USAID
FROM THE AMERICAN PEOPLE

Issue Date:	03/18/2020
Deadline for Questions:	04/01/2020 by 4 pm US EST
Deadline for Phase 1:	**05/20/2020 by 4 pm**

Subject: The American Schools and Hospitals Abroad Program Worldwide (ASHA) Request for Application No. 72ASHA20RFA00001 for Fiscal Year 2020

Program Title: American Schools and Hospitals Abroad Program

Catalog of Federal Domestic Assistance (CFDA) Number: 98.006

Ladies/Gentlemen:

The United States Agency for International Development (USAID) is seeking applications for cooperative agreements and grants from qualified entities to implement the American Schools and Hospitals Abroad program.

USAID intends to make multiple awards as a result of this Fiscal Year 2020 (FY 2020) Request for Applications (RFA). Individual awards will be made to those applicants who best meet the objectives of this funding opportunity based on the merit review criteria described in this RFA subject to a risk assessment. Eligible parties interested in submitting an application are encouraged to read this RFA thoroughly to understand the type of program sought, application submission requirements and selection process. Small businesses and minority service institutions, including HBCUs are encouraged to apply.

To be eligible for award, the applicant must provide all information as required in this RFA and meet eligibility standards in Section C.1 of this RFA. 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 notice of funding opportunity and to ensure that the RFA 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 RFA, please contact the Grants.gov Helpdesk at 1-800-518-4726 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.6.f. The registration process may take many weeks to complete. Therefore, Applicants are encouraged to begin registration early in the process.

Please send any questions to the point of contact identified in Section D 1. The deadline for questions is shown above. Responses to questions received prior to the deadline will be furnished to all potential applicants through an amendment to this notice posted to www.grants.gov.

Issuance of this notice of funding opportunity does not constitute an award commitment on the part of the Government nor does it commit the Government to pay for any costs incurred in preparation or submission of comments/suggestions or an application. 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,

Anne M. Dix
Agreement Officer

Contents

ANNEX 1 – PHASE 1 TECHNICAL APPLICATION (Editable PDF)

ANNEX 2 – PHASE 2 TECHNICAL APPLICATION TEMPLATE

ANNEX 3 – ENVIRONMENTAL CAPABILITY STATEMENT (Editable PDF)

ANNEX 4 –BUSINESS (COST) APPLICATION COVER PAGE (Editable PDF)

ANNEX 4a – SUMMARY BUDGET TEMPLATE

ANNEX 4b - BUDGET TEMPLATE

ANNEX 4c - BUDGET TEMPLATE OF DURABLE COMMODITIES

ANNEX 5 – SAMPLE SAM.GOV (Editable PDF)

ANNEX 6 - MANDATORY ATTACHMENTS AND MANDATORY AS APPLICABLE ATTACHMENTS (Editable PDF)

ANNEX 7 - STANDARD PROVISIONS

ANNEX 8 - ABBREVIATIONS AND ACRONYMS

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.

1. Funding Priorities and Programmatic Focus

ASHA contributes to United States foreign policy interests by funding institutions that foster a positive image of the United States around the world. ASHA's mandate, which is distinct from other development programs within USAID, is to focus on public diplomacy and fostering American values, ideas and practices. ASHA's program is a critical component of the U.S. Government's public diplomacy efforts, which aim to further U.S. foreign policy goals and objectives, advance national interests, and enhance national security by informing and influencing foreign publics and by expanding and strengthening the relationship between the people and Government of the United States and citizens of the rest of the world.[1]

ASHA provides assistance to overseas schools, libraries, hospital centers[2], and centers of excellence[3] to highlight American ideas and practices, to provide concrete illustrations of the generosity of the American people, to further U.S. Government public diplomacy, and to catalyze collaboration between U.S. citizens and citizens of other countries.

ASHA funds grants and cooperative agreements to existing partnerships between organizations founded or sponsored by United States citizens ("U.S. Organizations," or "USOs") and civil society institutions overseas ("Overseas Institutions," or "OSIs"). These partnerships enable OSIs to benefit from the expertise and experience of USOs while ensuring projects are locally owned and sustained. These partnerships also help mitigate investment and construction risk and allow for all parties to leverage investments to maximize the potential benefits of a project. For additional information on which partnerships are eligible to apply for ASHA funding, see Section C on Eligibility Information.

This is a worldwide program. ASHA may make awards for projects in any country other than the United States, provided that USAID activities in that country are not otherwise restricted by statute, regulation, or Agency policy. However, no less than 30 % of the Total Estimated Amount allocated to this RFA will be set-aside for applicants whose work is primarily focused on the Middle East. For purposes of this RFA, the Middle East includes the following countries and territories: Algeria, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West

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[1] https://www.state.gov/bureaus-offices/under-secretary-for-public-diplomacy-and-public-affairs/bureau-of-global-public-affairs/

[2] Hospital centers are institutions where medical education and research occur in addition to medical treatment, Sec. 214(b) of the FAA.

[3] A Center of Excellence is an institution that can demonstrate that it builds new knowledge, fosters collaboration, advances learning and understanding on issues of importance to the U.S., and models American best practices and values. A Center of Excellence's main objective is the dissemination of information and knowledge as opposed to conferring a degree or providing medical services. See **Section C: Eligibility Information** for an expanded definition.

Bank & Gaza, Israel and Yemen. The 30% set-aside establishes a floor and not a cap for grants to be awarded in the Middle East.

ASHA's Strategic Vision FY 2019-FY2023 addresses the following:

(1) Aligns with two components of the vision outlined in the U.S. State Department–USAID Joint Strategic Plan (2018-2022):

a. (Goal 3.3): Increase partnerships with the private sector and civil society organizations to mobilize support and resources and shape foreign public opinion

b. (Goal 2.2): Promote healthy, educated and productive populations in partner countries to drive inclusive and sustainable development, open new markets and support U.S. prosperity and security objectives

(2) Emphasizes public diplomacy and mutual understanding using a more targeted approach of awareness, attitude shift, and/or action.

(3) Aligns with cross-cutting Agency priorities of Gender Equity and Inclusion; Science, Technology, Innovation and Partnerships; supporting The Journey to Self-Reliance; and Private Sector Engagement.

As is illustrated in the FY 2019-2023 results framework below, ASHA's most ambitious and mandated goal is to foster mutual understanding between the people of the United States and the people of foreign countries.

2. Authorizing Legislation

The ASHA program provides assistance to overseas schools, libraries, and hospitals founded or sponsored by U.S. citizens as authorized in Section 214 of the Foreign Assistance Act (FAA) of 1961, as amended. ASHA builds positive relationships abroad and supports progress in the fields of health and education worldwide. ASHA builds bridges of cooperation between the people of foreign nations and the people of the United States by providing funds to schools, hospitals, and libraries overseas that demonstrate the ideas, innovations, and best practices of the United States in health and education. The ASHA program directly contributes to U.S. foreign policy and public diplomacy objectives by fostering partnerships and promoting the best in health and education.

ASHA awards are subject to requirements of 2 CFR 200 and 2 CFR 700 Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, as well as other requirements set forth in Section B: Federal Award and Administration Information.

3. Program History

ASHA's roots are in foreign public engagement led by private U.S. citizens for most of American history. These roots are reflected in ASHA's focus today on strengthening private institutions overseas that are founded or sponsored by U.S. citizens. Foreign public engagement by the non-profit U.S. private sector is a central component of America's diplomacy—that is, communicating ideas, sharing our diverse and historic national experiences, and engaging foreign communities through collaboration and exchange.

Since its inception, ASHA has achieved a visible legacy by providing assistance to approximately 300 institutions globally and aiding in the development of innovative and state-of-the-art schools, hospitals, and libraries in more than 80 countries. ASHA's record of contributing to and building bridges with vibrant networks of civil society institutions extends through 25 U.S. Congresses and 18 presidential administrations. ASHA currently manages a worldwide portfolio of approximately 110 awards and is an invaluable complement to USAID's wide-ranging development work.

SECTION B: FEDERAL AWARD INFORMATION

1. Estimate of Funds Available and Number of Awards Contemplated

Subject to funding availability and at the discretion of the Agency, USAID/DCHA/ASHA intends to provide approximately $27,000,000 in total USAID funding as a result of this FY 2020 RFA. Of that amount, no less than 30 % of the Total Estimated Amount allocated to this RFA will be set-aside for applicants whose work is primarily focused on the Middle East. For purposes of this RFA, the Middle East includes the following countries and territories: Algeria, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, Israel and Yemen. The maximum for an individual award is $2,000,000, and there is no minimum award amount. Individual funding levels will depend on the substance and quality of applications, the number of applications received, and availability of ASHA funding. **Applications requesting more than $2,000,000 will be excluded from consideration for FY 2020 funding.** USAID generally awards between 30 to 40 cooperative agreements or grants each year.

2. Start Date and Period of Performance for Federal Awards

ASHA expects to fund selected applications and make awards in calendar year 2020 (as soon as funds become available). Awards for applications that include only durable commodities have a period of performance of two years from the date of award. Awards for applications that include construction or renovation have a period of performance of four years from the date of award.

3. Substantial Involvement

ASHA awards both grants and cooperative agreements. A cooperative agreement allows for substantial involvement from ASHA in project implementation. “Substantial involvement” is further defined in Automated Directives System (ADS) 303.3.11.

ASHA will generally issue grants for projects that include only commodity procurement activities, and cooperative agreements for projects that include any construction or renovation activities[4]. The nature of ASHA’s substantial involvement varies based on the nature of the project and is spelled out for each award. In general, ASHA’s substantial involvement includes:

1. **Review and approval of the Recipient’s Implementation Plan**[5]— The following documents are required for the implementation plan:
   - Standard Procurement Procedures for Architectural & Engineering (A&E) and Construction firms contracting
   - Construction Health and Safety Plan
   - Construction Schedule (e.g. Gantt Chart)
   - Quality Management Plan - Including Quality Assurance and Quality Control for Both Design and Construction Phases
   - Plan for Initial Environmental Examination and Climate Risk Management
   - Organizational Chart or Staffing Plan
   - Timeline for O&M plan (see section 1.8.4)
   - Activity Monitoring & Evaluation Plan (AMEP). This will be due for AOR review 30 days after signing of the award

2. **Approval of Key Personnel**—for the USO Project Manager and the OSI Project Manager

3. **Agency and Recipient Collaboration or Joint Participation**—for the proposed architectural and engineering (A&E) firm

[4] Please note that an application for commodity items that require installation (e.g., being structurally connected to an existing building) or may require evaluation of the existing construction and its ability to support new total loads (such as solar panels, dead loads, snow loads, winds, seismic stressors) is considered a construction project, not a commodities project. **If such an application is submitted as a ‘commodities only’ project, it will not be considered for evaluation.**

[5] USAID approval of the Implementation Plan merely constitutes an acknowledgment of the completion of the deliverable, not a technical validation/endorsement of the Recipient’s design/construction decisions. USAID does not take responsibility for the quality of design/construction. In the event of any issues with the design or construction, USAID will hold the Recipient liable.

4. Agency Authority to Immediately Halt a Construction Activity—The Agreement Officer (AO) may immediately halt the construction activity if specifications, as identified in the design documents, are not met. The AO may also immediately halt construction if there are serious concerns about health, safety, environment, or work quality; as recommended by the AOR or the USAID Engineer in consultation with the AOR.

4. Authorized Geographic Code

For awards resulting from this RFA of greater than or equal to $250,000, the geographic code for the procurement of commodities and services under this program is 937. This code authorizes goods with source and nationality in the United States, the recipient country, and developing countries other than advanced developing countries, but excluding any country that is a prohibited source. (A list of prohibited sources is available in ADS 310.)

For awards resulting from this RFA of less than $250,000, the geographic code for the procurement of commodities and services under this program is 935. This code authorizes goods with source and nationality in any area or country including the recipient country, but excluding any country that is a prohibited source.

5. Nature of the Relationship between USAID and the Recipient

The principal purpose of the relationship with the Recipient and under the subject program is to transfer funds to accomplish a public purpose of support or stimulation of the ASHA program which is authorized by Federal statute. The successful Recipient will be responsible for ensuring 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.

SECTION C: ELIGIBILITY INFORMATION

1. Eligible Applications: Instructions

Applicants must meet the following eligibility criteria (the editable form is provided in Annex 1):

- Eligibility for this RFA is restricted to any U.S. not-for-profit non-governmental entity (e.g. “NGOs,” foundations, and similar). ASHA will not accept applications from individuals or foreign entities.
- Each application must identify whether it is an applicant whose work is primarily focused on the Middle East. For purposes of this RFA, the Middle East includes the following countries and territories: Algeria, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, Israel and Yemen. Applicants that incorrectly self-identify **will not receive consideration** for funding under this RFA. To be eligible for the Middle East set aside, applicants must also have ten or more years of experience in the Middle

East region, and have had the same local partner for at least the past ten years.

- Each application must clearly identify **only one** USO (the applicant) and **only one** OSI partner (the applicant's sub-awardee). An application **cannot** include more than one USO, or more than one OSI. An application identifying multiple USOs, or multiple OSIs will be deemed ineligible. Please also note:
    - One USO applicant may submit an application that requests funds to benefit multiple organizational units within a single OSI.
    - One USO may submit separate applications for multiple OSIs.
    - In cases where the OSI and the USO share the same name, the applicant must indicate in the Eligibility Checklist form whether they are the "same entity." If the applicant answers "Yes" to "same entity," the applicant must provide proof with the Phase 2 Technical Application (not Phase1) that it is registered as a legal entity in the U.S. and that it is authorized to operate in the foreign country. The following types of documentation would be acceptable proof: 1) Letter of accreditation, 2) written statement from the Government on Government letterhead acknowledging the entity, or 3) the entity's documentation showing a government stamp. *For OSIs operating in contexts where <u>submission of proof is not possible</u>, please provide a separate explanation in the form provided.*

- Each OSI may be included in only one proposal under this RFA. In other words, multiple USOs cannot submit separate applications for one OSI, and one USO cannot submit multiple applications for the same OSI.

- OSIs must be founded or sponsored by U.S. citizens. Further, USOs must have a continuing and successful supportive formal relationship with OSIs that has lasted at least two years prior to the date of application. The length of the relationship must include demonstrated experience with the proposed project or project(s) of similar size and scope. A continuing relationship MUST include significant financial support from the USO; and may also include technical support, joint ventures, exchange programs, volunteer placement programs, faculty exchanges, fundraising or other arrangements and may include in-kind contributions. **Partnerships and mutual collaborations alone are insufficient**.

- USOs must be active and have no active exclusions or delinquent federal debt in the U.S. Government's System for Award Management (SAM) before submitting an application. USOs must continue to maintain an active SAM registration with current information at all times while an application is under consideration. (Note: **USO must provide verification of active status in SAM by attaching a snapshot in the space provided in Annex 5**.) Applicants must also provide a valid DUNS number in the application. Please provide verification per Section D/6. "Business (Cost) Application Format," subsection g "Dun and Bradstreet and SAM Requirements."

- USOs and OSIs must submit independently audited financial statements performed by an accredited independent audit firm for a recent operating year from 2018 or later. (See Annex 6, M1 for a complete discussion of the requirements concerning audits.)

- USO and OSI must not discriminate against any beneficiaries in the implementation of the award, including, but not limited to, by withholding, adversely impacting, or denying equitable access to the benefits provided through this award on the basis of any factor not expressly stated in the award. This includes, for example, race, color, religion, sex, national origin, disability, age, sexual orientation, gender identity, pregnancy, genetic information, marital status, parental status, political affiliation, and veteran's status.

- OSIs—even if it is the "same entity" as the USO—must be located outside the United States.

- OSIs must NOT be under the control or management of a foreign government or any of its agencies including local, regional, or national government. Control or management in this context indicates that a majority of the members of the Board of Directors are government employees or appointees or that the recipient government owns a majority interest in the organization. The receipt of financial or other assistance from a government or government agency or the observance of national educational or medical standards does not indicate the institution is under the control or management of a foreign government.

- OSIs must also meet the following eligibility requirements:
    - For applications involving **"schools**:**"** The OSI must provide English language instruction or use English as the language of instruction in at least one course, and provide post-secondary education or secondary education that serves students at the equivalent of a U.S. sixth grade level or higher;
    - For applications involving **"hospital centers**:**"** The OSI must provide medical education and/or conduct medical research, and model American best practices and values;"
    - For applications involving **"libraries**:**"** The OSI must demonstrate promotion of English language and literature;
    - For applications involving **"centers of excellence**:**"** The OSI must demonstrate that it builds new knowledge, fosters collaboration, advances learning and understanding on issues of importance to the U.S., and models American best practices and values. A center of excellence's main objective is the dissemination of knowledge. That is to say, the center of excellence will likely not offer educational degrees or provide medical services; however, it will promulgate critical knowledge and learning in the form of research papers, publications, professional development training, interactive platforms or centers (e.g. visitation centers), etc. This list is not exhaustive and serves only to provide a differentiation between a center of excellence and other typical ASHA award recipients.

- If the project involves construction or renovation activities, the USO or OSI must submit an official copy of a title, lease or similar official documentation recognized within the country where implementation will take place. **This documentation must be submitted with the Phase 2 Technical Application (not Phase 1)**. The official documentation must demonstrate a legal right to the land (to build, renovate, retrofit according to current building codes) ideally for a period of at least 20 years from the date of the application, as well as an English translation *if the official copy is not in English*. While applications involving a legal right to the land of 20 years (or more) will be given a greater preference, USAID is willing to consider applications that include a title, lease or similar official documentation covering a shorter period of time, but such applications will be given a lower preference. **If an <u>English-language</u> copy of the title or lease is not submitted with the Phase 2 Technical Application, the proposed application will be ineligible for further consideration**.

2. Cost Sharing/Matching or Leverage

Cost share or "matching" refers to the resources a recipient contributes to the total cost of an agreement. It becomes a condition of an award when it is part of the approved award budget. It is verifiable from the recipient's records, and it **can** be audited. Cost share includes all cash and in-kind contributions from the recipient or third parties. Applicants may choose to include cost share in their applications, however, recipient cost share is **not** required for ASHA grants.

Leverage is new, non-public resources—whether money, technologies, or expertise—brought by the private sector and other non-traditional USAID partners to a partnership. **Leverage is not cost share and it cannot be audited.** Applicants that choose to include funds from other sources may include those as leveraged funds in their applications. Recipient leverage is **not** required for ASHA grants.

If Applicants choose to include either cost share or leveraged funds, they must ensure that those funds are clearly identified in the Summary Budget table in Annex 4a.

3. Other

Applications to support efforts to combat HIV/AIDS, tuberculosis, and malaria in countries where USAID has a Mission or other office will not be considered eligible given the availability of other international, national and U.S. Government resources available to combat these diseases.

Per Agency policy, all ASHA awards are contingent on the concurrence of the USAID Mission for the country where the award will be implemented[6]. Proposals that do not receive Mission concurrence will not be eligible for funding. Missions may withhold concurrence based on security risk (e.g., for projects in high-threat or non-permissive environments) or other factors.

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[6] ASHA will request concurrence from Missions for apparently successful Phase 1Applications. Applicants should not request concurrence from USAID Missions. Feel free to contact us at ASHAInfo@usaid.gov if you have questions concerning specific countries.

See ADS 201.3.3.6. In recent years, countries including Jordan, Egypt, Iraq and Sudan have withheld concurrence for various reasons. Applicants may wish to confer with these respective Missions before submitting an application.

For construction and other capital assistance projects estimated to cost in excess of $1 million, additional requirements (e.g., a certification by USAID in accordance with section 611(e) of the FAA) may need to be fulfilled before funding can be provided.

ASHA may make awards for projects in any country other than the United States, provided that USAID activities in that country are not otherwise restricted by statute, regulation, or Agency policy.

For additional Funding Restrictions, please see Section D.6.h.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Ms. Anne Dix, Director
U.S. Agency for International Development
Ronald Reagan Building, 5.10
1300 Pennsylvania Avenue, NW
Washington, D.C. 20523
ASHAApplications@usaid.gov
(202) 712-0510

2. Questions and Answers

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

3. General Content and Form of Application

Preparation of Applications:
Each Applicant must furnish the information required by this RFA. **Use of the provided Annexes is mandatory; no modified versions of the Annexes will be accepted, except where otherwise indicated.** Applications must be submitted in three separate parts: The Technical Application Phase 1 and Phase 2, and the Business (Cost) Application. This subsection addresses general content requirements applying to the full application. Please see subsections 5 and 6, below, for information on the content specific to the Technical and Business (Cost) applications.

The Technical Application must address technical aspects only, while the Business (Cost) Application must present the costs and address risk and other related issues.

Both the Technical and Business (Cost) Application must include a cover page containing the information detailed in Section D.5.

Any erasures or other changes to the application must be initiated by the person signing the application. Applications signed by an agent on behalf of the Applicant must be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

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

Applications must comply with the following:

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

Applicants must review, understand, and comply with all aspects of this RFA. Failure to do so will be considered non-responsive and application will not be evaluated further and removed from further consideration. Applicants should retain a copy of the application and all enclosures for their records.

4. Application Submission Procedures

Applications /must be submitted by email to ASHAApplications@usaid.gov. Applications submitted through www.grants.gov WILL NOT be accepted.

Applications in response to this RFA must be submitted no later than the closing date and time indicated on the cover sheet/page. ASHA will use a system-generated email timestamp to determine whether or not application materials have been submitted by the deadline. The timestamp generated by USAID's own email system will be the relevant criterion for this determination. All applications received before the deadline will receive an email confirmation of receipt. Late or incomplete applications will not be reviewed or considered.

Application submissions must include the RFA number and applicant's name in the subject line heading. 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: "[RFA number], [organization name], Business (Cost) Application, Part 1 of 2".

USAID's preference is that the Technical Application and the Business (Cost) Application each be submitted as consolidated email attachments, e.g. that you consolidate the various parts of a technical application into a single document 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.

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 (prior to identified closing date) and note in the subject line of the email 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 e-mail is 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 RFA, the initial point of entry to the government infrastructure is the USAID mail 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/ASHA cannot guarantee their acceptance by the internet server. File size must not exceed 25 MB in a single email.

The table below outlines the phased approach of the **FY 2020 Application Process**.

Phases	Submission	Attachments
Phase 1: Technical Application	Phase 1 Technical Application Requirements	No
Phase 2: Technical Application Phase 2: Cost Application	Phase 2 Technical Application Requirements Business Cost Application	Yes, attachments Yes, attachments

5. Technical Application Format

The Technical Application must be specific, complete, and presented concisely. The Application must demonstrate the Applicant's capabilities and expertise with respect to achieving the goals of this program. The Application should take into account the requirements of the program and merit review criteria found in Section E in this RFA.

The Technical Application process is in two phases; it consists of
1) Phase 1 and
2) Phase 2 (by invitation only).

1) **Phase 1 Technical Application format**:

Each applicant must submit a Phase 1 Technical Application (Phase 1) using the Template from Annex 1. **Use of the provided Annexes is mandatory; no modified versions of the Annexes will be accepted, except where otherwise indicated.** Phase 1 submissions will be reviewed by a Selection Committee (SC) according to the criteria outlined in Section E. Applicant submissions for the set-aside will be reviewed separately. The Phase 1 submission format is as follows (See Annex 1 for Phase 1 Technical Application Template):

(a) Use the File Name: '[Full name of USO] Phase1-Tech'

(b) Cover Page, see Annex1 for content requirements (1 page)

(c) Eligibility Checklist (3 pages): Applicants must confirm compliance with all eligibility requirements identified in Section C.1: Eligibility Information. Applicants must use the Phase 1 template in Annex 1: Eligibility to complete this section.

(d) Summary of the project description in 3-4 lines or less, which includes a statement of whether the project is for construction/renovation and/or commodities; and whether the

OSI is a school, hospital center, library, or center of excellence. Applicants may wish to include a photo or sketch related to the project.

(e) Response to the Phase 1 Merit Review Criterion (Public Diplomacy, see Section E.2.a) **no more than 3 pages**.

(f) **The following requirement is ONLY for Applicants that are applying for the 30% set-aside:** Past Performance Impact Statement (see Section E.2.a), **no more than 3 pages**.

No other information should be included with the Phase 1 Technical Application. Any additional sections that do not respond to the requirements of Phase 1, as outlined above, will not be considered during the technical review.

Phase 1 Technical Applications must be submitted no later than **4:00 pm U.S. Eastern Standard Time** on **May 20, 2020**.

2) Phase 2 Technical Application format:

After the Phase 1 review, only Applications that were ranked Satisfactory or above (See Section E "Overall Adjectival Rating Descriptions") will be invited to submit a Phase 2 Technical Application. **Use of the provided Annexes is mandatory; no modified versions of the Annexes will be accepted, except where otherwise indicated. Phase 2 Technical Applications will be due within 60 days of the written notification by the Agreement Officer.** Phase 2 submissions will be reviewed by a SC according to the two Phase 2 Merit Criteria (Management Approach and Commodities or Construction/Renovation Approach), outlined in Section E. Applicant submissions for the 30% set-aside will be reviewed separately. **Please note that an invitation to submit a Phase 2 Technical Application does not guarantee issuance of an award**. The Phase 2 submission must follow the requirements of "General Content and Form of Phase 2 Technical Application" in D3. The format is as follows (see Annex 2 for Phase 2 Technical Application Template):

(a) Use the File Name: "[Full name of USO] Phase2-Tech)

(b) Cover Page (1 page)

(c) Table of Contents (1 page)

(d) Management Approach (up to 9 pages)

(e) Commodities/Construction Information (up to 9 pages)
- Construction/Renovation Information (if applicable), including Implementation Plan
- Durable Commodities Information (if applicable), including Procurement Plan

(f) Attachments: See Annex 6 for a Full list of Mandatory Attachments and Attachments Mandatory as Applicable for all Applications.

The Phase 2 Technical Application (excluding attachments) **must not exceed 20 pages** as delineated in the above sections. Attachments do not count against the 20 pages. However, substantive information responding to parts (a) through (e) above should not be included in the Attachments. Attachments must only serve as supporting documentation.

6. Business (Cost) Application Format

Applicants who have been invited to submit Phase 2 Technical Applications will also be required to submit a Business (Cost) Application at the same time as the Phase 2 Technical Application per the FY 2020 Application Process table on page 16. While no page limit exists for the full Business (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 Agreement Officer to assess the Applicant's risk in accordance with 2 CFR 200.205. Applicants should not submit any additional information with their initial application.

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

a) Business Cost Application Cover Page (see Annex 4 for Cover Page requirements)

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.

Required SF-424 Series Documents for Projects involving **Commodities Only**	Required SF-424 Series Documents for Projects involving **Construction Only**	Required SF-424 Series Documents for Projects involving **Both Construction and Commodities**
• SF-424 • SF-424A • SF-424B	• SF-424 • SF-424C • SF-424D	• SF-424 • SF-424A • SF-424B • SF-424C • SF-424D

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

c) Required Certifications and Assurances

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

(1) "Certifications, Assurances, Representations, and Other Statements of the Recipient" document found at https://www.usaid.gov/sites/default/files/documents/1868/303mav.pdf

(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). https://www.usaid.gov/sites/default/files/documents/1866/self_certification_guidance.pdf

The AO may request additional certifications as required.

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 contain sufficient detail to allow USAID to understand the proposed costs. The Applicant must ensure the budgeted costs address any additional requirements identified in Section F, such as Branding and Marking and federally required audits. The Budget Narrative must be thorough, including sources for costs to support USAID's determination that the proposed costs are fair and reasonable.

Documents Required

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

(a) Summary Budget

Inclusive of all program costs (federal and non-federal), broken out by major budget category and by year and prime/sub-recipients for activities implemented by the Applicant and any potential sub-applicants for the entire period of the program. See Annex 4a for the Summary Budget Template.

(b) Detailed Budget

Including a breakdown by year, prime/sub-recipient and sources of funding, 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. See Annex 4b for Budget Template

(c) Detailed Budget Narrative

Budget narrative must provide a description of each all cost elements proposed, basis of estimation and further detail to explain the breakout of units and unit costs.

(d) Detailed Budget of Durable Commodities (if applicable)
If the proposed project includes durable commodities, the durable commodities must be clearly broken out in the detailed budget above and **included in a separate tab within the Budget Excel Document** titled "Durable Commodities." The Durable Commodities budget must match the Detailed Budget section for Commodities. Applicants seeking funding for the purchase of commodities that fail to include this information as a separate attachment will be deemed ineligible.

Recipients of awards must comply with ADS 310, Source and Nationality Requirements for Procurement of Commodities and Services Financed by USAID, and ADS 312, Eligibility of Commodities. Only eligible durable commodities may be funded by ASHA.

See Annex 4c for Budget Template of Durable Commodities

Budget Description

The Detailed Budget, Budget Narrative must contain the budget categories and information found below, at a minimum.

Construction only projects require Cost Categories: A, B and/or C and E; Commodity only projects require: Cost Categories D and E; Construction and Commodity projects required: A, B and/or C, D and E.

Categories

A. Professional A&E Services – This includes the cost associated with the A&E firm. This item could include additional costs for ADA compliance, environment and climate risk management services.

B. Construction – This includes all costs associated with new construction and hiring a construction company.

C. Renovation - This includes all costs associated with renovation and hiring a construction company (if this is a renovation project only).

D. Durable Commodities – This is the cost of durable commodities and all associated cost of shipping and assembly. This 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 or supplies and the basis for the estimates.

E. Program Support - includes all overhead costs which are costs not elsewhere specified, such as staff time, travel cost, as well as any other miscellaneous costs which directly benefit the program proposed by the applicant. Applicants can charge ASHA directly for the proportionate Branding Strategy and Marking Plan (BSMP) costs. ASHA funds can be also used to support reasonable costs of USOs and OSIs related to the expenses of federally required audits as identified in 2 CFR 700 and ADS 591. ASHA will require program specific audits for all ASHA funded awards. ASHA funds may not be used to fund annual institutional audits as required for this application. All other costs (salaries, travel costs, research costs, technical assistance, and administrative overhead, training costs, profit, vehicle purchase, vehicle rental etc.) must be covered through leveraged funds.

Budget Breakout

- Subawards – Specify the budget 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. See scenarios on how to decide on breakout https://goo.gl/JpX7AF.

- Funding from other sources: Cost Share is not required; however, funds from other sources should be included as leveraged funds. Ensure that all leveraged funds are clearly identified and that funding request plus leveraged funds anticipated cover the full cost of construction/renovation and A&E Services when required.

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 Office of Foreign Assets Control (OFAC) list
- Confirmation that the subrecipient does not have active exclusions in the System for Award Management (SAM)
- Confirmation that the subrecipient is not listed in the United Nations Security Council 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.

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 System for Award Management (SAM) requirements. Each applicant is required to:

1. Provide a valid DUNS number for the Applicant and all proposed sub-recipients;
2. Be registered in SAM before submitting its application. SAM is streamlining processes, eliminating the need to enter the same data multiple times, and consolidating hosting to make the process of doing business with the government more efficient (www.sam.gov). See Annex 5 for SAM submission template.
3. 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."

An active DUNS number and a SAM registration must be maintained throughout the period of performance of the award.

h) History of Performance for Apparently Successful Applicants

Do not send History of Performance unless requested by the AO. If requested, 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, looking back no more than the past **three** years, as follows:

- Name of the Awarding Organization;
- Award Number;
- Activity Title;
- A brief description of the activity;
- Period of Performance;
- Award Amount;
- Reports and findings from any audits performed in the last 4 years; and

• Name of at least two (2) updated professional contacts who most directly observed the work at the organization for which the service was performed with complete current contact information including telephone number, and e-mail address for each proposed individual.

If the Applicant encountered problems on any of the referenced Awards, it may provide a short explanation and the corrective action taken. The applicant 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.

i) Funding Restrictions

Profit is not allowable for recipients or sub-recipients under this award. See 2 CFR 200.300 for assistance in determining whether a sub-tier entity is a sub-recipient or contractor.

Construction may 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.4 of this RFA and must meet the source and nationality requirements set forth in 22 CFR 228.

ASHA funds must only be used to finance: (a) the procurement of durable commodities (equipment, furnishings, and other non-expendable items) and/or (b) construction/renovation.

Eligible costs for durable commodities are limited to procurement of commodities. Shipping costs are embedded in the cost of the item, along with installation, training, and warranty of the commodity. Procurement of commodities may include such items as library materials, specialized medical and research technology, and education equipment and furnishings. **Procurement of vehicles is not authorized under this award**. **Consumable commodities are not authorized under this award.** See ADS 312 for a full description of restricted and ineligible commodities.

For purposes of this RFA, construction/renovation activities are broadly defined to include the construction of a permanent structure, permanent system, structural improvement, structural installation of equipment, or the renovation or rehabilitation of existing permanent structures or systems.

Eligible costs for construction/renovation include architect and engineering fees so long as these fees are reasonable and project related.

Applications may request funds to support commodities only, construction/renovation only, or both commodities and construction/renovation.

ASHA funds can be used to support reasonable costs of USOs and OSIs related to the cost of federally mandated audits and branding/marking materials associated with ASHA awards. However, these costs must be related and proportional to the ASHA award. ASHA funds may not be used to fund annual institutional audits as required for this application.

ASHA will generally not fund other general operating costs or overhead expenses of USOs or OSIs. Applicants are expected to fully fund these direct and indirect costs from other sources and must demonstrate they have the capacity to continue to support the planned project, including any annual maintenance costs associated with the project, without ongoing ASHA support. Applicants may provide information on other sources of revenue for the proposed project that cover costs not supported by ASHA, such as USO and OSI salaries, travel costs, research costs, technical assistance, and administrative overhead, within the overall project budget.

SECTION E: APPLICATION REVIEW INFORMATION

1. Review and Selection Process

The application process for this RFA is in two phases; it consists of 1) Phase 1 Technical Application and 2) Phase 2 Technical Application (by invitation only), which includes the Business (Cost) Application. The SC will rate both Phase 1, and subsequently, Phase 2 Technical Applications, based on an adjectival rating system, per ADS 303. ASHA will have a separate review for Applicants for the 30% set-aside.

Each application will be reviewed individually and assigned an adjectival rating that reflects how well applicants met the factors described under each of the merit review criteria. The first criterion (Public Diplomacy and Past Impact for set-aside Applicants) will be evaluated only in Phase 1.

The merit review criteria prescribed here are tailored to the requirements of this particular RFA. Applicants should note that: (a) **the criteria for the Phase 1 and Phase 2 Technical Applications are not the same**; (b) only Applicants who receive an invitation to submit a Phase 2 Technical Application will address the remaining two criteria for the Phase 2 Technical Application; (c) the criteria serve to set the standard against which all applications will be evaluated; (d) **there will be no opportunity to revise Phase 1 submissions**; (e) in both the Phase 1 and Phase 2 Technical Applications, submissions from “Set-Aside” Applicants will be ranked against other “Set-Aside” Applicants; and f) in Phase 2 of the application process, "Set-Aside" Applicants that are ranked Satisfactory or higher may be ranked against the general pool of Applicants for funding consideration, if the set-aside funds have been exhausted.

<u>Phase 1 Technical Applications:</u>

Phase 1 Technical Applications will be reviewed by a SC with regards to how well they respond to Criterion 1. Each member will issue only one rating because there is only one Phase 1 Technical Application criterion. Each reviewer will document the strengths and weaknesses of the Applicant response to meet the factors outlined under this criterion. The SC will then issue one Phase 1 Technical Application consensus rating. Phase 1 Technical Application receiving a ranking of “Satisfactory” or above, will receive a letter from the Agreement Officer, inviting the Applicant to submit a Phase 2 Technical Applications and a Business (Cost) Proposal. **However,**

the recommendation that a Phase 1 Applicant submit a Phase 2 Technical Application does not guarantee an award.

<u>Phase 2 Technical Applications:</u>

Phase 2 Technical Application submissions will be reviewed by a SC according to the remaining two criteria outlined in Section E.2.b.

Each reviewer will note the strengths and weaknesses of the Applicants' responses to the factors outlined under each of these two merit review criteria. Each SC member will issue an overall adjectival rating that reflects how well the applicant addressed each of these factors under the two criteria. Finally, the SC will discuss individual reviewer findings and issue one consensus overall adjectival rating that reflects the overall determination made by the SC on each individual applications final adjectival rating The SC will rank Applicants by final adjectival rating to make a determination of which applications will receive an award.

ASHA will allocate no less than 30% of its FY20 funding to applicants whose work is primarily focused on the Middle East.

For purposes of this RFA, the Middle East includes the following countries and territories: Algeria, Egypt, Iraq, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, Israel and Yemen. "Set-aside" Applicants ranked satisfactory or higher will also be ranked against the general pool for funding consideration if the set-aside funds have been exhausted.

The weights of the criteria in Phase1 and Phase 2 are distributed as follows:

Application Phase	**Criterion Weight**
<u>Full and Open Competition</u>	
Phase 1: Public Diplomacy	½ of overall rate
Phase 2: Management Approach	¼ of overall rate
Phase 2: Commodities and/or Construction/Renovation	¼ of overall rate
<u>30% Set-Aside Applicants</u>	
Phase 1: Public Diplomacy	¼ of overall rate
Phase 1: Past Impact Statement	¼ of overall rate
Phase 2: Management Approach	¼ of overall rate
Phase 2: Commodities and/or Construction/Renovation	¼ of overall rate

OVERALL ADJECTIVAL RATING DESCRIPTIONS

Adjective	Merit Review Criteria
Exceptional	An **Exceptional** application has the following characteristics: ● A comprehensive and thorough application of exceptional merit. ● Application meets and fully exceeds the Government expectations or exceeds RFA objectives and presents very low risk or **no** overall degree of risk of unsuccessful performance.
Very Good	A **Very Good** application has the following characteristics**:** ● An application demonstrating a **strong** grasp of the objectives. ● Application meets RFA objectives and presents a **low** overall degree of risk of unsuccessful project performance. ● **Strengths significantly outweigh** any weaknesses that exist.
Satisfactory	A **Satisfactory** application has the following characteristics: ● An application demonstrating a reasonably sound response and a **good** grasp of the objectives. ● Application meets RFA objectives and presents a **moderate** overall degree of risk of unsuccessful project performance. ● **Strengths outweigh weaknesses.**
Marginal	A **Marginal** application has the following characteristics: ● The application shows a **limited** understanding of the objectives. ● Application meets some or most of the RFA objectives, but presents a **significant** overall degree of risk of unsuccessful project performance. ● Weaknesses **equal or outweigh** any strength that exists.
Unsatisfactory	An **Unsatisfactory** application has the following characteristics: ● The Application **does not meet** the RFA objectives or requires a major rewrite of the application. ● Presents an **unacceptable** degree of risk of unsuccessful project performance. ● Weaknesses demonstrate a **lack of understanding** of the Government's needs. ● Weaknesses **significantly outweigh** any strength that exists.

ILLUSTRATIVE EXAMPLE OF ADJECTIVAL RATING:

To further clarify the above adjectival ratings and how the criteria and individual factors would be assessed, below please find as an illustrative example how the SC would review Phase 1

Application submissions against criterion 1 (Public Diplomacy). This information is provided to help applicants further understand how a SC will make a rating determination for criterion 1. The following descriptions in no way constitute a full checklist for the SC, and are provided for informational purposes only:

Exceptional: An exceptional application will have discussed which American values, ideals or practices it will model. It will have identified specific public diplomacy needs, opportunities or challenges; will have addressed how they will engage with specific communities, and what kind of impact or change they expect to see in those communities. It will have articulated its strategy communicating the aforementioned both within and beyond the walls of their institution.

Very Good: A very good applicant will have discussed what American values, ideals or practices it will model. It will have identified general public diplomacy needs, opportunities or challenges, and will have addressed how they will engage with specific communities, and what kind of impact or change they expect to see in those communities. It will have articulated how it will communicate this within its institution.

Satisfactory: A satisfactory application will have discussed what American values, ideals or practices it will model. It will identify how it intends to engage with its beneficiaries.

Marginal: A marginal application will have minimally discussed what American values, ideals or practices it will employ. It is one that makes broad assumptions about how this modeling will result in mutual understanding without discussing what activities it will undertake or how it will communicate them. There is no discussion of impact.

Unsatisfactory: An unsatisfactory application will not have demonstrated the intent. of the program and have not articulated how they will achieve any impact on the local community's perception of the U.S.

2. Merit Review Criteria

a) Phase 1 Merit Review Criterion (½ overall weight)*

The Phase 1 Merit Review Criterion will focus on public diplomacy **and applies to all Applicants**.

Public Diplomacy Primer: In public diplomacy, there are generally three types of measurable outcomes from any undertaken initiative or activity. Those outcomes are:
1) awareness generated about American values, ideas, or practices;
2) positive attitude shift regarding American values, ideas, or practices; and
3) action generated in regard to American values, ideas, or practices, either as positive behavior change or change in the frequency of the positive behavior.

Additional information on public diplomacy can be found here: http://ow.ly/9jSY50v8t2X.

The three types of outcomes are neither mutually inclusive nor are they mutually exclusive. In most cases, the outcomes can be complementary. Phase 1 submissions are not required to address each of aforementioned public diplomacy outcomes and Phase 1 submissions are not required to include all three types of outcomes. **However, Phase 1 submissions must, in three pages, clearly identify which outcome(s) it is addressing when responding to the Merit Review criterion below:**

<u>**Phase 1 Merit Review Criterion – Public Diplomacy**</u>: Provide a succinct explanation of the context where the proposed project will be implemented and, given the applicant's understanding of ASHA's mandate in public diplomacy and the aforementioned types of public diplomacy outcomes, clearly explain how the proposed project will contribute to achieving ASHA's legislated objectives. A responsive application will address:

1) the relationship between the proposed project and the public diplomacy outcomes;
2) the relationship between the proposed project and the U.S. Government foreign policy priorities for that country;
3) the target audience(s) to maximize the potential for achieving results against the outcomes; and
4) explain what would constitute evidence of the expected type(s) of outcome(s).

The Phase 1 Technical Application must effectively communicate and disseminate the American values and practices used in their operations, such that there is a demonstrable public diplomacy impact achieved beyond the walls of the institution that is the direct beneficiary of the ASHA support. The Phase 1 Technical Application should identify the specific audiences in the community it expects to impact in terms of their perception of America and American values, approaches and practices. **Please do not provide a detailed description of the OSI and USO, or of proposed commodities or construction in the Phase 1 submission**.

<u>**Phase 1 Merit Review Criterion – Past Project Impact Statement**</u>**: Response to this Merit Review Criterion is required ONLY for Applicants applying for the 30% set-aside.** Applicants must submit a Past Project Impact Statement of **up to** three pages.

The 'past impact' statement is an applicant's opportunity to address how the institution is positioned to address public diplomacy objectives. Applicant should provide information they deem relevant to demonstrate the following:

- Strategic impact of organization as tracked through past donor-funded project(s) in at least the last three calendar years (2017, 2018, or 2019).
- Describe how the Applicant has fostered over the past 10 years and continues to foster strong commitment to fundamental American values and how it tracks its progress
- Provide verifiable current data for at least the past 12 months of results using impact indicators used by the organization

Applicants may also provide other information they deem relevant.

*Weights: The Public Diplomacy merit review criterion carries ½ weight for general applicants, but ¼ weight for applicants for the 30% set-aside, with the Past Project Impact Statement accounting for the remaining ¼.

For the Phase 1 Technical Application template, see Annex 1.

b) Phase 2 Technical Application Merit Review Criteria

Applicants must only submit a Phase 2 Technical Application at the request of the ASHA Agreement Officer. Phase 2 Technical Applications must address two criteria: 1) the Management Approach, and 2) the Commodity and/or Construction/Renovation Approach. The two merit review criteria will be rated adjectivally and weighted as indicated below.

Management Approach Criterion (1/4 weight)

Applications will be evaluated on the extent to which the institutional capability demonstrates the ability to effectively implement the program. The ability will be based on the five factors

(a) Operational Approach. The proposed project operational approach is thorough and will likely be accomplished within the award period.

(b) Sustainability and OSI Strengthening. The USO/OSI pair has demonstrated it has adequately planned for operations and maintenance of facilities/commodities funded by ASHA, as well as how the award will contribute to strengthening the OSI.

(c) Monitoring and Evaluation (M&E). The application must include an Activity Monitoring and Evaluation Plan (AMEP). The AMEP should clearly describe how the proposed project will be monitored and evaluated using both the FY 2018 Foreign Assistance Standard Indicators ("F" indicators) and ASHA custom indicators. From the "F" indicators list, Applicants must identify at least 1 relevant indicator for its proposed project and must include at least 1 Gender indicator for the project's Gender integration efforts. The ASHA AMEP Template to use can be found here (https://drive.google.com/open?id=1w3925wr042FyzkpSNz6tRbkt4Kcy25ih).

(d) Environmental Capability. The application demonstrates sufficient capacity in environmental impact management and climate risk management to comply with USAID/ASHA requirements. (See Annex 3.)

(e) Gender integration: The program identifies specific challenges related to gender, as informed by a gender analysis. The application specifies what activities the project will undertake to positively impact existing gaps between males and females. The application specifies how it will measure project impact on these challenges.

Commodity and Construction/Renovation Approach Criterion (1/4 weight)

Commodities

For commodity requests, the application identifies and sufficiently justifies specific durable commodities that directly contribute to the goals and objectives of the Project Description and USAID/ASHA program. The description includes what will be provided, why the provision of commodities is important, how the commodities will be acquired, who will procure them, where they will be placed and by when. The application provides both a plan and resources for adequate Operations and Maintenance (O&M).

Construction/Renovation

For construction/renovation requests, the Construction/Renovation Approach present plans that support a complete and functional system that directly contribute to the goals and objectives of the Project Description. The attached implementation plan (Attachment MA-2) provides a clear and feasible approach with a realistic timeline to achieve specific milestones. See Annex 6 for more information.

The construction/renovation clearly identifies what will be built/remodeled, why this is being done, how it will be accomplished, who will be responsible, where it will be built, when it will be done, and why this is important. If this is part of a larger project, the approach provides a description of the larger project and explains how this project fits within it and what the ASHA funds will be supporting.

The conceptual architectural and engineering design (Attachment MA-1) provides at a minimum a vicinity map, a site plan with proposed construction in relation to the existing buildings and existing facility infrastructure in order to provide enough baseline information for environmental and engineering and design, and enough information for ASHA to reasonably understand the requirements and potential design and regulatory implications. Conceptual drawings for construction provides sufficient detail to give the evaluation committee an idea of what the project entails, that primary elements of design have been identified, and costs and timeline are reasonable and can be accomplished within the timeframe proposed for the project.

The application should address in both the construction/renovation approach and in the architectural and engineering design (Attachment MA-1) details about how the Applicant is incorporating the requirements of the American Disabilities Act (ADA) and the International Building Code (IBC) standards for seismic design requirements for both building(s) and systems attached to buildings.

The construction/renovation approach provides details and status (active, planned or pending approval) of any required agreements, host country approvals, and jurisdictional constraints (e.g., related to local utilities, site restrictions, permits, contacts, and related issues such as seismicity, enhanced site drainage due to climate change) and indicate whether these constraints pose significant challenges for timely construction. The application includes any known dates of actual or expected completion of these project requirements.

The construction/renovation approach includes the description of land to be used for the proposed project, including square footage of the property, and information on existing levels of site preparation (such as whether land has been prepared, and whether there are available roads, stormwater management, water/sewer, etc.). Precise GPS coordinates for site are included in application.

The construction/renovation approach supports resilience to disaster and climate change by employing American technologies in social and physical infrastructure such as safe construction, resilient construction techniques, system redundancies, upholding strict adherence to building codes and engineering excellence, the best siting choices, and other innovations that insure continuity of sustained services by our partners. These might include innovation in green building design such as energy efficiency for multi-decadal cost savings, procurement of safer and less-toxic materials, waste-to-energy conversion, innovative medical waste disposal technologies, integrated pest management, and access to potable water for vulnerable patients. See Annex 6 for more information.

For the Phase 2 Technical Application, see the template in Annex 2.

3. Business (Cost) Review

Applicants who have been invited to submit Phase 2 Technical Applications will also be required to submit a Business (Cost) Application at the same time as the Phase 2 Technical Application per the FY 2020 Application Process table on page 16.

The Business (Cost) Review this takes place AFTER apparently successful applicants have been identified.

The Agency will evaluate the Business Cost Application of the Apparently Successful 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 conditions relating to costs should be included in the award.

Proposed cost share, if provided, 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. If A&E costs are not included in funds requested to ASHA, then cost share and/or leverage cost should, at a minimum, cover this cost.

4. History of Performance and Risk Assessment

History of Performance will be assessed by the Agreement Officer (AO) for all Apparently Successful Applicants to inform the risk assessment. History of Performance includes review of past audit findings and their resolution and current financial standing of USO and OSI. Further information on how this information is used to perform a risk assessment can be found in 2 CFR 200.205. The AO may determine that a pre-award survey is required to inform the risk assessment in determining whether the Apparently Successful Applicant 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 either execute an award, not execute an award, or execute an award with "specific conditions" (2 CFR 200.207). Mission concurrence will be sought for all Apparently Successful Applicants to ensure the activity poses no reputational risk to the USG or presents insurmountable security risks.

SECTION F: FEDERAL AWARD ADMINISTRATION INFORMATION

1. Federal Award Notices

Award of the agreements contemplated by this RFA 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.

After the Phase 1 Technical Application Review, applicants will either receive an invitation to submit a Phase 2 Technical Application or a notification that their Application will not be considered further. Applicants who submit a Phase 2 Technical Application will receive a letter from the Agreement Officer letting them know they are either an 'Apparently Successful Applicant' or that their Application will not be considered for funding. 'Apparently Successful' Applicants will be asked to provide further clarification prior to finalizing award. Once the AO has resolved all questions regarding the Application, the Applicant will receive a final signed award document for countersignature by the Applicant's legal representative.

2. Administrative & National Policy Requirements

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

USAID's internal policies to be used in the planning, formation, and administration of awards are described in the Automated Directive System (ADS). Please refer to ADS 303 for full USAID policy directives.

In addition, prime awards to USOs resulting from this RFA will be administered in accordance with the following:

a. 2 CFR 200 and 2 CFR 700, as well as ADS 303-maa,USAID Standard Provisions for U.S. Nongovernmental Organizations, apply to US organizations.
b. 22 CFR 216 USAID Environmental Compliance Procedures apply to all awards
c. ADS 303mab, USAID Standard Provisions for Non-U.S. Non-governmental Organizations apply to all sub-contracts and sub-agreements with non-US organizations.

Voluntary Survey on Ensuring Equal Opportunity for Applicants

Applicants are encouraged, but not required, to submit USAID's Voluntary Survey on Ensuring Equal Opportunity for Applicants.

Vetting and Other Special Requirements
Awards that involve performance in a country with a USAID partner vetting program will be subject to the requirements set forth in 2 CFR 701. In such cases, USAID will request additional information after apparently successful applicants have been identified.

USAID Implementing Partner Notices (IPN) Portal for Assistance
By submission of an application and execution of an award, the Applicant/Recipient acknowledges the requirement to:

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

To register, go to the IPN website and click the "Register" button at the top of the page. Recipient representatives must use their official organization email address when subscribing, not personal email addresses.

Freedom of Information Act
Pursuant to the Freedom of Information Act of 1981, the public is entitled to request information from Agency award files, including files associated with applications to this award programs, unless applicants indicate specific portions of their application that are entitled to protection from disclosure.

See Annex 7, for a list of the Standard Provisions that will be applicable to any awards resulting from this RFA.

3. Reporting Requirements

Recipients of ASHA awards are required to submit the SF-425 financial report quarterly and to provide quarterly activity monitoring and evaluation indicator data reporting; and performance narrative reports, indicating progress towards achieving project milestones and timelines for construction. (Use of the ASHA Quarterly Report template for quarterly reports is mandatory.) Final financial and narrative performance reports are required following program completion. Any significant issues, challenges, or delays should be immediately noted in ad hoc reports.

- **Financial Reporting:**

Submission of a SF-425 is required for each quarter regardless of the performance start date or the estimated completion date of the Agreement's period of performance (see Section 1.2). Cost sharing will be reported in the SF-425 (see Section A.5(a)(1)(B) for the financial reporting requirements), specifically in lines i-k (Recipient Share) and/or lines l-o (Program Income). The final financial report is due no later than 90 days after the estimated completion date of this Agreement (see Section 1.2.1 above). The Recipient must submit this form in the following manner:

Submission to USAID/DCHA/ASHA
One copy of the financial reports must be submitted to the AOR through ASHAreports@usaid.gov.

Submission to USAID/M/CFO/CMP
For non-Letter of Credit awards, one copy of all financial reports must be submitted to USAID/Washington, M/CFO/CMP. The submission address is ei@usaid.gov. The Recipient may omit Lines 10a-c of the SF-425 for the submission to M/CFO/CMP.

Submission to U.S. Department of Health and Human Services (HHS)

For Letter of Credit awards, the SF-425, and SF-425A if required, must be submitted via electronic format to the HHS through the PMS system. Visit the HHS website (https://pms.psc.gov/) for all details. The Recipient may omit Lines 10d-o of the SF-425 for the electronic submission to HHS.

Submission of final SF-425 to USAID/M/CFO/CMP
For the final SF-425, one copy must be submitted to USAID/Washington, M/CFO/CMP. The submission address is ei@usaid.gov. One copy must be submitted to the AOR through ASHAreports@usaid.gov. The Recipient may omit Lines 10a-c of the SF-425 for the submission to M/CFO/CMP.

- **Performance Reporting**

The Recipient will adhere to all reporting requirements listed below and remain in compliance with 2 CFR 200 and 2 CFR 700 (specifically 2 CFR 200.327-329). All reports must be submitted by the due dates specified below date for approval from the USAID Agreement Officer Representative (AOR). The Recipient will consult with the AOR on the format and expected content of reports prior to submission. In addition to the reports below, the AOR may request information to contribute to internal USAID project reviews.

4. Program Income

If program income is anticipated to be generated under the award, the AO must consider how that income will be treated under the award (see 2 CFR 200.307 or, for non-U.S. organizations, see the provision "Program Income."

5. Environmental Compliance

USAID requires the consideration of environmental impacts and climate risks to increase the success of the ASHA investment. Section 117 of the Foreign Assistance Act of 1961, as amended, requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is further elaborated in 22 CFR 216 and in ADS 204 (Environmental Procedures) and is complemented by the climate risk management requirement in the ADS 201mal (Mandatory Reference on Climate Risk Management in USAID Projects and Activities).

As part of the pre-obligation process, ASHA applicants will ensure environmental compliance and climate risk management in design and implementation. Environmental threshold determinations and climate risk ratings are detailed in the ASHA Initial Environmental Examination (IEE) https://ecd.usaid.gov/repository/pdf/51140.pdf. The required Environmental Capability Statement must be submitted with the application (Template in Annex 3).

SECTION G: AGENCY POINT OF CONTACT

The Agency point of contact for this RFA is:

Anne Dix
U.S. Agency for International Development
Ronald Reagan Building, 5.10
1300 Pennsylvania Ave. NW
Washington, DC 20523
ASHAapplications@usaid.gov
(202) 712-0510

SECTION H: ADDITIONAL INFORMATION REQUIRED SUBSEQUENT TO APPLICATION

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.

The following information will be required of apparently successful applicants upon notification of the intent of ASHA to make an award, or following issuance of an award, as specified below:

1. **Branding Strategy and Marking Plan (BSMP)**
   Apparently successful applicants will be required to submit for approval prior to award a Branding Strategy and Marking Plan (BSMP) that complies with USAID's branding and marking requirements set forth in ADS 303 and ADS 320.

2. **Project Implementation Plan**
   For cooperative agreements only, successful applicants will be required to schedule a pre-performance meeting with the AOR and Key Personnel within 45 days after award to finalize the Project Implementation Plan, including timeline and milestones.

3. **Initial Environmental Examination (IEE)**
   All successful applicants are required to provide documentation dedicated to environmental safeguards during activity implementation including environmental baseline information, Environmental Mitigation and Monitoring Plan (EMMP) and Environmental Mitigation and Monitoring Report (EMMR). For those involving

commodity procurement only, this will be in the form of an Environmental Mitigation and Monitoring Plan (EMMP). For awards involving construction or renovation, an IEE is required.

Awards with commodity procurement only:
Successful applicants for awards involving only commodity procurement are required to review https://ecd.usaid.gov/repository/pdf/51140.pdf. ASHA IEE and ASHA Commodity Master List. All awards are required to complete an Environmental Mitigation and Monitoring Plan (EMMP). Climate Risk Management (see #5 below) is required for all awards and must be submitted with the stand-alone EMMP (for commodity-only awards). Required templates for the EMMP are found in the ASHA IEE https://ecd.usaid.gov/repository/pdf/51140.pdf, and the required environmental mitigation and monitoring guidelines are found in USAID Sector Environmental Guidelines.

Awards with construction or renovation:
Successful applicants will be required to submit additional project-specific analyses of potential environmental impact. Awardees are required to submit an IEE including Climate Risk Management (described below) for USAID approval within 60 days after award. Required templates for the IEE are found in the ASHA IEE, and the required environmental mitigation and monitoring guidelines are found in USAID Sector Environmental Guidelines.

The IEE is a broad analysis that describes any potential negative environmental impacts of the activity and defines corrective mitigation measures and monitoring. These corrective actions must be carried out by the ASHA-Approved Architect/Engineering (A/E) Services Provider for design and construction oversight and designation of the facilities manager to implement operation and maintenance (O&M) plan once the construction is complete and the facility is operational. The IEE must be approved by the Bureau Environmental Officer (BEO) for the Bureau for Democracy, Conflict and Humanitarian Assistance (DCHA), and sent to USO/OSI for integrating BEO recommendations into the final design. This BEO approval must occur prior to preparation of final construction documents duly cleared by ASHA for any construction to begin and procurement of all commodities used as part of the project building and utility infrastructure.

4. Climate Risk Management (CRM) Screening

Climate Risk Management is integrated in the environmental compliance process and is required for all ASHA awards, including those with only commodity procurement. Successful applicants are required to submit a screening table and a narrative that summarizes how climate risks were identified and assessed, as well as critical resources used. The CRM screening must be approved by the Climate Integration Lead (CIL).

Awards with commodity procurement only: For awards that include commodity procurement with the potential to generate hazardous, biomedical, or electronic waste, the CRM Screening must be submitted along with the EMMP. For other commodity procurement awards that do not require an EMMP, the CRM Screening must still be submitted to the AOR within 60 days of award issuance.

Awards with construction or renovation: As noted in the ASHA IEE, the implementing partner (IP) must submit an IEE for any award including construction activities within 60 days of award issuance. If the award includes any commodity procurement not directly related to the construction (e.g., equipment to install in a renovated lab), the CRM Screening for the commodity procurement must be completed as part of the environmental analysis and the output must be submitted along with the IEE. For construction activities requiring engineering design, an ASHA-cleared Architecture and Engineering (A&E) Services Provider must conduct the CRM Screening and submit the screening along with their construction designs. Construction cannot proceed until the DCHA Climate Integration Lead (CIL) approves the CRM Screening.

5. Applications with Proprietary Data

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

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

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

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