regional BEOS, General Counsel, among others.	**Date**

1.5.2. Concurrence:

[signature]	8/8/2018
Dennis Durbin **Acting Global Health Bureau Environmental Officer**	**Date**

1.5.3. Distribution List:

AOR/COR or designee is responsible for distributing the approved IEE to stakeholders on the distribution list below. Stakeholders may include Regional BEOs and REAs, among others.

NOTE: The AOR/COR or designee is responsible for uploading the approved IEE to the USAID Environmental Compliance Database, by emailing the document to: environmentalcompliancesupport@usaid.gov

SECTION 2: IEE SUPPORTING INFORMATION

2.1. PROGRAM/ACTIVITY DATA

Program/Activity Number	TBD
Program/Activity Title	Four (4) new awards under the **Epidemic Control and Maintenance Project PAD**: 1) Meeting Targets and Maintaining Epidemic Control (TMEC) 2) Reach Targeted Children and Youth with PEPFAR specified services in USAID PEPFAR Programs (RCAY) the option for transition awards. 3) Translating Data for Implementation (DFI) 4) Accelerating Support to Local Able Partners (ASAP)
Country/Region	Global
USG Foreign Assistance Framework	Functional Objective: 3. Investing in People Program Areas: Health (HL) Program Elements: HL.1.1: Preventing Mother-to-Child Transmission (PMTCT) HL.1.2: Sexual Prevention - Abstinence/Be Faithful HL.1.3: Biomedical Prevention - Blood Safety HL.1.4: Biomedical Prevention - Injection Safety HL.1.5: Sexual Prevention - Other Sexual Prevention HL.1.6: Adult Care and Support HL.1.7: TB/HIV HL.1.8: Orphans and Vulnerable Children HL.1.9: Counseling and Testing HL.1.10: Treatment/ARV Drugs HL.1.11: Treatment/Adult Treatment HL.1.12: Laboratory Infrastructure HL.1.13: Health System Strengthening HL.1.14: Strategic Information HL.1.15: Biomedical Prevention - Medical Male Circumcision HL.1.16: Biomedical Prevention - Prevention Among Injecting and Non-Injecting Drug Users HL.1.17: Pediatric Care and Support HL.1.18: Treatment/Pediatric Treatment
Period Covered	2019-2024
Life of Project Amount	$1.645 million
IEE Amendment	No
IEE Prepared By	Joel Nelson
Management Unit Contact Point	Joel Nelson

2.2. PURPOSE AND SCOPE

The purpose of this document, in accordance with Title 22, Code of Federal Regulations, Part 216 (22 CFR 216), is to provide a preliminary review of the reasonably foreseeable effects on the environment of [four awards under the Epidemic Control and Maintenance Project], and on this basis, to recommend determinations and, as appropriate, attendant conditions, for these activities. Upon final approval of this IEE, these recommended determinations are affirmed as 22 CFR 216 Threshold

Decisions and Categorical Exclusions, and conditions become mandatory elements of the Epidemic Control and Maintenance Project implementation.

The Epidemic Control and Maintenance (ECM) Project PAD covers four new HIV/AIDS awards. All new procurement actions covered in this PAD will be designed to directly meet PEPFAR targets, reach epidemic control, and maintain viral load suppression for the beneficiaries of PEPFAR programs, while supporting in-country teams to work with host governments to achieve self-reliance.

This IEE is a critical element of a mandatory environmental review and compliance process meant to achieve environmentally sound activity design and implementation.

2.3. PROGRAM OVERVIEW

2.3.1. Background

The Office of HIV/AIDS is proposing four (4) new awards under the Epidemic Control and Maintenance Project PAD. The conditions set under this IEE will apply across all mechanisms; Implementing Partners will abide by the conditions set in the agreement. Once awarded, Implementing Partners will be required to complete EMMPs that adhere to the below determinations.

1) **Meeting Targets and Maintaining Epidemic Control (TMEC):** TMEC is designed to address prevention care, and treatment gaps across the clinical cascade, with a focus on services for key populations, men, women, and families through technical assistance (TA) extension and field support. This award is proposed to be designed as a Cooperative Agreement and includes the option for transition awards.
2) **Reach Targeted Children and Youth with PEPFAR specified services in USAID PEPFAR Programs (RCAY)**: RCAY is designed to provide clinical cascade and prevention and mitigation interventions to children, orphans and vulnerable children (OVC), youth, and adolescent girls and young women (AGYW). This award is proposed to be designed as a Cooperative Agreement and includes the option for transition awards.
3) **Translating Data for Implementation (DFI):** DFI will utilize current data and analyses of those data to translate findings into rapid, efficient implementation. It is designed to provide critical and accurate data from missions, partners, and national data systems for analyses that can be used to explain PEPFAR's approaches for reaching epidemic control, and more importantly be utilized for rapid expansion of promising or known practices, immediate scale-up and maintenance. This award is proposed to be designed as a Cooperative Agreement and includes the option for transition awards.
4) **Accelerating Support to Able Local Partners (ASAP):** ASAP will work to meet the PEPFAR Local Partners target, which aims to transition 70% of PEPFAR funding to local partners by 2020. This award will contain a provision for USAID indigenous partners to sub with the prime recipient of the OHA award for assistance with Human Resources for Health (HRH) and provide TA for financial systems analysis, data utilization and verification, procurement actions, and meeting targets across PEPFAR programming. This award is proposed to be designed as a Task Order under the existing OASIS Contract.

2.3.2. MANAGEMENT APPROACH

This section describes GH management approach including roles and responsibilities for environmental compliance activities required under these awards.

GH AOR/COR Responsibilities for Core Activities:

The GH Agreement Officer's Representatives (AORs), Contracting Officer's Representatives (CORs), and Technical Offices are located at USAID locations in Washington, D.C. They may have centrally-managed activities that are Mission-funded. As required by ADS 204, the GH AORs/CORs actively monitor and evaluate whether the conditions of this IEE are being implemented effectively and whether new or unforeseen environmental impacts from Core or Mission Activities arise during implementation not identified and reviewed in this IEE. The GH AORs/CORs will advise Missions when additional environmental analysis/documentation is needed. The Missions are responsible for preparation of environmental documentation for Mission-funded activities.

If new or unforeseen adverse environmental impacts arise, the designated GH AOR/COR will investigate the activity and take appropriate action, including suspending the activity until the appropriate review in accordance with 22 CFR 216 is completed. If a Core Activity outside the scope of this IEE is planned, the AOR/COR will assure that an amendment to this IEE addressing the activity is prepared by the designated GH AOR/COR and GH Technical Office and approved by the GH BEO prior to implementation of any such activity. Any ongoing activities found to be outside the scope of this IEE shall be modified to comply or halted until an amendment to this IEE is approved.

The EMMP is the primary method that activity-level awards will be evaluated for environmental compliance. The AOR/COR is responsible for reviewing and clearing EMMPs and forwarding on to the GH BEO for concurrence.

Any proposed activities beyond the scope of this IEE will require an amended IEE or an Environmental Assessment with Scoping Statement. The AOR/COR is responsible for consulting with the GH BEO to review the activity and determine if additional environmental analyses are needed.

Mission Responsibilities for Mission Activities:

Mission activities are mission-funded and managed activities. Missions, not GH Technical Offices or GH AOR/CORs, are responsible for preparing country-specific IEEs, IEE amendments, activity-level EMMPs, and other environmental documents for Mission Activities. Missions are responsible for confirming with their Regional Bureau Environmental Officers if additional environmental analyses may be required beyond GH requirements. GH technical offices and the GH BEO may provide assistance for activities under these awards.

The EMMP is the primary method that activity-level awards will be evaluated for environmental compliance. Since this IEE covers both Core and Mission activities, a Mission may use the attached EMMP form as guidance to obtain representative mitigations for a corresponding Mission activity, but the Mission is responsible for preparing the activity-level EMMP, which identifies the responsible person(s) for implementing activities and mitigation plans. Missions will provide the AOR/COR with activity-level EMMPs for review and clearance and the GH BEO for concurrence. The Regional BEO will be copied and may provide concurrence as well.

Any proposed activities beyond the scope of this IEE will require an amended IEE or an Environmental Assessment with Scoping Statement. The AOR/COR is responsible for consulting with the GH BEO to review the activity and determine if additional environmental analyses are needed.

Missions will actively monitor and evaluate whether the conditions of Mission IEEs and EMMPs are implemented effectively and whether new or unforeseen environmental impacts arise during implementation not identified and reviewed in the Mission IEEs. The GH AOR/COR will be responsible for monitoring Mission environmental compliance.

If new or unforeseen environmental impacts arise from a Mission Activity, the Mission will notify the GH AOR/COR, investigate the activity, and take appropriate action, including suspending the activity until the appropriate review, in accordance with 22 CFR 216, is completed. The Mission shall assure that the appropriate IEE documentation is in place prior to implementation of any such activity. The Mission shall not undertake activities that are not addressed in this IEE.

2.3.3. Description of Activities

Illustrative Activities per Award:

Meeting Targets and Maintaining Epidemic Control (TMEC):

- TA extension for key populations (KP) and other population groups to meet the UNAIDS 2030 Goal of 95% of people living with HIV knowing their HIV status; 95% of people who know their status on treatment; and 95% of people on treatment with suppressed viral loads (95/95/95) on a country-by-country basis;
- implementation of epidemic control and maintenance plans and policies by country;
- implementation and TA to in-country partners for meeting ECT and ISME recommendations;
- rapidly reach last 20 to 30% of 95/95/95 by country, gender and age bands;
- sustainable finance TA and delivery;
- stabilization of management systems including HR and HIS within countries by using and improving country systems;
- expand and maintain the 3rd 95 (viral suppression); and
- stabilization of support systems for new infections once epidemic control has been reached.

Reach Targeted Children and Youth with PEPFAR specified services in USAID PEPFAR Programs (RCAY):

- Meet and sustain Early Infant Diagnosis (EID) targets, pediatric targets for treatment of children and youth, and reach and sustain viral suppression targets for infants, children and youth by age band through service delivery and technical assistance;
- Find ways to ensure that the DREAMS(Determined, Resilient, Empowered, AIDSFree, Mentored, Safe)-like services for adolescent girls and young women (AGYW) are targeted to the "right" populations and brought to scale;
- Meet the Office of the Global AIDS Coordinator's (OGAC) requirements for the Orphans and Vulnerable Children (OVC) earmark (including clinical cascade and aging OVC population) by finding efficient solutions for underperforming targets in all related age groups and genders;
- Meet OGAC's requirements for AGYW by identifying cost-effective solutions for each age group and bringing them to scale;
- Find ways to ensure country-based targets are met by identifying and efficiently supporting each target group;
- Find ways to ensure that OVC and adolescents are tested and linking and retaining positives in services;
- Ensure viral suppression scaled up across all sub populations identified in RYC; and

- Ensure UNICEF guidance is applied to OVC program.

Translating Data for Implementation (DFI):

- Finding innovative ways to apply data rapidly for implementation;
- Finding innovative ways to utilize secondary and relational data analysis for implementation;
- Finding ways to align data with national systems;
- Data presentation;
- Data validation;
- Data use for showing where USAID should continue, change, and publish successes;
- Data use for trends and prediction of maintenance needs;
- Use and presentation of data and data analyses innovation in current systems, not currently utilized;
- Data translation and presentation for Ministry of Health and Implementing Partners;
- Data use for rapid scale-up;
- Support of DQAs; and
- Use of SIMS data for immediate corrective action and applied innovation.

Accelerating Support to Able Local Partners (ASAP):

- Initiate and provide services with a local organization to implement HRH services that include recruitment, supervision, payroll, retrenchment, and oversight to cadres of local staff in support of epidemic control and maintenance;
- Provide financial systems TA and direct assistance;
- Work with ministries of health to implement aligned data systems;
- Provide and/or analyze data to solve problems and implement solutions;
- Provide technical assistance to indigenous partners to pinpoint gaps in programs and gap filling approaches and services; and
- In-country TA for developing procurement plans to increase indigenous partnerships, implement plans, and provide TA for processing awards to indigenous partners.

As part of this project, the following 11 categories of activities have been identified. Each category will have a number of related activities. Potential impacts of activities will be analyzed and incorporated into the EMMP more specifically to each mechanism as they are awarded.

1. **Procurement, storage, management, and disposal of public health commodities** (e.g. HIV test kits, ARVs, treatment for opportunistic infections, etc.). Activities in this category include efforts to strengthen the supply chain of public health commodities.

2. **Training of professional and paraprofessional health care workers in methods that may result in generation and disposal of hazardous medical waste**

3. **Activities involving generation, storage, management and disposal of hazardous and highly hazardous medical waste.** If needed, the Implementing Partner will conduct the procurement, installation, commissioning, operation, or maintenance of treatment equipment for medical waste (i.e. incinerators). Incinerators will not exceed the maximum capacity to burn 100 kilograms of waste per hour.

4. **Activities involving ongoing developing, manufacturing, and distribution of novel antiretroviral formulations**

5. **Small-scale rehabilitation of health facilities and training centers.** Activities in this category include minor renovation of existing facilities, including rehabilitation of clinics to improve the quality of service delivery. No major construction activities will be conducted.

6. **Procurement, installation, commissioning, operation, and maintenance of treatment equipment for medical waste (i.e. incinerators).** See # 3.

7. **Activities involving education, technical assistance, or training programs**

8. **Activities involving analyses, studies, academic or research workshops and meetings**

9. **Activities involving document and information transfers**

10. **Studies, projects, or programs intended to develop the capability of recipient countries and organizations to engage in development planning**

11. **Activities involving market and user understanding, policy, and advocacy**

2.4. BASELINE INFORMATION AND APPLICABLE HOST COUNTRY REQUIREMENTS

2.4.1. Locations Affected

This PAD covers all countries PEPFAR is currently working in. Activities will be informed by field funding buy-in. However, all PEPFAR-supported countries will be eligible for support. Host country environmental procedures and requirements are detailed in national laws, regulations, and policies. The project is responsible for following applicable country and environmental information for identified activities that have potential to have a negative impact on the environment.

Before initiating any activities with potential environmental impact, the implementing partner must identify the sites involved, indicating whether they are clinics, hospitals, universities, or other types of facilities or locations, and whether the site and local implementers have adequate capacity to manage healthcare waste according to the requirements of the activity. The implementing partner, in consultation with the AOR/COR and GH BEO, may choose to work with the host country to strengthen management of medical waste. However, the implementing partner must not contribute to or exacerbate a situation where healthcare waste management does not meet required best practices, including host country laws and regulations. It is recognized that the locations affected may not be completely known or certain at the beginning of a given project (or cooperative agreement) and that they may change over time. Failure on the part of the implementing partner to provide assurances of adequate waste management and disposal sites will result in USAID withholding funding for the specific activity. As such, EMMPs will be developed and processed by Implementing Partner's for individual awards with approval from the GH BEO approval and as required, the MEO and REO.

Climate change is not expected to have a significant impact on the project. The design team has completed the Climate Risk Management Form and it has been approved by P3.

2.4.2. Applicable Laws, Regulations and Policies

Evaluation, analysis, research, reviews, and meetings could occur in host-country institutions or in domestic (US) workspaces, offices, or laboratories. These activities will occur under and in line with national government environmental rules and regulations and organizational environmental policy. Activities will take place in existing facilities and no construction will occur, with exception to minor renovation activities.

The implementing partner will be required to identify all applicable environmental laws and regulations in the country or countries where the activities will take place before initiating any activities with environmental impact. The primary guide for this activity will be the World Health Organization's "Safe Management of Wastes from Health-care Activities - Second Edition" (2014). Additionally, the implementing partner will be required to cite its own organization's governing regulations and guidelines that will be followed relative to the proposed activities. Host country laws and regulations are to be followed unless they are less strict than the WHO guidelines for health-care waste management, which will take precedent. It is recognized that the countries involved may not be completely known or certain at the beginning of a given project (or cooperative agreement) and that they may change over time. As such, EMMPs will be developed and processed by Implementing Partner's for individual awards with approval from the GH BEO approval and as required, the MEO and REO.

Research studies involving human subjects apply the Common Federal Policy for Protection of Human Subjects in Research (commonly referred to as "the Common Rule") as described in ADS Chapter 200: Protection of Human Subjects in Research Supported by USAID. The Policy sets standards for the protection of human research subjects that USAID follows when research activities supported by USAID involve human subjects. Safeguarding the rights and welfare of the human subjects involved in research supported by USAID is the primary responsibility of the [IP] (p.2). As detailed in 22 CFR 225, the Common Rule describes the various functions and processes needed to ensure human subjects protection (including informed consent procedure, special protections for minors and other vulnerable populations). To ensure this, organizations with a proven ethical track record of success in the provision of HIV care and treatment services will be selected to carry out these procedures.

For all activities involving human research subjects, the implementing partner must provide a brief description of the research and the steps taken to comply with USAID requirements for the protection of human research subjects. This information must be provided to the AOR as part of the EMMP or as part of an amended EMMP.

Primary Environmental Compliance References:

- WHO. *Safe Management of Wastes from Health-Care Activities* (2014)
- John Snow, Inc./USAID DELIVER Project in collaboration with WHO. *Guidelines for the Storage of Essential Medicines and Other Health Commodities* (2003)

Secondary Environmental Compliance References:

- USAID *Sector Environmental Guidelines*
- USAID DELIVER Project. *The Logistics Handbook: A Practical Guide for the Supply Chain Management of Health Commodities* (2011)
- USAID DELIVER Project. *Transport Management: A Self-Learning Guide for Local Transport Managers of Public Health Services* (October 2010)

Other Relevant Environmental Compliance Documentation

- US EPA. 74 FR 51367: Standards of Performance for New Stationary Sources and Emissions Guidelines for Existing Sources: Hospital/Medical/Infectious Waste Incinerators; Final Rule (2009)

2.5. EVALUATION OF POTENTIAL ENVIRONMENTAL IMPACTS

Some of the project's activities do not have direct adverse environmental impacts, as they entail planning, management, desk research, data analysis, and communication activities.

Certain activities supported through the project will directly or indirectly affect the environment, or have the potential to do so. Based on an analysis conducted by the AOR and USAID management team, the following activities could affect the environment:

1. **Procurement, Storage, Management Disposal of Health Commodities**: This project will include the procurement, use and disposal of commodities including study project as well as placebo, injection equipment, laboratory supplies, and/or reagents.

Pharmaceutical products have specific storage time and temperature requirements, and may expire or lose efficacy before they are used, particularly in remote areas where demand is low and/or infrequent. Pharmaceutical waste may also accumulate due to inadequacies in stock management and distribution and/or lack of a routine system of disposal. Health commodity logistics and supply chain management continue to be a priority of the program. In addition, poor waste management practices can unintentionally do harm to the environment and communities.

2. **Training Professional and Paraprofessional Health Care Workers**: Improper training, handling, storage and disposal of the waste generated in healthcare facilities or activities can spread disease through several mechanisms. Transmission of disease through infectious waste is the greatest and most immediate threat from health care waste (HCW). If waste if not treated in a way that destroys the pathogenic organisms, dangerous quantities of microscopic disease-causing agents - viruses, bacteria, parasites or fungi- can be present in the waste. These agents can enter the body through punctures and other breaks in the skin, mucous membranes in the mouth, by being inhaled into the lungs, being swallowed, or being transmitted by a vector organism.

Healthcare workers are at greatest risk of poorly managed medical waste, but other workers are also exposed including cleaning staff, patients, visitors, waste collectors, disposal site staff, waste pickers, substance abusers and those who knowingly or unknowingly use "recycled" contaminated syringes and needles. Although sharps pose an inherent physical hazard of cuts and punctures, the much greater threat comes from sharps that are also infectious waste. Workers handling sharps are exposed to possible HIV and hepatitis B and C viruses through pricks.

3. **Generation, Storage, Management and Disposal of Hazardous and Highly Hazardous Medical Waste:** This project will involve lab work analyzing biological samples that will also be transported from clinical sites or sample repositories and will be stored in the laboratories. Select biological samples or portions of samples may be disposed of at the laboratories after use in the event of expiration or loss of viability. The activities that may generate waste or require disposal of waste will adhere to effective and sustainable protocols for waste management. The implementing partner will adhere to WHO guidelines for medical waste management. The project will comply with the WHO resource "Safe Management of Wastes from Health-care Activities" (2014) and with local regulations for waste management and disposal (to be specified in the EMMP).

Although healthcare activities provide many important benefits to communities, they can also unintentionally cause environmental impacts through poor management of the HCW. These wastes generally fall into three general categories in terms of public health risk and recommended methods of disposal:

General health care waste, similar or identical to municipal waste, including materials such as packaging or unwanted paper. This waste is generally harmless and needs no special handling; 75-90 percent of waste generated by healthcare facilities falls into this category, and it can be burned through low temperature incineration or taken to the landfill without any additional treatment.

Hazardous healthcare waste includes infectious waste (except sharps and waste from patients with highly infectious diseases), small quantities of chemicals and pharmaceuticals, and non-recyclable pressurized containers. All blood and body fluids are potentially infectious.

Highly hazardous healthcare wastes, which should be given special attention, includes sharps (especially hypodermic needles), highly infectious non-sharp waste, such as laboratory supplies, highly infectious physiological fluids, pathological and anatomical waste, stools from cholera patients, and sputum and blood of patients with highly infectious diseases such as tuberculosis and HIV. They also include large quantities of expired or unwanted pharmaceuticals and hazardous chemicals, as well as all radioactive or genotoxic wastes.

Restricting public access to unusable pharmaceuticals commodities requires controlling both the pathways to community access and making the healthcare products unusable to the public. Partners will provided instructions to properly dispose of pharmaceuticals commodities to ensure that the public cannot obtain unusable commodities and that those commodities are segregated from the municipal waste stream and not disposed in uncontrolled local dumps.

In their operations, all hazardous waste treatment equipment and installations themselves present hazards, particularly (but not only) when improperly operated or sited, or when the equipment is not specified. Examples of these risks and impacts, which generally scale with treatment capacity or size, include:

- Worker risks due to mishandling of medical wastes
- Toxic air emissions and toxic ash from incineration:
- Incineration of materials containing chlorine (e.g. PVC plastics) can generate dioxins and furans, which are human carcinogens and have been associated with a range of adverse health effects. Only modern incinerators, operating at 850-1,100 °C, fitted with special gas-cleaning equipment, and operated and maintained to specification, are able to comply with the international emission standards for dioxins and furans.
- Incineration of heavy metals or materials with high metal content (in particular lead, mercury and cadmium) can lead to the spread of toxic metals in the environment. Only modern incinerators operating at 850-1,100 °C and fitted with special gas-cleaning equipment are able to comply with the international emission standards for dioxins and furans.

4. **Activities involving the ongoing development, manufacturing, and distribution of new antiretroviral formulations:** The effects of pharmaceutical products in the environment are different from conventional pollutants. Drugs are designed to elicit specific biological effects in humans, and which may also cause biological responses in other organisms. Their main pathway into the environment is through household use and excretion, and through the disposal of unusable pharmaceuticals.

Improper disposal of unusable pharmaceutical products can have a significant impact on aquatic organisms. A wide range of pharmaceutical products has been discovered in fresh waters globally, and even in small quantities some of these compounds have the potential to cause harm to aquatic life.

5. **Small-scale rehabilitation of health facilities and training centers:** Minor construction/renovation activities may rehabilitate health facilities to improve access to public health commodities and quality medical services. Examples include minor expansions or additions to medical clinics or the assembly of prefabricated storage facilities for public health commodities.

Rehabilitation has potential adverse impacts described below:

- Standing Water. Activities may result in standing water on-site, which readily becomes breeding habitat for mosquitoes and other disease vectors.
- Toxic Materials. The use or removal of toxic materials such as asbestos, lead paint, formaldehyde (sometimes used in products like particle board, plywood, and insulation) are unsafe for both workers and future users of the facilities as residues can present health hazards, especially to children.
- Occupational and Community Health and Safety Risks. Renovation activities may present risks of physical injuries such as falls, crushes, and cuts to workers, as well as toxic hazards resulting from exposures cement dust, paints and solvents. Where access to a site is not well-controlled, these risks may extend to the community as well.

The implementing partner should develop a design plan that includes the use of appropriate building materials and complies with international best management practices and host country laws and regulations. Storage areas should be designed so that that hazardous materials are aboveground and in leak-proof containments to avoid spills from occurring during normal operation or natural disaster events. Rehabilitation planning should also include a site survey that adequately evaluates site conditions based on the size and complexity of the renovation activity.

Standard operating procedures (SOPs) should guide renovation activities in conformance with international best management practices and host country laws and regulations. Considerations include, but are not limited to: water source protection, site security, relevant occupational health and safety concerns, etc. SOP guidance should include a WMP with procedures for properly disposing of non-hazardous and hazardous materials in accordance with international best management practices and host country laws and regulations. Considerations include, but are not limited to: proper handling and storage of waste, safe disposal practices and acceptable disposal locations, and use of appropriate personal protective equipment. The WMP should also provide instructions for recovering reusable materials and reduce the disposal of construction debris and wastes by recycling eligible materials such as scrap wood, scrap metal, and concrete that can safely be repurposed. Workers must be trained in all SOPs to minimize adverse health and environmental associated with small-scale rehabilitation activities.

After rehabilitation work is completed, the IP should provide guidance materials and training to host country organization on the proper use, operation, and maintenance of the renovated space.

Activities not covered under this IEE:
This IEE does NOT include activities related to pesticides and vector control. It also does not cover large-scale construction or activities related to the procurement, installation, or operation of incinerators with capacities to destroy > 100 kilograms of waste per hour. An amendment to this IEE will be required prior to funding or implementation of any activities in these categories.

RECOMMENDED DETERMINATIONS AND CONDITIONS

Following from the analysis, the following determinations and conditions are recommended.

Recommended Determinations

Activity or Activity Category	Recommended Determination
Procurement, storage, management, and disposal of public health commodities (e.g. HIV test kits, ARVs, treatment for opportunistic infections, etc.)	**Negative Determination with conditions**, per 22 CFR 216.3 (a)(2)(iii), that the generation, storage and disposal of medical materials will have potential for negative impact on the environment.
Training of professional and paraprofessional health care workers in methods that may result in generation and disposal of hazardous medical waste - (TMEC, RCAY, ASAP)	**Negative Determination with conditions**, per 22 CFR 216.3 (a)(2)(iii), that health activities likely to involve blood testing will have potential generation of hazardous waste
Activities involving generation, storage, management and disposal of hazardous and highly hazardous medical waste - (TMEC, RCAY, ASAP)	**Negative Determination with conditions**, per 22 CFR 216.3 (a)(2)(iii), that health activities likely to involve blood testing will have potential generation of hazardous waste.
Activities involving ongoing developing, manufacturing, and distribution of novel antiretroviral formulations -(TMEC, RCAY, ASAP)	**Negative Determination with conditions**, per 22 CFR 216.3 (a)(2)(iii), that health activities will have potential generation of hazardous health waste
Small-scale construction and rehabilitation of health facilities and training centers	**Negative Determination with conditions**, per 22 CFR 216.3 (a)(2)(iii), for activities potentially involving minor construction and renovation of existing facilities. No large-scale construction activities will be conducted.
Procurement, installation, commissioning, operation, and maintenance of treatment equipment for medical waste (i.e. incinerators) – (TMEC)	**Negative Determination, per 22 CFR 216.3(a)(2)(iii), subject to Conditions** For incinerators with capacities to destroy approximately 12 to 100 kilograms of waste per hour[34] **Note:** The use of incinerators with capacities to destroy > 100 kilograms of waste per hour are not authorized under this IEE. The IEE will be amended if capacities exceed this amount, with a resulting scoping study and, if necessary, an Environmental Assessment developed and approved by the COR and the GH BEO
Activities involving education, technical assistance, or training programs - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c) (2)(i), for all activities consisting of education, technical assistance, or training programs except to the extent that such programs include activities directly affect the environment (eg generation of medical waste, construction of facilities, etc)

[3] USAID PATH Incinerator Guidebook (2010) https://www.path.org/publications/files/TS_mmis_incin_guide.pdf

Activities involving analyses, studies, academic or research workshops and meetings - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(iii), for analyses, studies, academic or research workshops and meetings
Activities involving document and information transfers (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(v), for document and information transfers
Studies, projects, or programs intended to develop the capability of recipient countries and organizations to engage in development planning - (TMEC, RCAY, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(xiv), for studies, projects, or programs intended to develop the capability of recipient countries to engage in development planning except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)
Activities involving market and user understanding, policy, and advocacy - (TMEC, RCAY, TDI, ASAP)	**Categorical Exclusion**, per 22 CFR 216.2 (c)(2)(xiv), for studies, projects, or programs intended to develop the capability of recipient countries to engage in development planning except to the extent designed to result in activities directly affecting the environment (such as construction of facilities, etc.)

Project does not cover the following activities:	-Large scale construction activities are not authorized under this IEE. Small scale construction/ renovation activities will require a supplemental analysis. - Pesticides or vector control are not authorized under this IEE. - The use of incinerators with capacities to destroy > 100 kilograms of waste per hour are not authorized under this IEE.

Recommended Conditions

The following standard conditions consist of conditions for project implementation for all Global Health mechanisms as well as additional conditions developed specifically for this project. These conditions are assigned for any project activities with a Negative Determination.

1. **Environmental Management Training.** The GH AOR/COR and Activity Manager(s) assigned to this program are to enroll in and successfully complete the Bureau for Global Health Environmental Management Process Training course. The course is offered through GHPOD.

2. **Climate Change.** GH projects awarded after October 1, 2016 are required to follow USAID/GH guidelines for the screening of activities for climate resiliency to comply with EO 13677.

3. **Provision of the IEE.** The AOR/COR shall provide the Implementing Partner with a copy of this IEE and brief the Implementing Partner on their environmental compliance responsibilities.

4. **AOR/COR monitoring responsibilities.** As required by the ADS 204, the AOR will actively monitor and evaluate whether the conditions of this IEE are being implemented

effectively and whether new or unforeseen consequences arise during implementation not identified and reviewed in this IEE. If new or unforeseen consequences arise, the team will suspend the activity and initiate appropriate, further review, in accordance with 22 CFR 216.

5. **Annual compliance documentation and reporting.** The Implementing Partner is responsible for the preparation of an Environmental Mitigation and Monitoring Plan (EMMP) and submitting the completed plan to the AOR/COR for review and approval with the project workplan and prior to initiating work on the activity. The EMMP template is included with the IEE. The EMMP will outline the environmental impacts that can be reasonably anticipated from the implementation of the program activities, the mitigation measures to address the impacts, monitoring measures and frequency of inspection. The AOR/COR is responsible for reviewing and approving the EMMP and providing a copy to the Global Health BEO for review and concurrence.

   The Implementing Partner is responsible for annually preparing and submitting to the AOR/COR an Environmental Mitigation and Monitoring Report (EMMR) to document compliance with the conditions of this IEE. The EMMR must be submitted to the AOR/COR within 45 days after the end of each fiscal year. The EMMR template is attached to the IEE.

6. **Integration of compliance responsibilities in prime and subcontracts, agreements, and grants.** The AOR/COR shall ensure that the cooperative agreement document references and requires compliance with the conditions set out in this IEE, as required by ADS 2014.3.4(a)(6) and ADS 303.3.6(3)(e). The Implementing Partner shall assure that subcontracts, agreements, and grants reference and require compliance with relevant elements of these conditions.

7. **Assurance of sub-awardee, -grantee, -contractor capacity and compliance.** The Implementing Partner shall assure that sub-awardees, grantees, contractors have the capability to implement the relevant requirements of this IEE. The Implementing Partner shall, if appropriate, provide training to sub-awardees, -grantees, and -contractors in their environmental compliance responsibilities.

8. **Pesticides or pesticide products.** Any program activities conducted under this Agreement involving the procurement, use, research or disposal of pesticides and/or larvicides and their waste products will require a supplemental IEE, SEA, or PERSUAP based on consultations with the Bureau Environmental Officer for Global Health.

9. **Compliance with human subject research requirements.** The AOR/COR in consultation with the BEO for the Global Health Bureau shall assure that the Implementing Partner and sub-awardees demonstrate completion of all requirements for ethics review and adequate medical monitoring of human subjects who participate in research trials carried out through this agreement. The BEO for Global Health may request copies of documentation from the AOR/COR to demonstrate compliance with applicable requirements of human subject trials. All documentation demonstrating completion of required review and approval of human subject trials must be in place prior to initiating any trials and cover the period of performance of the trial as described in the research protocol.

10. **New or modified activities.** As part of its workplan, the implementing partner in collaboration with the AOR shall review all on-going and planned activities to determine if they are within the scope of this IEE. The Implementing Partner shall complete the screening questionnaire (Part 1 of the EMMT) with the workplan.
    a. If activities outside the scope of this IEE are planned, the AOR/COR shall assure that an amendment to this IEE addressing these activities is prepared and approved prior to implementation of any such activities.
    b. Any ongoing activities found to be outside the scope of this IEE shall be modified to comply or halted until an amendment to this IEE is submitted and approved.

11. **Compliance with Host Country Requirements.** Nothing in this IEE substitutes for or supersedes Implementing Partner, sub-awardees/-grantee/-contractor's responsibility for compliance with all applicable host country laws and regulations. The Implementing Partner and sub-awardee, -grantee, -contractor must comply with host country environmental regulations unless otherwise directed in writing by USAID. However, in the case of a conflict between host country and USAID regulations, the latter shall govern.

12. **Waste Management Plan.** The IP will prepare an integrated Waste Management Plan (WMP) or utilize an equivalent standard operating procedure (SOP) that will define and detail direct and indirect waste streams generated by IP-managed activities and specify appropriate management and disposal practices for each. The IP will verify the use of such WMP or SOP as a part of its environmental mitigation, monitoring, and reporting, including documentation in the annual EMMR.

a. MONITORING AND REPORTING

The Implementing Partner and the AOR/COR, in consultation with the BEO, will actively monitor and evaluate whether environmental consequences unforeseen under activities covered by this IEE arise during implementation and modify or end activities as appropriate. Monitoring and reporting will be documented via the Environmental Mitigation and Monitoring Template (EMMT).
The EMMT consists of three parts:

- ***The Environmental Screening Form***

  The AOR/COR conducts annual screenings of their projects using the Environmental Screening Form to determine whether project activities and annual workplans remain within the scope of the activities reviewed during the IEE process. For sub- projects, sub-grants, and sub-activities, Implementing Partners must annually screen their activities and submit the completed form to the AOR/COR. If an activity does not fall within the scope of this IEE, a supplemental or amended environmental document must be prepared.

- ***The Environmental Mitigation and Monitoring Plan (EMMP)***

  The Implementing Partner is responsible for submitting the Environmental Mitigation and Monitoring Plan (EMMP) to the AOR/COR for review and approval. The GH BEO concurs on the EMMP. The EMMP is submitted with the workplan, after clearance of this IEE and prior to initiating project work. Implementing Partners will use the EMMP to describe the specific actions they will undertake under each category of activity when screening reveals potential environmental impacts as outlined in Section 2.5 of this IEE. The EMMP also identifies the person responsible for monitoring compliance with mitigation measures and the indicator,

method, and frequency of monitoring.
Refer to the attached GH EMMP Template.

- ***The Environmental Mitigation and Monitoring Reporting (EMMR)***

Annually, the Implementing Partner is responsible for completing the Environmental Mitigation and Monitoring Report (EMMR) and submitting it to the AOR/COR. The EMMRs are reviewed by the AOR/COR and the BEO (and/or MEO, as appropriate). The EMMRs are used to verify that the conditions specified in this IEE and the subsequent activity specific EMMP have been met for all activities carried out under the Epidemic Control and Maintenance Project PAD. The EMMR will provide results of required mitigation measures described in the IEE and EMMP, and identifying outstanding issues with respect to compliance with the required conditions. Verification may require digital photos and/or site visits.

The Implementing Partner for the Epidemic Control and Maintenance Project PAD will submit the EMMR on all activities within 60 days after the end of each fiscal year for the life of the project, using the guidance and forms contained in the GH IEE BOP. Any sub- awards, sub-grants, and sub-activities must incorporate provisions stipulating a) the completion of an annual environmental monitoring report and b) that activities to be undertaken will be within the scope of the environmental determinations and recommendations of this IEE. This includes assurances that any mitigating measures required for those activities will be followed.

Refer to the attached GH EMMR Template.

A. Environmental Screening Form

Epidemic Control and Maintenance Project PAD

Project Name: ______________________	**Original IEE File #/DCN:** ______________________
Name of Prime Implementing Organization: ______________________	**Date of Screening:** ______________________
Name of Sub-awardee Organization (if this EMMT is for a sub): ______________________	**Funding Period for this award:** FY____ - FY____
Geographic location of USAID-funded activities (Province, District): ______________________	**Current FY Resource Levels:** FY____________
This report prepared by: Name:______________________ Date: ______________________	**Date of Previous EMMT for this organization (if any):** ______________________

Indicate which activities your organization is implementing.

Key Elements of Program/Activities Implemented		Yes	No
1	Education, Technical Assistance, or Training Includes: strategic planning, data analysis, technical consultation, surveys, knowledge and information transfer, meetings, technical material development, outreach programs, and training services.		
2	Research and Development Includes: health-related research and development activities aimed at advancing knowledge and technology, including research and evaluation, monitoring and surveillance, programs, pilot studies, case studies, and assessments.		
3	Public Health Commodities Includes: procurement, storage, transportation, distribution, and disposal of public health commodities, including pharmaceuticals, nutritional supplements, chemicals (e.g., disinfectants, solvents, laboratory reagents, etc.), medical supplies, and family planning commodities (e.g., contraceptives, condoms, etc.).		
4	Small-Scale Construction or Rehabilitation Includes: hospitals, clinics, laboratories, voluntary and counseling testing centers, or training centers. Total surface area of the disturbed environment is under 10,000 square feet and less than $200,000 total cost.		

5	Small-Scale Water and Sanitation Includes: pond and spring improvements and installation of hand-dug wells, individual or community latrines, hand-washing stations, and small-scale septic and leach field systems.		
6	Nutrition Includes: small-scale food production, procurement and distribution of supplements, preventing undernutrition, providing nutritional care and support, and improving nutritional outcomes in programs.		
7	Vector Control Includes: procurement, distribution, or use of pesticide products such as insecticide-treated bednets, larviciding agents, and fumigants. NOTE: USAID uses USEPA's definition of pesticides, which includes "any substance intended for: preventing, destroying, repelling, or mitigating any pest. This includes herbicides, fungicides, plant regulators, and desiccants."		
8	Emergency Response Includes: coordination with outside organizations and technical experts, deployment of resources and response teams, and development of technical materials.		

DESCRIPTION OF ACTIVITIES:

Provide a description of activities with sufficient details to understand the scope and scale of the interventions. The EMMP should reference the governing IEE (GH- or country-level).

B. Environmental Mitigation and Monitoring Plan

____ Program

Add Introduction and additional narrative here, as needed.

Category of Activity from Section 2.6 of ____ IEE	Describe specific environmental impacts of your organization's activities (based on analysis in Section 2.5 of the ____ IEE)	Description of Mitigation Measures for these activities as required in Section 2.6 of ____ IEE	Who is responsible for monitoring?	Monitoring Indicator	Monitoring Method	Frequency of Monitoring
1. Education, Technical Assistance, Training						
2. Research and Development						
3. Public Health Commodities						
4. Small-Scale Construction						
5. Small-Scale Water and Sanitation						
6. Nutrition						
7. Vector Control						
8. Emergency Response						

Prepared by:

Signature ______________________________ Date: ________________

Name and Title ______________________________

Reviewed and Approved by:

Signature ______________________________ Date: ________________

Agreement Officer's Representative/Contracting Officer's Representative

Concur:

Signature ______________________________ Date: ________________

GH Bureau Environmental Officer

C. Environmental Mitigation and Monitoring Report

______________ Program

Add Introduction and additional narrative here, as needed.

List each Mitigation Measure from column 3 in the EMMP (EMMT Part 2 of 3)	Status of Mitigation Measures	List any outstanding issues relating to required conditions	Remarks
1. Education, Technical Assistance, Training			
2. Research and Development			
3. Public Health Commodities			
4. Small-Scale Construction			
5. Small-Scale Water and Sanitation			
6. Nutrition			
7. Vector Control			
8. Emergency Response			

Prepared by:

Signature______________________ Date:______________

Name and Title

D. References and Resources

22 CFR 216: http://www.usaid.gov/our_work/environment/compliance/22cfr216

ADS 200: Introduction to Programming Policy:
http://www.usaid.gov/sites/default/files/documents/1870/200.pdf

ADS 204: Environmental Procedures:
http://www.usaid.gov/sites/default/files/documents/1865/204.pdf

ADS 300: Agency Acquisition and Assistance (A&A) Planning:
http://www.usaid.gov/sites/default/files/documents/1868/300.pdf

ADS 302: USAID Direct Contracting: http://www.usaid.gov/sites/default/files/documents/1868/302.pdf

ADS 308: Awards to Public International Organizations:
http://www.usaid.gov/sites/default/files/documents/1868/308.pdf

ADS 502: USAID Records Management Program:
http://www.usaid.gov/sites/default/files/documents/1868/502.pdf

Bureau for Global Health Project Design and Approval Guidance

Environmental Compliance: Language for Use in Solicitations and Awards, An Additional Help to ADS 204: http://www.usaid.gov/sites/default/files/documents/1865/204sac.pdf

Executive Order 12114: Environmental Effects Abroad of Major Federal Actions:
http://www.archives.gov/federal-register/codification/executive-order/12114.html

Executive Order 13677: Climate-Resilient International Development: https://www.whitehouse.gov/the-press-office/2014/09/23/executive-order-climate-resilient-international-development

Foreign Assistance Act: http://www.usaidgems.org/lawsRegsPolicies/faa.htm

National Environmental Policy Act:
https://ceq.doe.gov/laws_and_executive_orders/the_nepa_statute.html

USAID Sector Environmental Guidelines: http://www.usaidgems.org/sectorGuidelines.htm

ANNEX 6 - NON - U.S. ORGANIZATION PRE-AWARD SURVEY GUIDELINES AND SUPPORT

Non-U.S. Organization Pre-Award Survey Guidelines and Support

Additional Help for ADS Chapter 303

New Reference Date: 06/28/2012
Responsible Office: M/OAA/P
File Name: 303sam_062812

Table of Contents

Appendices

Introduction

This tool was developed with considerable input from the field as well as USAID's headquarters staff.[1] The 29 evaluative elements represent those items most critical in the formulation of a responsibility determination before a grant is awarded to a non-U.S. organization. Agreement Officers (AOs) may select areas for review that are critical in making a determination for a particular award. (For instance, if there will be no procurement associated with the award, there is no need to do an extensive procurement policies and systems check.) Missions are encouraged to make changes to the NUPAS to more closely align to their particular needs.

Following are guidelines and information to answer frequently asked questions. It is important that the NUPAS (Non-U.S. Organization Pre-award Survey) team review the necessary documentation, noting where there are weaknesses *before* scoring a sub-element or element. Notes to that effect should be recorded in the remarks/recommendations section (Column R in Appendix A2, the Excel checklist; far right column in Appendix A1, the Word checklist). Use this area to properly explain what has been uncovered that may cause concern.

The NUPAS was developed as a tool for purposes of facilitating a responsibility determination for any non-U.S . non-governmental organization. It may also be used to determine the eligibility of an organization when competition is limited to "local entities" (see "Eligibility under competitions limited to local entities").

Tools to support capacity development

USAID has designed three tools to support capacity development. Missions may amend them as appropriate for their local or regional context.

1. **Mapping Exercise** - conducted for the identification of potential partners, clients and other stakeholders.
2. **Non-U.S. Organization Pre-award Survey** (NUPAS) - a selection tool, to determine a potential partner's responsibility and whether special award conditions may be required.
3. **Organizational Capacity Assessment** (OCA) – a facilitated self-assessment tool recommended for use shortly after an award is made and periodically repeated to show progress and subsequent priorities.

As noted above, the pre-award survey (NUPAS) precedes an award and is used in the selection process. It is not intended as a substitute for an organizational capacity assessment (OCA), or the associated capacity development **Action Plans** as contemplated by USAID Forward's **Local Capacity Development** (LCD) reform efforts. The NUPAS and OCA are complementary tools designed for different purposes and time periods.

Purpose of the NUPAS

Conducting a Non-U.S. Organization Pre-award Survey (NUPAS) is the Agency's tool for making a responsibility determination of a not-for-profit or for-profit non-U.S. organization that is being considered for a USAID grant.

[1] Special thanks to our Missions in the Philippines, West Africa/Ghana, East Africa/Kenya and Tanzania, Southern Africa/South Africa, Haiti and Egypt without whose help this tool would not have been launched.

Missions may request assistance in conducting pre-award surveys from auditors from USAID/Washington, M/OAA/CAS/CAM (Contract Audit Management Branch). Additionally, Missions may conduct pre-award surveys using the NUPAS by hiring audit firms determined by the Regional Inspector General to be an eligible USAID audit firm under the **Guidelines for Financial Audits Contracted by Foreign Recipients**. The primary objective of the NUPAS is to assist Agreement Officers (AOs) in making a responsibility determination through assessment of a potential awardee's likelihood for compliance with the ***Standard Provisions for Non-U.S. Nongovernmental Recipients.***

NUPAS objectives:

1. To determine whether the organization has sufficient financial and managerial capacity to manage USAID funds in accordance with U.S. Government and USAID requirements,
2. To determine the most appropriate method of financing to use under the potential USAID award, and
3. To determine the degree of support and oversight necessary to ensure proper accountability of funds provided to the organization.

The NUPAS will help determine whether the organization's financial management and internal control systems are adequate to manage, control, account for, and report on the uses of potential USAID funds, thus protecting the U.S. Government's interests. It provides the AO with the information needed to evaluate the ability of a local organization to adequately fulfill the terms of an award, and serves as a tool in the selection of non-U.S. implementing partners. The NUPAS is not to be used in making a responsibility determination for awards to U.S. Non-Governmental Organizations or Public International Organizations (PIOs) under ADS 308.

Eligibility under competitions limited to local entities

When competition is limited to local entities (see ADS 303.3.6.6(b)(2)), whether an awardee meets the Agency's definition of "local" organization must be considered in determining the potential awardee's eligibility for an award. To be considered a "local" organization, an entity must:

- Be organized under the laws of the recipient country;
- Have its principal place of business in the recipient country;
- Be majority owned by individuals who are citizens or lawful permanent residents of the recipient country or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of a recipient country; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the recipient country.

The term "controlled by" means a majority ownership or beneficiary interest as defined above, or the power, either directly or indirectly, whether exercised or exercisable, to control the election, appointment, or tenure of the organization's managers or a majority of the organization's governing body by any means, e.g., ownership, contract, or operation of law.

"Foreign entity" means an organization that fails to meet any part of the "local organization" definition.

Government controlled and government owned organizations in which the recipient government owns a majority interest or in which the majority of a governing body are government employees, are included in the above definition of local organization.

When competition is limited to regional (indigenous) organizations, the definition can be expanded to include regional organizations that meet the following criteria:

- Be organized under the laws of a country in the region served by the platform;
- Have its principal place of business in the region;
- Be majority owned by individuals who are citizens or lawful permanent residents of the region or be managed by a governing body, the majority of whom are citizens or lawful permanent residents of the region; and
- Not be controlled by a foreign entity or by an individual or individuals who are not citizens or permanent residents of the region.

This requirement does not apply to non-U.S. recipients in which competition has not been limited to local entities. Therefore, when competition is not limited to "local" organizations, do not use sub-criterion 1.1 of the NUPAS.

Scale of assessment

1) Scoring individual elements

Inadequate (Scoring 1)	Significant control weaknesses could expose the organization to significant financial or other loss or otherwise significantly impair its ability to manage USAID funds. (Key deficiencies and SW that are not remediable before the award, or high risk.)
Weak (Scoring 2)	Significant control weaknesses could expose the organization to unacceptable/inadequate levels of unmanaged risk. (Some deficiencies and SW that are not easily remediable before the award, or moderate to high risk.)
Adequate (Scoring 3)	Although a control weakness was noted, compensating controls and other factors exist to reduce the residual risk within the organization to acceptable levels. (No deficiencies, SW [if any] are remediable before the award, or low to moderate risk.)
Strong (Scoring 4)	Overall, a strong control framework is in place given the inherent business risks. Some improvements may be recommended to routine detailed control activities. (No deficiencies or SW or low risk.)

2) Overall score per criterion

- **1.0 – 1.5 Inadequate**
- **1.51 – 2.5 Weak**

- **2.51 – 3.5 Adequate**
- **3.51 – 4.0 Strong**

If an organization does not meet certain minimum requirements (i.e., scoring a 1 to 1.5), and otherwise is found responsible, the AO can use special award conditions make the award and provide conditions that allow the organization to meet all of the minimum requirements during the award period. ADS 303.3.9.2 contains USAID's policy for using special award conditions for non-U.S. NGO, supplemented by the guidance below. Sub-criteria will NOT necessarily be of equal weight as each award and prospective partner presents unique circumstances. The "responsibility determination" calls for the application of professional judgment based on all relevant facts and circumstances known to the AO.

If a certain criterion is not relevant given the nature, scope and requirements of the award and the country situation or context, the NUPAS should be modified to meet the Mission's requirements and interests. Missions are also encouraged to add areas to be evaluated based on their specific needs.

It is not necessary for an organization to have all the illustrative capabilities and attributes listed under each of the four elements (1.1 through 6.2) to support a particular score. Other elements affecting a determination of responsibility can be taken into consideration such as: performance, education, knowledge and experience of finance staff, tone of management, sensitivity to internal controls, and commitment of management and employees to the organization's mission.

Special award conditions (SACs)

Low scores in areas critical to comply with USAID requirements, or considered to be a priority for the Mission and/or program, may prevent the organization from receiving an award. In such cases, the AO may make an award with special award conditions (SACs) in accordance with ADS 303.3.9.2. If the AO makes the award pursuant to ADS 303.3.9.2, or the NUPAS findings are not resolved prior to the award, the AO must insert a provision, or "special award condition" (SAC), in the resulting instrument to require the recipient to correct the reported deficiencies.

USAID addresses the risk of successful performance by non-U.S. NGOs at both the pre-award, award and post award stages through the NUPAS and SACs. As described in ADS 303.3.9.1, the NUPAS is a pre-award process to identify and establish the baseline for potential areas of risk inherent in making a non-U.S. NGO award. The NUPAS serves as the keystone tool for the AO to make a responsibility determination as required by ADS 303.3.9.1. As described in ADS 303.3.9.2, AOs must adequately address findings resulting from the NUPAS, including conducting a follow-up review or survey to determine the extent to which the recipient corrected the reported inadequacies. Additionally, the AO must document in the Negotiation Memorandum the rationale for including SACs as part of the AO's overall responsibility determination and explain how the SAC will mitigate the identified risk in an award to a recipient that is not otherwise responsible.

SAC Formulation

When the AO makes an award, he or she may consider requiring any of the following additional conditions:

a. SACs, such as more detailed or more frequent financial reports for example, and

b. Technical assistance to the recipient. When the AO determines that more oversight is necessary, the AO may
   - Issue a contract to a third party to provide technical assistance to the recipient;
   - Require the recipient to contract for technical assistance; or
   - Have USAID staff provide technical assistance directly to the recipient.

SACs are derived from the AO's responsibility determination, as documented in the negotiation memorandum, and must be included in the recipient's award document. Whenever possible, special award conditions must be for as limited a time period as necessary to mitigate for the identified risks and not for the life of the award.

If a local organization receives an award with special award conditions, the Mission will need to develop a plan to support and monitor progress of the recipient in satisfying the special award conditions. This plan is intended to complement the organizational capacity assessments (OCA) and the associated capacity development action plans contemplated by USAID Forward's Local Capacity Development (LCD) reform efforts.

For SACs that do not cover the entire award period, once the SAC has been satisfied and its conditions have been fully met, the AO must remove the SAC via written modification to the award. The SAC must allow a reasonable amount of time for the recipient to satisfy the condition. In such cases, where satisfaction of a SAC represents mitigation of the corresponding risk for the remainder of the award and the corresponding risk bears directly on the responsibility of the recipient, satisfaction of the SAC must be tied to disbursement under the award such that:

a. additional funding may not be provided to the recipient if the SAC has not been satisfied and
b. only the Agreement Officer may make exceptions. The AO must not redelegate this authority to the Agreement Officer's Representative (AOR).

For SACs that cover the entire period of the award, the SAC must clearly state that it covers the entire period of the award or must identify clearly the timeframe(s) or milestones at which the inclusion of the SAC may be reconsidered, amended or removed.

The nature of the additional requirement must be documented in the award and stipulate the nature of the corrective action needed. A SAC must describe the milestone(s) or task(s) the recipient must complete to meet the requirements of the SAC. As a best practice, a SAC:

a. Must be one or more concise, clearly understood and explicit provisions in the award;
b. Must be included in the Schedule of the Award;
c. Must be organized based on the format of the NUPAS criteria;
d. May be of limited duration or may cover the entire period of the award.

In enforcing SACs, AOs must adhere to the guidance in ADS 303.3.9.2.

Recommended NUPAS review team

In many situations, the scope of the NUPAS will be quite broad, encompassing legal structure, financial management and internal control systems, procurement systems, human resources, performance management, and organizational sustainability indicators. Consequently, the NUPAS needs to be undertaken by a multi-disciplinary team of reviewers with the appropriate expertise and experience, including FSN staff. A typical team (**ADS 303.9.1c**) consists of:

- A Development Objective Team (DOT) member
- The AO or designated OAA specialist, and
- A financial officer/analyst from the Mission or Regional Controller's office.

Prior to conducting the NUPAS, each reviewer should be familiar with the description and requirements of the award as well as the country conditions within which it will be implemented.

Depending on the capacity of the Operating Unit to assemble the above team, the survey may be conducted in whole or in part by a RIG-eligible independent local accounting or audit firm as long as the Scope of Work for such work includes conflict of interest restrictions prohibiting the firm from providing services to entities it surveys for purposes of capacity development or fulfilling SACs, if any.

Three steps for a successful NUPAS

1) Desk review

Missions that conducted a sector Mapping Exercise may have already requested and received documentation from the potential partner. Depending on which of the six criteria are to be reviewed in the NUPAS, the following items, to the extent available, must be collected from the organization for a USAID desk review:

- Articles of incorporation or charter
- Record of legal registration; other material licenses and permits
- By-laws
- Mission statement
- Organizational chart with supporting documentation as to the delegation of authority
- Names of depository commercial banks
- Chart of accounts and corresponding general ledger
- One or more annual financial statements (income and expenditure report and balance sheet)
- Audit report of the most current audit
- Written policies or manuals:
    - Procurement
    - Financial management (accounting and internal controls)
    - Personnel (to include timekeeping/activity reports or other personnel time tracking systems)
    - Travel policies and procedures
- List of funding sources (current year)
- Any additional data needed to make a determination (such as prudential ratios specific to for-profit organizations…see pages 10 and 11 for formulas).

2) The survey

The survey tool helps the NUPAS team assess the strengths and weaknesses of a potential partner. Depending on the nature of the award, the reviewing team will pre-determine the specific areas for review in the following categories:

First Criterion: Legal Structure

1.1 Local Organization Definition (if competition is limited to local entities)
1.2 Legal Requirements
1.3 Organizational Structure
1.4 Governance
1.5 Control Environment

Second Criterion: Financial Management and Internal Control Systems

2.1 Banking Relationship and Accounts
2.2 Accounting/Bookkeeping System
2.3 Chart of Accounts, General Ledger and Financial Statements
2.4 Variance Analysis (Budget to Actual Cost)
2.5 Allowable and Unallowable Cost
2.6 Direct and Indirect Cost
2.7 Payments – Segregation of Duties
2.8 Accounting Cycle – Segregation of Duties
2.9 Financial Records Management
2.10 Sources of Funding
2.11 Financial Reporting
2.12 Audit and Review of Financial Statements
2.13 Financial Management Personnel

Third Criterion: Procurement Systems

3.1 Procurement Policies, Procedures and Practices
3.2 Compliance with Policies and Procedures – Reasonableness of Price
3.3 Procurement and Sub-awards

Fourth Criterion: Human Resources Systems

4.1 Overall HR Policies and Procedures
4.2 Staff Time Management
4.3 Payroll System
4.4 Travel Policies and Procedures

Fifth Criterion: Project Performance Management

5.1 Technical Evaluation Criteria (TEC to determine)
5.2 Project Management Capacity

Sixth Criterion: Organizational Sustainability

6.1 Cash Flow Management
6.2 Absorptive Capacity

See Appendix A1 or A2 – The Non-U.S. Organization Pre-award Survey (NUPAS) in either a Word (Appendix A1) or an Excel format (Appendix A2). The Excel spreadsheet will calculate average scores for each of the 29 elements within the six criteria (Legal Structure, Financial Management and Internal Control Systems, Procurement Systems, Human Resources Systems, Project Performance Management and Organizational Sustainability) as well as the average score for these six criteria.

3) Final Report

The NUPAS team leader should obtain clearance of the final report from the other team members before submitting it through an Action Memo to the Controller. Once approved by the Controller, the NUPAS report is submitted to the Agreement/Contracting Officer for the "responsibility determination."

See Appendix B – NUPAS Final Report (suggested format)
See Appendix C – NUPAS Report Table
See Appendix D – NUPAS Questions for Consideration

Prudential Ratios (for use as appropriate with for-profit organizations)

Prudential ratios are standard business metrics to determine the "financial health" and the financial sustainability of an organization. These ratios should be performed using three years of financial statements (this will give a snapshot of whether the organization is growing stronger or weaker). Compiled statements are not reliable, and should not be used. The ratio elements (cash, accounts receivable, liabilities, revenues, etc.) can generally be found on the organization's annual balance sheet and income statement.

Current Ratio:

An analysis of an organization's ability to pay back its short-term liabilities (debt and payables) with its short-term assets (cash, inventory, receivables). The higher the current ratio, the more capable the organization is of paying its obligations. This ratio helps determine overall liquidity *(*if the ratio is less than 1 the organization has negative working capital, if the ratio is too high the organization may have too much inventory).

Current Assets/Current Liabilities = CR (1.5 or over is a good score)

Acid Test Ratio:

This ratio answers the question "Does the organization have sufficient short-term assets to cover its immediate liabilities without receiving additional revenue or selling off inventory?"

(*Cash +Accounts Receivable + Short Term Investments) / Current Liabilities = ATR*

Monthly Defensive Interval:

An analysis of how many months an organization can operate on its current liquid assets without having to rely on additional revenues. For example, an organization with a defensive interval of 10.5 could operate for 10.5 months without additional revenues. A high defensive interval is preferable.

Current Assets (cash + marketable securities + receivables)/Annual Operating Expenses (divided by 12) = DIR

Working Capital Turnover:

A measurement comparing the depletion of working capital to the generation of revenues over a given period. For example, if the working capital turnover is 2.25 per year, this ratio indicates that revenues average over two times working capital per year. Depending on the organization, this may indicate sufficient working capital for the organization's regular operations. A high working capital turnover ratio is preferable; however, a very high ratio or a negative ratio usually indicates insufficient working capital.

Cost of Sales/Net Working capital = WCTR

Definitions

The following definitions apply to the NUPAS

Capacity: the ability of a prospective recipient to perform and achieve the objectives of the award in accordance with applicable requirements; this includes technical, operational, financial management and reporting, procurement, sub-award management, legal, policy, and other requirements of the award including any special award conditions.

Deficiency: a material failure to meet a requirement of the award or a combination of “Significant Weaknesses” that increases the risk of unsuccessful performance of the award to an unacceptable level.

Responsibility determination: the pre-award process for making a determination in accordance with ADS 303 that a prospective local organization recipient of a USAID grant and cooperative agreement within the NUPAS threshold *“has the capacity to adequately perform the award in accordance with the principles established by USAID and the Office of Management and Budget.”* (ADS 303.3.9)

Risk: the probability of occurrence and the potential magnitude of the impact of an adverse attribute, vulnerability, threat, transaction, or other event that will or may have an adverse impact on the achievement of objectives or otherwise result in loss or harm.

Risk management: the overall process concerned with the systematic identification, analysis, measurement, control, and minimization of risks with an expectation of decreasing the probability of their occurrence.

Weakness: a flaw or adverse attribute, including a deficit in capacity, which increases the risk of unsuccessful performance of the award.

A Significant Weakness (SW): a significant flaw or attribute, including a significant deficit in capacity, which appreciably increases the risk of unsuccessful performance of the award.

Useful references

- Guidelines for Financial Audits Contracted by Foreign Recipients
- M/OAA Web site elements that address indirect costs

  a) CIB 92-17 Indirect Cost Rates

  b) CIB 97-9 Indirect Cost Rate Responsibility for Non-U.S. Nongovernmental Organizations

- RCA Standards 4.5 Funds Accountability and 4.16 Internal controls

- ADS 591.3.2.1; ADS 591.3.3.1; ADS 591.3.3.2; ADS 591.3.4.2; ADS 591.3.5
- Standard Provisions for Non-U.S. Nongovernmental Recipients (A Mandatory Reference for ADS Chapter 303)
- ADS 303.3.9
- ADS 303.3.9.1 a, b, c, d
- ADS 591 Appendix A; ADS 591 Appendix B
- OMB Circular A-133 and Circular A-122
- ADS 305, 310, 312, and 317

Appendix A1: Non-U.S. Organization Pre-award Survey (NUPAS) (Word Version)

Appendix A2: Non-U.S. Organization Pre-award Survey (NUPAS) (Excel Version)

Appendix B: NUPAS Final Report (suggested format)

Appendix C: NUPAS Report Table

Appendix D: NUPAS Questions for Consideration

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ANNEX 7 - FIXED AMOUNT AWARD ENTITY ELIGIBILITY CHECKLIST

Fixed Amount Award Entity Eligibility Checklist

A Mandatory Reference for ADS Chapter 303

Partial Revision Date: 12/24/2014
Responsible Office: M/OAA
File Name: 303mak_122414

FIXED AMOUNT AWARD ENTITY ELIGIBILITY CHECKLIST

1. **Organizational Integrity**

   a. Obtain a copy of the articles of incorporation or other documentation which substantiates the legal character/registration of the entity in country/region of operation.

   b. Identify principals/key personnel/organization structure.

   c. Vet the organization/principals through the
      i. Regional Security Officer or other checkpoints to validate good standing in the local community (integrity, reputation, internal controls) and ensure that the minimum statutory requirements are met.
      ii. Excluded Parties List System (EPLS).
      iii. Terrorism/Special Designated Nationals (SDN)/Blocked Persons/Office of Foreign Assets Control (OFAC)/etc.

2. **Organizational Capacity to Achieve the Proposed Fixed Amount Award Activity**

   a. Assess management and staff expertise/resources to accomplish the Fixed Amount Award activity

   b. Intellectual property to be applied

   c. Technology resources to be applied

   d. Other assets available and commitments incurred to determine cash flow

   e. Assess ability to procure/manage property/personnel

3. **Past Performance in the Sector**

   a. Identify similar activities the entity has implemented

   b. Obtain third-party information on performance related to quality of performance, timeliness of completion, and input from past funding entities and activity beneficiaries

   c. Review, if available, objective performance documentation, such as evaluations

4. **FIXED AMOUNT AWARD Activity Implementation Viability**

   a. Are the milestones appropriate to the activity?

   b. Can USAID reasonably define the accomplishments required to achieve the purpose of the grant in the milestones?

   c. Are the milestones verifiable?

d. Is there sufficient information available on estimated costs to:

   1. price milestones such that the Fixed Amount Award represents a good value to the Agency?

   2. identify risks to both the implementing entity and Agency, and mitigate the risks through "special conditions"?

e. Are the milestones priced to balance liquidity with incentives for the recipient to keep performing?

5. Fixed Amount Award Pre-Award Financial Review Checklist Applicable for Authorizing Advances of Funds, if Necessary

a. Is there a properly established bank account to receive USAID advances?

b. Are account-related unused bank checks and petty cash on hand adequately safeguarded?

c. Are there appropriate controls established over account disbursements?

d. Are procedures established adequate to document account disbursement usage for grant activities?

e. Are appropriate procedures established for regular reconciliation of bank account statements with internal records?

f. If recipient had prior experience with managing advances from external sources, was past accountability adequate and were any past issues resolved? (Note: prior advance management experience not required).

g. Does recipient have a comprehensive cash-flow projection for the proposed activity which supports the proposed implementation plan?

h. Does the recipient understand USAID cash management requirements using either the 30-day rolling advance process or the working capital advance type methodology (see ADS 303, Awarding Fixed Amount Awards Additional Help Document)?

i. A written report of findings on the above points should be made as part of the Fixed Amount Award checklist documentation. The report should provide a summary assessment of the overall advance fiduciary risks as high, medium or low, with a brief summary supporting narrative.

6. Certifications/Representations Included/Obtained, as Appropriate

Use the certifications as specified in ADS 303.3.8 with particular attention given to applicability for Non-U.S. Non-Governmental Organization (NGO) recipients when awarding to a Non-U.S. NGO.

ANNEX 8 - PAST PERFORMANCE INFORMATION TEMPLATE

Past Performance Information (PPI)

Applicant must provide a list of all its cost-reimbursement contracts, grants, or cooperative agreements involving similar or related programs during the past five years. The reference information for these awards must include the performance location, award number (if available), a brief description of the work performed, and a point of contact list with current telephone numbers.

1. Award Number:
2. Contractor/Recipient (Name and Address):
3. Type of Award:
4. Complexity of Work: Difficult ____________ Routine _______________
5. Description, Location, and Relevancy of Work:
6. Dollar Value of Work:__________________ Status: Active______ Completed_______
7. Date of Award:________________________ **Award Completion Date (including extensions): ______________________**
8. Type and Extent of Subawards:
9. Name, Address, Telephone Number, and E-Mail Address of the Awarding Contracting/Agreement Officer and Contracting/Agreement Officer's Representative (or if not applicable, two other individuals that closely observed the work):