ASHA FY20 RFA (72ASHA20RFA00001)
Questions and Answers
Posted 04/13/2020

Organization	Public Comment/Question	ASHA Response
Organization 1	ANNEX 4 – PHASE 2 BUSINESS COST APPLICATION TEMPLATES Q1: According to the Budget Template (Annex 4 - Sections 4A, 4B and 4C) the applicants are required to show the allocation of USAID funds between the USO and OSI. Please confirm the following: since we are anticipating that the 90% of commodities for OSI will be procured from the US and then shipped to OSI for its use, the total amount needed for the procurement should be shown in the budget file under Prime (USO). Please note that all payment to direct contractors will be handled by USO.	If the USO will be procuring commodities, the funding amount needed for procurement of the commodities should be listed under the Prime (USO) in the budget. Please refer to the Budget Scenarios document for guidance on completing the summary budget.
	Q2: Please confirm that the Shipping and Assembly costs can be presented under line item "Other" in the Annex 4C, following the description of durable commodities.	Per page 23 of the RFA, "Shipping costs are embedded in the cost of the item, along with installation, training, and warranty of the commodity."
Organization 2	Q1: We have a legal entity (OSI) that has several schools under its direction. Would we be able to submit one proposal with one USO and the OSI being the legal entity in the project country, with commodities going to support different schools as multiple organizational units of the overarching OSI (pg.10 of RFA)?	Per page 10 of the RFA, "One USO applicant may submit an application that requests funds to benefit multiple organizational units within a single OSI."
	Q2: If our USO / OSI partnership in the Middle East is less than 10 years old. May we still apply for ASHA funds	USO/OSI partnerships in the Middle East for less than 10 years are not eligible for the 30% Middle East Set-

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	through the general pool of worldwide ASHA funding?	Aside. Any organization may apply for funding through the general pool of applicants.
	Q3: Our USO is an affiliate of an international religious congregation based in Rome that has financially supported an OSI in the Middle East for more than 10 years. The president of the USO has also served on the General Council of the international congregation in Rome. The international religious congregation has a significant financial relationship with the OSI. Would this connection constitute a significant relationship as outlined on pg. 10 of the RFA?	Per Section 214 of the FAA, OSIs must be founded or sponsored by U.S. citizens. USAID/ASHA has broadened that relationship to include institutions which have been supported by Americans over a period of time (i.e. for 10 years or more in the Middle East). Per page 10 of the RFA, "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."
	Q4: Will we know the results of FY 2019 ASHA Phase 2 applications before the FY 2020 ASHA Phase 1 May 20 deadline?	ASHA cannot confirm the status of the FY19 RFA.
	Q5: Will South Sudan and Lebanon be given Mission Concurrence from USAID Country Missions to implement a USAID ASHA project for FY 2020?	ASHA cannot confirm Mission Concurrence for any projects at this time. Mission Concurrence will be sought from all missions/embassies with applicants invited to Phase 2.
	Q6: Annex 6, pg. 1 A. M1 – USO Audited Financials mentions that the USO must have independent audited financials. Does this apply to a USO that has not been	Yes, per Annex 6, Section A. M1 and M2, applicants must include an attachment containing the most recent Single Audit (A-133 audit) and/or independently

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	legally required to conduct an independent audit because of its size and annual income?	audited financial statements of the USO with accompanying letter of audit findings and management letter on internal controls.
	Q7: Does the OSI need to be registered in SAM and/or have a DUNS number?	Per Standard Provision RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015), Recipients may not make a subaward to an entity unless the entity has provided its DUNS number to you. The requirements of this provision to obtain a Data Universal Numbering System (DUNS) number and maintain a current registration in the System of Award Management (SAM) do not apply, at the prime award or subaward level, to: (1) Awards to individuals (2) Awards less than $25,000 to foreign recipients to be performed outside the United States (based on a USAID determination) (3) Awards where the Agreement Officer determines, in writing, that these requirements would cause personal safety concerns. Per Standard Provision M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JUNE 2012), the recipient agrees that, unless authorized by the AO, it will not knowingly enter into any subawards or contracts under this award with a person or entity that has an active exclusion on the System for Award Management (SAM).

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	Q8: USO/OSI Partnership Context: • The USO is the United States fundraising nonprofit of an international religious order • The Board Chair of the USO is a US citizen and is also on the leadership council of the international religious order • The head of the international religious order is a US citizen • The international religious order has a long-term financial relationship with the OSI over ten years. • The head of the international religious order is also the president of the order's international fundraising nonprofit located in Italy. The connection can be described as follows: The USO is the US fundraising nonprofit of an international religious order. The head of the order is a US Citizen. The Board Chair of the USO is a US Citizen and also part of the leadership council of the international religious order. Through the international Italian nonprofit and religious order, the USO is part of the connection that has raised significant funding over the last ten years. • Would this relationship meet the USO / OSI eligibility requirements set out in C.1 in general, and in particular "a continuing relationship MUST include significant financial support..." (pp. 9-10)?	Per Section 214 of the FAA, OSIs must be founded or sponsored by U.S. citizens. USAID/ASHA has broadened that relationship to include institutions which have been supported by Americans over a period of time (i.e. for 10 years or more in the Middle East). Per page 10 of the RFA, "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."

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Organization 3	Q1: Should the summary budget, budget, and budget of durable commodities be included as part of the narrative or can it just be attached as an Excel file? Or do we include it in both? According to the RFA, "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 an itemization of the federal and non-federal (cost share) amount."	The summary budget, detailed budget, and detailed budget of durable commodities must be submitted in one Excel file. This file can be submitted as an attachment to the Business Application.
	Q2: Should the Environmental Capability Statement be both an attachment and within the narrative? It is listed as a mandatory attachment, but according to the RFA, "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." Then later in the RFA it states, "This document must be submitted as a separate attachment named "M7 - Environmental Capability Statement."	Per Annex 6, Section A. M7, applicants must submit an Environmental Capability Statement -- that is no more than 2 pages long -- as a separate attachment named "M7 - Environmental Capability Statement".
	Q3: Do annex documents count toward the page limit?	Page limits are specified in Section D.5 of the RFA. Annexes do not count toward the page limit.
	Q4: Is the SAM registration screenshot part of the business cost application? Or are these annexes?	The SAM registration screenshot is required as part of the Phase 1 application. See Annex I - PHASE 1 TECHNICAL APPLICATION TEMPLATE, Section II, question 8.
	Q5: Do the SF 424 forms need to be included as part of the	The SF-424 forms are a required part of the Business

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	business cost application? Should the forms be compiled into one document?	Cost Application submission. The SF-424 forms may be compiled into one document attachment or submitted as individual attachments. Please clearly label which SF-424 forms are being submitted.
Organization 4	Q1: How does ASHA define "hospital centers"? Is the only requirement that the entity conduct medical education and/or medical research? Is it necessary that the "hospital" also provide patient care?	Per Sec. 214(b) of the FAA, hospital centers are institutions of "medical education and research outside the United States."
	Q2: How does ASHA make the determination that the USO and OSI are the same legal entity?	The Applicant must determine if the USO and OSI are the same legal entity. Per Section C.1 of the RFA, If the applicant answers "Yes" to the USO and OSI being the "same entity," the applicant must provide proof with the Phase 2 Technical Application (not Phase 1) 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 submission of proof is not possible, please provide a separate explanation in the form provided.
	Q3: Under program support, section D 6(e), it is mentioned that staff time, travel cost etc that directly benefit the program can be budgeted. It is further said that salaries, travel costs, training costs etc must be covered through leveraged funds. So, if I purchase a commodity that needs	Section D.6.d Budget Categories provides descriptions of the types of costs that would be included in each category in the budget. "Applicants can charge ASHA directly for the

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	trained staff to operate, will the travel costs of the trainer and the salary of the commodity operator be budgeted in ASHA program budget?	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. 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." If training is provided as part of the purchase agreement for the commodity, training/calibration/set up services can be included in the application. They should not be included as a separate cost item, as should any additional costs entailed to protect the item from power surges.
Organization 5	Q1: Will all applicants be informed on the same day of whether they are invited to phase II or whether they are not moving forward?	ASHA will inform all applicants of whether they will be invited to submit a Phase 2 application; however, ASHA cannot guarantee that all applicants will be informed of their status on the same day.
	Q2: Will the closing date on grants.gov be updated once the phase II process is initiated? Will the phase II submission deadline be the same for all phase II applicants?	Grants.gov will not be updated with a Phase 2 application deadline. All applicants who are invited to submit a Phase 2 application will be informed of the deadline for Phase 2 applications. All applicants invited to submit a Phase 2 application will be given the same amount of time to submit a Phase 2 application, as long as there is enough time at the time of decision, to make the award before the end of the fiscal year, at which point funds expire and are no longer available.

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	Q3: Under the last ASHA NOFO, Phase II applicants were notified 31 days in advance to the phase II deadline, whereas in the guidelines, it stipulates up to 60 days? In what cases, would less than 60 days be granted to work on Phase II of the applications?	The RFA states, "Phase 2 Technical Applications will be due within 60 days of the written notification by the Agreement Officer." This means within any duration of time less than or equal to 60 days as measured from a starting point; in this case, the day on which invitations to submit Phase 2 applications were sent by the Agreement Officer. ASHA reserves the right to issue a Phase 2 application deadline that is less than 60 days from date of invitation if it is deemed necessary. However, per 2 CFR 200.203(b), applicants will have a minimum of 30 days unless there are exigent circumstances.
	Q4: What is the allowable deviation (if we need to make adjustments) to the budget between the Phase I and Phase II applications?	There is no deviation amount allowed between Phase 1 and Phase 2. Most applicants will receive less funding than they originally requested and will either have to make up the difference through leveraged funds or reduce their scope.
	Q5: How does ASHA define sub-recipients/sub-awards vs contractors?	Per ADS 303sai, Section V. DISTINGUISHING A CONTRACT FROM A SUBAWARD, “2 CFR 200.330 provides guidance to recipients on distinguishing between a subrecipient and a contractor. As a practical matter, it is sometimes difficult to tell whether an activity involves work on the project or provision of a service for the project. Because the nature of the relationship between the parties is fact specific, each situation needs to be evaluated on a case-by-case basis. An organization, either for-profit or nonprofit, may be

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		either a contractor or a subrecipient depending on the nature of the work they will perform under the award and the nature of the relationship with the recipient. Indications that an organization is a subrecipient include if it: ● Determines who is eligible to receive what Federal financial assistance; ● Has its performance measured against whether the objectives of the Federal program are met; ● Has responsibility for programmatic decision making; ● Has responsibility for adherence to applicable Federal program compliance requirements; and ● Uses the Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity. Indications that an organization is a contractor include if it: ● Provides the goods and services within normal business operations; ● Provides similar goods or services to many different purchasers; ● Operates in a competitive environment; ● Provides goods or services that are ancillary to the operation of the Federal program; and ● Is not subject to compliance requirements of the Federal program.”

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	Q6: Why do contractor budgets need a separate column (per budgeting scenario 3) when USAID does not require this unless contractors are a formal sub-award? If we do need to have specific budgets defined by category for contracted firms, what is the allowable deviation/flexibility between categories if awarded the project?	Sub-awards/Contracts made directly to the USO are the only entities that need to be tracked for most awards. *However, please note that for construction awards, ASHA must see a clear separation between the cost for A&E services and construction services regardless of whether they are contracted by USO or OSI as this is a legal requirement for all construction awards.* If the USO and the OSI are the same legal entity, they are considered the Prime recipient. Per the Budget Scenarios document, "If the USO is the same as the OSI then all sub-recipients on the project will be listed: i.e. A&E firm, construction firm and IEE firm….Each sub-recipient has a direct relationship with the Prime and therefore [the Prime] will need to list each one on the budget summary." Per 2 CFR 200.308, "The Federal awarding agency may, at its option, restrict the transfer of funds among direct cost categories or programs, functions and activities for Federal awards in which the Federal share of the project exceeds the Simplified Acquisition Threshold and the cumulative amount of such transfers exceeds or is expected to exceed 10 percent of the total budget as last approved by the Federal awarding agency. The Federal awarding agency cannot permit a transfer that would cause any Federal appropriation to be used for purposes other than those consistent with the appropriation."
	Q7: When do the names of any A&E firms, IEE firms, and/or construction firms need to be provided to ASHA?	Per Section H of the RFA, names of A&E firms, IEE firms, and/or construction firms are "required of

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	Are these organization names required as part of the Phase II submission? This is not specified as being required for the phase 2 applications, so we presume that this would only need to be provided following approval of Phase II and moving forward to contracting.	apparently successful applicants upon notification of the intent of ASHA to make an award, or following issuance of an award." ASHA suggests IEE and A&E firm approval forms be submitted as soon as possible after award is signed to reflect new activity, budget and timeline to speed up start up. Starting in FY19, less will be updated if awardee has a prior approved IEE.
	Q8: Does the USO and ISO need to work with firms based in the country of project implementation? Or can they be US-based firms?	In-Country or US-based firms are both fine; however, any cost associated with having the relevant permits and professional certifications for the US-based firm in-country is the responsibility of the USO.
	Q9: If firms will be engaged in a contracting agreement rather than a sub-award, do they require a SAM? If and when does ASHA require this?	It is important to first understand if a relationship with an organization is a subaward relationship. See ADS 303sai for clarification. Organizations that typically do not have a subawardee relationship are not required to follow Standard Provision RAA22. UNIVERSAL IDENTIFIER AND SYSTEM OF AWARD MANAGEMENT (July 2015), which states that no subaward can be made until the subrecipient has a DUNS number. Per Standard Provision M9. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (JUNE 2012), the recipient agrees that, unless authorized by the AO, it will not knowingly enter into any subawards or contracts under this award with a person or entity that has an active exclusion on the System for Award Management (SAM).
	Q10: It would be helpful if ASHA consistently referenced	Noted.

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	"overseas schools, libraries, hospital centers, and centers of excellence" throughout the NOFO, otherwise there is confusion on what types of center are eligible or not.	
	Q11: Can ASHA further elaborate regarding its expectations for the management approach sections under phase II? What information is required for operational approach vs sustainability & OSI strengthening?	Please follow the requirements for this criterion in the RFA and ensure you address ALL factors listed under the criterion. You may refer to USAID's ADS 200 series to better understand what USAID expects of all partners with regards to sustainability of projects funded and strengthening local organizations.
	Q12: Can ASHA further elaborate regarding what information is required for the phase II M&E section beyond the indicator table itself?	Per Section E.2.b)(c) of the RFA, "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."
	Q13: Can ASHA please confirm that the proposed Project Manager is the only required key personnel under a construction/renovation project?	Per Section B.3. of the RFA, Key Personnel required for Approval are the USO Project Manager and the OSI Project Manager.
	Q14: Selection of indicators is very difficult, considering that the wide variety of possible source indicators listed, do not directly apply to construction/renovation and	Per Section E.2.b. of the RFA, the Applicant is required to include at least 1 relevant FY 2018 Foreign Assistance Standard Indicator ("F" indicator) and at

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	commodity projects, especially when no resources are provided to assist education/health services or community engagement activities to accompany infrastructural improvements within the life of the project. Can ASHA please confirm if the applicant can propose its own indicators beyond the mandatory ASHA indicators? What suggestions does ASHA have to help implementers propose the most appropriate indicators as part of its phase II application?	least 1 Gender indicator for the project's Gender integration efforts, and ASHA's two mandatory custom indicators per ANNEX 2 – PHASE 2 TECHNICAL APPLICATION. The Applicant may propose additional indicators as it deems appropriate for its program. Please refer to the AMEP guidance for more information.
	Q15: Regarding commodities, does ASHA allow the purchase of previously used but well working innovative commodities sourced from US-based vendors?	It depends on the commodity and intended purpose. Please provide detail in your application and refer to USAID's Do No Harm Policy with regards to used commodities.
	Q16: Would ASHA like applicants to include information about the source companies/vendors for commodities as part of the phase II application?	Page 29 of the RFA states that for commodity requests, the Phase 2 application requires a description of 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 when. If Applicants have space available in their application and would like to include information about the source companies/vendors, they are welcome to do so.
	Q17: Can ASHA provide information about the number of applications under the last ASHA annual NOFO and the number awarded? What is the breakdown by project type – construction/renovation and/or commodity? What is the average size of award?	ASHA cannot disclose information about the solicitation process. For information on ASHA grants that have been awarded, please visit https://www.usaspending.gov/#/
	Q18: Can ASHA please provide the website where	For information on ASHA grants that have been

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	interested organization can find information about all of ASHA existing and past projects? including by country, USO/OSI, project type, and budget?	awarded, please visit https://www.usaspending.gov/#/
	Q19: Does ASHA plan to provide feedback on phase I awards, if not invited to Phase II? Especially for continued applicants, it would be very helpful to better understand decision scoring against criteria as well as feedback to improve.	ASHA will issue debrief letters to Applicants who are not invited to submit Phase 2 applications. These debriefs will include information on strengths and weaknesses in the Phase 1 application. ASHA will not be conducting oral debriefs.
	Q20: Is ASHA available for consultations with USOs if invited to Phase II as part of the phase II design process?	No, ASHA cannot hold consultations with USOs or answer questions during the solicitation process.
Organization 6	Q1: Does support to an institution with a primary TB focus disqualify the applicant?	Per Section C.3 of the RFA, "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." Please see Section C of the RFA for Eligibility Information.
	Q2: Would an applicant and its local partner in Jordan be eligible, due to a USAID mission being present there?	Please see Section C of the RFA for Eligibility Information.
	Q3: What documentation is the applicant required to provide as evidence of a longstanding 10 year+ relationship with their local partner?	Per page 10 of the RFA, "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-

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Organization 7	Q1: Will the deadline for submission of ASHA FY20 phase 1 technical application be postponed, In light of COVID-19?	Unfortunately, the deadline for FY20 RFA Phase 1 applications cannot be changed. It remains May 20, 2020.
	Q2: We want to confirm that the American University in Cairo (AUC), being located in Egypt, can apply as part of the set-aside 30%.	Per Section A.1. of the RFA, "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."
Organization 8	Q1: Regarding the Business Cost Application for Phase 2, can Annex 4 Section 4b be submitted as an excel sheet attachment, or should the applicant replicate the excel sheet data in this word document?	The summary budget, detailed budget, and detailed budget of durable commodities (if applicable) must be submitted in one Excel file. This file can be submitted as an attachment to the Business Application.
	Q2: In reference to Page 18. Section C.6: aside from the Cover Page (6.a), it would seem that the documents and information required for the Business Cost Application are attachments. Can the subsections (b,c,d) stated on Page 18. Bullet point 6. Business Cost Format be submitted as attachments?	Yes, the Business Cost Application sections b (SF-424 Forms), c (Required Certifications and Assurances), and d (Budget and Budget Narrative) may be submitted as separate attachments.
	Q3: Please define what is meant by or what are the parameters involved in 'operational approach'. This is with reference to Phase 2 Technical Application Management Approach.	Please refer to the criterion in the RFA and ensure all factors listed under the criterion are addressed in the Phase 2 application.

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Organization 9	Q1: The annex posted in grants.gov, which is mandatory (page 13) to use for the application, has a set font style and size that can not be changed to the one you require (page 14). Please advise if that is permissible. Further explanation: On page 13: “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. …Then on page 14, where it says that applications must comply with the following format “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. “	Per page 13 of the RFA, “Use of the provided Annexes is mandatory.” Please complete and submit the PDF annex forms without modifying them. For any attachments that aren’t a fillable PDF, please adhere to the requirements on page 14.
Organization 10	Q1: In the above mentioned RFA, it is clear that the USO must be a not-for-profit entity. Are there any such for-profit/non-profit stipulations regarding the OSI?	OSIs are not required to be a not-for-profit entity. However, they must meet all the requirements for OSIs listed in the RFA.