USAID
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Subject: The American Schools and Hospitals Abroad (ASHA) Program Worldwide Request for Application No. 72ASHA21RFA00001 for Fiscal Year 2021

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 (ASHA) program. The ASHA Program is now being implemented by the ASHA Initiative, part of the Bureau for Development, Democracy, and Innovation (DDI) Bureau's, Local, Faith And Transformative Partnerships (LFT) Hub.

USAID intends to make multiple awards as a result of this Fiscal Year 2021 (FY 2021) 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 the 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 processes. 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.g. 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,

Gordon Weynand
ASHA Partnerships Initiative Senior Leader

Contents

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

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[1] State Department Bureau of Global Public Affairs and USG Integrated Country Strategies

[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.

on the Middle East. For purposes of this RFA, the Middle East includes the following countries and territories: Algeria, Egypt, Iraq, Israel, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, 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-FY 2023 addresses the following goals:

(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; 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

ASHA 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. ASHA directly contributes to U.S. foreign policy and public diplomacy objectives by fostering partnerships and promoting the best practices 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 throughout 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/E3/ASHA intends to provide approximately $27,000,000 in total USAID funding as a result of this FY 2021 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, Israel, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, and Yemen. The maximum amount 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 2021 funding.** ASHA generally awards between 30 to 40 cooperative agreements and/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 2022 (as soon as funds become available). Awards for applications that include only durable commodities have a period of performance of two years from the start date of the award. Awards for applications that include construction or renovation, as defined in Automated Directives System (ADS) 303maw[4] have a period of performance of four years from the start date of the award. If the project has a combination of commodities and construction/renovations, then the period of performance is four years from the start date of the award.

3. Substantial Involvement

ASHA awards both grants and cooperative agreements. A cooperative agreement allows ASHA to have substantial involvement 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 and/or renovation activities or a combination of commodity and construction and/or renovation activities[5]. Funding may be leveraged from other sources to fund either commodities and/or construction/renovations; however, ASHA will issue the applicable grant or cooperative agreement based on the types of activities ASHA funds. 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:

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[4] "Construction" for purposes of this policy means: construction, alteration, or repair (including dredging and excavation) of buildings, structures, or other real property and includes, without limitation, improvements, renovation, alteration and refurbishment. The term includes, without limitation, roads, power plants, buildings, bridges, water treatment facilities, and vertical structures.
"Improvements, renovation, alteration and refurbishment" for purposes of this policy includes any betterment or change to an existing property to allow its continued or more efficient use within its designed purpose (renovation), or for the use of a different purpose or function (alteration). Improvements also include improvements to or upgrading of primary mechanical, electrical, or other building systems. "Improvements, renovation, alteration and refurbishment" does NOT include non-structural, cosmetic work, including painting, floor covering, wall coverings, window replacement that does not include changing the size of the window opening, replacement of plumbing or conduits that does not affect structural elements, and non-load bearing walls or fixtures (e.g., shelves, signs, lighting, etc.).

[5] 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.**

1. **Review and approval of the Recipient's Implementation Plan**[6]— Implementation plan will cover the following areas:

    - Summary of competitive procurement process for Architectural & Engineering (A&E) and Construction firms
    - Timeline and plan for all mandatory ASHA approvals milestones for monitoring & evaluation, construction/renovation requirements including environmental and final construction documents.
    - Description of planned capital investment warranties, such as bid bonds, performance bonds, retainage, etc.
    - Construction Schedule (Gantt chart)
    - Organizational Chart or Staffing Plan
    - Timeline and plan for Operations & Maintenance (O&M) plan

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

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

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 $250,000, the geographic code for the procurement of commodities and services under this program is 937. This code authorizes procurement of 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. (Links for a list of prohibited sources and of advanced developing countries are available in ADS 310.)

For awards resulting from this RFA of less than or equal to $250,000, the geographic code for the procurement of commodities and services under this program is 935. This code authorizes

[6] 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.

procurement of 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 including US public colleges and universities (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, Israel, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, and Yemen. Applicants that do not identify their work as focused in the Middle East **will not receive consideration** for set-aside funding under this RFA. To be eligible for the Middle East set-aside, Applicants must have ten or more years of experience in the Middle East region, and have partnered with the OSI 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 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.*

- Each OSI may be included in only one proposal under this RFA. In other words, multiple USOs cannot submit separate applications for the same 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. Sponsored means a continuing relationship that 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 actively registered and have no active exclusions or delinquent federal debt in the U.S. Government’s System for Award Management (SAM). 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 status in SAM in the Cover Page**.) Applicants must also provide a valid DUNS number in the application as stated in 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 2019 or later. (See Annex 6, M1/M2 for the complete requirements concerning audits.)

- USO and OSI must not discriminate against any beneficiaries in the implementation of the award, including, but not limited to, 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 status.

- The OSI—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 must provide post-secondary education or secondary education that serves students at the equivalent of a U.S. sixth grade level or higher[7];
    - For applications involving **"hospital[8] 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 to prove the rights over the land, 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

[7] The Proposal must target post-secondary education or higher
[8] Hospitals also include Medical Centers

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; however, 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 4b.

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[9]. 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. 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 be requested of Recipients.

[9] 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.

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.i.

SECTION D: APPLICATION AND SUBMISSION INFORMATION

1. Agency Point of Contact

Mr Gordon Weynand
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 Notice of Funding Opportunity (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 on grants.gov, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective Applicant. While ASHA is available to respond to administrative questions, ASHA will not respond to technical questions about the RFA outside of this specific Q&A period.

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, Technical Application Phase 2, and the Business (Cost) Application. This subsection addresses general content requirements applying to all applications. 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.

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.

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

If Applicants submit a cover letter in addition to the cover pages, 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.
- Application documents must be in English or have an English translation
- 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. Monitoring and Evaluation section "Indicator Summary Table" in Phase 2 Application can use a 9 point font.
- Submitted via Microsoft Word or PDF formats, except budget files, which must be submitted in Microsoft Excel.
- The estimated period of performance identified in Section B of this RFA must be used in the cost application.
- The technical application must be a searchable Word or PDF format as appropriate.
- The Cost Application must include an Excel spreadsheet with all cells unlocked and no hidden formulas or sheets. A PDF version of the Excel spreadsheet may be submitted in addition to the Excel version at the Applicant's discretion; however, the official cost application submission is the unlocked Excel version.
- **Use of the provided Annexes is mandatory; no modified versions of the Annexes will be accepted, except where otherwise indicated. Font requirements don't apply to provided forms that must be filled in.**

Applicants must review, understand, and comply with all aspects of this RFA. Applications that fail to do so 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 received by ASHA no later than the closing date and time indicated on the cover sheet/page of this RFA. 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 will receive an email confirmation of receipt. Late or incomplete applications will receive notification that they will not be reviewed or considered.

Application submissions must include the **RFA number and applicant's name** in the email subject line heading. In addition, for an application sent in 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".

Technical Applications for Phase 1 should submit one document labeled according to Annex 1. Technical Applications and Business (Cost) Applications for Phase 2 must submit documents separately and clearly labeled according to the layout in Annex 5. The Technical Application Phase 2 and the Business (Cost) Application for Phase 2 will be submitted at the same time.

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 the identified closing date/time) 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 that replaces the previous email.

Applicants are reminded that email 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 2021 Application Process**.

Phases	Submission	Attachments
Phase 1	Phase 1 Technical Application Requirements	No
Phase 2	Phase 2 Technical Application Requirements	Yes: Attachments See Annex 5
	Business (Cost) Application	Yes: Attachments See Annex 5

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 in the set-aside pool independently from the general submissions. 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 (2 pages)

(c) Eligibility Checklist (4 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.[10]

[10] Including SAM screenshot of applicant.

(d) 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 the date and time specified on the cover page**.

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 and/or Construction/Renovation Approach), outlined in Section E. Applicant submissions for the 30% set-aside will be reviewed in the set-aside pool independently from the general submissions. **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 Application” in Section D3. The format is as follows (see Annex 2a/2b for Phase 2 Technical Application Template):

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

(b) Cover Page (3 pages)[11]

(c) Table of Contents (1 page)

(d) Management Approach (up to 6 pages)

[11] Including SAM screenshot of applicant.

(e) Commodities and/or Construction/Renovation Information (6 pages for either, or 9 pages for both[12])
   - Durable Commodities Information (if applicable), including Procurement Plan (up to 6 pages)
   - Construction/Renovation Information (if applicable), including Implementation Plan (up to 6 pages)
   - Environmental Capability Statement (by responding to Annex 3)

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

The Phase 2 Technical Application (excluding attachments) **must not exceed 19 pages for a Commodities and Construction project, or 16 pages for a Commodities Only or a Construction/Renovation Only project** as delineated in the above sections. Attachments do not count against the page limits. 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 2021 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 include costs that cover the entire period of performance, using the budget format shown above.

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.

1) Business (Cost) Application Documents

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 4a for Cover Page requirements) - 1 page

- Use the File Name: "[Full name of USO] Phase2-Business Cost"

[12] If submitting for Commodity Only, 6 pages are allowed. If submitting for Construction/Renovation Only, 6 pages are allowed. If submitting for both Commodity and Construction/Renovation then 9 pages total are allowed.

(b) SF 424 Form(s)

The Applicant must sign and submit the applicable SF-424 documents. 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) 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 (see Annex 4b)

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 Applicant must ensure the budget addresses any additional requirements identified, such as Branding and Marking and federally required audits. The Budget Narrative must contain sufficient detail to allow USAID to understand the proposed items, how they apply to the program, and how the costs were determined. 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 contents, in separate tabs of an Excel spreadsheet (see Annex 4b for the templates):

(i) 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-recipients for the entire period of the program.

(ii) 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.

(iii) Detailed Budget Narrative

Budget narrative must provide a description of all cost elements proposed, basis of estimation and further detail to explain the breakout of units and unit costs. The basis of estimation must be from common sources and methods such as market research, construction estimators, previous similar projects, etc. In all cases, if there is no proof of how the estimate was derived, the budget items can be called into question.

(iv) 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 a full detailed list of commodities either in the detailed budget or as a separate tab 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.

Budget Description

Applications may request funds to support commodities only, construction/renovation only, or both commodities and construction/renovation. The Detailed Budget and 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 plus Commodity** projects require: Cost Categories A, B and/or C, D and E.

Categories

A. Professional A&E Services – This includes the costs associated with the A&E firm. A&E fees are eligible so long as these fees are reasonable and directly related to the project. This item could include additional costs for construction oversight (ASHA's preference is that the applicant uses the same A&E firm that completed the design), Americans with Disabilities Act (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, if this is a renovation project only, hiring a construction company.

D. Durable Commodities – This is the cost of durable commodities and all associated costs 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 – Applicants can charge ASHA for the proportionate Branding Strategy and Marking Plan (BSMP) costs directly related to the award. 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, ADS 591 and the award. ASHA will require program specific audits for all ASHA funded awards that are not required to perform a Single Audit. ASHA funds may not be used to fund annual institutional audits required by a country's laws; however, Applicants may be asked to submit annual institutional audits during the solicitation process and/or during the post-award process. All other costs listed in this category (e.g. salaries, travel costs, research costs, technical assistance, and administrative overhead, training costs, profit, vehicle purchase, vehicle rental etc.) should be covered through leveraged funds. 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.

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 shown in the budget as leveraged funds. Ensure that all leveraged funds are clearly identified and that the funding request plus anticipated leveraged funds cover the full cost of construction/renovation and A&E Services when required.

2) Business (Cost) Application Requirements

The Business (Cost) Application must adhere to the following requirements:

(a) Prior Approvals in accordance with 2 CFR 200.407

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. Inclusion of an item of cost in the detailed application budget does not guarantee prior approval by the Agency. See 2 CFR 200.407 for information regarding which cost elements require prior written approval.

(b) 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) Specially Designated Nationals and Blocked Persons 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 Consolidated 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.

(c) Dun and Bradstreet and SAM Requirements

USAID cannot 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).
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 to not provide an award to that 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.

(d) 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.

(e) Funding Restrictions

Profit is not allowable for recipients or sub-recipients under this award as per ADS 303sai. See 2 CFR 200.330 and ADS 303sai for assistance in determining whether a sub-tier entity is a sub-recipient or contractor.

In accordance with ADS 312.3.3, Restricted Commodities are not allowed in any ASHA award unless explicitly approved by the Agreement Officer (approval cannot be assumed by a reference statement) prior to procurement. Restricted goods are as follows:

1. agricultural commodities,
2. motor vehicles,
3. pharmaceuticals,
4. pesticides,
5. used equipment,
6. U.S. Government-owned excess property, and
7. fertilizer.

USAID will not allow the reimbursement of pre-award costs, as defined in 2 CFR 200.458, 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.

For purposes of this RFA, construction/renovation activities also 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 in accordance with ADS 303maw[4].

Costs for shipping, installation, training, and warranty of the commodity are allowable if they are embedded in the cost of the item. These are not allowable if they are costs separate from 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 and aircraft is not authorized under this award; however,

ASHA can support refurbishing of vehicles/aircrafts if it is an intrinsic part of the program, such as mobile clinics, mobile libraries, etc. In this case the USO or OSI must purchase or have purchased the vehicle/aircraft with other funds.

Consumable commodities are not authorized under this award. See ADS 312 for a full description of restricted and ineligible commodities.

ASHA will generally not fund other general operating costs or overhead expenses of USOs or OSI. ASHA funds can be used to support reasonable/proportional costs of USOs and OSIs related to the cost of federally mandated audits and branding/marking materials associated with ASHA awards. See Section D.6.d for additional limits on funding.

SECTION E: APPLICATION REVIEW INFORMATION

1. Review and Selection Process

The application process for this RFA is in two phases: Phase 1, in which Applicants submit a Technical Application; and Phase 2 (by invitation only), in which Applicants submit a Technical Application and a 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. Applicant submissions for the 30% set-aside will be reviewed in the set-aside pool independently from the general submissions.

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 serves 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: Public Diplomacy or Public Diplomacy and Past Impact . Each reviewer will note the strengths and weaknesses of the applicant's responses to the factors outlined under 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 Applications receiving a ranking of "Satisfactory" or above, will receive a letter from the Agreement Officer inviting the Applicant to submit a Phase 2 Technical Application and a Business (Cost) Application. **However, the recommendation that a Phase 1 Applicant submits a Phase 2 Technical Application, does not guarantee an award.**

Phase 2 Technical Applications:

Phase 2 Technical Application submissions will be reviewed by a SC with regards to how well they respond to Criterion: Management Approach and Commodities and/or Construction/Renovation. Each reviewer will note the strengths and weaknesses of the Applicant's 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 application's final adjectival rating. The SC will rank Applicants by final adjectival rating to make a determination of which applications will be determined "Apparently Successful."

ASHA will allocate no less than 30% of its FY21 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, Israel, Jordan, Lebanon, Libya, Morocco, Syria, Tunisia, West Bank & Gaza, and Yemen.

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

Application Phase	Criterion Weight
Full and Open Competition	
Phase 1: Public Diplomacy	50% of overall rate
Phase 2: Management Approach	20% of overall rate
Phase 2: Commodities and/or Construction/Renovation	30% of overall rate
30% Set-Aside Applicants	

Phase 1: Public Diplomacy	25% of overall rate
Phase 1: Past Impact Statement	25% of overall rate
Phase 2: Management Approach	20% of overall rate
Phase 2: Commodities and/or Construction/Renovation	30% 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 Application submissions. This information is provided to help Applicants further understand how a SC will make a rating determination. The following descriptions in no way constitute a full checklist for the SC, and are provided for informational purposes only:

Exceptional: **Phase 1** - An exceptional application will propose an approach that would generate, as an outcome, substantive positive behavior change that reflects American values, ideals or practices, within and beyond the walls of the local institution. The application will have a very well articulated communication strategy and will target a large audience and/or a marginalized group and/or a hard-to-reach population or have a large ripple effect. **Phase 2** - The application will have a meticulously planned management approach that is directly linked to the public diplomacy outcomes. The application would also have a well articulated commodities and/or construction plan that demonstrates a very strong understanding of the requirements. The application would demonstrate a long-term view by ensuring sustainability of the project that greatly exceeds the minimum requirements.

Very Good: **Phase 1 -** A very good application will propose an approach that results in substantive change in attitudes and/or generate some positive behavior change that reflects American values, ideals or practices within and/or beyond the walls of the local institution. The application will have a clear communication strategy and it will target either a medium to large size audience and/or a marginalized group and/or have a medium ripple effect. **Phase 2 -** The application will have a clearly planned management approach that has a good link to the public diplomacy outcomes. The application will also have a clearly articulated commodities/construction plan that demonstrates a good understanding of the requirements with a few areas of weakness. The application will demonstrate a long-term view by ensuring sustainability of the project that exceeds the minimum requirements.

Satisfactory: **Phase 1 -** A satisfactory application will propose an outcome that substantially increases awareness and/or results in some change in attitudes that reflect American values, ideals or practices within the local institution. The program will have an adequate communication strategy and it will target a medium size audience. **Phase 2 -** The application will have an adequately planned management approach with a few weaknesses and it will not directly link to the public diplomacy outcomes. The application will have an articulated commodities/construction plan with a few weaknesses that demonstrates an adequate understanding of the requirements. The application will demonstrate a long-term view by addressing sustainability of the project investments that meets the minimum requirements.

Marginal: **Phase 1 -** A marginal application minimally proposes an outcome that would increase awareness that reflects American values, ideals or practices within the local institution. The program makes broad assumptions on the target audience and does not have a clear communication strategy. **Phase 2 -** The application does not clearly discuss the plan for a management approach, nor does it demonstrate how it links to the public diplomacy outcomes, nor does it sufficiently articulate a commodities/construction plan. The application does not have a long-term view nor address minimum requirements for sustainability of the project capital investments.

Unsatisfactory: **Phase 1 -** An unsatisfactory application does not describe an outcome that reflects American values, ideals or practices being shared by the local institution. The application does not align with the intent of the RFA. The application lacks a communication strategy. The application makes broad statements on who the target target audience is or does not identify a clear target. **Phase 2 -** The application does not address the management approach, link it with public diplomacy outcomes or articulate a commodities/construction plan. The application does not address how capital investments will be maintained and sustained in the future.

2. Merit Review Criteria

a) Phase 1 Merit Review Criterion 1 (50% 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.

Please also see ASHA's custom indicators which will be included in Phase 2.

Phase 1 Merit Review Criterion – Public Diplomacy: Provide a succinct explanation of the context where the proposed project will be implemented and how it will contribute to public diplomacy outcomes of an increase in awareness, or shifts in attitude or changes in behavior regarding American values, ideas, or practices and clearly explain how the proposed project will contribute to achieving ASHA's legislated objectives. A responsive application will address:

1) how the relationship between the proposed project and the public diplomacy outcomes will: (a) increase awareness, (b) change attitudes, or (c) generate positive behavior change that demonstrates mutual understanding of American values, ideas, or best practices have been achieved within the partner institution and local community. It is not required to address all three types of public diplomacy outcomes; however, Applicants must address how, at least one type of outcome, will be accomplished. Simply stating the American values to be addressed is not sufficient;
2) the relationship between the proposed project and the U.S. Government foreign policy[13] 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 direct beneficiaries of demonstrable public diplomacy impact achieved should go beyond the walls of the institution that ASHA supports. **Please do not provide a detailed description of the USO and OSI, or of proposed commodities/construction in the Phase 1 submission**.

Phase 1 Merit Review Criterion – Past Project Impact Statement: 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 (2018, 2019, and 2020).
- Describe how the Applicant has fostered over at least the past 10 years and continues to foster strong commitment to fundamental American values and how it tracks its progress
- Provide current data for at least the past 12 months of results using impact indicators used by the organization

*Weights: The Public Diplomacy merit review criterion carries 50% weight for general Applicants, but 25% weight for Applicants for the Middle East set-aside, with the Past Project Impact Statement accounting for the remaining 25%.

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

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[13] State Department Public Affairs: https://www.state.gov/bureaus-offices/under-secretary-for-public-diplomacy-and-public-affairs/bureau-of-global-public-affairs/;
US Agency Integrated Country Strategies: https://www.state.gov/integrated-country-strategies/;
and USAID Mission in-country websites: https://www.usaid.gov/mission-directory

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.

1. Management Approach Criterion (20% 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 following four factors:

(a) Operational Approach. The applicant must demonstrate an operational approach that is thorough and includes the management structure, staffing, roles and responsibility, and the plan for the executions of the technical (health, education, center of excellence) activities linked to the public diplomacy outcomes required that will likely be accomplished within the award period. Limit the history of the organization or how the project fits into the broader country context to one short paragraph ONLY.

(b) Sustainability and OSI Strengthening. Describe the OSI strengthening plan and how the proposed project will contribute to the OSI's sustainability and Journey to Self Reliance (J2SR). Must identify the source of funds to sustain the project and its mechanism for generating funds.

(c) Monitoring and Evaluation (M&E) Approach. The application should clearly describe how the proposed project will be monitored and evaluated using the ASHA AMEP template as well as both the FY2020 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 in addition to the 2 required ASHA custom indicators.

(d) 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.

2. Commodity and Construction/Renovation Approach Criterion (30% weight)

a. Commodities

For commodity requests, identify and sufficiently justify specific durable commodities that directly contribute to the goals and objectives of the Project Description.

The applicant must describe the Commodities Management approach, including the roles/responsibilities of the management team and procurement process for the commodities.

The applicant is required to provide details regarding the proposed commodities in the "Commodities Justification Table" below. This table must be a summary highlight of the detailed budget showing only the higher unit cost commodities and grouping smaller unit cost commodities by a similar theme i.e. location of the commodity or type of commodities. Applicants can arrange the table to accommodate the commodities without altering the column headings. Do not include cost in this table. See ADS 312 for Eligible Commodities.

Commodities Justification Table:

	Commodity	**Justification**	**Proposed location of the commodity**	**Type of Competitive Procurement Process** (i.e. Competition, Sole Source, Quotes, etc.)	**Which position in the organization will procure them**
1					
2					
3					

** Note: This "Commodities Justification Table" is separate from the Commodities Budget Table in Annex 4b where detailed cost information is required.*

Operations & Maintenance Plan (O&M): Include in the narrative the Operations & Maintenance of commodities including resources, i.e source of funding & personnel, warranties and equipment operational training.

b. Construction/Renovation

For Construction/Renovation approach, please provide the following information as listed below:

i. Provide a description in one paragraph of the proposed ASHA-funded construction/renovation project and how it fits with the goals and objectives of the Project Description. If this is a part of a larger project, the approach should provide a description of the larger project and explain how the ASHA funded project fits within the larger project.

ii. The application must address the construction/renovation management approach including the roles/responsibilities of the construction/renovation management team, the A&E firm and the construction manager, as well as the process for selecting the A&E firm and construction firm

iii. The proposal must address how it will incorporate the requirements of the Americans with Disabilities Act (ADA). 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) and indicate whether these constraints pose significant challenges for timely construction.

iv. The construction/renovation approach must assess the feasibility of the proposed construction/renovation site, including information on general topography of the site, existing civil infrastructure (such as roads, electric power, potable water and wastewater disposal systems) and any constraints that would need special design consideration such as seismic design, flooding, etc.

v. Provide broad design features of the proposed construction/renovation that supports green building design and resilience to disaster and climate change. **Clarify how this facility will resist or adapt to climate change, not how the construction will affect climate change.**

vi. Describe very broadly a Quality Management Plan for the A&E design and construction/renovation supervision including the roles for Quality Assurance (QA) and Quality Control (QC).

vii. Provide a brief description of structural, electrical and mechanical basis of design, citing the appropriate design codes.

viii. Discuss the Operations & Maintenance (O&M) plan for the proposed construction/renovation, including the identification of funding and personnel.

ix. The applicant must provide GPS coordinates (Latitude & Longitude) of the proposed site including unit of measure of the proposed construction/renovation and describe the proposed site (with photos). These must match the Conceptual Construction Drawings provided in Attachment MA1 in Annex 6.

The Applicant is reminded to ensure that the following documents are submitted in the package as follows:

- Conceptual Construction Drawings as required in Attachment MA1 in Annex 6.
- Conceptual Project Implementation Plan as required in Attachment MA2 in Annex 6.
- Proof of Land use rights and ownership/tenancy of the proposed facility as required in english Attachment MA3 in Annex 6.
- Construction Manager, separate from the USO/OSI Project Manager, as required in Attachment MA4 in Annex 6.

c. **Environmental Capability**. The application must demonstrate sufficient capacity in environmental impact management and climate risk management in compliance with USAID/ASHA requirements by responding to all of the questions in the Environmental Capability Statement in Annex 3. *Applicable to both Commodities and Construction projects.*

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

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 2021 Application Process table on Section D4.

The Business (Cost) Review takes place AFTER Apparently Successful Applicants have been identified.

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

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

Proposed cost share, 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 for construction/renovation programs 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 ASHA's 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 nor does it present 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. After the SC has determined the "Apparently Successful Applicants" in Phase 2 Technical Applications, they may be asked to provide further clarification prior to finalizing the award. **Please note that being identified as "Apparently Successful Applicant" or receiving a Letter of clarification does not guarantee issuance of an award**. Once the AO has resolved all questions regarding the Application, the AO will determine the "Successful Applicants" from the "Apparently Successful Applicants" list based on available funding, security risk and regulatory mandates. The "Successful Applicants" 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 program, unless Applicants indicate specific portions of their application that are entitled to protection from disclosure.

NDAA Section 889 prohibition: Covered Telecommunication and Video Surveillance Equipment or Services
Pursuant to John S. McCain National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2019 (Pub. L. 115-232) Section 889 and ADS 303.3.35.2 (Effective August 13, 2020), a recipient may not procure covered telecommunication equipment or services for the implementation of their program using award funds (this includes ASHA awards).

Applicable provision are as follows:

- US Organizations - 2 CFR 200.216
- Non-US Organization - Non-US standard provision M29 "Prohibition on Certain Telecommunication and Video Surveillance Services or Equipment"

These provisions prohibit the use of award funds, including direct and indirect costs, cost share and program income, to procure covered telecommunication and video surveillance services or equipment. The statute covers certain telecommunications equipment and services produced or provided by Huawei Technologies Company, or ZTE Corporation, Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities). Such covered telecommunication equipment or services must not be reimbursed to the recipient as a direct or indirect cost or accepted as part of cost share. Additionally, the recipient must not use any program income generated under the award to purchase covered telecommunication equipment or services.

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 an 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 (which will be noted in Section 1.2 of the award). 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 (which will be in Section 1.2.1 of the award). The Recipient must submit this form in the following manner:

Submission to USAID/E3/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 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/document.php?doc_id=51140 OR http://ow.ly/nkh650C3eex). 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:

Gordon Weynand
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:

Required prior to Award

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. **Recipient Plan**
   For projects that include commodities only[14], successful Applicants must submit a Recipient Plan prior to award, which include the following:

   - Timeline for commodity purchase
   - Timeline and plan for Environmental Mitigation with Monitoring Plan (EMMP) and Climate Risk Management (CRM)
   - Organizational Chart or Staffing Plan
   - Key personnel names/resumes
   - Timeline for O&M plan

Required following issuance of an Award:

3. **Activity Monitoring and Evaluation Plan (AMEP)**
   Successful applicants will be required to finalize and submit an Activity Monitoring and Evaluation Plan (AMEP) within 30 days after award, including performance indicators that measure the objectives set forth in their grant agreement.

[14] Note Recipient Plan is not needed for projects with both commodities and construction.

4. **Project Implementation Plan**

For projects that include construction, successful Applicants will be required to submit a project implementation plan (see Award for specifications[15]) within 60 days after award start date for AOR approval. A pre-performance meeting could be scheduled with the AOR and Key Personnel within 45 days after award state date to finalize the Project Implementation Plan, including timeline and milestones.

5. **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 ASHA Global IEE (https://ecd.usaid.gov/document.php?doc_id=51140 OR http://ow.ly/nkh650C3eex)[16] and submit a Master Set List of Commodities. 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 Global IEE https://ecd.usaid.gov/document.php?doc_id=51140 OR http://ow.ly/nkh650C3eex, and the required environmental mitigation and monitoring guidelines are found in USAID Sector Environmental Guidelines.

Awards with construction or renovation:

Successful Applicants who are new Recipients or existing Recipients with new OSIs/Projects, 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. Existing Recipients who have other active ASHA awards are only required to update their existing environmental documentation to reflect new activities and funding. The A-IEE must include an updated environmental baseline section at the existing site due to cumulative impacts due to previous construction or operation from past years activities funded by ASHA or other funding sources.

[15] A draft version can be found in this RFA Section B.3.1

[16] This also includes USAID Global Construction PERSUAP (2020): https://ecd.usaid.gov/document.php?doc_id=52687 OR http://ow.ly/8WCJ50CgD0g

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 the 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 Economic Growth, Education and Environment (E3), and will then be sent to the 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.

6. **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 the award start date.

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 the award start date. 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 E3 Climate Integration Lead (CIL) approves the CRM Screening.

7. **Construction Manager (if Applicable)**
If the name of the Construction Manager was not known during the solicitation stage, successful applicants must submit the resume post award. This must be submitted within 30 days of confirmation of the Construction Firm. This information must be submitted as a separate attachment named “MA4 -Construction Manager'.'

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."